



## COMMONWEALTH of VIRGINIA

### DEPARTMENT OF MEDICAL ASSISTANCE SERVICES

600 East Broad Street, Suite 1300

Richmond, VA 23219

June 15, 2016

Dear Prospective Offeror:

The Department of Medical Assistance Services (DMAS) is soliciting proposals from qualified firms to replace the Virginia Medicaid Management Information System (VAMMIS) with a Medicaid Enterprise System (MES). This Procurement seeks to establish one of several partnerships with contractors who can provide solutions to achieve the ongoing and dynamic goals of the Department. Specific details about this procurement are in the enclosed Request for Proposal (RFP) 2016-04.

Offerors must check eVA VBO at <http://www.eva.virginia.gov> for all official addendums or notices regarding this RFP. DMAS also intends to post such notices on the DMAS website at [http://www.dmas.virginia.gov/Content\\_pgs/rfp.aspx](http://www.dmas.virginia.gov/Content_pgs/rfp.aspx); however, eVA is the official and controlling posting site. The Commonwealth will not pay any costs that Offerors incur in preparing a proposal. As provided in the Virginia Public Procurement Act, the Department may reject any and all proposals received or cancel this RFP.

All issues and questions related to this RFP shall be submitted in writing to the attention of Chris Banaszak, DMAS Contract Manager, Division of Budget and Contract Management, Department of Medical Assistance Services, 600 East Broad Street, Suite 1300, Richmond, VA 23219. Offerors are requested not to call this office. In order to expedite the process of submitting inquiries, it is requested that contractors submit any questions or issues by email in MS Word format to [RFP2016-04@dmas.virginia.gov](mailto:RFP2016-04@dmas.virginia.gov).

Sincerely,

A handwritten signature in blue ink, reading "Christopher Banaszak", enclosed in a rectangular box.

Christopher Banaszak  
DMAS Contract Manager

**REQUEST FOR PROPOSALS**  
**RFP 2016-04**

**Issue Date:** June 15, 2016

**Title:** Integration Services Solution RFP

**Period of Contract:** Contract includes a Design, Development and Implementation (DDI) period and an initial base period of five (5) years for operations and maintenance, with provisions for three (3) one (1) year extensions.

**Commodity Code:** 92029 and 95823

**Single Point of Contact:** Chris Banaszak, DMAS Contract Manager

**Phone No:** (804) 225-4101

**E-Mail Address:** [RFP2016-04@dmas.virginia.gov](mailto:RFP2016-04@dmas.virginia.gov)

**Pre-proposal Conference:** 10:00 A.M. ET, June 28, 2016

**Deadline for submitting inquiries:** 10:00 A.M. ET, July 8, 2016

**Proposal Due Date:** 10:00 A.M. ET, July 29, 2016

**Note:** This public body does not discriminate against faith-based organizations in accordance with the *Code of Virginia*, §2.2-4343.1 or against a Contractor because of race, religion, color, sex, national origin, age, disability, or any other basis prohibited by State law relating to discrimination in employment.

DMAS is committed to increasing procurement opportunities for small and micro businesses, including small or micro businesses that are owned by minorities, women, or disabled veterans, strengthening the Commonwealth's overall economic growth through the development of its IT contractors.

**PRE-PROPOSAL CONFERENCE/TELECONFERENCE:** A pre-proposal conference/teleconference will be held on June 28, 2016, 10:00 A.M. ET at the Department of Medical Assistance Services, 600 E. Broad Street, Conference Room 7B, Richmond, VA 23219. The purpose of this conference is to allow DMAS an opportunity to clarify various facets of this solicitation. DMAS will not respond to questions during the pre-proposal conference.

To participate in the pre-proposal conference/teleconference, Offerors need to register with the SPOC: Chris Banaszak by sending an e-mail to [RFP2016-04@dmas.virginia.gov](mailto:RFP2016-04@dmas.virginia.gov) stating the name of Offeror and Offeror's participating representatives. Due to space limitations, Offerors who will be attending the conference in person are limited to three (3) representatives. Offerors for electronic attendance will receive a teleconference number for the call. It is strongly recommended that Offerors register no later than 1:00 pm local time on the day prior to the teleconference to ensure that Offeror receives a teleconference number.

Bring a copy of the solicitation with you. Any changes resulting from this conference will be issued in a written addendum to the solicitation. **NOTE:** Contractor acknowledges by submitting a proposal in

response to this solicitation that it is ineligible to submit a proposal in response to other MES procurements released by the Department of Medical Assistance Services.

Commonwealth of Virginia  
Department of Medical Assistance Services  
600 East Broad Street,  
Richmond, VA 23219



Phone: (804) 786-7933  
Fax: (804) 371-4981  
<http://www.dmas.virginia.gov>

*Request for Proposals (RFP)*  
**Virginia Medicaid Enterprise System:**  
*Integration Services Solution*  
RFP No. 2016-04

Procurement Schedule	
Issue Date	June 15, 2016
Pre-proposal Conference	June 28, 2016 at 10:00 A.M. ET
Questions Due	July 8, 2016 by 10:00 A.M. ET
Proposals Due Date/Time	July 29, 2016 by 10:00 A.M. ET

**Single Point of Contact (SPOC):** Chris Banaszak, DMAS Contract Manager

**Phone No.:** (804) 225-4101

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# 1. PROCUREMENT OBJECTIVES

## 1.a. STATE VISION

The Commonwealth of Virginia, Department of Medical Assistance Services (DMAS) (also referred to throughout this RFP as “the Department”) is replacing its Virginia Medicaid Management Information System (VAMMIS) with a Medicaid Enterprise System (MES). This Procurement seeks to establish one of several partnerships with contractors who can provide solutions to achieve the ongoing and dynamic goals of DMAS. The role of this RFP in the MES procurement strategy is described in the next section.

The Department desires to establish mutually beneficial partnerships with healthcare business-driven technology leaders for collaborating with the Department and other partners in this transitional journey to a more modern Medicaid Business and Technical environment. The Department is looking for collaborative, innovative, cooperative, flexible, and customer-oriented service organizations that are willing to work with the Department and each other to achieve common goals.

The Department’s healthcare-related business opportunities and challenges include:

- Providing services to populations that are shifting from a smaller percentage fee-for-service (FFS) model to a higher percentage of Managed Care
- Providing a customer-centric services environment
- Creating the ability to measure performance of programs in order to adjust for better results
- Creating environments that can be monitored for fraud and abuse incidents
- Promoting an environment that fosters the Department’s focus on servicing customers rather than overcoming technological development hurdles
- Creating a more nimble speed-to-market environment that is responsive to changes and innovation
- Creating an environment that promotes Department and Contractor relationships to achieve strategic plans
- Creating an environment that leverages State and Federal opportunities to improve healthcare on a national and statewide basis
- Creating a new environment that fosters a transition from a customization environment to one in which business needs are met through configuration of commercial off-the-shelf (COTS) and software as a service (SaaS) solutions

The Department has worked closely with the Centers for Medicare and Medicaid Services (CMS) representatives and other states to create a roadmap for transitioning from a monolithic system to a modular, interoperable solution. To that end, the Department has established the following strategy to achieve a MES.

### 1.a.1. VIRGINIA MES PROCUREMENT STRATEGY

DMAS will issue the following five requests for proposals (RFP) to procure modular solutions that make up the Virginia MES:



**Virginia Medicaid Enterprise System: Integration Services Solution RFP**

- Core Services Solution (CSS)
- Enterprise Data Warehouse Solution (EDWS)
- Financial Management Solution (FMS)
- Integration Services Solution (ISS)
- Pharmacy Benefit Management Solution (PBMS)

This strategy entails an ISS Contractor to take the lead in formulating a Master Integration Plan to move DMAS to a more modular and interoperable environment. The transition will involve “staggered” implementations versus the traditional “big bang” implementation. The transition includes a DMAS hosted Encounter Processing Solution (EPS). DMAS staff, the ISS Contractor, and the Enterprise Data Warehouse Solution, Pharmacy Benefit Management Solution, Core Services Solution, and Financial Management Solution contractors will formulate a staged transition plan with a master schedule that ultimately results in a viable Virginia MES production environment.

The DMAS vision is to have the MES production environment to be built in phases. The Design, Development, and Implementation (DDI) phases are listed below. The following table outlines the proposed model to accommodate this vision:

**Table 1: MES Production Environment Phases**

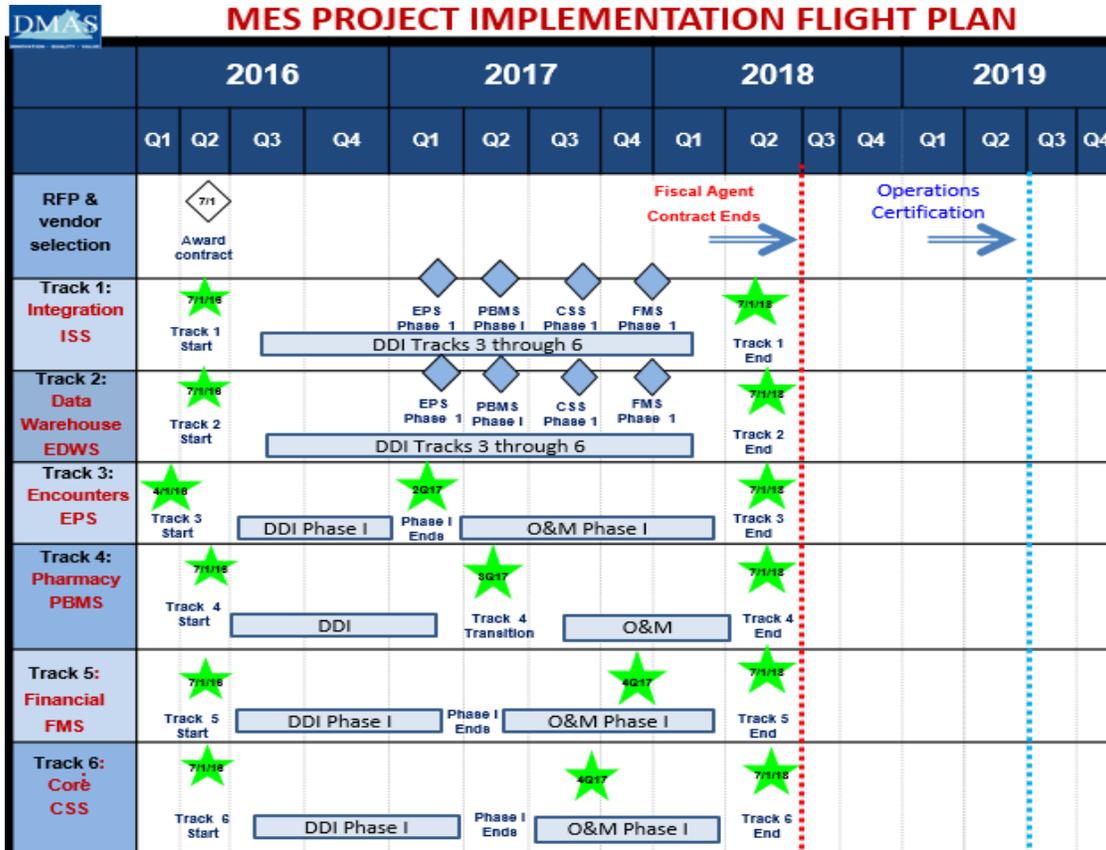
MES RFP	Business Process Areas
Core Services Solution	<ul style="list-style-type: none"> <li>➤ DDI Phase I: Eligibility &amp; Enrollment (Provider) and Provider Management with all related Portal access</li> <li>➤ DDI Phase II: Business Relationship Management, Care Management, Eligibility and Enrollment (Member), Financial Management, Member Management, Operations Management, Performance Management, and Plan Management</li> </ul>
Financial Management Solution	<ul style="list-style-type: none"> <li>➤ DDI Phase I: Financial Accounting &amp; Reporting</li> <li>➤ DDI Phase II: General Ledger, Accounts Receivable Management, Accounts Payable Management, Fiscal Management, and Payment and Reporting</li> </ul>
Pharmacy Benefit Management System	<ul style="list-style-type: none"> <li>➤ DDI Phase: General/Claims Processing, Drug Utilization Review (DUR), Utilization Management, Service Authorization, Third Party Liability (TPL), Encounters, Drug Rebate, Optional Services</li> </ul>
Encounter Processing Solution (in-house)	<ul style="list-style-type: none"> <li>➤ DDI Phase I: New Encounters Carve out</li> <li>➤ DDI Phase II: All other Encounters</li> </ul>

The Statement of Work specific to this RFP is given in Section 3 of the RFP. Appendix J provides the detailed requirements.

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It is important that the System Integrator promotes an unbiased innovation spirit to the project and that MES contractors embrace this innovative spirit. DMAS will provide an initial high-level 24-month model “flight plan” that will integrate the ISS Contractor’s and other MES contractors’ input through the RFP response process. Each of the contractors whose proposals are selected and awarded to complete the scope of work in each of the MES RFPs will be managed separately under the Virginia Department of Medical Assistance Services’ MES program.

**Figure 1: Integration Project Implementation Flight Plan Model**



Using multiple contractors, each assigned to one of the modular solutions, this modular MES strategy is in alignment with the CMS goal of moving away from a large, tightly-coupled MMIS environment to a more loosely-coupled service-oriented architecture (SOA) environment.

The Department seeks the following outcomes:

- A customer service-centric environment that gives members, providers, and citizens easy access to healthcare services and information using multiple devices and channels
- A COTS or SaaS solution that includes a product with robust functionality and configurability; the solution inherently would have periodic baseline software releases that reflect investments in the Medicaid and healthcare industry’s ongoing functional needs and improvements



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- Solutions that offer software versions that are continuously enhanced by periodic releases and offer the Department alternatives for configuring the baseline software
- Solutions that can be leveraged by other Medicaid agencies and are eligible to be funded by State and Federal dollars
- An environment that embraces innovation and change, allowing for better services while maintaining good stewardship of State and Federal resources
- Partnerships that co-manage risks through collaboration between healthcare and technology Contractor experts and State Medicaid experts

The Department is certain that this undertaking will require the skills and talents of multiple stakeholders to achieve a successful MES outcome. We look forward to the opportunity to partner with the contractor community to better serve the State's most vulnerable citizens.

The following sub-sections provide examples of some of the innovative policy changes being considered by the Department and which the MES environment will likely need to support.

### **1.a.1.1. MANAGED LONG TERM SERVICES AND SUPPORTS (MLTSS)**

MLTSS is a managed care program designed to serve individuals with complex care needs across the full continuum of care and through a coordinated delivery model that focuses on improving access, quality, and efficiency. MLTSS will operate with a fully-integrated delivery model that includes primary, acute, nursing facility, behavioral health, and community-based waiver services and supports, with very few carved-out services. Carved-out services for MLTSS-enrolled individuals will continue to be managed through the FFS program. This program will require the ability for real-time or near real-time data sharing between DMAS and MLTSS managed care organizations (MCO) to ensure continuity of care, especially for individuals who transition from FFS to MLTSS and for individuals transitioning between MLTSS MCOs. As the program will include dual eligibles, MLTSS must have the ability to interface with a variety of data sources, including Medicare data for dual eligibles. In addition, MLTSS must provide enrollment flexibility to include or exclude populations, or to carve in or carve out services, or to manually delay enrollment on a case by case basis. MLTSS is scheduled for implementation in 2017.

### **1.a.1.2. DELIVERY SYSTEM REFORM INCENTIVE PAYMENT (DSRIP)**

DSRIP is an opportunity to innovate and invest in the Medicaid provider infrastructure in order to improve processes and technology, eventually realize efficiencies, and enable alternate payment models, such as value-based purchasing. The transformation envisioned includes changes to care management, data sharing, and patient engagement at the point of care. As a result, there will be improved beneficiary health, improved beneficiary experience, and a decreased rate of Medicaid spending.

### **1.a.1.3. VALUE-BASED PURCHASING COLLABORATIVE**

Value-Based Care and Value-Based Alternative Payment (VBAP) are “demand-side healthcare management and cost containment strategies.” VBAP places healthcare providers at some level of financial risk for both cost (resource utilization) and desired healthcare outcomes. The principles of VBAP methods are:

## Virginia Medicaid Enterprise System: Integration Services Solution RFP

- **Shared Financial Risk** – Healthcare providers have an incentive to manage cost and use healthcare resources more efficiently
- **Provider Accountability** – Healthcare providers are responsible for achieving specific patient and population health outcomes, which drive the delivery system to develop integrated models of care and ensure effective care coordination
- **Effective Use of Electronic Health Record (EHR) Systems** – Delivery system will continue to build on targeted investments in Health Information Technology (HIT)
- **Continuous Performance Improvement** – Competition will drive healthcare providers to continuously seek strategic advantage by maximizing positive health outcomes and cost containment

### 1.b. INNOVATION TO GOVERNMENT

DMAS will look to incorporate innovation into government practices in this procurement. As technological advances are realized in the healthcare industry, State government should strive to embrace advances and seek opportunities that provide Medicaid members with information and practices that promote better healthcare choices while maintaining member privacy rights.

State government and Federal government advances must be recognized in tandem to fully utilize and leverage opportunities. Cross-pollination and collaboration through industry workgroups and standards organizations will ensure the proper State Medicaid environments can accommodate national and intrastate exchanges through standards and interoperability.

The Office of the National Coordinator for Health IT (ONC) is taking the lead on “steadily and aggressively” advancing progress on standards and interoperability.

ONC is committed to advancing this vision expeditiously, systematically, and sustainably. ONC first laid out this vision in “Connecting Health and Care for the Nation” with documents posted on the [www.healthit.gov](http://www.healthit.gov) site that include: [A 10-Year Vision to Achieve an Interoperable Health IT Infrastructure](#), followed by a draft of the [A Shared Nationwide Interoperability Roadmap Version 1.0](#) document.

As noted in the [Federal Health IT Strategic Plan 2015-2020](#) document, Federal entities will collaborate with other Federal agencies, States, territorial, tribal, local, and private stakeholders to:

- **Focus on Value** – Policies will continue to target solutions that improve healthcare, efficiency, safety, affordability, effectiveness, and access
- **Be Person-Centered** – Policies support electronic use and accessibility of healthcare information by individuals, caregivers, providers, and researchers across products and services so that everyone benefits from an environment in which all respect and value personal healthcare goals and values
- **Respect Individual Preferences** – Person-centered care embraces the values of individuals
- **Build a Culture of Health Information Access and Use** – Federal actions will help build an environment in which secure universal information is accepted and expected, and everyone benefits from accessing and sharing information
- **Create an Environment of Continuous Learning and Improvement** – Policies target to improve communications between research and healthcare communities

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- **Encourage Innovation and Competition** – Government actions support continuous innovation and competition in the healthcare information technology (IT) market space
- **Be a Constant Steward of the Country's Money and Trust** – Government seeks to use its resources judiciously—this means relying on the private sector to accomplish important societal objectives

State and Federal collaboration is critical in making the vision become a reality. In addition, as healthcare informatics become more readily available and accessible, the Department will look to include innovative activities such as:

- Developing a healthcare management / wellness network that educates members
- Creating an environment that has a single portal entry point to conduct Medicaid business that allows navigation to all Medicaid service providers
- Establishing a Medicaid portal that services both members and providers through service exchanges connected to the portal
- Enabling self-service capabilities that allow members and providers to consume information on their own schedules
- Creating a nimble environment in which new services and innovations are added transparently to business owners and become accessible without having to revamp the entire Medicaid portal

The flow of State government business environments identified in the Virginia Information Technology Advisory Committee (ITAC) Business Plan and included in the **COVA Strategic Plan for IT: 2012-2018**, <http://www.vita.virginia.gov/library/default.aspx?id=6442471238> identifies the emerging technology areas that will play or will likely play a role in Technology Business Plan initiatives. They are:

- Social Media (SM)
- Mobility (M)
- Cybersecurity (CS)
- Enterprise Information Architecture (EIA)
- Enterprise Shared Services (ESS)
- Cloud Computing Services (CCS)
- Consolidation/Optimization (C/O)

The Strategic Plan states a Virginia goal for leveraging each trend and identifies several strategic directions and specific activities that agencies can use to harness each trend to fulfill the initiatives. The description subsection includes a brief explanation of the technology, key business drivers for considering the technology, how the technology supports achieving the five ITAC initiatives, and the challenges to incorporating the technology into the Virginia or DMAS technology portfolio. The ITAC Business Plan is located at: <http://www.vita.virginia.gov/library/default.aspx?id=6442471239>.

### 1.c. OBJECTIVE

The overall business objective of this RFP is to enter into a contract with a contractor who will provide a solution that transforms select systems and business processes for the DMAS programs. This objective



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will be met by procuring technical and business services to replace the existing legacy VAMMIS with a more modular and technologically-advanced solution that adheres to CMS' Medicaid Information Technology Architecture (MITA) 3.0 Framework. In Section 3 of this RFP, Statement of Work, DMAS refers to General Requirements and to ISS requirements (the requirements are listed in Appendix J). The requirements are organized by MITA business area and comprise the requirements requested in this RFP. The selected Contractor will assist DMAS in achieving its overall strategic plans for the future while supplying a system that will be certified by CMS using its latest Medicaid Enterprise Certification Toolkit (MECT) checklists.

DMAS believes its objectives can best be defined and accomplished by approaching our systems and procedures in a manner that aligns with the MITA 3.0 Framework. Having recently completed a MITA State Self-Assessment (SS-A), DMAS has determined that it aspires for a MITA To-Be capability level of three (3) or higher in virtually all areas of the business, information, and technical architectures.

DMAS is seeking a solution that positions the Department to achieve the highest practical MITA capability levels within today's landscape, while also positioning the Department to further enhance our capabilities as future technological advances present themselves.

DMAS expects that qualified contractors will present solutions that already support the functionality required to operate a State Medicaid Agency consistent with the MITA 3.0 Framework and the CMS vision for a MES, as well as support other best practices and functionality that have been identified through years of experience. In addition to meeting the required functionality, DMAS is seeking a solution that is both flexible and adaptable, and able to easily interface through an integration layer with other contractor systems, business intelligence, and analytics tools. In addition, as part of this RFP, DMAS is seeking operations support services with the expectation of excellent customer service and operational automation for providers, members, and DMAS.

DMAS' expectation is that the MES will support the following objectives.

- **Enterprise Solution** – DMAS enthusiastically embraces the concept of a MES, and is looking for a solution that goes beyond the traditional MMIS subsystems to service the Agency. This RFP will address specific aspects – primarily, the Integration Services Solution – of the MES, and together with the other solutions sought through separate procurements, the solutions will become an integral part of the overall MES.
  - ✓ The Contractor's approach to the business processes that comprise the scope of this RFP is expected to help transform the way DMAS conducts its business – such that DMAS is positioned to operate effectively and in accordance with Level 3 or higher MITA capability levels wherever possible. This also includes the information and technical architectures that support the solution, and an overall conformance to both the MITA 3.0 Framework and Seven Conditions and Standards.
- **Technical Design** – In accordance with the CMS Seven Conditions and Standards, the proposed solution shall be an existing system that is considered a COTS application or a SaaS solution. The Solution shall be modular, able to exist as a package that runs with its own databases, and able to execute within a SOA environment in order to send and receive services through an Enterprise Service Bus (ESB).
- **Customer Service** – The MES shall meet the needs of our providers, members, and citizens by providing services and information in a user-friendly and state-of-the-art environment. Portals

## Virginia Medicaid Enterprise System: Integration Services Solution RFP

shall provide a “one-stop shop” and provide a means to access all needed functionality from a single point of entry.

- ✓ DMAS is also looking to leverage new technology to provide users with features such as mobile applications.
- **Increased Automation** – DMAS is seeking to utilize automation to replace or enhance current manual processes performed by the business wherever possible. We also look to expand automated processes with a focus on rules engines, workflow, and electronic communications.
  - ✓ The MITA 3.0 Framework identifies business processes that have not historically been addressed by MMIS systems. DMAS expects to utilize automated modules provided by the Contractor to add efficiency, accuracy, and consistency to improve information gathering and reporting for many business processes.
- **Flexibility** – Through configurable business rules, workflow, and other features, DMAS would like maximum flexibility to easily accommodate and integrate Agency initiatives while expanding its usage of regional, statewide, and national information exchanges. The Solution shall provide flexibility so that the need for customization is minimal in order to meet the initial requirements as well as future changes. Knowledgeable DMAS users shall be able to make and test configuration changes.
  - ✓ The components that comprise the proposed solution shall deploy innovative solutions that support rapid, efficient, and accurate implementation of on-going State, Federal, and industry mandates.
- **Information Exchanges** – A key criteria for the higher MITA capability levels is to engage in information exchanges to support a variety of business processes. The proposed solution shall promote the use of industry standards for information exchange. DMAS would like to expand its use of electronic transactions and participate in available information exchanges when our business processes and information can be enhanced. The proposed solution shall be able to utilize and provide standard electronic transactions in accordance with the Virginia MES Concept of Operations (COO) and Integration Plan.
- **Performance Measures** – In order to support continued improvement, the proposed solution shall provide information and reports that can be used to evaluate both Contractor and DMAS performance relative to the processes supported by this contract. This includes information related to productivity and accuracy that can be used to measure current performance as well as identify areas for improvement.
- **Project Management** – DMAS expects the selected contractors to employ and demonstrate a sound project management and governance methodology that meets State and DMAS standards and expectations. In addition, DMAS will emphasize the importance of coordination of efforts among its staff and all contractors, as no single contractor can perform its required responsibilities without coordination and cooperation with the other contractors. The selected contractors shall maintain communication with other contractors and DMAS management and staff as necessary to meet its responsibilities that pertain to this RFP’s scope of work.
- **CMS Certification** – Once implemented, the components of the proposed solution shall meet the related requirements of the updated certification checklist and thus position the complete MES for CMS certification. In addition, the Contractor shall support all CMS requirements



## Virginia Medicaid Enterprise System: Integration Services Solution RFP

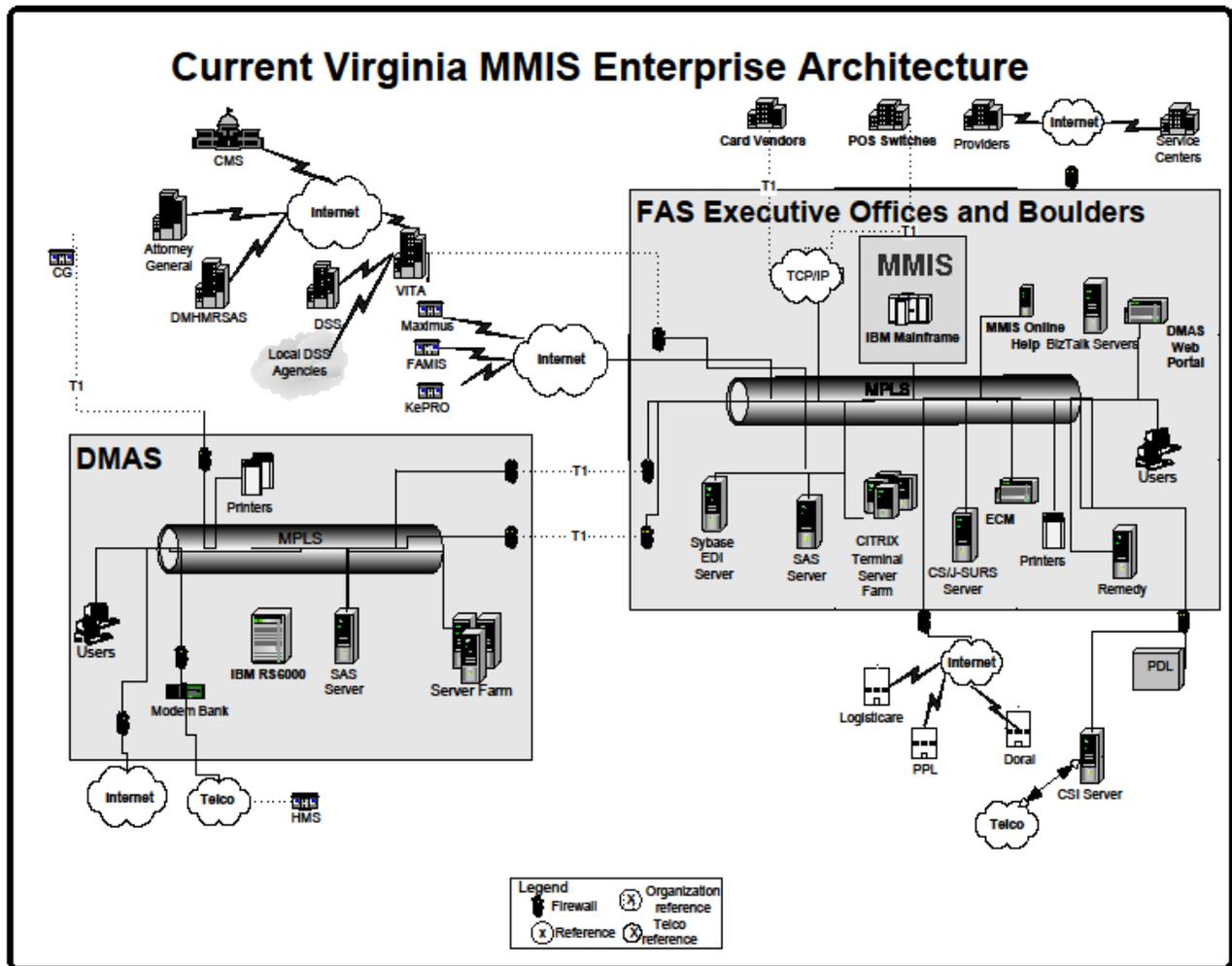
throughout the Design, Development, and Implementation (DDI) phases of the project, including providing deliverables needed for satisfying CMS' Independent Verification & Validation (IV&V) requirements.

In summary, through this RFP and the resulting contract, it is the objective of DMAS to acquire a system and establish a business partnership that includes services that will assist the Department in the transformation to a MES that leverages technology, experience, and innovation, and provides the foundation for a modern and effective solution to accomplish our mission.

### **1.d. PRESENT SITUATION**

The VAMMIS is a 12 year old traditional monolithic mainframe based solution. It consists primarily of a recipient subsystem, claims processing subsystem, provider subsystem, and a financial subsystem. In addition there are several other ancillary systems with which it interfaces for various other capabilities. These include but are not limited to: Surveillance and Utilization Review System (SURS), Management and Administrative Reporting System (MARS), Early and Periodic Screening, Diagnosis, and Treatment (EPSDT), Maternal and Infant Care Coordination (MICC), Third Party Liability (TPL), and others. These systems are managed and operated by a Fiscal Agent.

Figure 2: Current Virginia MMIS Enterprise Architecture



As technology has evolved since the implementation of this system, the system has become defined by the following constraints which include: a general lack of agility, increasing operational costs, and the growing consumption of technical resources that have become necessary to incorporate changes on this dated development platform.

Recent developments in the Medicaid industry and a strategic alignment of Federal, State, and Agency direction with MITA resulted in a replacement of the Commonwealth of Virginia Eligibility and Enrollment (E&E) system. The E&E system is intended to become the system of record for all members in the social service programs in the State.

The goal for the Department is to align the next generation of their MES with the MITA 3.0 Framework and obtain the benefits that the MITA Framework promises to deliver relative to the current constraints.

In consideration of the above issues and strategic perspectives, the Department is planning on evolving from this traditional MMIS concept to a more modern MES. This system would be characterized by the



integration of modularized COTS solutions, which are highly decoupled, and connected through a service oriented software solution that will be rules based, and provide alignment with MITA 3.0 Framework. The migration to the new MES environment will provide the Department with a platform that will eliminate the current constraints and advance them into a leadership role within the state Medicaid arena.

## 1.e. FUTURE STATE

### 1.e.1. INTRODUCTION

The Virginia MES is a modular approach to replace the VAMMIS and includes contracting with an ISS Contractor that will oversee the Identity, Credentials and Access Management Solution (ICAM) and Integration Services Solution (ISS) environment. The MITA 3.0 Framework along with its Business Area and Business Process functionality shall be addressed through multiple RFPs, including: Core Services Solution (CSS), Pharmacy Benefit Management Solution (PBMS), Financial Management Solution (FMS), and Electronic Data Warehouse Solution (EDWS), as well as a State-run EPS and ancillary applications that support the remaining MITA 3.0 Business Areas and Business Processes. Project oversight for CMS will be conducted by an IV&V contractor procured by the Department.

The Virginia MES will be achieved through a staggered transitional approach. The Department has provided a conceptual model of the new MES environment depicted below in Figure 4. A Master Integration Plan will include input from the Department's Transition Model (Flight Plan), ISS Contractor, MES-awarded contractors, IV&V contractor, and DMAS. DMAS seeks a multi-contractor partnership for transitioning to a modular environment, while minimizing the risks and disruptions to services that are provided to State customers.

This RFP includes requirements to meet DMAS' business process objectives. The general and detailed requirements are included in Section 3-Scope of Work and Appendix J – Integration Services Solution Requirements, respectively.

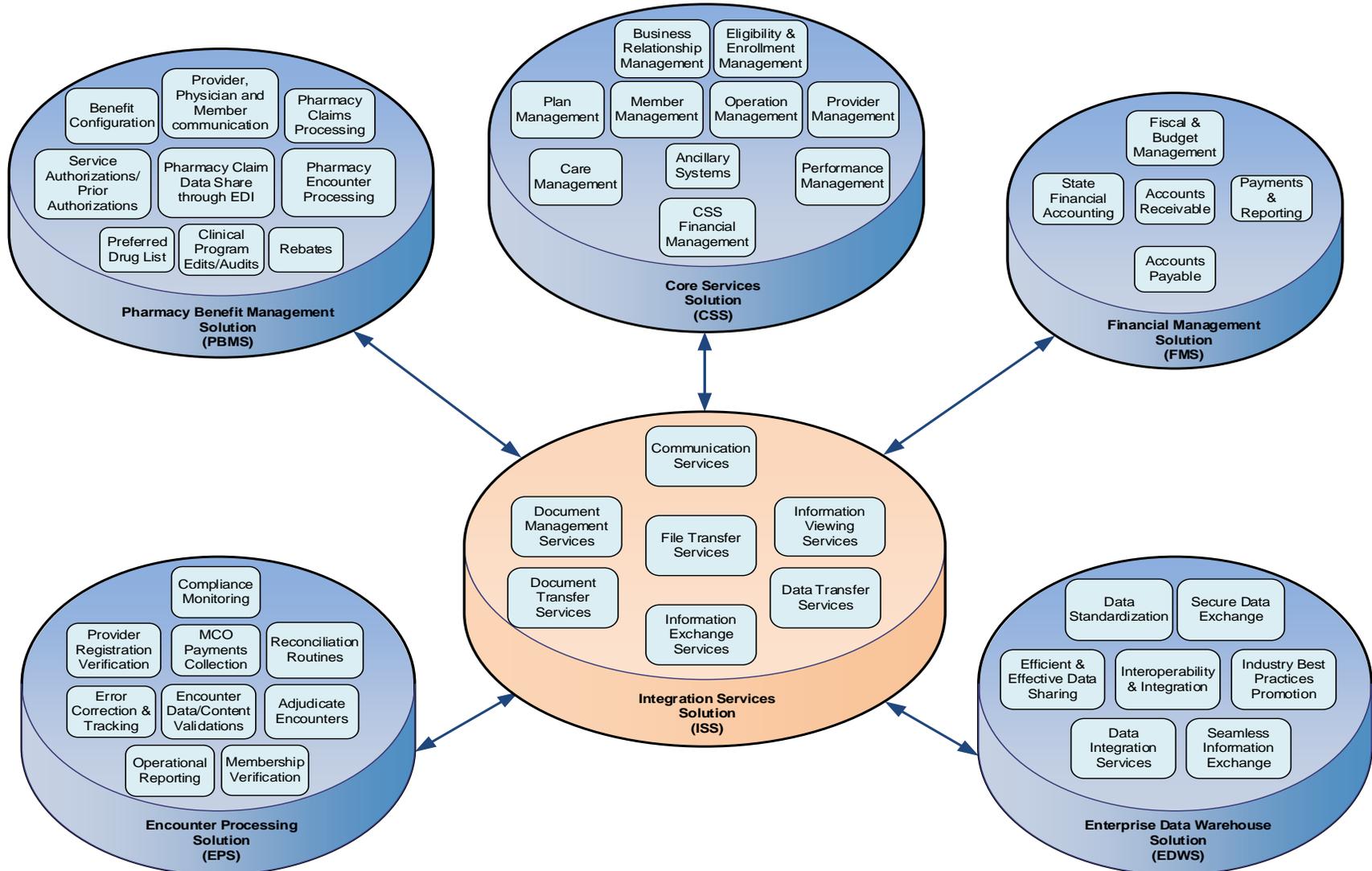
### 1.e.2. ISS BUSINESS DOMAIN OVERVIEW AND DIAGRAM

ISS is a self-contained, SOA-based communication broker, which provides several functionalities that are listed below, but not limited to:

- Communication Services
- Document Transfer Services
- Document Management Services
- Information Exchange Services
- File Transfer Services
- Data Transfer Services
- Information Viewing Services

Virginia Medicaid Enterprise System: Integration Services Solution RFP

Figure 3: DMAS MES ISS Business Domain View of the Future State



### 1.e.3. ISS TECHNICAL ARCHITECTURE OVERVIEW AND DIAGRAM

#### 1.e.3.1. SYSTEM NAMES AND ACRONYMS

- Pharmacy Benefit Management Solution (PBMS)
- Encounter Processing Solution (EPS)
- Core Services Solution (CSS)
- Electronic Data Interchange (EDI)
- Financial Management Solution (FMS)
- Enterprise Content Management (ECM)
- Integration Services Solution (ISS)
- Enterprise Data Warehouse Solution (EDWS)
- Identity Credentials Access Manager (ICAM)

#### 1.e.3.2. ISS TECHNICAL OVERVIEW DETAILS

This technical overview narrative and diagram provides a high-level vision of and guidance on the future state and **is not a mandatory set of requirements**. The Contractor is encouraged to provide its best solution and is not restricted by the diagram on the following page.

Per CMS Enhanced funding guidelines outlined in Medicaid IT Supplement (MITS-11-01-v1.0), the ISS Contractor shall comply with the Seven Conditions and Standards.

The ISS is the core central communication medium between systems like PBMS, EPS, CSS, EDI, ECM, FMS, and EDWS. The ISS shall use an Enterprise Service Bus (ESB) layer that shall allow services to be loosely coupled. ISS shall also serve as a data feed channel hub between systems like PBMS, EPS, CSS, EDI, ECM, FMS, and EDWS. The ESB shall support middleware architectures like Queuing, Service Composition, Service Orchestration, Service Choreography, Web Services, etc.

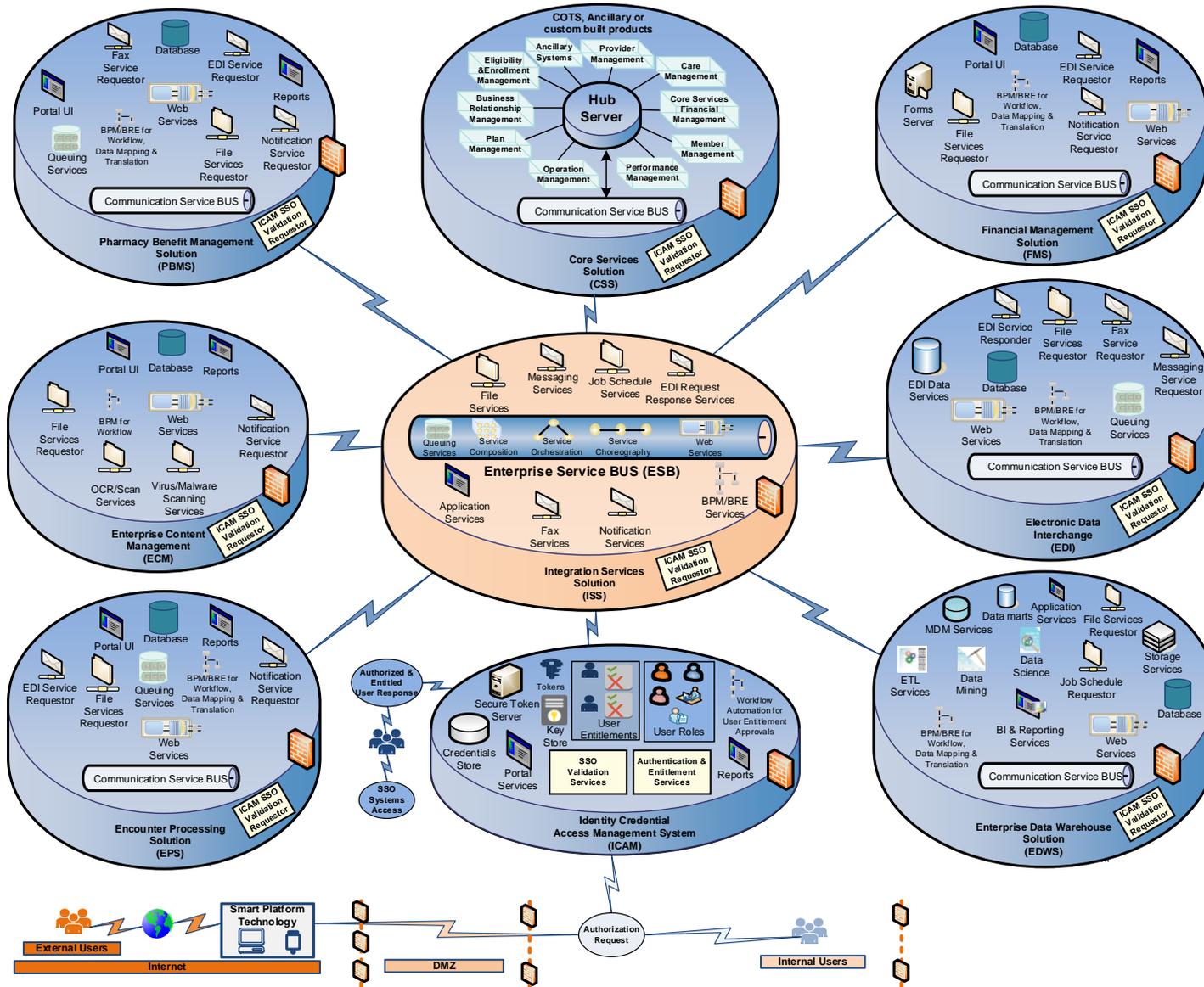
The ISS shall have individual components or adaptors that shall provide services for secured File Transfer Protocol (FTP) of files, alerts, notifications, fax transmission and reception, job scheduling, Business Process Management/Business Rules Engine, Electronic Data Interchange (EDI) communication, etc.

The ISS shall also provide an application services layer consisting of a Portal dashboard to monitor system health, access audit logs, and transaction details, and troubleshoot. The User Interface (UI) shall also provide a drill down view of each request and response passing through the system, which includes all its supported services like File Transfer, Fax, Messaging, File, Job Scheduler, EDI services, etc. The application services shall also provide the feature to modify configuration properties dynamically, e.g., for logging level, instance hostnames, application feature on/off personalization, etc. This will be beneficial for uninterrupted seamless performance and ad-hoc troubleshooting needs.

The ISS shall use a component or service that will validate the session token, entitlements, and authentication status of an incoming request by communicating with the Identity Credentials Access Manager (ICAM) System. The token validation shall happen through continuous or periodic checks for various inbound sources whose frequency of checks can be selected through the Portal dashboard.

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Figure 4: DMAS MES ISS Technical and Information Architecture View of the Future State





#### 1.e.4. ICAM SOLUTION OVERVIEW AND DIAGRAM

##### OVERVIEW

DMAS is responsible for security administration for two major domains: first, the future MES, and second, the other systems operated and managed by Virginia Information Technologies Agency (VITA) to support other infrastructures such as email, file storage, etc. DMAS staff and contractors are dependent on VITA for providing this support and access.

DMAS has multiple user groups, namely: health care providers, managed care providers, contractors, members with guest or advanced privileges, as well as internal users. Providers and members shall have to register via the portal, which in turn shall trigger an authorization workflow for approvals in the ICAM Solution. If already users of the existing DMAS system (e.g., contractors, internal users, etc.), the ICAM Solution may or may not require the user have to reregister based on the ICAM Solution functionalities. The provisioning of these users shall be accomplished through the ICAM Solution.

For future user login, authentication, and authorization, the ICAM Solution shall handle Single Sign-On (SSO) validation, token management, and several other key security features. It is the responsibility of the individual applications (Custom built or COTS) to communicate with the ICAM Solution to ensure every request is validated before execution of the requested task or a resource from the system.

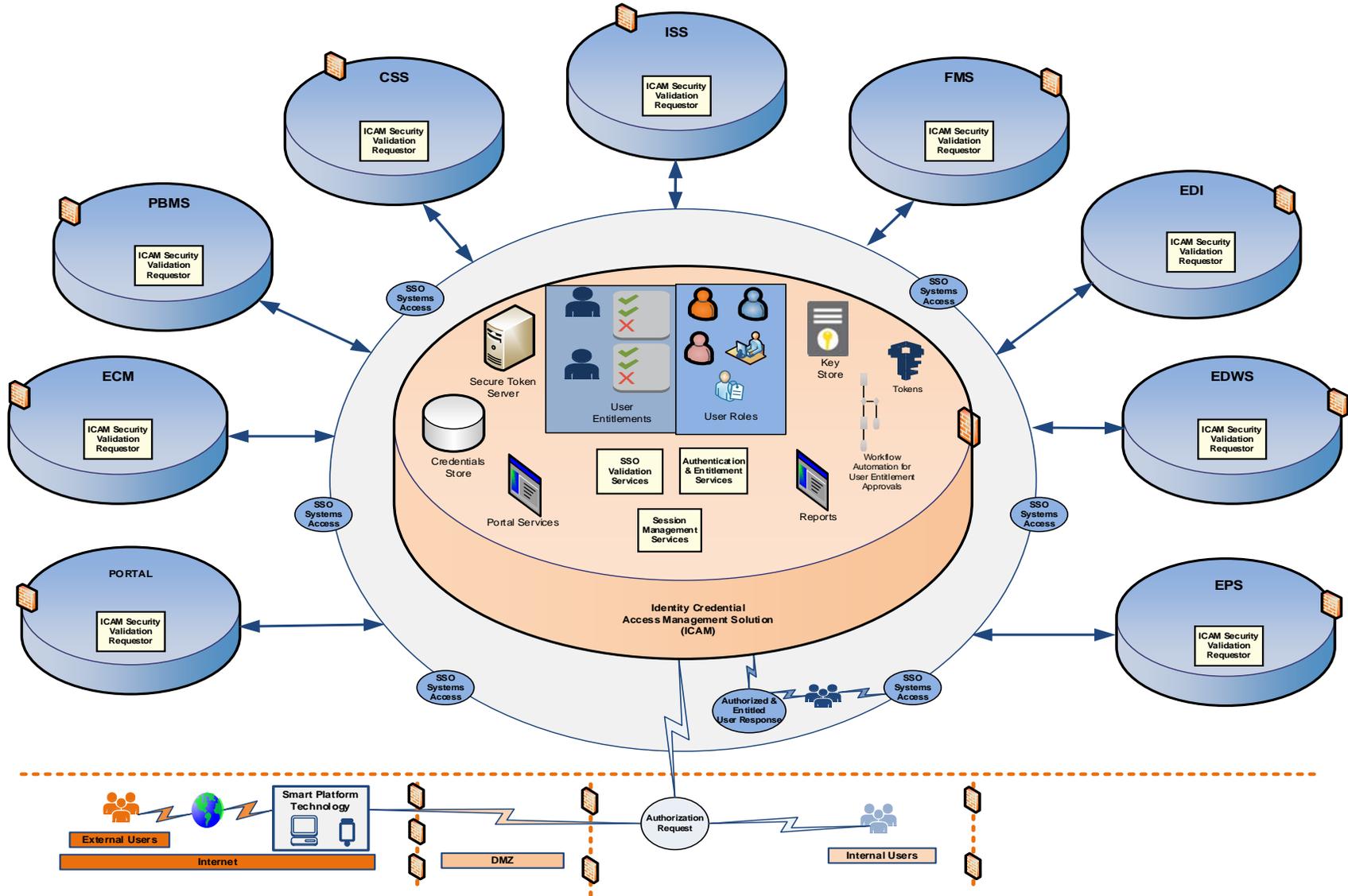
DMAS is seeking a comprehensive COTS product based ICAM Solution for all DMAS security management requirements. The ICAM Solution COTS product with the additional functionalities can be subcontracted to another contractor; however, the ISS Contractor is fully responsible for meeting all the requirements, Service and Operation Level Agreements, and the final product.

The Solution shall be able to:

- Integrate with the MES SSO Portal Authentication system under construction by DMAS.
- Maintain a complete security access profile for every account (multiple domains) in the system for the purposes of authorization and compliance.
- Provide a technology agnostic solution that will allow user provisioning on a variety of systems and technologies.
- Integrate with systems operated and managed by VITA, i.e., the Commonwealth of Virginia Active Directory.
- Provide flexible workflow technology configurable for provisioning, onboarding, and compliance activities.
- Provide industry accepted security administration, provisioning, compliance, and audit capabilities.
- Short-term transition assistance shall be required during implementation.

Additional detail pertaining to ICAM requirements can be found in Appendix J.10 – ISS SSO Global Security and Appendix J.11 – ICAM Solution Technical Functionality.

Figure 5: DMAS MES ICAM Solution Technology Future State Vision





## FUNCTIONALITY DESCRIPTION

This technical overview narrative provides a high-level vision and guidance on the future state and **is not a mandatory set of requirements**.

Per CMS Enhanced Funding guidelines, outlined in Medicaid IT Supplement (MITS-11-01-v1.0), the Contractor providing the ICAM Solution shall comply with the CMS Seven Conditions and Standards.

The ICAM Solution is the enterprise-wide central Identity, Credentials, Access, Entitlements, and Session Management COTS product. All the applications are expected to communicate or integrate with the ICAM Solution for maintaining security standards of the MES. Each application shall be either directly or indirectly accessing the ICAM Solution services for authentication, entitlement, access management, session expiration, validation, etc.

The ICAM Solution shall have a Secure Token Server (STS), which has a mechanism to generate Security Assertion Markup Language (SAML), OAuth, Web Services-Security (WS-Security), encrypted tokens, etc. based on user categories. The STS shall generate tokens, and those expire with hard and soft timeouts based on user categories.

The ICAM Solution shall provide functionality to generate and store public and private keys for encryption and decryption of data through a Portal UI.

The ICAM Solution shall provide an extended security feature for safety purposes that allows for Multi-Factor Authentication (MFA), with several layers required for higher level of access.

The ICAM Solution User Interface (UI) shall provide a functionality that allows various user roles and entitlements to be individually provisioned with respect to each application.

The Solution shall provide a mechanism to validate SSO entitlements and session expiration when requested by other systems. The Solution shall return a response with a status of the credential.

The report dashboard, which is a UI, shall display reports, transaction logs, and audit logs, etc. for a particular user or group.

The ICAM Solution shall provide a workflow mechanism, which allows the user provisioning process to be automated once the registration is complete.

## 1.e.5. EXPECTATION OF ROLES AND RESPONSIBILITIES

The following is an overview of roles and responsibilities, but is not intended to be all-inclusive.

### MES ISS CONTRACTOR ROLES AND RESPONSIBILITIES

MES ISS Contractor roles and responsibilities include the following:

#### **Integration Services Solution (ISS) Specific Details**

- Establish a Master Integration Plan during the DDI phases and support staggered implementations
- Provide project leadership as a single point of contact who shall own all issues related to integration of ISS with other systems/solutions. Coordinate with other contractors or sub-contractors to ensure these issues are taken all the way through closure or resolution within agreed upon project timelines
- Fill the role of an ISS Contractor in the MES by providing secure data exchange between the application modules within an agreed upon Service-level, using canonical data format, standards, and protocols
- Develop real-time and batch services to exchange HIPAA transactions, HL7, Provider, Member, Claims, Encounter, Financial, Pharmacy, and Reference data between the MES modular source systems and the contractors (who utilize the services), data exchanges, and EDWS as applicable
- Facilitate the exchange of data through files, message queues, and Web services
- Convert the format of the data exchanged based on the needs of the producer/consumer of the data by using industry standards
- Maintain the service contracts of all the real-time and batch services hosted in the integration platform
- Retain application and transactional data traversing through ISS, as per security guidelines for a stipulated period for audit purposes
- Provide post-implementation support of ISS until the post-implementation warranty period or a turnover to DMAS has been completed and signed off

#### **Identity, Credentials, Access Management Solution (ICAM) Specific Details**

- Procure and implement a COTS product for ICAM Solution as outlined in the requirements highlighted in J.10 – ISS SSO Global Security and J.11 – ICAM Solution Technical Functionality
- Provide project leadership as a single point of contact who shall own all issues related to integration of ICAM solution with other systems/solutions. Coordinate with other contractors or sub-contractors to ensure these issues are taken all the way through closure or resolution within agreed upon project timelines
- Ensure the ICAM Solution integrates with all other systems/solutions to ensure the security requirements listed, including, but not limited to Single Sign-on (SSO), token validation, authentication, entitlements, etc.

## Virginia Medicaid Enterprise System: Integration Services Solution RFP

- Retain requests and response data traversing through ICAM Solution, as per security guidelines for a stipulated period for audit purposes
- Perform periodic security audit checks based on the data collected by the ICAM Solution and report them to DMAS Office of Compliance and Security (OCS) periodically
- Provide post-implementation support of ICAM Solution until a complete turnover to OCS has been completed and signed off
- Take complete ownership and responsibility of security breach incidents that could be caused due to flaws in the ICAM Solution, perform Root Cause Analysis (RCA) and commitment to immediate resolution

MES ISS Contractor roles and responsibilities **exclude** the following:

- ISS Contractor will NOT own the validity of the application or transactional data traversing through ISS and ICAM Solution
- ISS Contractor will NOT permanently store the application or transactional data traversing through ISS and ICAM Solution, except for audit tracking purposes, security requirements as per DMAS Office of Compliance and Security (OCS) guidelines. The data retention will be only for a specific period of time, after which the data shall be purged or archived
- ISS Contractor will NOT apply edits (rules) on the application or transactional data traversing through the ISS and ICAM Solution

### **MES CONTRACTOR (CSS, FMS, PBMS) FOR COTS OR SAAS ROLES AND RESPONSIBILITIES**

MES Contractor for COTS or SaaS roles and responsibilities include the following:

- Provide a solution that is “uncoupled” from other solutions
- Have the necessary databases to run the COTS package or SaaS
- Provide outbound data required by the EDWS and other COTS contractors through the ISS
- Provide product base standard and customized reports that are sent to the Enterprise Content Management Solution (ECMS)
- Maintain code lists and reference files needed by the Contractor’s application
- Provide DMAS with recommendations regarding the most cost effective licensing options

### **DEPARTMENT ROLES AND RESPONSIBILITIES**

Department roles and responsibilities include the following:

- Authorize approvals, related deliverables, and implementation for MES contractors and enterprise change management requests
- Oversee contractual relationships to ensure the environment and solutions adhere to the MITA 3.0 Framework and Seven Conditions and Standards
- DMAS Office of Data Analytics (ODA) will manage and own the analytics division under EDWS. The responsibility will include managing service requests for internal and external reporting, data sharing, visualization, and advancing research and analysis

## Virginia Medicaid Enterprise System: Integration Services Solution RFP

- DMAS Office of Compliance and Security (OCS) will closely work with the ISS Contractor during all phases of the ICAM Solution COTS product implementation to ensure all the security requirements and standards are fully met. After post-implementation, there will be a complete turnover project plan executed that will enable the DMAS OCS group to take over the full ownership of the ICAM Solution

### **EDWS CONTRACTOR ROLES AND RESPONSIBILITIES**

EDWS Contractor roles and responsibilities include the following:

- The EDWS integrates disparate data sources (both internal and external) and will be a central repository for all of DMAS' relevant information
- The EDWS will provide easy access to timely and accurate data consistently
- The EDWS will manage "data at rest" and will receive data from COTS application through the ISS Contractor
- The EDWS will enable data access to users at different levels, including Executive Management Team, Business Managers, External Stakeholders, Statistical Analysis System (SAS) Analysts, and other users

EDWS Contractor roles and responsibilities **exclude** the following:

- The EDWS will NOT load application transactional data and will not support real-time reporting
- Letter generation process will NOT be managed by the EDWS
- EDWS will NOT modify the source data; it will only apply transformation rules identified by the Data Governance committee



## 2. TECHNOLOGY STANDARDS

### 2.a. CMS REQUIREMENTS SEVEN CONDITIONS AND STANDARDS

The Contractor will be required to provide a solution that complies with and supports the CMS Seven Conditions and Standards, including alignment with the MITA 3.0 Framework, as well as future MITA advances.

Under sections 1903(a)(3)(A)(i) and 1903(a)(3)(B) of the Social Security Act, the CMS has issued what is identified as the Seven Conditions and Standards that must be met by the states in order for Medicaid technology investments (including traditional claims processing systems, as well as eligibility systems) to be eligible for the enhanced match funding. The Seven Conditions and Standards include the following: Modularity Standard, MITA Condition, Industry Standards Condition, Leverage Condition, Business Results Condition, Reporting Condition, and Interoperability Condition.

These requirements can be found in Appendix J.8 – Seven Conditions and Standards.

### 2.b. STATE TECHNOLOGY STANDARDS

Virginia's Enterprise Architecture is a strategic asset used to manage and align Virginia's business processes and Information Technology (IT) infrastructure/solutions within Virginia's overall strategy. The Enterprise Architecture is also a comprehensive framework and information repository, which makes available the information necessary to perform the State's mission, and the technologies necessary to support that mission in response to the changing business policies and needs.

The following link provides access to the document, "**ITRM Standards EA225-10**", which defines the Commonwealth of Virginia (COV) Enterprise Architecture Standard, as governed by VITA.

[http://www.vita.virginia.gov/uploadedFiles/VITA\\_Main\\_Public/Library/PSGs/EA\\_Standard.pdf](http://www.vita.virginia.gov/uploadedFiles/VITA_Main_Public/Library/PSGs/EA_Standard.pdf)

The Contractor will address and adhere to the requirements relating to Virginia's Technology Standards, and any subsequent updates. These requirements can be found in Appendix J.1 – Technology Standards.



## 3. SCOPE OF WORK

### 3.a. CONTRACTOR GENERAL REQUIREMENTS

#### 3.a.1. PROJECT DESIGN, DEVELOPMENT, AND IMPLEMENTATION (DDI)

##### INTRODUCTION TO PROJECT DDI AND OPERATIONS / MAINTENANCE

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Contractors are required to provide a clearly defined project management methodology that follows the Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK® Guide) and other project management industry best-practices, as appropriate. Whether a traditional waterfall software development life cycle (SDLC) or agile methodology is used, the requirements to support the MES Program Management objectives are the same. The Contractor will have sole responsibility and accountability for the functionality and services provided by this contract.

The Contractor will define a Documentation Management Plan that will identify all of the documentation and deliverables that shall be produced to support its DDI methodology as well as on-going Operations and Maintenance. The documentation that is defined must provide what is needed by the Contractor to successfully implement and operate the proposed solution. The documentation must also provide DMAS with the information it requires to understand and approve the details of the solution as well as provide the information it needs to fulfill its business requirements with respect to the Integration Services Solution.

The selected Contractor is expected to work in collaboration and partnership with the DMAS PMO, the MES ISS Contractor, the Department conversion team, and other MES Solution providers. The integrated MES work plan will include tasks and dependencies from each of these project stakeholders.

##### MAJOR MILESTONES AND DELIVERABLES

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Appendix I – Milestones and Deliverables contains the major milestones and deliverables model.

In addition, the selected Contractor will be required to adhere to a project management status reporting schedule and report on certain project management criteria that can be used to monitor and assess the health of the project.

##### OPERATIONS AND MAINTENANCE

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Once implemented, the Integration Services Solution will move into the Operations and Maintenance phase, and the Contractor will provide a detailed project plan for any new projects or releases.

The Department desires to move to an environment where the Contractor values customer input into product release updates through a defined user group that identifies business practices and functional enhancements to meet DMAS business needs. The Major Milestones and Deliverables requirements can be found in Appendix J.2 – Major Milestones and Deliverables.



### 3.a.2. TESTING OVERVIEW

Testing is an integral part of a complete SDLC or agile methodology, which means that in-depth, process-driven, fully documented testing processes are required for all implementations and configuration changes in the MES throughout the life of the contract.

#### 3.a.2.1. REQUIRED TESTING METHODS

Owing to the reach and importance of testing, the Contractor shall describe in detail the testing methodology that will become the foundation for its test plans. The methodology shall include a description of the testing that will be performed at all stages of the SDLC, including but not limited to the following:

##### UNIT TESTING

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Unit testing is at the lowest testing level and tests the basics of a unit of software. Prior to the initiation of System Integrated Testing, it is what was used to find defects.

##### INTEGRATION TESTING

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Integration Testing is performed when two or more units have been tested and are combined into a larger, single structure. It refers to the testing being done on the interfaces between the components and the larger structure being constructed. Prior to the initiation of System Integration Testing (SIT), adequate integration testing is what is used to find defects.

##### SYSTEM INTEGRATION TESTING

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System Integration Testing occurs when the system has been handed over from the developers to the Contractor's Testing Unit. SIT tends to affirm the end-to-end quality of the entire system by including quality attributes such as reliability, security, and maintainability.

SIT verifies that related groups of functionality are correct and that the MES is free from defects and functions as required by approved requirements and system design documents.

Upon completion of SIT, the Contractor shall ensure the MES functions as required by the approved design prior to DMAS' initiation of User Acceptance Testing.

NOTE: System Integration Testing for initial implementation shall include the use of converted data.

##### USER ACCEPTANCE TESTING (UAT)

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User Acceptance Testing (UAT) occurs before implementation into the production environment and after a completed project has been released by the Contractor's Testing Unit to the intended users. UAT's primary purpose is to allow users to test the system in a pseudo production environment to verify that it is performing to all established specifications, and that its infrastructure works within the defined constraints.

NOTE: The UAT process is required throughout the life of the contract for enhancements and modifications.

## INTERFACE TESTING

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Interface Testing is performed by the Contractor to ensure providers, EDI service centers, business partners, and other agencies can submit transactions over appropriate channels, and can send and receive both proper acknowledgements and negative responses, including the testing of timeframes between the receipt of a transaction and the notification/response to the submitter for all modes of transmission.

## STRESS/PERFORMANCE TESTING

---

Stress/Performance Testing is performed by the Contractor to demonstrate that the software and hardware will provide the intended functionality and meet SLA requirements under production conditions, and to ensure technical, application, data, and network architectures meet the anticipated transaction volume or workload.

## REGRESSION TESTING

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Regression Testing is performed by the Contractor and allows a consistent, repeatable validation of each new release of the MES component(s) or COTS version. Such testing ensures reported defects have been corrected for each new release and that no new quality problems were introduced in the maintenance process.

## OPERATIONAL READINESS TEST

---

The Operational Readiness Test (ORT) is performed by DMAS and shall be fully supported by the Contractor to ensure that the application and infrastructure have been installed and configured for successful operation within the production environment. It will verify that all users are prepared to operate the system at initial implementation.

### 3.a.2.2. TEST CASES, SCRIPTS, AND MANAGEMENT TOOLS

The Contractor shall develop test cases and scripts that thoroughly test the functionality of the system for all test phases. Additionally, the Contractor shall utilize a management tool that integrates seamlessly among all areas of the MES, has the ability to consolidate and structure the test process, and is capable of automated test and manual test processes to easily manage multiple environments.

- **Cases** – The Contractor will develop comprehensive positive and negative test cases for all phases of testing. The Contractor shall develop robust (negative) test cases that address stressing the system with bad or invalid data to ensure that the system properly rejects negative data.
- **Scripts** – The scripts shall provide step-by-step instructions for executing the tests and the expected results. Test scripts may take the form of either documented textual instructions that are executed manually or computer readable instructions that enable automated test execution.

The scripts shall address all data scenarios that the system will process in accordance with business processes.

- **Management Tool** – The Contractor will use this tool as a single application for managing test cases, environments, automated tests, manual test processes, defects, and project tasks. The test management tool shall allow the Contractor the ability to streamline the testing process, tie

test cases directly back to requirements, and allow quick access to data analysis, collaborative tools, and tracking of bugs and defects.

### 3.a.2.3. INTEGRATED TEST FACILITY

The Contractor shall provide an Integrated Test Facility (ITF) that will be used by DMAS staff and Contractor staff to test system processing and ensure that quality control is maintained. In addition to environments for all test phases, the ITF shall include a 'mock production' test environment with online and batch programs and system files that are identical to the production environment.

NOTE: The ITF will allow the Department to monitor the accuracy of the MES and test the production system by processing test data and other transactions without affecting normal operations.

The Contractor shall have processes in place to routinely load production and other data into the ITF, at DMAS' request, to perform its automated processes (e.g., reference values such as system parameters, system lists, reference tables, edits, dispositions, and security tables).

NOTE: The Contractor shall protect privacy by the use of an industry standard data anonymization package while providing accurate test data.

- **Test Results** – The Contractor shall provide comprehensive documentation for all requested test results for DMAS approval prior to any software or COTS product being implemented in the production environment. The documentation shall delineate the results of each testing phase by identifying any problems and explaining their resolution.

### 3.a.2.4. DMAS AND CONTRACTOR TESTING INTERACTION

The Contractor shall support the testing initiatives of DMAS and Contractor staff in the testing environment.

- **Test Management Plan Review and Approval** – All test plans shall be reviewed and approved in accordance with DMAS' standard deliverable submission and review procedure detailed in RFP Section 5.a.1.
- **Scheduling and Coordinating Test Activities** – The Contractor will be responsible for scheduling and coordinating all testing activities to ensure that each test is prepared and performed in accordance with the Test Management Plan. The Contractor will train DMAS personnel as appropriate to participate in the testing effort.
- **Providing Testing Tools, Materials, and Resources** – Unless otherwise specified, the Contractor will be required to provide all tools, testing materials, and resources necessary to effectively perform the required tests.

### 3.a.2.5. TEST MANAGEMENT PLAN

In addition to the Contractor's overall testing methodology, the Contractor shall develop a Test Management Plan and approach to the initial MES implementation. The specific Test Management Plan requirements can be found in Appendix J.3 – Testing.

### 3.a.3. CHANGE MANAGEMENT

Contractors are required to provide a clearly defined and comprehensive change management methodology that follows the PMBOK® Guide and project management industry best practices. This methodology shall be documented in a Change Management Plan that is approved by DMAS.

There shall be a Change Management Plan for the DDI phase of the project, as well as for the on-going Operations and Maintenance phase. The respective plans shall be submitted and approved in accordance with the schedule defined in Appendix I – Milestones and Deliverables.

The purpose of a Change Management Plan for the DDI phase is to protect the achievability of the required project scope and the integrity of the project schedule and budget. The Change Management Plan will define a formal process to address any requested changes to requirements or scope defined in this RFP. The proposed change management approach shall address the initiation, submission, impact assessment, review, and approval or rejection of all changes within realistic and agreed upon time periods that are reflective of the solution for the proposed change. Changes to requirements or approved DDI deliverables, including components of the Project Management Plan, shall only be made based on an approved change request.

In addition to the Change Management Plan the Contractor provides that is native for the MES module configuration and updates, the Contractor will participate in an Enterprise Integration Change Management Process. This Change Management provision is coordinated by the Department PMO and the MES ISS Contractor and involves changes that impact other MES contractors that are deemed to have a dependency on a change, or if a change impacts the MES module of the Contractor. For example, if an exchange exists where an MES Contractor is providing new data that is exchanged with one or more contractors, an Enterprise Integration Change Management process is invoked that ensures the changes are accurate and tested end-to-end.

The purpose of the Change Management Plan for the Operations and Maintenance phase is to document and control changes made to any component of the approved production environment, including but not limited to software, hardware, data, and documentation. The proposed change management approach shall address submission, review, and approval or rejection of all changes within realistic and agreed upon time periods that are reflective of the solution for the proposed change. Any requested change shall be processed using a methodology that is appropriate for the type and scope of change being requested, and shall include the acquisition of necessary approvals throughout the process.

The Change Management Plans shall provide the steps that will be taken to assure that the project has adequate control over changes to the items necessary for creating or supporting all DDI deliverables and production components. The Change Management Plans shall include both written and diagrammatic representation of the processes and procedures undertaken to initiate, evaluate, review, manage, and implement any needed changes, including the approach for resolving any conflicts regarding change requests that occur both before and after the proposed solution is implemented. An Enterprise Integration Change Management provision will need to account for integrated changes that occur in the Operations and Maintenance phase. Change Management requirements can be found in Appendix J.4 – Change Management.

### 3.a.4. IV&V/CMS REVIEWS AND CERTIFICATION

CMS requires that States procure a contract to conduct Independent Verification and Validation (IV&V) services for the MES Planning and DDI activities. An IV&V Contractor brings technical, managerial, and financial independent evaluation expertise to assess the MES project. MES contractors will be subject to IV&V reviews along with the Department. The following section outlines the IV&V scope of work and areas the Contractor's project management practices may need to be adjusted based on the IV&V reports to the Department and CMS.

A focus by the IV&V Contractor on "verification" and "validation" of project processes and system modules is conducted to ensure the solution satisfies defined requirements.

The Department will procure an IV&V Contractor that will act in accordance with Federal regulation 45 CFR 95.626 and provide the following to meet compliance:

- (a) IV&V assessment and analysis of the State's system development effort may be required in the case of Advanced Planning Document (APD) projects.
- (b) IV&V efforts shall be conducted by an entity that is independent from the State (unless the State receives an exception from CMS), and the IV&V Contractor selected shall:
  - ✓ Develop a project work plan. The plan shall be provided directly to the CMS at the same time it is given to the Department.
  - ✓ Review and make recommendations on the management of the project, both State and Contractor, and the technical aspects of the project. The IV&V contractor shall give the results of its analysis directly to CMS at the same time it reports to the Department.
  - ✓ Consult with all stakeholders and assess the user involvement and buy-in regarding system functionality and the system's ability to support program business needs.
  - ✓ Conduct an analysis of past project performance sufficient to identify and make recommendations for improvement.
  - ✓ Provide risk management assessment and capacity planning services.
  - ✓ Develop performance metrics which allow tracking project completion against milestones set by the Department.

The IV&V Contractor will review three (3) main areas, along with subtopics to include but not limited to:

#### PROJECT MANAGEMENT

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- Progress against budget and schedule
- Risk management
- Feasibility and quality of the Implementation Advance Planning Document
- Inclusion of State goals / objectives and all Federal MMIS requirements in requests for proposals and contracts
- Adherence to the State's SDLC
- Incorporation of the Seven Conditions and Standards into design and development

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- Reasonability, thoroughness, and quality of the MITA SS-A, including business architecture, concept of operations, information architecture, and technical architecture
- Reflection of the Department's MITA goals and plans into actual MES design and development
- Configuration management that is robust and includes the Department or developer configuration audits against a starting configuration baseline
- Change management
- Adherence to service-level agreements

### SYSTEM/MODULAR DEVELOPMENT

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- Completeness and reasonability of MES concept of operations, architecture, and designs
- Accuracy of capture of interfaces and data sharing requirements with systems external to the MES
- Viability and completeness of the data transition plan
- Traceability of requirements through design, development, and testing
- Adequacy of system security and privacy policies, plans, technical designs, and implementations
- Coverage and integrity of all system testing, including stress testing and testing of interfaces between modules and with external partner systems
- Capacity management, including consideration of future contractors' support and release plans for underlying databases, software, and hardware
- Adequacy of disaster recovery planning

The Department PMO will be responsible for communicating specific IV&V requirements in project planning.

### CMS CERTIFICATION PROCESS

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The Contractor will be responsible for providing and maintaining a solution that meets all applicable Medicaid Enterprise Certification Toolkit (MECT) checklist items, and supporting the review and validation of those items by the Department, IV&V Contractor, and CMS. Certification will be conducted in a modular fashion or by CMS' direction, so the Contractor will be assessed on products and services provided. The Contractor shall become knowledgeable of all MECT-related items associated with the solution offered.

The Point of Contact for CMS certification is the IV&V Contractor. The Contractor will provide certification support tasks including:

- Assisting with certification planning activities
- Providing draft adjudication of certification criteria that shows acceptance or rejection
- Providing certification review progress reports
- Supporting risks, recommendations, and MITA updates



CMS will review and provide final decisions on certification. The DMAS PMO will work closely with the Contractor, CMS, and the IV&V Contractor to ensure all certification checklist items have been satisfied and certification can be achieved. The Contractor will ensure the solution meets MITA 3.0 Framework and Seven Conditions and Standards requirements. The IV&V and CMS Certification Requirements are provided in Appendix J.5 – IV&V and CMS Certification.

### 3.a.5. AUDIT SUPPORT

Audit Support Requirements pertain to the business process associated with the daily operations of the DMAS Internal Audit Division.

Primary categories of requirements include external audit of the Contractor and its subcontractors, audit trails and logs, access to records for audit, record retention, and corrective action plans for audit findings. Audit Support Requirements can be found in Appendix J.6 – Audit Support.

### 3.a.6. TURNOVER

#### **TURNOVER AT CONTRACT CONCLUSION**

Prior to the conclusion of the contract with the Department, the Contractor will provide assistance in turning over the MES Solution to DMAS or a successor Contractor. The Turnover objectives require that the Contractor provide an orderly, cooperative, comprehensive, and controlled transition to the Department. The Turnover shall result in minimal to no disruption of processing or interaction with services provided to members, providers, or Department operations staff.

The Department's responsibilities for the Turnover include:

- The Department will notify the Contractor of DMAS' intent to terminate and transfer the data, custom interfaces, and any reusable developed code funded by CMS and the State at least 12 months in advance of the end of the Contractor's contract in a document known as the Turnover Notification Letter.
- The Department will review and approve or deny the deliverables identified in Appendix I – Milestones and Deliverables. If denied, the Contractor will need to remedy the defects in the Turnover until approved.
- The Department will report and coordinate the resolution of issues between the current Contractor and the new Contractor.
- The Department will chair a weekly meeting with the Contractor, provide feedback on the Contractor's plan and weekly reporting status, and participate in risk management, issues management, and any corrective action plans for late deliverables.
- The Department will participate in a post-turnover review period and obtain post-turnover support from the current Contractor for up to 6 weeks.

Additional information regarding Turnover Requirements can be found in Appendix J.7 – Turnover.

### 3.a.7. TECHNOLOGY

#### 3.a.7.1. SEVEN CONDITIONS AND STANDARDS

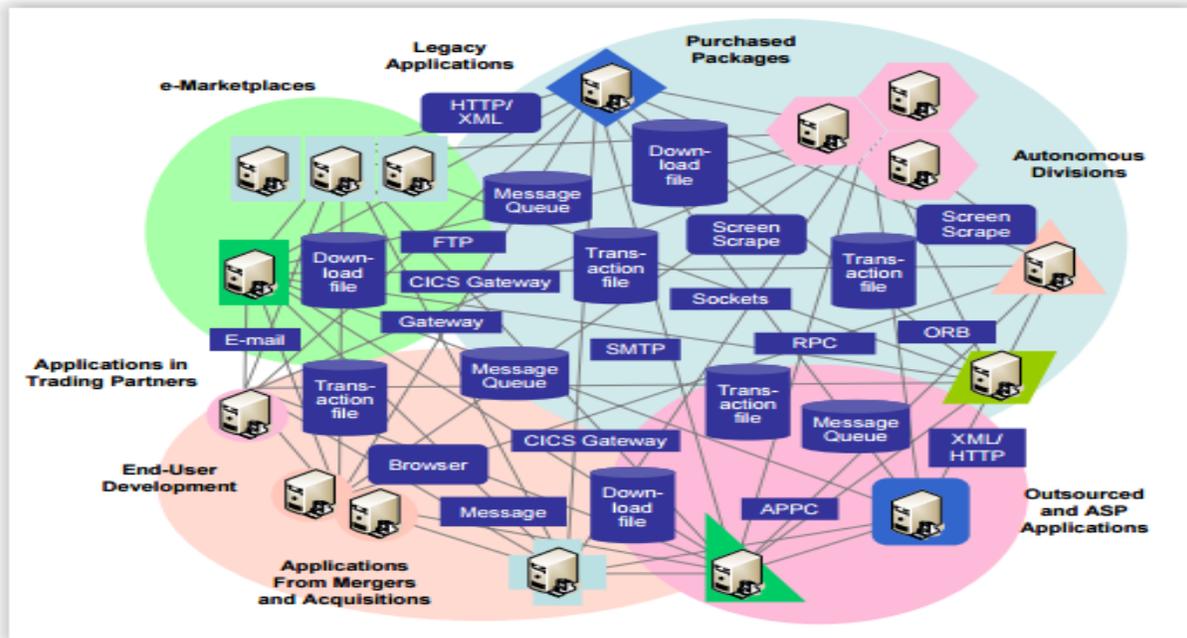
The CMS Seven Conditions and Standards focus on key elements of development and deployment to improve the likelihood of successful system implementation and operation. The goal is to build a common framework for Medicaid to plan, architect, and engineer modern Medicaid IT systems that are more stable and uniform, supporting more efficient, cost-effective, and modern processes and systems.

A typical legacy MMIS has the following limitations:

- Highly interconnected systems using point-to-point interfaces require pervasive modifications to accommodate changes to business requirements, making them difficult to change
- Users navigate through multiple functional systems to perform a single task
- A typical legacy MMIS, to a large extent, is platform dependent, and does not communicate easily across functional or technical boundaries, which makes it difficult to share information or reuse functionality
- Finally, the rate of policy change within Medicaid continues to increase from both Federal and State perspectives, as legislators continue to make adjustments to the program. Legacy development systems suffer from the lack of productive development tools and methodologies that are common in today's development platforms. Typical legacy MMIS managers frequently have considerable difficulty keeping up with the demands of the turbulent environment of rapidly evolving Medicaid policy. Coding conventions and software rules tend to be so intricately woven throughout a typical legacy MMIS, that to make even a minor change inevitably results in large, costly, and time-consuming rewrites.

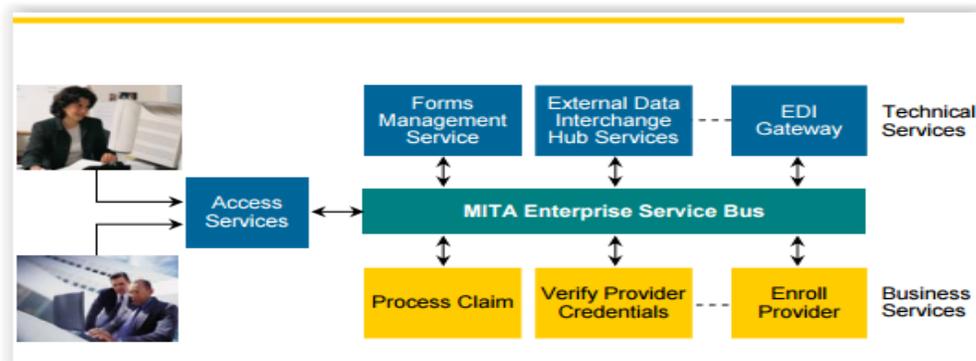
Following is a typical legacy MMIS architecture that demonstrates typical complexity and limitations.

Figure 6: Typical Legacy MMIS Architecture



CMS' MITA 3.0 Framework advocates SOA with modularized applications pertaining to business processes to reduce system complexity. Business functions such as "check the eligibility of a member", and "checking the status of a claim", can be exposed as modularized services in an SOA environment, which will help to: increase business agility, use business needs to drive the enterprise, facilitate greater reuse of components, increase operational flexibility, and allow for the downstream insertion of new technologies when needed.

Figure 7: A Service Oriented Medicaid Enterprise System (MES) Architecture

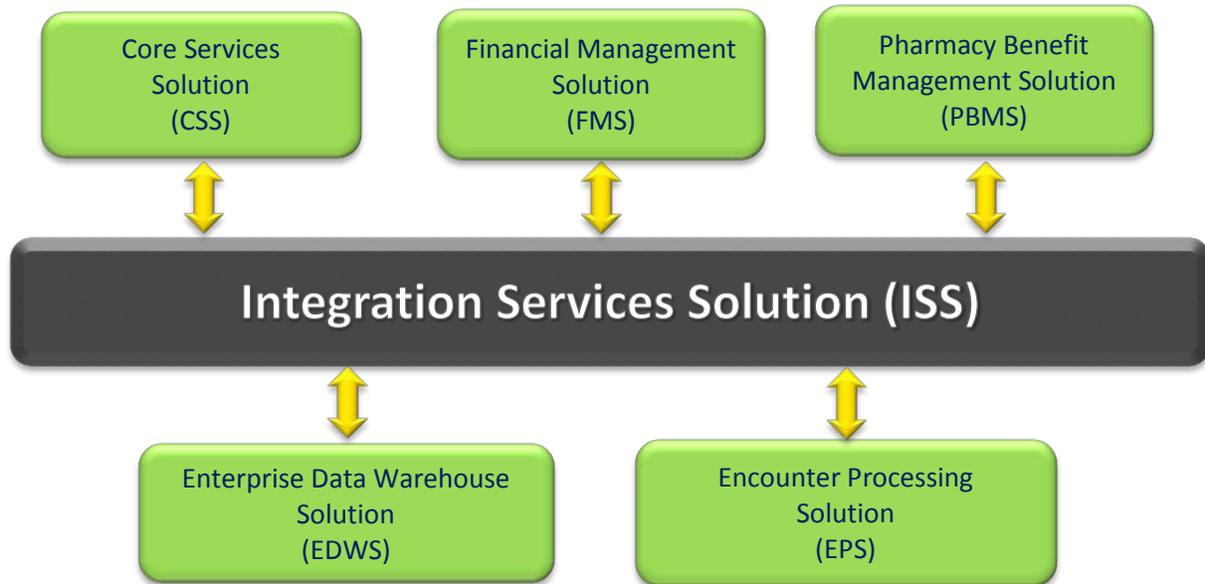


**MODULARITY STANDARDS**

The MES is envisioned to consist of a modular architecture, pertaining to major business domains, such as Core Services, Pharmacy Benefit Management, Encounter Processing, Member Management, Provider Management, Financial Management, and Data Analytics. The business processes within the major business domains will also be developed as modular, configurable applications. The role of the ISS

Contractor is to incorporate these loosely coupled modular systems into a cohesive MES. An Enterprise Service Bus will be used as the integration vehicle through which all communication must flow and the ISS Contractor will orchestrate the secure data exchanges between the modular components. Following is a high-level schematic representation of the concept of operations of the new MES.

**Figure 8: High-Level Schematic Representation of the COO of the new MES**



#### MITA CONDITION

The strategic initiatives and objectives identified in the recently completed MITA 3.0 SS-A serve as the input to the MITA Roadmap. This Roadmap identifies several initiatives that are targeted to advance DMAS capabilities as described in the MITA 3.0 Framework. As documented in the MITA SS-A, DMAS is committed to move toward and achieve a Level 3 maturity within the business, information, and technical architectures.

#### INDUSTRY STANDARDS CONDITION

The MES will use standard HIPAA transactions like X12, HL7, and CAQH-CORE standards wherever applicable for data exchanges. The applications and services shall be deployed on flexible infrastructure, where resources can be provisioned in real time to meet spikes in user demand. All modules and applications within the MES must comply with the following mandated standards and protocols: (1) accessibility standards established under Section 508 of the Rehabilitation Act, or standards that provide greater accessibility for individuals with disabilities, and compliance with Federal civil rights laws; (2) standards adopted by the Secretary under Section 1104 of the Affordable Care Act; and (3) standards and protocols adopted by the Secretary under Section 1561 of the Affordable Care Act.

#### LEVERAGE CONDITION

COTS and cloud-based SaaS are being sought over custom built solutions for the MES solutions. For example, it should be possible for the EDI Solution, developed as part of the MES, to be leveraged by other Medicaid agencies and Federal agencies to securely exchange standard HIPAA transactions.



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### BUSINESS RESULTS CONDITION

MITA's Business Results Condition mandates accurate and timely processing of claims (including claims of eligibility), adjudications, and effective communications with providers, beneficiaries, and the public. The Contractor is expected to consistently meet or exceed operational performance standards over the life of the contract.

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### REPORTING CONDITION

The EDWS, developed as part of the MES, will develop the necessary Federal reports, such as T-MSIS, MARS, Program Integrity (SURS), and other ad hoc reports. Each Contractor is required to maintain all the transactional reports and any Department-specific reporting requirements for effective and efficient program management, and to promote effective customer service and better clinical management and health services to beneficiaries.

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### INTEROPERABILITY CONDITION

The MES shall ensure seamless coordination and integration across applicable State and Federal systems, including eligibility, Medicaid systems, Health Insurance Marketplaces, and Health Information Exchanges. It shall also allow interoperability with public health agencies, human services programs, and community organizations providing outreach and enrollment assistance services. The integration platform (i.e., Enterprise Service Bus) will be leveraged to connect the heterogeneous system using standard protocols in data exchanges and security.

The Contractor is expected to consistently meet or exceed the above CMS's Seven Conditions and Standards over the life of the contract. The requirements related to the Seven Conditions and Standards can be found in Appendix J.8 – Seven Conditions and Standards.

#### 3.a.7.2. HOSTING THE SOLUTION

The Integration Services Solution Contractor shall provide two hardware hosting options:

1. The Contractor is required to offer and price the Solution hardware hosted at a location determined by the Contractor. The Contractor will need to demonstrate that costs associated with the hardware hosting, outside of VITA and DMAS, will be cost effective relative to the VITA hosting solution, yet meet all of the security and operational requirements.
2. The Contractor shall also offer and price a second option for hosting the Solution hardware at VITA in the Chesterfield, VA offices. The Contractor is required to comply with VITA standards and meet VITA-approved SLAs. Please refer to Appendix A – Service-Level Agreements.

#### 3.a.7.3. SECURITY/COMPLIANCE AUDIT MANAGEMENT

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##### SECURITY

DMAS OCS will use the ISS contractor, to procure, implement, integrate, and support a COTS identity, credentials and access management solution (ICAM) that utilizes automated processes (e.g., workflows, certificates, credentialing, etc.) to provision and manage user accounts. This product will also provide the functionality of Single-Sign on for various MES applications and Portal.



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DMAS OCS optionally may utilize contractor services using COTS products, to provide network endpoint security threat monitoring, real-time security breach, or suspicious patterns reporting tools to strengthen the security and the protection of DMAS systems and data.

The MES ISS Solution will be a collection of modular component systems whose locations can vary in terms of the hosting facility. Each component system will need to engage in secured communications, exchanging transactions with a centralized Enterprise Service Bus.

DMAS, and its business partners, have a shared responsibility to meet the HIPAA and Commonwealth requirements relating to the protection of Electronic Protected Health Information (ePHI). To meet this responsibility, DMAS has identified the need for contractors to provide compliance tools, which will aid in managing users across these various component systems, monitor system activity for unusual behavior, and support individual rights as specified in the HIPAA and Commonwealth regulations.

Additionally, these compliance tools will use data analytics functionality to alert security management of unusual trends, and the violations of defined thresholds.

**MES SINGLE SIGN-ON SOLUTION**

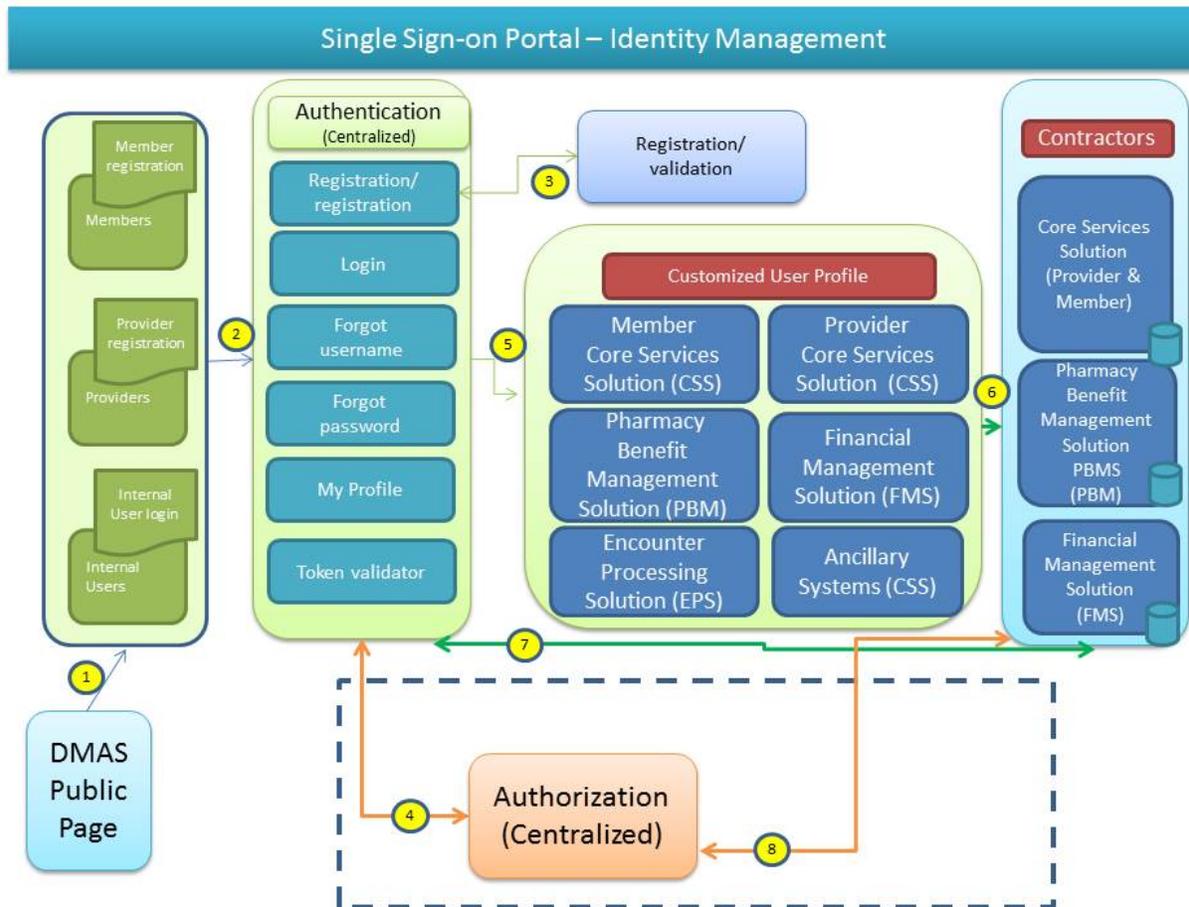
The MES single sign-on components for authentication and authorization rely on identity, credentials and access management (ICAM) accomplished through central ICAM/SSO web services. The detailed technical specifications are explained under the Section Statement of Work, Sub section - 3.b.8 MES Single Sign-on Solution (SSO).

The MES single sign-on (SSO) concept consists of the following components:

- Authentication
- Customized User Profile
- Authorization

Figure 9 below depicts the High Level Diagram for ICAM SSO Flow. The dotted rectangle depicts the ISS Contractor's responsibilities.

Figure 9: High Level Diagram for ICAM SSO Flow



The Contractor shall address and meet the detailed requirements relating to Security as described in Appendix J.9 – Security/Compliance Audit. Additionally, the Contractor shall address and meet the detailed requirements relating to Single Sign-on as described in Appendix J.10 – ISS SSO Global Security.

**COMPLIANCE AUDIT**

The Contractor’s Solution will include audit logs of all application and engineering activities on the production systems. These logs will be available online, behind a front-end presentation toolset providing queries, reports, and analytics on any log selected. Log retention will be seven years based on Library of Virginia standards, which exceeds the HIPAA requirement of six years.

Each participating Contractor provides DMAS with annual penetration and quarterly vulnerability reports. The proposed solution schedules management reports covering key areas of concern and addressing typical control questions required by VA IT Security Standard COV SEC501-09 (available on the VA VITA website) and NIST 800-53 REV 4 (or latest) with online reporting. Outside audit tools for guest auditors from the Federal Office of the Inspector General (OIG), CMS, Virginia Auditor of Public Accounts (APA), or any other authorized auditors as determined by DMAS Internal Audit will be



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permitted to be installed at DMAS request. Independent audit firms will provide security audits every two years; the Auditor of Public Accounts will audit every year.

The Contractor conducts risk assessments and other required deliverables, e.g., a CMS annually updated Security Plan (or more often as major system changes occur), which includes an annual CMS System Security Plan (SSP) Workbook FINAL Version 1.5 July 31, 2012 (or latest), and a System Security Plan Template with required and updated annual attachments. These documents are submitted to DMAS Chief Information Security Officer (CISO) or Information Security Officer (ISO) for annual review and are required to be updated quarterly.

Once DMAS has reviewed and accepted as complete, the SSP Workbooks and Templates will be shared with its sister agency, the Virginia Department of Social Services (VDSS), for their review and acceptance. Subsequently, VDSS will review, approve, and provide assurance to CMS that DMAS and VDSS have reviewed and accepted these SSP Workbooks and Templates. More detail pertaining to the Security/Compliance Audit Requirements can be found in Appendix J.9 – Security/Compliance Audit.

### **BUSINESS CONTINUITY AND DISASTER RECOVERY**

#### **AVAILABILITY**

The Contractor's Solution shall be available for transaction processing 24 hours a day, 7 days a week, and 365 days a year (24/7/365). Contractor will maintain the proposed solution in a highly redundant manner that supports rolling updates. Rolling updates will allow the Contractor to maintain 24/7/365 functionality. The following Recovery Time Objective (RTO) and Recovery Point Objective (RPO) guidelines shall apply to the proposed solution:

- **RTO:** In the event of an incident that causes the system to become unavailable or unable to process transactions, Contractor will restore services within 120 clock minutes, regardless of the time the incident occurred. Service unavailability is defined as the point in time at which transaction processing ceases. Service restoration is defined as the point in time which transaction processing recommences.
- **RPO:** The system shall preserve committed transactions in a manner that ensures no greater than 10 minutes of committed transaction data is lost as the result of an unplanned outage.

#### **BUSINESS CONTINUITY (BC)/DISASTER RECOVERY (DR)**

The Contractor shall provide a BC/DR Plan for the technology and infrastructure components, as well as for the business area operations continuity and contingency plan. The Contractor, together with the Department, shall affirm the BC/DR plan, including the essential roles, responsibilities, and coordination efforts necessary to support recovery and business continuity.

The Contractor shall address a wide range of infrastructure and services recovery responsibility associated with, and/or arising from, partial loss of a function or of data for a brief amount of time to a worst-case scenario in which a man-made or natural disaster results in data center equipment or infrastructure failure or total system failure. It is the policy of the State that a Business Continuity/Disaster Recovery Plan is in place and maintained at all times. The plans contain procedures for data backup, disaster recovery including restoration of data, and emergency mode operations. The plans shall include a procedure to allow facility access in support of restoration of lost data and to

support emergency mode operations in the event of an emergency. In addition, access control will include procedures for emergency access to electronic information.

The Contractor shall be protected against hardware and software failures, human error, natural disasters, and other emergencies, which could interrupt services. The plan shall address recovery of business functions, business units, business processes, human resources, and the technology infrastructure.

The Contractor shall develop a Business Continuity Plan, which includes the following:

1. Identification of the core business processes involved in the solution
2. For each core business process:
  - a. Identification of potential system failures for the process
  - b. Risk analysis
  - c. Impact analysis
  - d. Definition of minimum acceptable levels of outputs
3. Documentation of contingency plans
4. Definition of triggers for activating contingency plans
5. Discussion of establishment of a business resumption team
6. Maintenance of updated Disaster Recovery Plans and procedures

The Contractor shall prepare a Disaster Recovery Plan, which addresses the following:

1. Retention and storage of backup files and software
2. Hardware backup for critical system components
3. Facility backup
4. Backup for telecommunications links and networks
5. Staffing plan
6. Backup procedures and support to accommodate the loss of online communications
7. A detailed file backup plan and procedures, including the offsite storage of crucial transaction and master files; the plan and procedures shall include a detailed frequency schedule for backing up critical files and (if appropriate to the backup media) their rotation to an offsite storage facility. The offsite storage facility shall provide security of the data stored there, including protections against unauthorized access or disclosure of the information, fire, sabotage, and environmental considerations
8. The maintenance of current system documentation and source program libraries at an offsite location

The Disaster Recovery Plan and results of periodic disaster readiness simulations shall be available for review by State or Federal officials on request. This report and test results shall be filed annually with the Department ISS Contractor Point of Contact and any other agency authorized by the State or the Federal government. This report and test results shall be approved by the Department.



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The Contractor will conduct annual, comprehensive technical and operational tests of the Business Continuity and Disaster Recovery plans. The Contractor will conduct role plays and update the Business Continuity and Disaster Recovery plans based on the results of testing with findings for improvement after each annual test and train on the Department approved changes. Please see Appendix J.20 – Disaster Recovery for more detailed information pertaining to the requirements.

### INTEGRATION SERVICES

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CMS's MITA 3.0 Framework advocates service oriented architecture within the modularized applications pertaining to business processes. The key advantage of service oriented architecture is its technology and platform independence, which provides the ability to integrate the best of the breed solutions. These solutions have to communicate with each other to exchange data and messaging, thereby facilitating a cohesive MES that will comply with the Seven Conditions and Standards. To achieve this overall system, a rule based, modularized, highly decoupled, service oriented software architecture is essential.

The role of an ISS Contractor in the MES is to provide secure data exchange between the application modules within an agreed upon SLA using canonical data format, standards and protocols.

Subject to the implementation period of performance, a Contractor may send or receive data through the MES ISS Contractor to a different MES Contractor in the Transition Phases of moving toward a MES environment. Every effort shall be made to standardize the interchange upfront. However, the Contractor may be called upon to change to an exchange-based interface when onboarding new solutions.

Contractor shall facilitate the secure exchange of data with other applications in the MES within the agreed upon SLA through synchronous real time web services and/or asynchronous services using Queues. The Contractor shall have the ability to produce/consume Simple Object Access Protocol (SOAP), Representational State Transfer (RESTful) web services. More information regarding the specific ISS requirements can be found in Appendix J.12 – Integration Services.

### RULES ENGINE

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A rules engine, in association with the solution software, will help provide the needed flexibility, configurability, and capacity to support the diverse and complex DMAS programs. The Department requires the implementation of a rules engine for domain based business logic that provides Department users with the ability to make ad hoc configuration changes to the greatest extent practical while still maintaining system integrity.

For the currently planned ISS implementation phase, it is noteworthy to mention that Rules Engine may not be involved in mapping, translation, and parsing of data related to transactional request and response services.

Additional details regarding Rules Engine Requirements can be found in Appendix J.13 – Rules Engine.

### WORKFLOW

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To increase operational efficiencies and the quality of the Virginia's Medical Assistance Program, the Department's vision of a modern Solution will assist in process improvement by offering automation and



workflow management tools. More information regarding Work Flow requirements can be found in Appendix J.14 – Workflow.

## **PORTAL**

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The MES will use web based user interfaces for existing and potential new users to facilitate support and use of current and future Medicaid related services. All websites and/or portals under the MES environment will be required to provide appropriate and expedient access for Virginia residents, providers and support staff, and other participants of services provided under the MES authority. The portal shall support token-based secure SSO. This access will be required 24/7/365.

The Contractor will address the additional requirements relating to the Website Technical Requirements as described in Appendix J.15 – Portal.

### **3.a.8. ELECTRONIC DATA INTERCHANGE**

The Contractor shall exchange with the DMAS EDI Gateway information that is needed to support any electronic standard healthcare transactions that are mandated by DMAS and any other transactions required to operate its solution. The Contractor shall send and accept batch and real-time representations of applicable HIPAA mandated and other standard health care transactions. The information exchanged will support a variety of formats, including but not limited to X12, NCPDP, XML, and JSON formats.

It is the objective of DMAS for the Department and the Contractor to mutually participate in and support a versatile process to send and receive all batch and real-time HIPAA mandated and other standard compliant transactions that flow through an EDI exchange that is operated by DMA.

See Appendix J.16 – Electronic Data Interchange for more details on the EDI Requirements.

## **3.b. STATEMENT OF WORK – INTEGRATION SERVICES SOLUTION (ISS)**

### **3.b.1. MASTER INTEGRATION PLAN**

#### **DMAS MASTER INTEGRATION PLAN**

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The DMAS ISS project will require multiple phases during implementation, each phase will be focused around the planned onboarding of a new MES modular contractor. The selected ISS Contractor will be responsible for providing a plan that not only addresses these phases, but also will include the integration of all components of the new MES. The plan will include the overall security relative to the integration of the various contractors' solutions and the communications and messaging between all solutions components. The ISS Contractor will also be required to outline and provide an approach that facilitates collaboration with the various State agencies that are part of the DMAS operating environment.

Following are all the necessary details necessary for the ISS Contractor to successfully meet DMAS goals and objectives associated with the ISS Project. All of these items shall be addressed in detail in the Master Integration Plan. The Master Integration Plan defines the integration function and role within the MES and shall include the following:

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- A schedule showing the phases for each - solution (dates to be finalized with - Contractor and DMAS).
- A proposed “Flight Plan” to accommodate meeting DMAS 6/30/2018 deadline that includes each transition project, as shown above in Section 1.a.1
- A security component that results in a SSO approach
- Outline of an approach to collaborate with VITA
- Outline of an approach to collaborate with DMAS ISS and Security Teams
- Each Contractor’s solution for onboarding effort
- Assessment of each contractor's:
  - ✓ Data Exchanges
  - ✓ Telecommunications set up (VPN, etc.)
  - ✓ Interfaces
  - ✓ Determination of IBM Integration Bus (IIB) service bus needs
  - ✓ Integration tools
  - ✓ Technical resource staff
  - ✓ DMAS staff training
  - ✓ SSO requirements for the overall MES solution.
- Contractor Project Role including:
  - ✓ Developing project tasks determined from the Contractor’s onboarding assessments
  - ✓ Reporting on Integration tasks by project phases
  - ✓ Assigning a Project Manager to each Solution phase
  - ✓ Collaborating with the DMAS and Contractor Project Managers
  - ✓ Presenting a checklist of items to be completed prior to a baselined project plan
  - ✓ Reporting to Program Management the status of the Master Integration Plan, including any risks, issues or areas needing escalation.
  - ✓ Identifying Stakeholders, Concerns, and Business Requirements
  - ✓ Classifying Stakeholder Positions based on their capacity to impact the project
  - ✓ Determining Stakeholder Management Approach to ensure project status transparency
  - ✓ Capability-Based Planning
    - In an enterprise architecture context the capabilities developed are derived from the State's strategic plan. All architectures shall be expressed in terms of the business outcomes and business value they deliver, thereby ensuring IT alignment with the business.

**Virginia Medicaid Enterprise System: Integration Services Solution RFP**

- The outcomes are mapped to the MITA 3.0 level of expected maturity (1-5) for the target state to confirm the end state would ultimately satisfy in all forms the main business objective of the modernized MES system.
- Provide SSO Oversight Support: Contractor supports and responds to CMS requirements and feedback through an IV&V review conducted by a separate contractor.
- Risk Management Approach includes how the Contractor:
  - ✓ Identifies and reviews all significant risks to which DMAS and the Commonwealth's network environment may be exposed.
  - ✓ Identifies and avoids unreasonable or unnecessary exposures to risks related but not limited to, high availability, performance, and data security.
  - ✓ Presents a Risk Management Plan that defines an approach to respond appropriately to risks, based on risk assessments, while applying relevant controls and mitigations.
  - ✓ Monitors and reports on the status of risks, including progress against planned mitigation actions.
  - ✓ Performs risk assessments to ensure project status transparency across all stakeholders including:
    - Risk classification
    - Risk identification
    - Initial risk assessment
      - Initial Level of Risk: Risk categorization prior to determining and implementing mitigating actions.
    - Risk mitigation and residual risk assessment
      - Residual Level of Risk: Risk categorization after implementation of mitigating actions (if any).
    - Risk monitoring
    - Reports on the status of risks, including progress against planned mitigation actions.
- Provides a Change / Configuration Management Solution for changes to the Enterprise Environment
- Establishes a Change Management Board that includes DMAS and Contractor representation.
  - ✓ Contractor shall create a Change Management process that is synchronized with the established SLA contract for the impacted Contractor, DMAS department, or business process.
  - ✓ The Contractor will develop a charter that defines the required management approval layers of the Change Management solution.
  - ✓ Contractor will develop a Configuration Management (CM) plan that will serve as the guide for SOA based ISS project implementation phases.

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- ✓ Information Technology Service Management (ITSM) framework based Change Management tools to be considered are Absolute Software, BMC Remedy OnDemand, Cherwell Service Management, HP Service Anywhere, IBM SmartCloud Control Desk and ServiceNow. Each product must be evaluated based on functionality, support, and cost and should be universally followed across all Work Streams.
- ✓ Design and implement a CM process that verifies the Contractor solution performs as intended, and documented in detail to support the project life cycle.
- ✓ CM plan will adhere to industry accepted system engineering processes such as ITIL, ISO/IEC, and other domain models.
- Tools Management
  - ✓ Contractor will provide software based tools for real-time management of the implemented solution and the connected services and systems.
    - Tool solution must be compatible with and meet the security requirements of DMAS, and the VITA infrastructure.
    - Contractor will develop and maintain the needed workflow documentation that will be required for the production version of their solution.
    - Contractor will provide an Access channel for multi-device support.
- Release Management

The Contractor must provide Release Management to satisfy the below requirements.

- Release management tool must be provided
- All new services have to go through a release management process
- Any changes to the services have to go through a release management process
- All stakeholders must be included in the beginning of the process
- Release management must ensure that all the service related objects are identified in the beginning of the process
- Release management must ensure that all the service related objects are packaged together for the deployment
- Release management must keep the code differences and it should be reviewed
- Release management must ensure the integrity of the code and guarantee that the deployed code will work as per the expectations of the stakeholders.
- Release management processes should spread across various stages of the SDLC. Following stages must be at least implemented:
  - ✓ Release Policy
  - ✓ Release Planning
  - ✓ Hardware/Software Design
  - ✓ Build and Configure Release

- ✓ Code comparison
- ✓ Quality Review
- ✓ Release approval by DMAS
- ✓ Rollout Plan
- ✓ Communicate and train
- ✓ Implement release
- ✓ Verify implementation
- ✓ Post-implementation

### **3.b.2. FUNCTIONAL REQUIREMENTS**

The Contractor shall develop MITA aligned SOA based services based on the following design principles: Standardized Contract, Loose Coupling, Abstraction, Reusability, Autonomy, Statelessness, Discoverability, and Composability.

The Contractor shall also develop service-messaging standards for real-time, batch for business domain to business domain, and cross-organizational communication. These services must be developed using clearly defined processes and consistent mechanisms for system-to-system communication and using mature technologies for automated responses (e.g. WS, XML, JSON protocols).

An industry standard COTS Enterprise Service BUS (ESB) must be used as the basis for integration platform. The Commonwealth has already invested in the IBM Service Oriented Architecture (SOA) Stack and the selected Contractor will be required to outline the benefits if another approach is being proposed.

ISS Contractor shall provide maintenance and support for all products. Support SLAs must be no greater than one (1) hour response with 24/7 availability. Maintenance must include patches/upgrade/fixes for all discovered vulnerabilities within 90 calendar days.

ISS Contractor must develop real-time and batch services to exchange transactions akin to HIPAA transactions, HL7, proprietary transaction formats, Provider, Member, Claims, Encounter, Financial, Pharmacy and Reference data, and others, between the modular systems within the new MES and EDWS.

The ISS Contractor shall address and meet the requirements related to the Functional Requirements described in Appendix J.17 – ISS Functional.

### **3.b.3. TRAINING REQUIREMENTS**

A critical ISS Contractor requirement is to provide DMAS staff with an understanding of the ISS. The ISS Contractor shall deliver DMAS an overview of the Solution, and in certain areas, provide detailed training and transfer appropriate operational knowledge to the designated DMAS or Commonwealth personnel.

DMAS staff and other contractors directly interfacing with the ISS Contractor require both initial and ongoing training on the use and operation of the ISS. The Contractor shall provide a Training Plan, which details all the activities leading up to, and including, the training of Department staff, and its contractors



as determined by DMAS. The Department staff shall be trained in the proper use of the ISS including all necessary processes and procedures. The Training Plan will provide a description of the training strategy including methods, materials, and audience. The Contractor shall submit the Training Plan to the Department in sufficient time to allow for approval prior to the first training session. This allows time to prepare the training environment and plan the necessary logistics for training.

The ISS Contractor shall address and meet the additional requirements relating to ISS Training described in Appendix J.21 – Training and Appendix J.19 – Onboarding.

#### **3.b.4. ONBOARDING REQUIREMENTS**

Prior to interfacing with the ISS and ICAM Solution, the MES contractors will require training for the technical requirements and onboarding process. The ISS Contractor shall meet and address those requirements to provide the knowledge foundation for successful implementation, integration, and downstream operations.

The ISS Contractor shall make its staff available to provide ongoing technical assistance for Department contractors or employees by providing necessary training sessions, documentation and diagrams, that describes complete technical specifications of the ISS and ICAM Solution within the MES environment. This will include Onboarding Training and Orientation for those contractors requesting access to the ISS.

The ISS Contractor shall address and meet the requirements related to the Contractor Onboarding Requirements described in Appendix J.19 – Onboarding.

#### **3.b.5. SECURITY REQUIREMENTS**

Global security issues are covered in Section 2. Security/Compliance Audit Management; the following security requirements apply more specifically to the ISS.

The ISS is primarily a business-to-business connection model. Each business partner shall be asked to define their access including responsible administrator contact(s). Each user to be on-boarded shall have their access provisioned, monitored, and controlled by the DMAS Office of Compliance and Security. Passwords must meet complexity and length requirements, as designated by the DMAS Office of Compliance and Security. Passwords shall be reset every thirty days by the Identity Management tool. Identity Management ID's shall be terminated every 90 days. On an annual basis or as required by regulation, each authorizing manager must recertify or acknowledge the list of people with access and their security settings. The purpose this is to identify terminations, transfers, and changes in responsibilities and eliminate security access concerns.

The ISS Contractor shall provide a security management dashboard displaying statistics on all routine processes, (file transfers, etc.). A component of the dashboard functionality shall be to organize the collected data, develop actionable statistics, and project trends relevant to the data collected. The reporting can be a function of the dashboard (preferably) but can also be a report generated on demand.

Transaction logs shall be part of the information displayed on the security management dashboard and should provide information on users, transaction volumes, and success / failure status of all transaction through the transaction lifecycle. Trend analysis and predictive analytics are also required.

A Security Architecture is required to ensure the system meets the standards and guidelines mandated by several organizations for performing business, to design, document, periodically review the security

architecture state and make modifications through a formal approval process requires several guidelines to be met.

The following sections provide guidelines on expectations during each phase of the project.

### 3.b.5.1. SECURITY COMPLIANCE CRITERIA

All groups of stakeholders in the MES will have security concerns. These concerns might not be obvious as security-related concerns unless there is special awareness on the part of the ISS Technical Architecture owner to assist in fact collection to effectively address all security concerns.

Following are a few key topics for the Contractor to consider addressing in its response. The topics are part of the 8A's security principles and guidelines:

- **Authentication:** The substantiation of the identity of a person or entity related to the enterprise or system in some way.
- **Authorization:** The definition and enforcement of permitted capabilities for a person or entity whose identity has been established.
- **Audit:** The ability to provide forensic data attesting that the systems have been used in accordance with stated security policies.
- **Assurance:** The ability to test and prove that the enterprise architecture has the security attributes required to uphold the stated security policies.
- **Availability:** The ability of the enterprise to function without service interruption or depletion despite abnormal or malicious events.
- **Asset Protection:** The protection of information assets from loss or unintended disclosure, and resources from unauthorized and unintended use.
- **Administration:** The ability to add and change security policies, add or change how policies are implemented in the enterprise, and add or change the persons or entities related to the systems.
- **Addressing Enterprise Security Risks:** The organization's attitude and tolerance for risk, i.e., Mitigation, Avoidance & Acceptance.

### 3.b.5.2. SECURITY ARCHITECTURE REQUIREMENTS

Security architecture is expected to have the following characteristics:

- Unique methods.
- Composes its own use cases from various stakeholders' perspectives.
- Addresses non-normative flows.
- Introduces its own unique normative flows.
- Introduces unique, single-purpose components in the design.
- Incorporates detection and dynamic network monitoring systems for unknown network traffic patterns to issue warnings or call for investigation.

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Table 2 provides a **reference guideline** for Security Risk factors collection.

**Table 2: Project Phase Guidance Table**

Phase	Guidance
<b>Requirements Gathering Phase</b>	<p>Security Policy and Security Standards should become part of the Requirements Management process.</p> <p>Monitor for new security requirements. Typical sources include:</p> <ul style="list-style-type: none"> <li>➤ 1) A new statutory or regulatory mandate</li> <li>➤ 2) A new threat realized or experienced</li> <li>➤ 3) A new architecture initiative discovers new stakeholders with new requirements</li> </ul> <p>For 1 and 2, these new requirements would be drivers for input to the change management process phase. A new architecture initiative shall be launched to examine the existing infrastructure and applications to determine the extent of changes required to meet the new demands.</p> <p>For 3, a new security requirement will enter the Requirements Management process.</p>
<b>Planning Phase</b>	<ul style="list-style-type: none"> <li>➤ Scope the enterprise organizations impacted by the security architecture.</li> <li>➤ Define and document applicable regulatory and security policy requirements (and communicate them regularly to employees).</li> <li>➤ Define the required security capability as part of the Architecture Capability. Implement security architecture tools.</li> </ul>
<b>Architecture Design Phase</b>	<p>In similar fashion to obtaining management recognition and endorsement for the overall architecture project, obtain the endorsement for the security-related aspects of the architecture development effort.</p> <ul style="list-style-type: none"> <li>➤ Define the security-related management sign-off milestones.</li> <li>➤ Determine the applicable disaster recovery or business continuity requirements.</li> <li>➤ Identify and document the anticipated physical/business and regulatory environments in which the systems shall be deployed.</li> <li>➤ Determine the criticality of the system: safety-critical, mission-critical, or non-critical.</li> </ul>
<b>Business Process Design Phase</b>	<ul style="list-style-type: none"> <li>➤ Determine the legitimate actors who will interact with the system (Business Scenarios can be used).</li> <li>➤ Determine and implement incident management and reporting protocols.</li> <li>➤ Produce a baseline of the current security-specific business processes.</li> <li>➤ Determine whom/how much it is acceptable to inconvenience with security measures.</li> <li>➤ Identify and document the interconnecting systems beyond project control and determine trust levels.</li> <li>➤ Determine the assets at risk if something goes wrong (sometimes assets are not tangible; e.g., customer goodwill or a credit rating).</li> <li>➤ Determine the cost of asset loss/impact in failure cases. Identify and document the ownership of assets.</li> <li>➤ Determine and document appropriate security forensic processes (which shall be used to enforce security policies).</li> <li>➤ Identify the criticality of the availability and correct operation of the overall service.</li> <li>➤ Determine and document how much security (cost) is justified by the threats and value</li> </ul>

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Phase	Guidance
	<p>of the assets (by a risk analysis).</p> <ul style="list-style-type: none"> <li>➤ Assess alignment or conflict of identified security policies with business goals. Assess potential impacts by performing a threat analysis.</li> </ul>
<p><b>Information Systems Design Phase</b></p>	<ul style="list-style-type: none"> <li>➤ Assess and baseline current security-specific architecture elements, including a full inventory of architecture elements that implement security services.</li> <li>➤ Identify safe default actions and failure states, which need to take into account the current state, business environment, applicable policies, and regulatory obligations.</li> <li>➤ Identify and evaluate applicable guidelines and standards.</li> <li>➤ In light of the previous risk assessment, revisit assumptions regarding interconnecting systems beyond project control.</li> <li>➤ Determine and document the sensitivity or classification level of information stored/created/used (include any legislative burdens on the system and/or data).</li> <li>➤ Identify and document custody of assets.</li> <li>➤ Identify the criticality of the availability and correct operation of each function.</li> <li>➤ Determine how the system under design shall be augmented by existing business disaster/continuity plans. Assess and determine the gaps, risks, mitigation plans and the costs associated in closing these gaps and risks.</li> <li>➤ Identify what aspects of the system must be configurable to reflect changes in policy/business environment/access control.</li> <li>➤ Identify the lifespan of information used, as defined by business needs and regulatory requirements.</li> <li>➤ Identify actions/events that warrant logging for later review or triggering forensic processes.</li> <li>➤ Identify and document requirements for rigor in proving accuracy of logged events (e.g., non-repudiation to ensure logged data has not been tampered with).</li> <li>➤ Identify potential/likely avenues of attack.</li> </ul>
<p><b>Technology Design Phase</b></p>	<ul style="list-style-type: none"> <li>➤ Assess and baseline current security-specific technologies.</li> <li>➤ Revisit assumptions regarding interconnecting systems beyond project control. Identify and evaluate applicable recognized guidelines and standards.</li> <li>➤ Identify methods to regulate consumption of resources.</li> <li>➤ Engineer a method by which the effectiveness of security measures shall be measured and communicated on an ongoing basis.</li> <li>➤ Identify the trust (clearance) levels for the system.</li> <li>➤ Identify the minimal privileges required for any entity to achieve a technical or business objective.</li> <li>➤ Identify mitigating security measures, where justified by risk assessment.</li> </ul>
<p><b>Solution Design Phase</b></p>	<ul style="list-style-type: none"> <li>➤ Identify existing security services available for re-use from the Baseline Architecture and the Architecture Repository.</li> <li>➤ Implement and deploy mitigation measures addressing identified risks. Evaluate tested and re-usable security software and resources.</li> <li>➤ Identify new code/resources/assets appropriate for re-use. Determine what can go wrong.</li> </ul>

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Phase	Guidance
<b>Execution Planning Phase</b>	<ul style="list-style-type: none"> <li>➤ Assess the impact of new security measures upon other new components or existing systems.</li> <li>➤ Implement assurance methods by which the effectiveness of security measures shall be measured and communicated on an ongoing basis.</li> <li>➤ Identify correct secure installation parameters, initial conditions, and configurations.</li> <li>➤ Implement disaster recovery and business continuity plans.</li> </ul>
<b>Post-Implementation and Governance Phase</b>	<ul style="list-style-type: none"> <li>➤ Establish design and code reviews.</li> <li>➤ Implement methods and procedures to review evidence that reflects operational stability and adherence to security policies.</li> <li>➤ Implement training to ensure correct deployment, configuration, and operations.</li> <li>➤ Determine what has gone wrong by implementing a feedback loop to verify execution of the plan and implement corrections if necessary.</li> </ul>
<b>Change Management Phase</b>	<ul style="list-style-type: none"> <li>➤ Changes in security requirements are often more disruptive than a simplification or incremental change. Changes in security policy shall be driven by statute, regulation, or something that could potentially go wrong.</li> <li>➤ Changes in security standards are usually less disruptive since the trade-off for their adoption is based on the value of the change. However, standards changes shall also be mandated, if applicable.</li> <li>➤ Determine what has gone wrong. Good security forensic practices in conjunction with a written published security policy make determination of this possible.</li> <li>➤ Incorporate security-relevant changes to the environment into the requirements for future enhancement.</li> </ul>

**3.b.5.3. SECURITY RELATED ARTIFACTS**

Typical security artifacts that should be produced as part of addressing these concerns are as follows:

- Business rules regarding handling of data and information assets
- Written and published security policy
- Codified data/information asset ownership and custody
- Risk analysis documentation
- Data classification policy documentation

Security related artifacts listed below in Table 3 are expected deliverables to be provided by the ISS Contractor during each project phase. The various project phases from an Architecture perspective include Requirements Gathering, Planning, Business Process Design, Information Systems Design, and finally Technology Design Phase respectively.

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**Table 3: Security Artifacts Deliverables Expectation List during Project Phases**

Phase	Security Artifacts Details
<b>Requirements Gathering Phase</b>	<ul style="list-style-type: none"> <li>➤ List of applicable regulations</li> <li>➤ List of applicable security policies Security team roster</li> <li>➤ List of security assumptions and boundary conditions</li> </ul>
<b>Planning Phase</b>	<ul style="list-style-type: none"> <li>➤ Physical security environment statement Business security environment statement Regulatory environment statement</li> <li>➤ Security policy cover letter signed by CEO or delegate</li> <li>➤ List of architecture development checkpoints for security sign-off</li> <li>➤ List of applicable disaster recovery and business continuity plans</li> <li>➤ Systems criticality statement</li> </ul>
<b>Architecture Design Phase</b>	<ul style="list-style-type: none"> <li>➤ List of forensic processes</li> <li>➤ List of new disaster recovery and business continuity requirements</li> <li>➤ Validated business and regulatory environment statements</li> <li>➤ List of validated security policies and regulations</li> <li>➤ List of target security processes List of baseline security processes List of security actors</li> <li>➤ List of interconnecting systems</li> <li>➤ Statement of security tolerance for each class of security actor</li> <li>➤ Asset list with values and owners List of trust paths</li> <li>➤ Availability impact statement(s) Threat analysis matrix</li> </ul>
<b>Business Process Design Phase</b>	<ul style="list-style-type: none"> <li>➤ List of applicable regulations</li> <li>➤ List of applicable security policies Security team roster</li> <li>➤ List of security assumptions and boundary conditions</li> </ul>
<b>Information Systems Design Phase</b>	<ul style="list-style-type: none"> <li>➤ Event log-level matrix and requirements Risk management strategy</li> <li>➤ Data lifecycle definitions</li> <li>➤ List of configurable system elements</li> <li>➤ Baseline list of security-related elements of the system</li> <li>➤ New or augmented security-related elements of the system</li> <li>➤ Security use-case models: <ul style="list-style-type: none"> <li>➤ Normative models</li> <li>➤ Non-normative models</li> </ul> </li> <li>➤ List of applicable security standards: <ul style="list-style-type: none"> <li>➤ Protocols</li> <li>➤ Object libraries</li> </ul> </li> <li>➤ Validated interconnected system list Information classification report List of asset custodians</li> <li>➤ Function criticality statement</li> <li>➤ Revised disaster recovery and business continuity plans</li> <li>➤ Refined threat analysis matrix</li> </ul>

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Phase	Security Artifacts Details
<b>Technology Design Phase</b>	<ul style="list-style-type: none"> <li>➤ Baseline list of security technologies Validated interconnected systems list Selected security standards list Resource conservation plan</li> <li>➤ Security metrics and monitoring plan User authorization policies</li> <li>➤ Risk management plan</li> <li>➤ User trust (clearance) requirements</li> </ul>

The Contractor shall address and meet additional requirements relating to Security as described in Appendix J.9 – Security/Compliance Audit and J.10 – ISS SSO Global Security.

**3.b.6. ISS AS A SERVICE ORIENTED ARCHITECTURE (SOA)**

The use of SOA as an architectural style is intended to simplify the business, including interoperation of business components. Providing structuring capability as meaningful, granular service as opposed to opaque, business units in a functional silo, it becomes possible to quickly identify functional capabilities of an organization and to avoid duplicating similar capabilities across different areas of the organization. Standardizing the behavior and interoperation of services, allows the possibility to limit the impacts of change and to understand in advance the likely chain of impacts. When viewed from a software development perspective, it also allows applications to be structured to facilitate flexibility and agility.

The ISS ESB architecture should clearly establish the details of the systems that have communication connection channels open for UNI or BI directional flow of information. The Service Orchestration and Choreography should be designed considering various SOA best practices in standards and also using Foundation, Reference architectures published by Open Group or Open SOA based community group organizations.

The Open Group community could serve as a good reference point where these templates shall be used effectively to build an enterprise content framework.

- **Open Group Templates link:**  
<https://www2.opengroup.org/ogsys/publications/viewDocument.html?publicationid=12228&documentid=10732>
- **The SOA specific details can be found in the link:**  
[https://www.opengroup.org/soa/source-book/soa\\_refarch/index.htm](https://www.opengroup.org/soa/source-book/soa_refarch/index.htm)
- **Open Group Service Integration Maturity Model (OSIMM)**  
<http://www.opengroup.org/soa/source-book/osimmv2/index.htm>

SOA artifacts listed below in Table 4 are expected deliverables to be provided by the ISS Contractor during each project phase. The various project phases from an Architecture perspective include Business Process Design, Information Systems Design, Technology Design, and finally Solution Design Phases respectively.

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**Table 4: SOA Artifacts Deliverables Expectation List during Project Phases**

SOA Artifact	Purpose
<b>Business Process Design Phase</b>	
<b>Business Service Interaction Diagram</b>	<p>This shows all the business services in scope and their relations and the information flowing between the business services. It will indicate what business services are commonly re-used by other business services indicating opportunities for possible re-use of supporting ISS services.</p> <p>This is also used to define business processes and the relationships between those business processes since each process is composed by a subset of this model.</p>
<b>Business Process Diagram</b>	<p>This is a set of diagrams that show the business processes and their decomposition, their interactions, and the information with which they are concerned.</p>
<b>Business Vocabulary Catalog</b>	<p>This is a list of the key terms used in describing the business processes and information. It is important that the Business Architecture phase establishes the information context for the software services, as described in the Information Architecture for SOA section of The Open Group SOA Source Book, and a catalog of business terms is an important part of this context. The business vocabulary shall be derived while developing the business service model.</p>
<b>Business Services Catalog</b>	<p>This is a list of the enterprise's business services and their non-functional requirements shall be used to analyze the non-functional requirements.</p>
<b>Business Service/Location Catalog</b>	<p>This list shall be used to understand where the Business Services need to be executed.</p>
<b>Event/Process Catalog</b>	<p>This catalog list shall be used to understand which process run in relation to an event.</p>
<b>Contract/Service Quality Catalog</b>	<p>This list shall be used to understand the non-functional properties of a contract.</p>
<b>Business Service Interaction Matrix</b>	<p>This matrix shall be used to show relations between Business Services.</p>
<b>Business Service/Information Matrix (CRUD)</b>	<p>This matrix shall be used to show how Business Services use information elements and to find faults in that model.</p>
<b>Information Component Model</b>	<p>This model shall be used to define the logical structure of the information in the organization. This model shall also be used as an input to the exchange model defining the input and outputs from SOA services.</p>
<b>Information Systems Design Phase</b>	
<b>Information System (IS) Service Interaction Diagram</b>	<p>This diagram shows requirements for potential SOA services (IS Services) and the interactions between them, and their use of information. This diagram shall be used to show the full set of requirements for the solution and the relationships between the requirements.</p>



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SOA Artifact	Purpose
<b>Business Process/IS Service Matrix</b>	This matrix shows the relation between each business process and the IS Services supporting the process. This matrix shall be used to show the full set of requirements for SOA services for a given Business Process.
<b>IS Service Contract Catalog</b>	This catalog lists all IS Services, their contracts, and the related service qualities to enable analysis of the non-functional requirements (e.g., security, performance, loading, availability, policies, etc.) for potential SOA Services. This catalog is an important input to the Service Portfolio Management process in SOA governance.
<b>IS Service/Application (existing) Catalog</b>	This catalog connects IS Services (potential SOA Services), contracts, and service qualities with existing applications (as-is physical application components). This catalog shall be used to specify wrapping scenarios on existing applications and to analyze non-functional requirements.
<b>IS Service/Data Entity Matrix</b>	This matrix shows what data is handled by potential SOA Services (IS Services). This matrix shall be used to identify potential data handling SOA Services.
<b>Logical SOA Component Matrix</b>	This matrix shows the relationship between the logical SOA Components (Logical Application Components) and the potential SOA Services (IS Services). This matrix shall be used to structure Logical Components from the gathered requirements.
<b>Logical SOA Solution Diagram</b>	This diagram shows the relations between the logical SOA components (Logical Application Components) and other logical solutions (Logical Application Components). This diagram shall be used to show and analyze the functional and non-functional requirements of the interfaces between solutions.
<b>Service Distribution Matrix</b>	This matrix shows the services distributed on physical locations to fulfill legal or other requirements. The purpose is to show and analyze whether there are any location requirements on services. This can be done on either IS Services or Logical Application Components.
<b>Technology Design Phase</b>	
<b>Logical Technology Architecture Diagram</b>	This diagram shall be used to show and analyze the instance of SOA Reference Architecture. It will contain all Application Building Blocks (ABB) and capabilities deemed necessary for the SOA Solution.
<b>Logical Application and Technology Matrix</b>	This matrix shall be used to show and analyze the relations between the Logical Application Components and the Logical Technology Components to ensure the architect understands what technology shall be used for the Logical Application Components. This matrix shall also be used to derive and validate the non-functional requirements for the technology components.
<b>Solution Design Phase</b>	
<b>Physical SOA Solution Matrix</b>	This matrix shows the relationship between the physical SOA solutions (Physical Application Components) and the Logical SOA Components. This matrix shall be used to define the physical structure of the SOA solution.



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SOA Artifact	Purpose
<b>Physical SOA Solution Diagram</b>	This diagram shows the relations between the physical SOA solution (Physical Application Components) and other solutions (Physical Application Components). This solution diagram shall be used to show and analyze the functional and non-functional requirements of the interfaces between solutions.
<b>Physical Service Solution Matrix</b>	This matrix shows which existing services are re-used, which services shall be provided by external services (SaaS), and which services need to be developed as wrappings of new/existing applications and which need to be developed. This matrix serves as an input to the SOA Governance Service Portfolio Management process.
<b>Application Guidelines</b>	This document provides guidelines on how to develop SOA solutions and services. Suggestions of possible guidelines shall be found in The Open Group SOA Governance Framework.
<b>Physical Technology Architecture Diagram</b>	This diagram shall be used to show and analyze the physical technical solution for the SOA infrastructure.
<b>Physical Application and Technology Matrix</b>	This matrix shall be used to show and analyze the physical infrastructure used to run the physical application and to ensure that the non-functional requirements are derived properly and understood.
<b>Technology Portfolio Catalog</b>	This is a list of products and kinds of product that shall be used in the implementation, including SOA run-time infrastructure, SOA development environment, service component technology, and service interface (portal, channel, etc.) technology. It will also include non-functional requirements.
<b>Technology Guidelines</b>	This document provides guidelines on how to use SOA infrastructure.

During the rest of the phases namely Execution Planning Phase, Post-Implementation & Governance Phase, and Change Management Phase, the SOA Governance Vitality Method from Open Group is a good reference point for standards. These artifacts shall be referenced and accessed at the following link:

<http://www.opengroup.org/soa/source-book/gov/sgvm.htm>

**3.b.7. IDENTITY, CREDENTIALS, AND ACCESS MANAGEMENT SOLUTION (ICAM)**

DMAS is seeking a comprehensive COTS product based Identity, Credentials, and Access Management (ICAM) Solution for all agency security management requirements. The ICAM Solution COTS product with the additional functionalities can be subcontracted to another contractor; however, the ISS Contractor is fully responsible for meeting all the requirements, SLAs, and the final product.

The requirements for ICAM Solution are explained in Appendix J.10 – ISS SSO Global Security and Appendix J.11 – ICAM Solution Technical Functionality.

### 3.b.8. MES SINGLE SIGN-ON SOLUTION (SSO)

The MES single sign-on components for authentication and authorization rely on identity, credentials and access management (ICAM) accomplished through central ICAM/SSO web services. The MES single sign-on (SSO) concept consists of the following components:

- Authentication – The purpose of this component is to authenticate each user in order to establish a user specific credential (identity management).
- Customized User Profile – This is the portal/landing page for users. From this page, the user can login and select which product they wish to access.
- Authorization – A product to control access to MES products and services (access management).

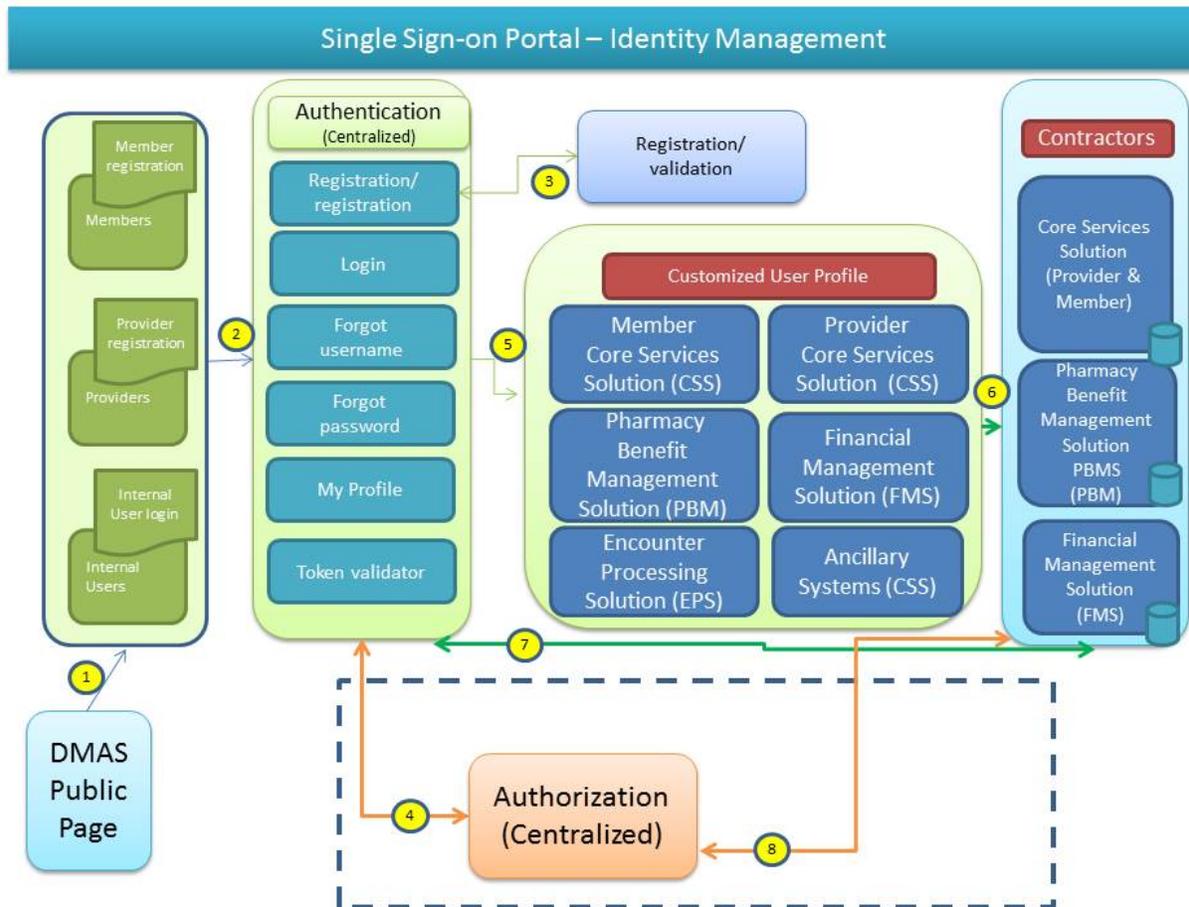
The Integration Services Solution (ISS) contractors shall provide a product for the authorization component of the MES SSO. The ISS Contractor shall also expose a bi-directional interface between the authentication service and the authorization product so that user information can flow between the two components. The ISS Contractor shall also expose a bi-directional interface between the MES Contractors' systems so that authorization information can flow between the components. The authorization product shall store user role information as defined by DMAS. The ISS Contractor shall also need to maintain and synchronize this information with MES Contractor solutions. The MES Contractors shall also be responsible for storing, maintaining, and synchronizing user role information in their systems; the source of that user role information shall be the authorization product.

The high-level technical details of the authentication service are as follows:

- Authentication Services are restful
- Authentication Services are using JSON object as request and response objects
- Each Authentication Service shall have its own endpoint

Each Authentication Service shall have its own endpoint; Figure 10 below depicts the high-level diagram for identity, credentials and access management. The dotted rectangle shows the ISS Contractor's responsibilities.

Figure 10: High Level Diagram for Identity and Access Management



### Process Description

1. User comes from DMAS public page and selects the type of user they are (Member, Provider, or Internal User).
2. If the user is already registered they can log in using their credentials. If not registered then they fill out the fields required for registration for their user type.
3. Information provided by the user as part of registration is validated with internal and external sources based on user type.
4. Upon successful validation of registration, user information is sent to the centralized authorization to trigger the DMAS role/access level authorization process. A DMAS workflow process will be used to assign DMAS users to contractor role identifiers.
5. Upon successful login, the user will be directed to customized user profile (secured page). After the role/access level has been set in the authorization system, users will see the available applications on their customized user profile (secured page).

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6. When users select an application from the customized user profile (secured page), they will be directed to the corresponding contractor's application. At that time, the customized user profile (secured page) will send the secured token and user information to the contractor's application.
7. The contractor application will verify the secured token with the token validator service. Once it is validated by the token validator service, the service sends the user role/access level identifiers back to the contractor application.
8. The contractors' application synchs periodically with the user role/access level as set up by DMAS in the authorization system.

The Contractor shall address and meet the detailed requirements relating to Security as described in Appendix J.9 – Security/Compliance Audit. Additionally, the Contractor shall address and meet the detailed requirements relating to Single Sign-on as described in Appendix J.10 – ISS SSO Global Security.

### **3.b.9. REPOSITORY STANDARDS FOR ENTERPRISE ARCHITECTURE CONTENT FRAMEWORK**

The Enterprise Architecture Content Framework provides a detailed model of architectural work products, including deliverables, artifacts within deliverables, and the Architecture Building Blocks (ABBs) that deliverables represent. It helps to improve the consistency of the MES outputs by presenting representations of the system in a consistent and structured way, which in turn helps to reference and classify them.

The benefits of using the Enterprise Architecture Content Framework include benefits that provide a comprehensive checklist of architecture outputs, which promote better integration of work products, and provide a detailed open standard for how architectures can be well explained.

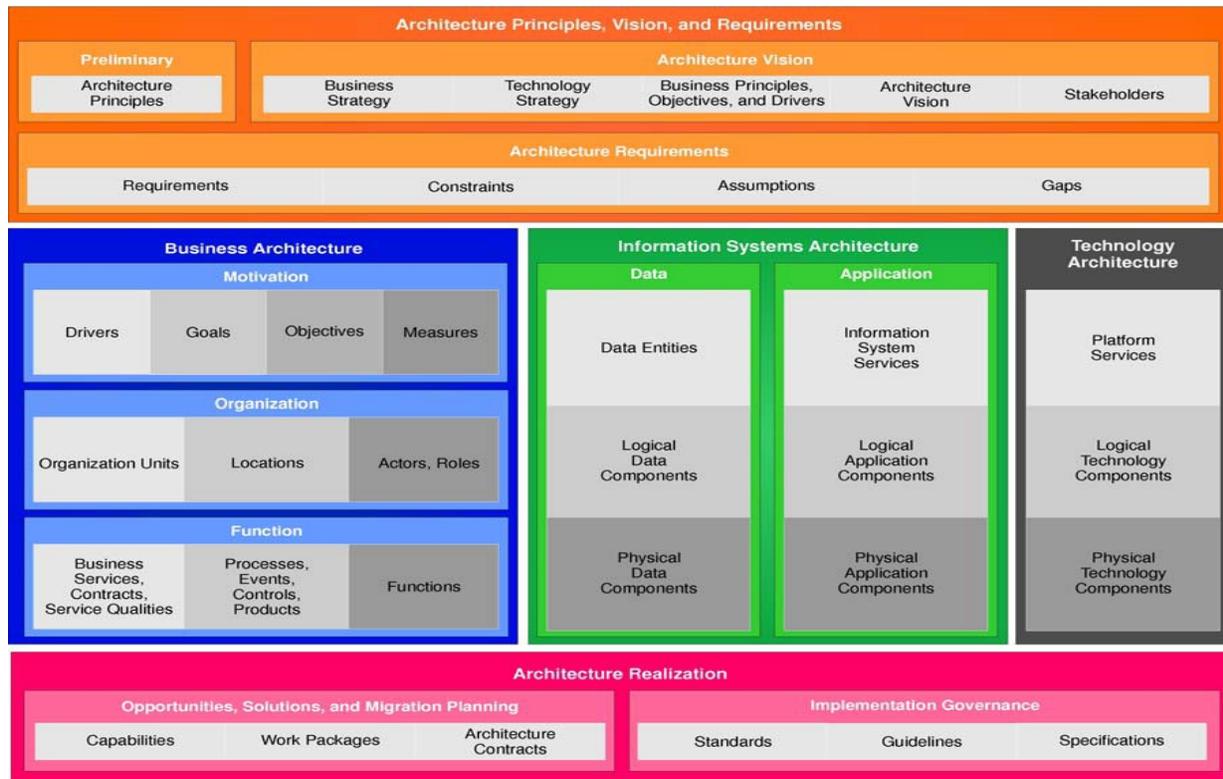
#### **ENTERPRISE CONTENT METAMODEL FRAMEWORK**

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The Enterprise Architecture Content Metamodel Framework is based on a standard content Metamodel that defines all the types of building blocks in an architecture, showing how these building blocks can be described and how they relate to one another. When creating an architecture, an architect will identify applications, data entities held within applications, and technologies that implement those applications. These applications will in turn support particular groups of business users or actors, and will be used to fulfill business services. Per MITA 3.0 Framework guidelines, it is recommended to maintain the metamodel framework as part of Enterprise Architecture Content Framework Repository. This is critical for displaying the audit readiness by a third party on industry standards.

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Figure 11: Detailed Representation of the Content Framework from Open Group



**CORE CONTENT DETAILS**

The Core Content Metamodel provides a minimum set of architectural content to support traceability across artifacts. Additional Metamodel concepts to support more specific or more in- depth modeling are contained within a set of extensions that logically group together extension catalogs, matrices, and diagrams. Figure 12 illustrates the Core Content Details.

Figure 12: Core Content Metamodel from Open Group

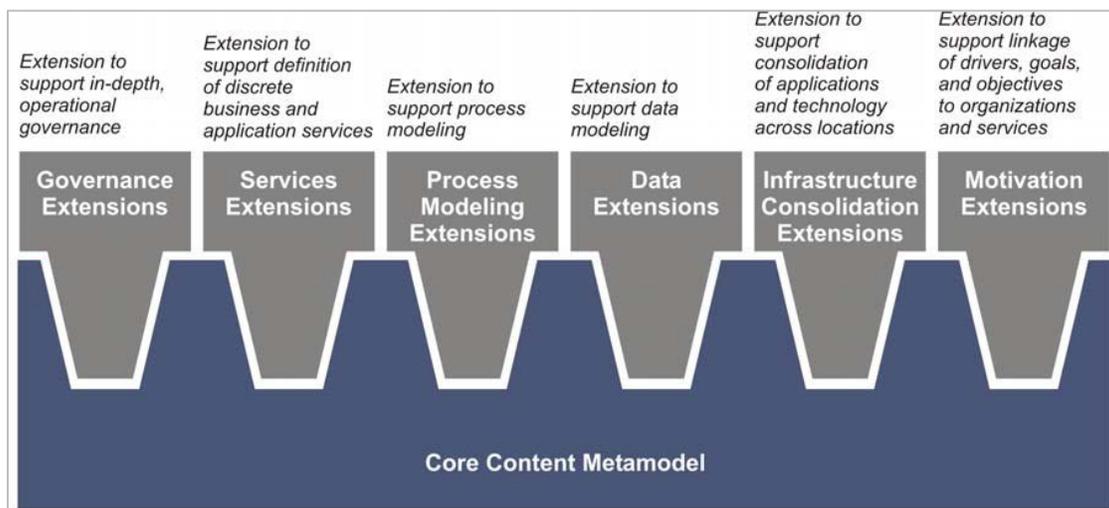


Table 5 below identifies the Metamodel entities and provides descriptions of each of them.

**Table 5: Core Metamodel Entities**

Entity	Description
<b>Actor</b>	A person, organization, or system that is outside the consideration of the architecture model, but interacts with it.
<b>Application Component</b>	An encapsulation of application functionality that is aligned to implementation structuring.
<b>Business Service</b>	Supports business capabilities through an explicitly defined interface and is explicitly governed by an organization.
<b>Data Entity</b>	An encapsulation of data that is recognized by a business domain expert as a discrete concept. Data entities can be tied to applications, repositories, and services and may be structured according to implementation considerations.
<b>Function</b>	Delivers business capabilities closely aligned to an organization, but not explicitly governed by the organization.
<b>Information System Service</b>	The automated elements of a business service. An information system service may deliver or support part or all of one or more business services.
<b>Organization Unit</b>	A self-contained unit of resources with goals, objectives, and measures. Organization units may include external parties and business partner organizations.
<b>Platform Service</b>	A technical capability required to provide enabling infrastructure that supports the delivery of applications.
<b>Role</b>	An actor assumes a role to perform a task.
<b>Technology Component</b>	An encapsulation of technology infrastructure that represents a class of technology product or specific technology product.

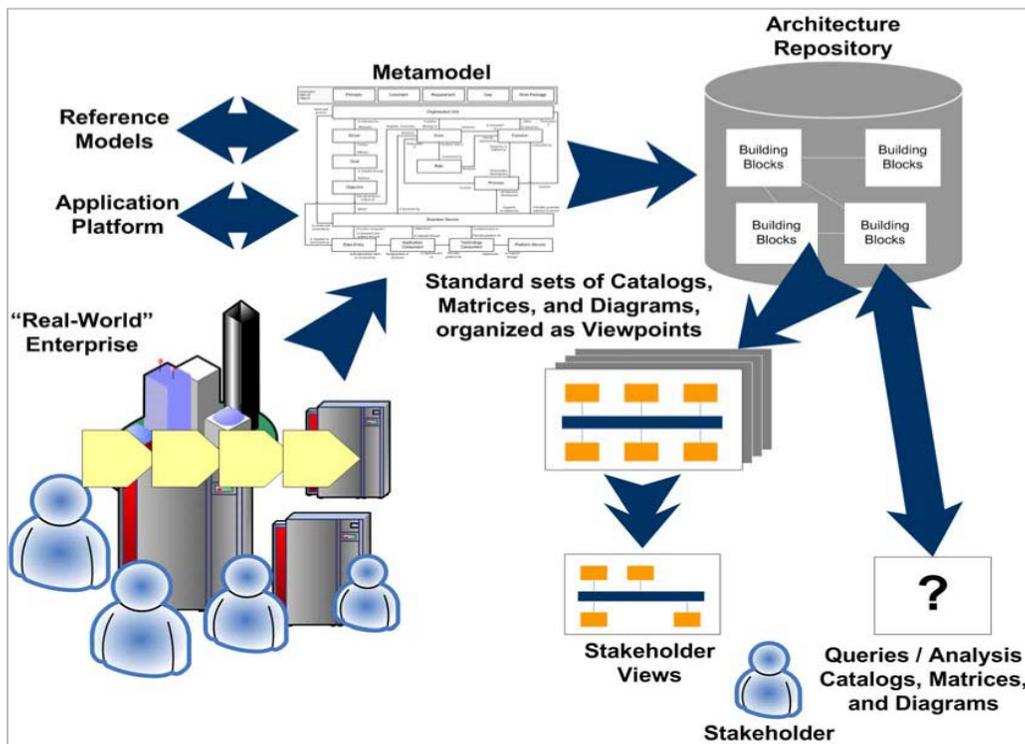
## BUILDING BLOCKS, CATALOGS, MATRICES, AND DIAGRAMS

Building blocks are entities of a particular type within the Metamodel (for example, a business service called “Purchase Order”). Building blocks carry metadata according to the Metamodel, which supports query and analysis. Building blocks may also include dependent or contained entities as appropriate to the context of the architecture.

Catalogs are lists of building blocks of a specific type, or of related types, that are used for governance or reference purposes (e.g., an organization chart, showing locations, and actors). As with building blocks, catalogs carry metadata according to the Metamodel, which support query and analysis.

Matrices are grids that show relationships between two or more model entities. Matrices are used to represent relationships that are list-based rather than graphical (e.g., a CRUD matrix showing which applications Create, Read, Update, and Delete a particular type of data is difficult to represent visually). Figure 13 illustrates the interaction between the Metamodel, Matrices, Diagram, and Stakeholders etc. from Open Group.

Figure 13: Interaction between Metamodel, Matrices, Diagrams, Stakeholders etc. from Open Group



### 3.b.10. DATA RETENTION REQUIREMENTS

The ISS Contractor is responsible for the capture and secure archiving of transaction logs. Logs must be stored in a location that is accessible by both the Contractor and authorized Commonwealth staff when retrieval of the transactions is needed for analysis. The retention period of transaction logs will be in accordance with Commonwealth and Federal requirements.

The Contractor shall address and meet the requirements related to Data Retention described in Appendix J.1 – Technology Standards and Appendix J.6 – Audit Support.

### 3.b.11. SYSTEM REPORTING REQUIREMENTS

The ISS Contractor shall be responsible for the production of reports and data as they relate to capacity, transaction statistics, performance information, security reports, and others on a frequency determined by DMAS. This information will contribute to the evaluation and continuous improvement of business operations supporting compliance with the Reporting condition of the CMS Seven Conditions and Standards.

The Contractor shall address and meet the requirements related to System Reporting described in Appendix J.18 – System Reporting.

### 3.b.12. SERVICE-LEVEL AGREEMENTS (SLAs) AND PERFORMANCE STANDARDS

MITA’s Business Results Condition mandates accurate and timely processing of claims (including claims of eligibility), adjudications, and effective communications with providers, members, and the public. The

system performance management solution must provide the Department with the needed assurances to satisfy the MES' operational objectives in a complex production-operating environment. These assurances include both the Federal and Commonwealth's established requirements for performance, timeliness, and efficiency standards in a production operation. The ISS Contractor shall consistently meet or exceed these operational performance standards over the life of the contract.

The ISS Contractor's system performance management solution must provide documented performance levels in all critical areas of the MES including all business operations obligations necessary to fulfill the duties of the MES and its stakeholders. It is the responsibility of the Contractor to capture and report technical and operational performance data identified by the Department, and for reporting and auditing purposes, all performance data must reside in a central repository as determined by DMAS.

Performance metrics includes the below but not limited to:

- Disk space utilization (DMAS will check utilization and growth over time). Check space utilization on specific partitions like ones for log files and critical application server files
- Number of middleware related incidents (errors, problems, etc.) and source of incidents (monitoring, clients, users, etc.)
- Throughput of requests
- Up time
- Input / Output – bytes received/transmitted per second
- Usage thresholds for various performance measures related to CPU, memory, disk, network, failed transactions
- CPU, memory, disk, network, failed transactions (%) over time
- Security breach traffic captures with more information that will help to determine the root cause or breach source and its impacts.

Additionally, over the life of the contract, it is the Contractor's responsibility to meet or exceed the Performance Standards requirements and processes defined in Appendix A – Service-Level Agreements.

### **3.b.13. SERVICE REQUIREMENTS**

#### **3.b.13.1. IMPLEMENTATION SERVICE REQUIREMENTS**

The Contractor will provide resources that have the required skills and competencies to implement the project throughout the SDLC. The Contractor shall be responsible for development and maintenance of the project plan based on the approach. The Contractor will be responsible for regular reporting of progress against the plan, recommending corrective actions to be taken in the event of unanticipated changes to the plan or schedule, and regular updates to the plan and schedule to accommodate any changes.

#### **IMPLEMENTATION SUPPORT**

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The Contractor shall address the plan to facilitate staggered implementation of DMAS ISS in an efficient manner, resulting in reduced costs, shorter timelines, and lower risks. In the proposal, the Contractor shall cover all necessary aspects of ISS implementation through which all the specifications related to



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SOA best practices, design patterns, auto-scaling capacity to maintain SLA response etc., shall be handled in detail.

The Contractor shall address the following:

1. Establish a methodology that shall be followed throughout the lifetime of the ISS
2. Keep the costs and timelines of the methodology definition phase low by providing predefined customizable solutions
3. Eliminate the need to re-specify a large amount of rules, applicable on system level, further down in the project, ensuring a high level of consistency across all ISS components

The Contractor shall ensure that the new module is fully tested and system changes are well documented prior to inclusion in the Production environment. The Contractor shall address and adhere to the additional requirements related to Implementation Support described in Appendix J.23 – Post-Implementation Support.

**3.b.13.2. OVERSIGHT REQUIREMENTS AND RESPONSIBILITIES**

This section presents the general operational requirements necessary to support the successful administration of all components of the ISS. The following requirements represent tasks and activities that apply to several business functions and shall be implemented according to the business need.

Project Operations – includes general activities that support the operation of the ISS such as establishing a Contractor Facility, maintaining core hours of operation, developing policies, and procedures, and providing administrative reporting capabilities.

The Contractor shall describe in its proposal its approach for the general ISS operations functions outlined in the following subsections.

**A) CONTRACTOR SUPPORT**

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The Contractor shall recommend approach to provide DDI support during and after project implementation. The Contractor shall either set up a facility in Richmond or co-locate with DMAS staff for key personnel. DMAS shall determine the staffing requirements based on the phase of the project and effectiveness of the Contractor team. The Contractor shall address in its proposal and adhere to the requirements described in Appendix J.22 – Contractor Support and Appendix J.23 – Post-Implementation Support.

**B) HOURS OF OPERATION**

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The day-to-day operations necessary to perform the tasks and activities defined in this RFP shall be performed as defined in the hours of operations requirements.

The Contractor shall address and adhere to the requirements related to hours of operation described in Appendix J.24 – Hours of Operation.

### 3.c. DMAS DEFINED OPTIONS

DMAS has identified some requirements that it will consider optional, meaning DMAS will maintain the option to include the related requirements in the Integrated Services Solution. There are two types of DMAS defined options.

#### MANDATORY PRICING

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DMAS defined options with mandatory pricing must be described in the Contractor's proposal and a price must be submitted in Appendix C, Price Schedule J. This section describes the DMAS defined options that have mandatory pricing, and identifies the related requirements in Appendix J.

#### OPTIONAL PRICING

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DMAS defined options with optional pricing may be described in the Contractor's proposal at the discretion of the Contractor. If the Contractor chooses to address a DMAS defined option with optional pricing, the price must be submitted in Appendix C, Price Schedule J. This section describes the DMAS defined options that have optional pricing, and identifies the related requirements in Appendix J.

**The price for mandatory and optional pricing options will not be considered as part of the baseline price proposal used for evaluation.**

#### 3.c.1. MANDATORY PRICING OPTIONS

There are three (3) ISS options with mandatory pricing.

##### 3.c.1.1. DOCUMENTATION MANAGEMENT

The Contractor shall provide a Documentation Management system that stores both operational artifacts, such as hard-copy inputs, report outputs, and any documents received, as well as system documentation, such as design documents, operations manuals, and training materials.

Implementation of the Contractor's Solution must include the conversion of all of the contents currently stored in the legacy ECM that are needed by DMAS and the Contractor to utilize the solution. The proposed solution must include an integrated automated workflow and provide comprehensive document storage and easy access to all documents from the user's desktop.

The requirements for Document Management are provided in Appendix J.25.a – Documentation Management.

##### 3.c.1.2. EDI CALL CENTER

The ISS Contractor shall take over all functions, services and responsibilities of the current MMIS EDI call center operations, including an EDI help desk to assist with submission, compliance, translation, and technical, other technical support issues, and questions.

The call center shall be able to track inquiries from receipt to resolution. Call logs, recordings and call statistics shall be easily accessible by DMAS.

The requirements for the EDI Call Center are provided in Appendix J.25.b – EDI Call Center.



### **3.c.1.3. SECURE WEB PORTAL DASHBOARD FOR AUTHENTICATION, AUTHORIZATION AND SSO (UTILIZING ICAM)**

The ISS contractor shall provide a secure web portal as a Single Sign On (SSO) solution for authenticating internal and external users. The Solution must provide seamless integration to the web portal of other MES components based on the user's entitlement. Additionally, it is required that the solution be compatible and capable of interfacing with a COTS-based ICAM solution.

The requirements for the Secure Web Portal Dashboard for Authentication are provided in Appendix J.25.c – Secure Web Portal Dashboard for Authentication.

### **3.c.2. OPTIONAL PRICING OPTIONS**

There is one (1) ISS option with optional pricing.

#### **3.c.2.1. MEETING SPACE**

The ISS Contractor shall provide appropriate space to conduct meetings during the DDI phase that require DMAS staff attendance, including but not limited to JADs, walkthroughs, and team meetings. The space would ideally be within walking distance of the DMAS offices, but must be no more than 3 miles from 600 East Broad Street. Include the number of sessions, length of sessions, and capacity in your proposal. The proposed meeting space should be fully functional to ensure productivity, including but not limited to accommodate teleconferences, connectivity for WebEx meetings, projector equipment and white boards.

The requirements relating to Meeting Space are provided in Appendix J.25.d – Meeting Space.



## 4. PRICING INFORMATION

Offerors shall submit all pricing data in their Pricing Proposal (see RFP Section 9.b, Proposal Format, for detailed instructions) using the Microsoft Excel Pricing Submittal spreadsheet provided in Appendix C – Pricing. Altered formats or blank data will be considered incomplete and may be eliminated from further consideration.

The Offeror's Pricing Proposal shall include eVA fees and all charges of any kind associated with the Solution. DMAS will not be liable for any fees or charges for the Solution that are not set forth in the Pricing Proposal spreadsheet. Any attempt to add these fees to submitted pricing will not be considered.

The Offeror shall be willing and able to successfully implement the Solution for their proposed price(s) and to complete the project on a firm, fixed-price basis.

The Pricing Proposal information in the Offeror's Pricing Proposal shall be valid for at least 180 calendar days from the Proposal submission date. If the Offeror is reserving the option to withdraw the pricing during that period, it shall state so clearly in its Pricing Proposal.

The Offeror shall provide detailed pricing for each of the pricing methods set forth. Pricing shall be comprehensive. Additional information and backup detail shall be attached as appropriate. Any scheduled price change shall be identified, and actual new prices and proposed effective dates shall be stated.

The Offeror shall disclose pricing assumptions where possible. For example, if unit price is based on a certain volume, that assumption shall be indicated. Offeror shall clearly identify any discount targets/ranges available.

## 5. PROJECT MANAGEMENT AND GOVERNANCE

### 5.a. STATE PROJECT GOVERNANCE

Under the direction of the Secretary of Technology and the State Chief Information Officer (CIO), the VITA Project Management Division (PMD) implemented an enterprise strategy for the effective and efficient management of information technology investments. The selection, control, and evaluation of State business-driven IT investments by the Secretary and CIO are framed by IT Investment Management (ITIM) principles, ITIM "best practices" from both the public and private sectors, and legislative mandates in the Code of Virginia.

**Project Management governance involves participation from the following groups:** VITA, the DMAS MES PMO Director, IV&V, and a PMO assigned Project Manager.

**VITA Oversight:** VITA PMD manages state project oversight and project governance requirements. The VITA PMD assigns representatives to each agency in order to oversee IT project management. VITA makes recommendations to the State CIO for approvals. Each agency conducts monthly intra-agency oversight committee (IAOC) meetings with a VITA PMD representative, where the agency reports on the project's status. In addition, projects are tracked and monitored through the State Technology Portfolio online management tool.

**DMAS PMO Oversight:** The DMAS Agency Project Sponsor, Agency CIO, MES PMO Director, Project Managers, and Business Owners participate in a monthly IAOC meeting with a dedicated VITA PMD representative in accordance with Commonwealth Project Management guidelines and practices. The MES Program Director establishes the program status reporting and standards for the MES program. The MES Program Director oversees weekly and monthly reporting on the project's status. The program status reporting to stakeholders reflects a summary of individual project status reports, as well as oversight activities, and includes the following plans:

- Program Governance Quality Management Plan
- Program Integration and Architectural Plan
- Program Communications Management Plan
- Program Risks and Issues Management Plan
- Program Resource Management Plan
- Program Financial Management Plan
- Program Procurement Management Plan
- Program Change and Configuration Management Plan
- Program Implementation and Transition to Operations Management Plan
- Program Post-Implementation Review Plan

**CMS required IV&V oversight:** The Department will contract with an IV&V contractor to provide the required oversight as required by CMS. The IV&V contractor will comply with 45 CFR 95.626 – Independent Verification and Validation. The IV&V contractor provides oversight of the MES DDI. This oversight assures the following:

- Compliance with the CMS Seven Conditions and Standards
- Project alignment to the MITA 3.0 Framework
- Development and testing
- Readiness for CMS certification milestone reviews

The IV&V contractor performs the following services during development:

- Oversees and reports on development activities
- Conducts SDLC reviews
- Supports CMS certification milestone reviews
- Provides reports to CMS on the project's progress.

**PMO Assigned Project Manager Oversight:** The PMO provides qualified project managers who are responsible for individual MES Solution implementations. The Department will follow defined VITA project management governance requirements to include the following areas for each project: Investment Business Case Approval, Project Initiation Approval, Detailed Planning, Execution and Control, and Closeout approval. The PMO will establish standards for project performance. The Department Project Manager will provide the VITA PMD with project plans that include input derived from the Contractor's project plans and include, but are not limited to, the following:

- Project Quality Management Plan
- Project Work Plan
- Project Performance Reporting Summary
- Project Communications Management Plan
- Project Risks and Issues Management Plan
- Project Staff Acquisition Plan
- Project Hardware and Equipment Acquisition Plan
- Project Software Acquisition and Installation Plan
- Project Documentation Management Plan
- Training Plan
- Project Change and Configuration Management Plan
- Project Implementation and Transition to Operations Management Plan
- Disaster Recovery Plan
- Business Continuity Plan
- Project Evaluation Plan

Department project managers are responsible for monitoring and resolving issues and risks, as well as their escalation, when needed. Risks and issues will be tracked and reported weekly, and monthly status is provided to the IAOC. The Department Project Manager enters projects into the State Technology Portfolio, and they are tracked and monitored by the VITA PMD and the MES PMO.



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The Department will provide an implementation project team that will consist of a business owner(s), subject matter experts, information technology systems analysts, and technical team members. The Department may call upon other Department or contracting resources if needed.

The Department will also provide an Enterprise Systems Architect responsible for technical standards to be used for project integration. The Enterprise Systems Architect will work closely with VITA and the ISS Contractor. The DMAS Integration Project Team will support the Enterprise Systems Architect. Enterprise security will be the responsibility of the DMAS Integration Project Team.

**5.a.1. DMAS DELIVERABLE SUBMISSION AND REVIEW PROCESS**

Contractor shall follow the deliverable submission and review process outlined below for both DDI and Operations deliverables requiring DMAS approval.

**DESIGN, DEVELOPMENT, AND IMPLEMENTATION**

Using an agreed upon version control process, deliverables shall be sent by the Contractor to the MES PMO Deliverable Coordinator for review and approval by DMAS authorized staff. Unless otherwise specified in a DMAS approved work plan or schedule, below is the DMAS standard deliverable review timetable:

- DMAS has 10 business days from the first day following receipt of a deliverable to approve or reject the deliverable.
- Upon receipt of a rejected deliverable, Contractor shall have five (5) business days to make corrections and return the revised deliverable to DMAS for review.
- Until the deliverable is approved, DMAS has five (5) business days from first day following receipt of the revised deliverable to approve or reject the deliverable.

**OPERATIONS**

Using an agreed upon version control process, deliverables shall be sent by the Contractor to the DMAS Change Management Office for review and approval by DMAS authorized staff. Unless otherwise specified in a DMAS approved work plan or schedule, below is the DMAS standard deliverable review timetable:

- DMAS has 10 business days from the first day following receipt of deliverable to approve or reject deliverable.
- Upon receipt of rejected deliverable, Contractor shall have five (5) business days to make corrections and return the revised deliverable to DMAS for review.
- Until the deliverable is approved, DMAS has five (5) business days from first day following receipt of the revised deliverable to approve or reject the deliverable.

## 5.b. CONTRACTOR PROJECT MANAGEMENT

For the Virginia MES, it is expected that the Contractor shall propose a standard project management methodology with existing project templates and tools used to implement a proposed solution. The Contractor's project team shall consist of a dedicated Project Manager, along with the necessary supporting project team. The Contractor's Project Manager shall collaborate with the Department PMO and support any Department project plans as needed. A project resourcing plan will be required, the Contractor's staff will be required to have the necessary knowledge, skills, and abilities to complete the tasks associated with the project's scope.

**Master Work Plan:** The Contractor shall submit an implementation milestone schedule for the proposed solution as part of their response to this RFP. Contractor shall provide an initial Master Work Plan with their proposal, utilizing Appendix I to inform due dates and timeframes for deliverable submission.

The schedule will incorporate proposed Department dependent activities and milestones. A detailed work plan using Microsoft® Project will be jointly established with the Department PMO during the project planning phase. The Contractor shall propose a schedule that assumes a combined (Department and Contractor) master work plan. The detailed project master work plan will be maintained on a weekly basis.

**MES Implementation Roadmap and Status:** The Contractor shall participate in Department Program Management meetings every other week and Project Management meetings each week to discuss cross project impacts. The Department PMO will monitor the Contractor's progress utilizing State technology standards. This monitoring effort may require the Contractor to provide technology updates and proof of use of standards. The DMAS PMO Director will provide a status of the overall progress with the MES implementation roadmap on a monthly basis.

**Associate Supplier Agreement:** The Contractor shall interact with Department contracting entities, the IV&V contractor, Department staff, and other prime contractors. Since a MES is dependent on collaboration, the Department will expect the Contractor to create and execute an Associate Supplier Agreement.

**Design, Development and Implementation (DDI) project measurement:** Once requirements are finalized, a scope document shall be agreed to. The Contractor shall propose a baseline milestone table for the DDI, which shall incorporate Department milestones. The Contractor shall also provide a proposed deliverable chart and once approved, the deliverable chart, the baselined milestone table, and the work breakdown structure shall be used to manage the project's progress.

A joint Release Management methodology shall be agreed to by the Department and the Contractor and incorporated into Change Management.

**Operations and Maintenance project measurement:** Post DDI completion, for any defined release or project, status reporting shall be continued on a weekly basis. A joint Release Management methodology shall be agreed to by the Department and the Contractor and incorporated into Change Management.

**Escalation Process:** The Contractor shall propose an escalation chain of command for elevating risks and issues to begin with the Department Project Manager and include the reporting structure for the organization. The chain of command shall indicate a point of contact to communicate with the stakeholder leadership and shall include the DMAS CIO, DMAS Deputy Director, DMAS Medicaid Director, the State CIO, and the Secretary of Health and Human Resources.



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**IV&V:** The Department will contract with an IV&V contractor. CMS requires the IV&V contractor to provide periodic reports on the project's health and alignment with the MITA 3.0 Framework, as well as adhering to the Seven Conditions and Standards. The Contractor will work with the Department, the IV&V contractor, and CMS representatives throughout the life of the DDI phase, as well as during the beginning of the operational phase. A Medicaid Enterprise Certification Toolkit (MECT) checklist will be used as one of the tools for the periodic assessment reporting conducted by the IV&V contractor. The IV&V Contractor serves as the CMS point of contact as the MES moves toward achieving certification. The Contractor shall ensure the solution provided meets CMS's certification requirements.

For more detail on the Project Management Requirements, see Appendix J.2 – Major Milestones and Deliverables.

## 6. CONTRACTOR PROFILE AND KEY PERSONNEL

### 6.a. CONTRACTOR PROPOSAL COMPLIANCE

Before submitting its proposal, the Contractor shall verify the following: (i) the proposal is accurate and complete; (ii) the proposal is prepared in accordance with the solicitation requirements, including providing all information, content, responses, and appendices requested; and (iii) all required communication, format, and submission instructions are followed.

The Contractor shall submit an affirmation of the above compliance requirements (i)-(iii), signed by an authorized representative.

### 6.b. CONTRACTOR CORPORATE OVERVIEW

#### 6.b.1. BUSINESS (NOT TO EXCEED 5 PAGES)

State your company's core business/service offerings, background, and relevant experience in the market.

If you are proposing the use of a subcontractor(s) to perform 10% or more of the contract value, provide the same information for each company.

#### 6.b.2. CORPORATE IDENTITY (NOT TO EXCEED 1 PAGE)

Provide the address, phone and fax numbers, FEIN or tax ID number, company web site, and contact email, including for any parent corporation or any subsidiaries, as applicable.

If you are proposing the use of a subcontractor(s) to perform 10% or more of the contract value, provide the same information for each company.

#### 6.b.3. ORGANIZATION AND STRUCTURE

Provide an overview of your organizational operating structure that includes the following:

- A written description and accompanying corporate organization chart that demonstrates the relationship(s) between the operational and functional business units of your company and how they relate to providing the Integration Services Solution requested in this RFP.
- Indicate whether you propose the use of a subcontractor(s) to carry out the scope of work requested in this RFP. If you do propose the use of a subcontractor, describe your process for onboarding and integrating into the team that will be carrying out the scope of work requested in this RFP.

#### 6.b.4. LOCATIONS

Describe the geographical location of your firm at the national, regional, and local levels, as applicable.

- Identify all locations that will be used to support a resultant contract and the operations handled from these locations.



- Clearly identify any overseas locations which may be used to support the resultant contract or any related data transactions.

### **6.b.5. STRATEGIC RELATIONSHIPS**

Identify strategic relationships, either past or current, with other related Contractors who perform similar work to that described in this RFP, or the other four (4) MES RFPs (described in Section 1.a.1)—for example, an ISS Contractor or an Enterprise Data Warehouse Contractor.

State all subcontractors expected to be employed and the outsourced service/solution to be used in implementing the proposed Solution. DMAS reserves the right to request that the Contractor provide all the information described in this section for any and all major (i.e., over 10% of the contract value) subcontractors proposed.

### **6.b.6. ISO 900X CERTIFICATION**

Please indicate if your firm is ISO certified. Yes or no is sufficient. If “yes,” identify the area(s) certified (e.g., services, manufacturing, etc.), the expiration dates for certification, and also include proof of certification.

### **6.b.7. COUNCIL FOR AFFORDABLE QUALITY HEALTHCARE CERTIFICATION**

The Contractor shall indicate if it is Council for Affordable Quality Healthcare (CAQH) certified. Yes or no is sufficient. If “yes,” the Contractor shall identify the area(s) in which it is certified, the expiration dates for certification, and also include proof of certification.

## **6.c. FINANCIAL INFORMATION**

### **6.c.1. TOTAL ANNUAL REVENUE**

Please state your firm’s total annual revenue and indicate how much of this revenue is derived from the provision of services/solution relevant to the scope of work requested in this RFP.

### **6.c.2. DUN AND BRADSTREET SUPPLIER QUALIFIER REPORT**

Include your firm’s current, full Dun and Bradstreet (D&B) Supplier Qualifier Report (SQR), if D&B has issued the SQR on your company.

### **6.c.3. ANNUAL REPORTS**

Please provide certified, audited financial statements (i.e., income statements, balance sheets, cash flow statements) for the most recent three (3) years. (Contractors having been in business for a shorter period of time are requested to submit any available certified, audited annual financial statements.) DMAS may request copies of, or access to, current and historic annual reports. DMAS reserves the right to access a Contractor’s publicly available financial information and to consider such information in its evaluation of the Contractor’s proposal.

For Contractor’s convenience, these statements may be included as an Appendix to the Volume 1 – Technical Proposal, or included only electronically on the Volume 1 – Technical Proposal CD-ROM.



## 6.d. FUTURE, LONG TERM VISION, AND STRATEGIC PLANS

Provide information on your company's future, long-term vision, and strategic plans as they relate to the proposed Solution.

- This shall include a description of how your company plans to support emerging technologies and industry standards.

## 6.e. CONTRACTOR EXPERIENCE LEVEL AND CUSTOMER REFERENCES

The Contractor shall demonstrate a proven record of providing Solutions of similar scope and complexity to those defined in Section 3, Scope of Work. Provide three (3) customer references, preferably from within the past five (5) years, with the requested information contained below in Table 6. DMAS will make such reasonable investigations as deemed proper and necessary to determine the ability of a Contractor to perform a resultant contract. These may include, but may not be limited to, reference checks, and interviews. The references shall be from organizations where the Contractor is providing (or has provided) Solutions that are similar in type and scope to those identified in Section 3, Scope of Work. DMAS shall not be listed as a reference by the Contractor.

On the following page, DMAS provides a table to utilize for each customer reference (**table to be repeated three (3) times, one (1) per reference**). The Contractor may adjust the table for purposes of formatting (e.g., Project Description row may break across multiple pages), but the actual content shall not be changed.

The Contractor is strongly encouraged to provide more than one point of contact for each reference. However, if necessary, the same contact information may be used.



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**Table 6: Customer Reference Information Table**

Requested Information	Contractor Response
Customer Name	(e.g., Company, State Department, etc.)
Project Name:	
Contract Number:	
Customer Point of Contact and Contact Information:	[Name] [E-mail] [Phone]
Customer Project Manager and Contact Information:	[Name] [E-mail] [Phone]
Customer Contract Manager and Contact Information:	[Name] [E-mail] [Phone]
Project Dates:	MM/YYYY – MM/YYYY
Project Description:	
Case Study Results:	[Provide a synopsis or case study of project results related to increased quality, increased operating efficiency, etc. This is requested to demonstrate the added value the Contractor offered and to indicate the typical on-going cost reductions and Solution efficiencies DMAS could similarly expect to realize.]

*\*Contractor shall use one table per customer reference.*



## 6.f. SUPPORT MANAGEMENT AND PERSONNEL

### 6.f.1. STEERING COMMITTEE

By submitting a proposal, the Contractor agrees that it shall, if awarded a contract pursuant to this RFP, participate in Steering Committee meeting(s), which are described in the Steering Committee section of the contract template found in Appendix H – Contract Template of this RFP.

Please identify the titles and areas of responsibility of persons your firm would commit to serve on this Steering Committee.

### 6.f.2. PROJECT TEAM

The Contractor is responsible for proposing “key” personnel in accordance with DMAS’ roles defined in Section 6.f.3, Contractor Personnel. The Contractor may propose additional personnel as it sees fit.

The Contractor shall provide the following information related to its proposed team:

#### RESUMES

- Provide the resumes of all key members of the Contractor’s team; resumes for non-key personnel are preferred, should they add value to the evaluation of the proposed Solution, but are not required.
- DMAS reserves the right to request replacement candidates for any role proposed by the Contractor; replacement candidates’ qualifications should meet or exceed those of the originally proposed candidate, as demonstrated via resume.

#### REFERENCES

- Provide at least two (2) references each for all key personnel. References should include name; title; company/organization; e-mail; phone number; and a brief description of the professional relationship of the reference to the proposed team member.

#### TIME COMMITMENT

- Provide the percentage of time proposed personnel are expected to be assigned to this contract. The Contractor will be required to involve DMAS in the selection and rotation of any key team members assigned.
- For each proposed project team member, indicate the percentage of time that the team member will be dedicated onsite.

#### PROJECT ORGANIZATION

- Describe the level of access to company leadership that the proposed project team members have within your organization, and describe the decision-making authority they have to commit resources to meet unexpected surges in activity and/or to respond to service issues.

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- Include a project organization chart (for both DDI and Operations teams) that demonstrates the project team’s reporting relationship to company leadership.

**6.f.3. CONTRACTOR PERSONNEL**

The roles and related qualifications listed in the table below represent preferred requirements for the Contractor personnel proposed for this engagement. Additional relevant experience may be substituted for educational requirements. In proposed personnel resumes, the Contractor shall demonstrate how each proposed team member fulfills the following requirements specified for their role (Tables 7 and 8), as well as general expectations for the position, including but not limited to:

- Ability to effectively communicate with appropriate levels within the Contractor’s organization and MES program team
- Experience with MITA 3.0 Framework including the Seven Conditions and Standards
- Ability to solve problems and resolve conflicts

**Table 7: DDI Key Personnel Requirements**

DDI Role	Years of Medicaid or Health Plan Experience	Preferred Minimum Years of Experience in Role	Richmond Based	Education/ Certification
Project Manager		20		PMP
Enterprise Architect		15		Any
Security Architect		10		Any
Application Architect		10		Any
Data Analyst		10		Any
Business Analyst		10		Any
DBA		10		Any
Application Developer		10		Any
Security Architect		5		CISSP or CISM

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**Table 8: Operations Key Personnel Requirements**

Operations Role	Years of Medicaid or Health Plan Experience	Preferred Minimum Years of Experience in Role	Richmond Based	Education/Certification
Operations Manager		20		PMP
Enterprise Architect		15		Any
Application Architect		10		Any
Data Analyst		10		Any
Business Analyst		10		Any
DBA		10		Oracle
Application Developer		10		Any
Security Tech		2		No

Note: “Optional” for **Richmond Based** will still require that the individual filling the role be onsite as needed, such as for specific phases and periodic meetings

## 7. PERFORMANCE STANDARDS

The Department will set standards for the Design, Development and Implementation (DDI) Project Stage and the Operations and Maintenance (O&M) years for the solution.

The Department will implement Quality Management standards for the design, development and Implementation stages of the project. The Performance Standards will be linked to Quality Maintenance Payments under the Contract. The Contractor shall receive a Quality Maintenance Payment following the successful completion of the Contract Requirement and by meeting mutually agreed upon deliverables and milestones with associated payments. Quality Maintenance Payments do not provide the Contractor any additional reimbursement. Instead, the Contractor shall maintain the Performance Standards established under the Contract to receive the entire payment amount under the Contract.

The Department will set standards for the Operations and Maintenance quality management. The current Operations and Maintenance Service Level Agreements (SLAs) are designed for the contractor to meet the agreed upon requirements for the operational product and services. SLAs define the service delivery time and performance expectations that respondents to this Request for Proposal (RFP) will address in their proposals.

Throughout the contract and in close cooperation with the Department, the Contractor will be called upon to propose additional SLAs that appropriately address the developing business and service needs to support the system's future performance and operations, allowing for a clear understanding of priorities when handling service problems, and manage customer expectations for levels of service to be delivered. Through a contract modification process, the operations and administration of the contract are performed to the Department's satisfaction. The resulting future SLAs will support the various operations, maintenance, and technical requirements, as well as any applicable hosting and system migration requirements. The current SLA standards are identified in Appendix A.



## 8. CONTRACT STANDARDS

Any resulting agreement shall be defined by a written contract, which shall be binding only when fully executed by both parties. A copy of DMAS’ standard Solution contract is provided as part of this RFP as a separate MS Word document in Appendix H Contract Template titled, “Integration Services Solution.”

In the event Contractor is a software reseller, DMAS will consider the software publisher’s license agreement language if the software publisher requires an End User License Agreement (EULA). In such case, Contractor is advised that DMAS will require Contractor to obtain DMAS’ License Agreement Addendum to such EULA to address terms and conditions in such EULA with which DMAS, as a government entity, by law or by policy, cannot agree.

If a Contractor’s proposed Solution requires DMAS to execute a EULA, Contractor shall contact the Single Point of Contact (SPOC), who will provide Contractor with DMAS’ License Agreement Addendum terms.

The final terms and conditions of the contract shall be agreed upon during negotiations; however, DMAS’ business requirements are embodied in its standard agreements, and Contractor is to give them the same careful review and consideration as the other requirements set forth in this RFP.

Provide your comments regarding any exceptions in the form of margin notes/comments and redline the document with your suggested language, where required. Contractors are encouraged to utilize the SPOC to address any questions you may have regarding any part of the DMAS Contract Template during the question and answer period.

Include the completed table below in your response to this RFP.

**Table 9: Standard Requirements**

Item	Contractor’s Response (Y or N)
Do you agree that the contents of your response to this RFP may become part of any contract that may be entered into as a result of this RFP?	
Will you agree to begin measuring the service-level (Appendix A – Service-level agreements) within 30 days of the start of the implementation of the Solution?	
The contract will include performance standards, measurement criteria, and significant corresponding financial remedies. Do you agree to include the Service-levels and remedies for non-compliance as defined in Appendix A – Service-Level Agreements in the final contract?	
Do you agree to include mutually agreed upon cost reduction initiatives, which may be periodically updated during the term of the contract?	
Do you agree that all provisions of the DMAS Contract (Appendix H – Contract Template) NOT redlined or so noted are acceptable?	
Do you acknowledge that you will submit a Small Business (SWaM) Procurement Plan stating whether or not and how you will be utilizing small businesses in your proposal? (See Section 9.c., Small Business (SWaM) Procurement Plan)	



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Item	Contractor's Response (Y or N)
Contractor acknowledges that no Federal funds may be used to obtain any Solution under a contract awarded, pursuant to this RFP, to any Contractor who appears on any excluded lists on the Federal government's System for Award Management (SAM) at <a href="http://www.sam.gov">www.sam.gov</a> .	
If Contractor proposes a solution that will require the State to execute a EULA, either as a signed agreement or as "clickwrap," with a software manufacturer, Contractor shall, for each such software manufacturer, obtain the written consent of such software manufacturer to the terms and conditions of DMAS' License Agreement Addendum. Contractor shall contact the SPOC, who will provide Contractor with DMAS' License Agreement Addendum terms.	
Do you affirm that your response meets all of the Mandatory requirements listed in Section 9.a.15?	
Do you affirm that your organization is properly registered with the Virginia State Corporation Commission to conduct business in the State? Contractor is to complete Appendix D – State Corporation Commission Form and submit with its proposal.	
Do you affirm that your organization and all affiliates are current with all sales tax obligations to the State as of the due date of the proposals in response to this RFP?	
<p>Do you agree to accept the following provisions?</p> <ul style="list-style-type: none"> <li>➤ <a href="http://www.vita.virginia.gov/uploadedFiles/SCM/StatutorilyMandatedTsandCs.pdf">http://www.vita.virginia.gov/uploadedFiles/SCM/StatutorilyMandatedTsandCs.pdf</a>;</li> <li>➤ And the eVA provisions at: <a href="http://www.vita.virginia.gov/uploadedFiles/SCM/eVATsandCs.pdf">http://www.vita.virginia.gov/uploadedFiles/SCM/eVATsandCs.pdf</a></li> <li>➤ And the contractual claims provision §2.2-4363 of the Code of Virginia.</li> </ul>	
Contractor acknowledges by submitting a proposal in response to this solicitation that it is ineligible to submit a proposal in response to other MES procurements released by the Department of Medical Assistance Services.	

## 9. STATE PROCUREMENT PROCESS

### 9.a. PROPOSAL INSTRUCTIONS AND ADMINISTRATION

#### 9.a.1. OVERVIEW

This RFP was developed to provide potential Contractors (referred to as “Supplier(s)” and “Offeror” in State law citations) with the information required to prepare proposals. This section outlines the administrative procedures and guidelines for preparing a proposal. Nothing in this RFP constitutes an offer or an invitation to contract.

#### 9.a.2. VIRGINIA PUBLIC PROCUREMENT ACT (VPPA)

This RFP is governed by the VPPA, § 2.2-4300 et seq. of the Code of Virginia, and other applicable laws.

#### 9.a.3. ANTI-DISCRIMINATION - §2.2-4343(1)(E), §2.2-4310 AND §2.2-4311

By submitting their proposals, Offerors certify to the Commonwealth that they will conform to the provisions of the Federal Civil Rights Act of 1964, as amended, as well as the Virginia Fair Employment Contracting Act of 1975, as amended, where applicable, the Virginians With Disabilities Act, the Americans With Disabilities Act and §2.2-4311 of the Virginia Public Procurement Act.

#### 9.a.4. ETHICS IN PUBLIC CONTRACTING - §2.2-4367

By submitting their proposals, Offerors certify that their proposals are made without collusion or fraud and that they have not offered or received any kickbacks or inducements from any other bidder, supplier, manufacturer or subcontractor in connection with their proposal, and that they have not conferred on any public employee having official responsibility for this procurement transaction any payment, loan, subscription, advance, deposit of money, services or anything of more than nominal value, present or promised, unless consideration of substantially equal or greater value was exchanged.

#### 9.a.5. ANNOUNCEMENT OF AWARD - §2.2-4300 ET SEQ.

Upon the award or the announcement of the decision to award a contract, as a result of this solicitation, the purchasing agency will post such notice on the Department of General Services (DGS), Division of Purchases and Supply (DPS) eVA web site (<http://www.eva.virginia.gov>) for a minimum of 10 days. No award decision will be provided verbally. Any final contract, including pricing, awarded as a result of this RFP shall be made available for public inspection.



#### **9.a.6. AUTHORIZED TO TRANACT BUSINESS IN THE COMMONWEALTH - § 2.2-4311.2**

Any Contractor that is organized as a stock or nonstock corporation, limited liability company, business trust, or limited partnership or registered as a registered limited liability partnership shall be authorized to transact business as a domestic or foreign business entity if so required by Title 13.1 or Title 50 of the Code of Virginia or as otherwise required by law. Offeror is to include with its proposal either (i) Contractor's identification number issued to it by the State Corporation Commissioner (ii) a statement explaining why Offeror is not required to be registered. No award can be made to a Contractor without this information unless this requirement is waived. Appendix D State Corporation Commission Form of this RFP includes a space for Contractor to provide the information required in (i) or (ii) of this subsection.

#### **9.a.7. PROHIBITED CONTRIBUTIONS AND GIFTS - § 2.2-4376.1**

No Offeror who submits a proposal in response to this RFP, and no individual who is an officer or director of the Offeror, shall knowingly provide a contribution, gift, or other item with a value greater than \$50 or make an express or implied promise to make such a contribution or gift to the Governor, his political action committee, or the Secretary of Technology during the period between the submission of the proposal and the award of any resulting contract award with an expected value of \$5 million or more dollars. Offerors shall complete and submit Appendix E - Certificate of Compliance with Prohibition of Political Contributions and Gifts during the Procurement Process of this solicitation.

#### **9.a.8. LIABILITY**

The issuance of this document and the receipt of information in response to this document will not cause DMAS to incur any liability or obligation, financial or otherwise, to any Contractor. DMAS assumes no obligation to reimburse or in any way compensate a Contractor for expenses incurred in connection with development of its proposal.

#### **9.a.9. NONDISCLOSURE**

All proposal information will be treated as confidential prior to posting the Notice of Intent to Award contract and will not be disclosed except as required by law or by court order. Prior to Award of the contract, proposal information may be disclosed as allowed under Virginia Code § 2.2-4342.D. After award of the contract, proposal information will be available to public inspection under § 2.2-4342 of the Virginia Public Procurement Act and the Virginia Freedom of Information Act.

#### **9.a.10. PROPRIETARY INFORMATION**

DMAS reserves the right to use, copy, and reproduce all documents, data, and other information submitted in response to the RFP in any manner DMAS may deem appropriate in evaluating the fitness of the solution(s) proposed, and in complying with applicable law. All data, materials, and documentation originated and prepared for DMAS pursuant to the RFP shall be subject to public inspection in accordance with §2.2-4342 of the Virginia Public Procurement Act and the Virginia Freedom of Information Act.

Consistent with § 2.2-4342(F) of the Code of Virginia, DMAS will, as permitted by law, hold confidential Suppliers trade secrets or proprietary information submitted by a Supplier in connection with a



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procurement transaction or prequalification application submitted pursuant to subsection B of §2.2-4317 if the Supplier, to DMAS's satisfaction:

- i). invokes the protections of section 2.2-4342(F) of the Code of Virginia in writing prior to or upon submission of the data or other materials,
- ii). identifies specifically the data or other materials to be protected, and
- iii). states the reasons why protection is necessary.

FAILURE TO COMPLY WILL RESULT IN THE DATA OR OTHER MATERIALS BEING RELEASED TO SUPPLIERS OR THE PUBLIC AS PROVIDED FOR IN THE VIRGINIA FREEDOM OF INFORMATION ACT.

The Supplier should submit a completed Administrative Appendix F (Proprietary/Confidential Information Identification Form) with its proposal that lists all pages in the Supplier's proposal that contain proprietary information and the reason it deems such information proprietary. **The classification of an entire proposal as proprietary or trade secret is not acceptable.**

Also refer to Section 9.b.2 for additional information regarding proposal format, including the location for Contractor's completed Appendix F and instructions on how to provide a redacted copy of the proposal.

#### **9.a.11. PROPOSAL PROTOCOL**

Protocol for the format and submission of the Contractor's Proposal is detailed in RFP Section 9.b, Proposal Format.

#### **9.a.12. SINGLE POINT OF CONTACT**

Submit all inquiries concerning this RFP in writing by email, subject: "Questions for RFP #2016-04" to:

SPOC: Chris Banaszak

Email: [RFP2016-04@dmas.virginia.gov](mailto:RFP2016-04@dmas.virginia.gov)

DMAS cannot guarantee a response to questions received less than fifteen (15) days prior to the proposal due date. No questions will be addressed orally.

To ensure timely and adequate consideration of proposals, **Contractors are to limit all contact**, whether verbal or written, pertaining to this RFP to the designated SPOC for the duration of this proposal process.

#### **9.a.13. PRE-PROPOSAL CONFERENCE/TELECONFERENCE**

A pre-proposal conference/teleconference will be conducted at 10:00 A.M. ET on June 28, 2016 at the DMAS 7th Floor Conference Room, 600 E. Broad Street, Richmond, VA 23219. The purpose of this conference is to give DMAS an opportunity to clarify any facets of this solicitation. **DMAS will not respond to questions during the pre-proposal conference.**

To participate in the pre-proposal conference/teleconference, Offerors need to register with the SPOC: Chris Banaszak by sending an e-mail to [RFP2016-04@dmas.virginia.gov](mailto:RFP2016-04@dmas.virginia.gov) stating the name of Offeror and Offerors participating representatives. Due to space limitations, Offerors who will be attending the conference in person are limited to three (3) representatives. Offerors for electronic attendance will



receive a teleconference number for the call. It is strongly recommended that Offerors register no later than 1:00 pm local time on the day prior to the teleconference to ensure that Offeror receives a teleconference number.

#### 9.a.14. EVALUATION PROCESS

DMAS will review each proposal received by the due date and time to determine whether it meets the Must Have (“M”) factors of this RFP. All Must Have factors included in Section 9.a.15, Evaluation Factors, are evaluated on a met or not-met basis. Any proposal that does not meet all of the Must Have factors will be set aside and receive no further consideration.

The proposals that meet all the Must Have criteria will be distributed to the evaluation team who will assess and score each Contractor’s response to RFP Section 3, Scope of Work, Section 6, Contractor Profile and Key Personnel, Section 8, Contract Standards, and Section 9.c, Small Business (SWaM) Procurement Plan, based on a review of the submitted materials.

DMAS may elect to continue the evaluation of the most qualified proposal(s) and may request that the Contractor(s) clarify or further explain certain aspects of the proposal(s).

At any point in the evaluation process, DMAS may employ any or all of the following means of evaluation:

- Reviewing industry research
- Requesting contractor presentations
- Conducting site visits
- Reviewing Contractor’s status as a small business or micro business, including small or micro businesses that are owned by minorities, women, or disabled veterans, and certified by the Department of Small Business and Supplier Diversity (SBSD)
- Considering Contractor’s planned subcontract value with certified SWaM or micro business subcontractors
- Contacting Contractor's references and customers
- Product demonstrations/pilot tests/detailed demonstrations
- Review of pricing
- Interviewing key personnel and/or contacting key personnel references
- Requesting Contractors to elaborate on or clarify specific portions of their proposal

DMAS may limit all of the above to the most qualified proposals. No Contractor is guaranteed an opportunity to explain, supplement, or amend its initial proposal. **Contractors shall submit their best proposals and not assume there will be an opportunity to negotiate, amend, or clarify any aspect of their initial submitted proposals.** Therefore, each Contractor is encouraged to ensure that its initial proposal contains and represents its best offering.

Contractor shall be prepared to conduct product demonstrations, pilot tests, presentations, or site visits at the time, date, and location of DMAS’ choice, shall DMAS so request.



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DMAS will select for negotiation those proposals deemed to be fully qualified and best suited based on the factors as stated in the RFP. Negotiations will be conducted with these Contractors. After negotiations, DMAS may select the proposal(s) which, in its opinion, is the best proposal(s) representing best value and may award a contract to that Contractor(s). For purposes of this RFP, DMAS will determine best value based on the value relative to the cost of the Solution, giving consideration to the project's budget objectives.

If any Contractor fails to provide the necessary information for negotiations in a timely manner, or fails to negotiate in good faith, DMAS may terminate negotiations with that Contractor at any time.

DMAS SHALL NOT BE CONTRACTUALLY BOUND TO ANY CONTRACTOR PRIOR TO THE EXECUTION OF A DEFINITIVE WRITTEN CONTRACT.

**9.a.15. EVALUATION FACTORS**

The evaluation factors involved in this RFP are as follows:

1. Must Have (M) factors identified in the table below:

**Table 10: Must Have Factors**

No.	Must Have (M) Factors
1	(M) Proposal must be received by the due date and time. No late proposals will be reviewed.
2	(M) Contractor affirms that its organization and all affiliates are current with all sales tax obligations to Virginia as of the due date of the proposals in response to this RFP.
3	(M) Contractor accepts the statutorily provisions at the following URLs: <a href="http://www.vita.virginia.gov/uploadedFiles/SCM/StatutorilyMandatedTsandCs.pdf">http://www.vita.virginia.gov/uploadedFiles/SCM/StatutorilyMandatedTsandCs.pdf</a> ; and the eVA provisions at: <a href="http://www.vita.virginia.gov/uploadedFiles/SCM/eVATsandCs.pdf">http://www.vita.virginia.gov/uploadedFiles/SCM/eVATsandCs.pdf</a> as well as the contractual claims provision §2.2-4363 of the Code of Virginia.
4	(M) Contractor acknowledges by submitting a proposal in response to this solicitation that it is ineligible to submit a proposal in response to other MES procurements released by the Department of Medical Assistance Services.

2. The extent to which the Contractor’s proposal satisfies the requirements identified in Section 3, Scope of Work, and Section 8, Contract Standards.
3. Contractor’s viability and past performance (see Section 6, Contractor Profile and Key Personnel), which will include Contractor’s diligence and thoroughness in following and completing the requirements of this solicitation.
4. Contractor’s status as a SBSB-certified small business or micro business, including small businesses or micro businesses that are owned by minorities or women, and Contractor’s proposed Small Business (SWaM) Procurement Plan (see Section 9.c, Small Business (SWaM) Procurement Plan).
5. Cost, which may include submitted price, negotiated price, discounted price, total cost of ownership, etc.



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**9.a.16. PROCUREMENT WEBSITE**

Virginia’s procurement portal, <http://www.eva.virginia.gov>, provides information about State solicitations and awards. Contractors are encouraged to check this site on a regular basis and, in particular, prior to submission of proposals to identify any amendments to the RFP that may have been issued.

The Department of Medical Assistance Services Procurement Library for this RFP, [http://www.dmas.virginia.gov/Content\\_pgs/mmis\\_replacement\\_lib.aspx](http://www.dmas.virginia.gov/Content_pgs/mmis_replacement_lib.aspx), provides reference materials to assist in the response to the RFP.

**9.a.17. TIMETABLE**

The following provides the timeline for this procurement.

**Table 11: Procurement Timeline**

Activity	Target Completion Date
RFP posted to eVA	06/15/2016
Registration deadline for pre-proposal conference/teleconference	06/27/2016 by 1:00 P.M. ET
Contractor pre-proposal conference/teleconference	06/28/2016 at 10:00 A.M. ET
Deadline for all questions	07/8/2016 by 10:00 A.M. ET
Proposals due	07/29/2016 by 10:00 A.M. ET
Presentations and site visits (should DMAS elect)	TBD
Contract(s) awarded	TBD

The timetable above is provided for planning purposes only.

**9.a.18. EVA REGISTRATION REQUIRED**

By the date of award, the selected Contractor(s) is required to be registered and able to accept orders through eVA. If a Contractor is not registered with eVA, select the “Supplier” tab at the following website, <http://www.eva.virginia.gov>, for registration instructions and assistance.

**9.a.19. EXCLUDED PARTIES LIST**

Your organization, all affiliates and all subcontractors may not be awarded a contract if they are excluded on the Federal government’s System for Award Management (SAM) at [www.sam.gov](http://www.sam.gov) or the Virginia’s Debarment List as provided by Code of Virginia §2.2-4321 at the time of award.



## 9.a.20. BEST AND FINAL OFFER

At the conclusion of negotiations, the Contractor(s) may be asked to submit in writing, a Best and Final Offer (BAFO). After the BAFO is submitted, no further negotiations shall be conducted with the Contractor(s). The Contractor's proposal will be rescored to combine and include the information contained in the BAFO. The decision to award will be based on the final evaluation including the BAFO.

## 9.b. PROPOSAL FORMAT

In their proposals, Contractors shall adhere to the specific format set forth below in Sections 9.b.1 and 9.b.2 to aid the evaluation team in its efforts to evaluate all proposals fairly and equitably. Proposals that deviate from the requested format will require additional time for review and evaluation. DMAS may reject any proposal that is not in the required format, or does not address all the requirements of this RFP. Contractor shall be prepared to incorporate all statements made in its proposal in response to this RFP into the final contract.

Proposals shall be written specifically to answer this RFP. General "sales" material shall not be used within the body of the proposal and any additional terms or conditions on the "sales" material will be considered invalid. If desired, Contractor may attach such material in a separate appendix. It is essential that the proposal be thorough and concise. Contractor shall avoid broad, unenforceable, or immeasurable responses, and shall include all requested information in each section as indicated below.

### 9.b.1. CONTRACTOR'S PROPOSAL SUBMISSION FORMAT

#### **DUE DATE**

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In order to be considered for selection, a Contractor must submit a complete response to this RFP that is received no later than 10:00 A.M. ET on Friday, July 29, 2016.

#### **SUBMISSION LOCATION**

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Proposals sent by USPS, UPS, FedEx, or other commercial carrier shall be addressed to:

Attention: Chris Banaszak  
Department of Medical Assistance Services  
600 East Broad Street, Suite 1300  
Richmond, VA 23219

Proposals submitted by Hand Delivery shall be addressed to:

Attention: Chris Banaszak  
Department of Medical Assistance Services, 7th Floor DMAS Receptionist  
600 East Broad Street  
Richmond, VA 23219

#### **PACKAGE LABELING**

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Proposals shall be clearly marked on the outside cover of all boxes, packages, envelopes, etc. with the following:

Contractor Name



## Virginia Medicaid Enterprise System: Integration Services Solution RFP

Integration Services Solution RFP No. 2016-04  
Proposal Due: July 29, 2016 at 10:00 A.M. ET  
Attention: Chris Banaszak  
Department of Medical Assistance Services  
600 East Broad Street  
Richmond, VA 23219

### PROPOSAL VOLUMES

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The Contractor's complete response to the RFP shall consist of the following three (3) proposal volumes. **Detailed instructions for what must be included in each volume** are provided below in Section 9.b.2, Contractor's Proposal Format.

- Volume 1 – Technical Proposal
- Volume 2 – Cost Proposal
- Volume 3 – Redacted Proposal

### PROPOSAL VOLUMES SUBMISSION FORMAT

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The three (3) proposal volumes **shall each be submitted in a separate, sealed envelope** according to the following instructions. Each Volume shall be signed by an authorized representative of the Contractor.

- **Volume 1 – Technical Proposal**
  - ✓ Two (2) original, signed hard copies in a binder with tabs delineating each major section
  - ✓ Six (6) electronic copies on CD-ROMs in a Microsoft Word file format (file naming conventions are defined below in RFP Section 9.b.2)
- **Volume 2 – Cost Proposal**
  - ✓ Two (2) original, signed hard copies in a binder with tabs delineating the Pricing section and the SWaM Procurement Plan
  - ✓ One (1) electronic copy on a CD-ROM in a Microsoft Excel file format, as provided in RFP Appendix C and in the Procurement Library (file naming conventions are defined below in RFP Section 9.b.2)
- **Volume 3 – Redacted Proposal**
  - ✓ Two (2) original, signed hard copies in a binder with tabs delineating each major section
  - ✓ One (1) electronic copy on a CD-ROM in Adobe PDF file format (file naming conventions are defined below in RFP Section 9.b.2)

## 9.b.2. CONTRACTOR'S PROPOSAL FORMAT

In order to provide optimal readability and efficient evaluation of proposals, Contractors shall organize their response to this RFP as indicated below, addressing each requirement in the sequence provided.

For the electronic copies of each Volume, Contractors shall provide the requested information in the following format:

- Contractor shall place its name in each file name (e.g., ABC Company – Integration Services Solution RFP No. 2016-04 – Transmittal.docx)

### 9.b.2.1. VOLUME 1 – TECHNICAL PROPOSAL

Contractor shall provide the following documents both in hard copy and as separate electronic files, per the instructions above in Section 9.b.1, Contractor's Proposal Submission Format.

**For ease of formatting Contractor's response, the following pages provide the required outline for Volume 1 – Technical Proposal. Contractor's responses shall follow both the numbering and naming conventions of this outline.**

#### FILE 1: TRANSMITTAL LETTER

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1. **Transmittal Letter:** Contractor shall provide a transmittal letter, signed by an individual authorized to legally bind the Contractor to the terms and conditions of this RFP and identifying the individuals authorized to negotiate on behalf of the Contractor. This letter shall also include contact information for these individual(s).
2. **eVA Registration Confirmation:** Contractor shall provide a copy of Contractor's completed eVA registration confirmation.

#### FILE 2: EXECUTIVE SUMMARY

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1. **Executive Summary:** Contractor shall provide a high level summary of the most important aspects of the proposal, containing a concise description of the proposed solution(s).

#### FILE 3: SCOPE OF WORK

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Contractor shall address each item in RFP Section 3, Scope of Work, in the order provided below.

1. **Contractor General Requirements:** Contractor shall provide a detailed response to each section in RFP Section 3.a., Contractor General Requirements, using the heading titles provided below.
  - 1.1. Project Design, Development, and Implementation (DDI)
  - 1.2. Testing Overview
  - 1.3. Change Management
  - 1.4. IV&V/CMS Reviews and Certification
  - 1.5. Audit Support
  - 1.6. Turnover
  - 1.7. Technology

- 1.8. Electronic Data Interchange
- 1.9. Documentation Management
- 2. Statement of Work – Integration Services Solution:** Contractor shall provide a detailed response to each of the following sections of RFP Section 3.b., Statement of Work – ICAM and ISS, using the heading titles provided below.
  - 2.1. Master Integration Plan
  - 2.2. Functional Requirements
  - 2.3. Training Requirements
  - 2.4. Onboarding Requirements
  - 2.5. Security Requirements
  - 2.6. ISS as a Service Oriented Architecture (SOA)
  - 2.7. Identity, Credentials, and Access Management Solution (ICAM)
  - 2.8. MES Single Sign-on Solution (SSO)
  - 2.9. Repository Standards for Enterprise Architecture Content Framework
  - 2.10. Data Retention Requirements
  - 2.11. System Reporting Requirements
  - 2.12. Service-level Agreements (SLAs) and Performance Standards
  - 2.13. Service Requirements

#### **FILE 4: CONTRACTOR PROFILE AND KEY PERSONNEL**

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Contractor shall address each item in RFP Section 6, Contractor Profile and Key Personnel, in the order provided below.

- 1. Contractor Proposal Compliance:** Contractor shall provide an affirmative statement in response to RFP Section 6.a., Contractor Proposal Compliance.
- 2. Contractor Corporate Overview:** Contractor shall provide a response to each of the following sections of RFP Section 6.b., Contractor Corporate Overview, using the heading titles provided below.
  - 2.1. Business
  - 2.2. Corporate Identity
  - 2.3. Organization and Structure
  - 2.4. Locations
  - 2.5. Strategic Relationships
  - 2.6. ISO 900X Certification
  - 2.7. Council for Affordable Quality Healthcare Certification

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3. **Financial Information:** Contractor shall provide a response to each of the following sections of RFP Section 6.c., Financial Information, using the heading titles provided below.
  - 3.1. Total Annual Revenue
  - 3.2. Dun and Bradstreet Supplier Qualifier Report
  - 3.3. Annual Reports
4. **Future, Long Term Vision, and Strategic Plans:** Contractor shall provide a response to RFP Section 6.d., Future, Long Term Vision, and Strategic Plans.
5. **Contractor Experience Level and Customer References:** Contractor shall provide three (3) customer references in the format provided in RFP Section 6.e, Contractor Experience Level and Customer References.
6. **Support Management and Personnel:** Contractor shall provide a detailed response to each of the following sections of RFP Section 6.f., Support Management, and Personnel, using the heading titles provided below.
  - 6.1. Steering Committee
  - 6.2. Project Team
  - 6.3. Contractor Personnel

### FILE 5: CONTRACT TERMS AND CONDITIONS AND SERVICE-LEVEL AGREEMENTS

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Contractor shall address each item in RFP Section 8, Contract Standards, RFP Appendix A – Service-level agreements, and RFP Section H – Contract Template, in the order provided below.

1. **Contract Standards:** Contractor shall complete the table provided in RFP Section 8, Contract Standards. If a Contractor's proposed Solution requires DMAS to execute a EULA, Contractor shall contact the Single Point of Contact (SPOC), who will provide Contractor with DMAS' License Agreement Addendum terms.
2. **Service-level agreements:** Contractor shall include the full text of RFP Appendix A – Service-level agreements, in this section and provide a statement of affirmation and agreement to be bound by the SLAs contained therein.
3. **Contract Template:** Contractor shall provide the full text of RFP Appendix H – Contract Template, in this section. Contractor shall include comments and, if necessary, specific alternative language utilizing tracked changes for discussion during contract negotiations.

### FILE 6: APPENDICES

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Contractor shall include the following appendices in the order provided below.

1. Appendix D – State Corporation Commission form
2. Appendix E – Certificate of Compliance with Prohibition of Political Contributions
3. Appendix F – Proprietary/Confidential Information Identification Form
4. Appendix G – Offeror Certification



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5. Initial Master Work Plan as requested in Section 5, Project Management and Governance
6. Completed Microsoft Excel Requirements Traceability Matrix (RTM), provided in the Procurement Library, as referenced in Appendix J
7. Any optional information Contractor may wish to submit, not including pricing data

### 9.b.2.2. VOLUME 2 – COST PROPOSAL

In a separately sealed envelope, Contractor shall provide the following files, per the instructions above in Section 9.b.2, Contractor’s Proposal Submission Format.

**For ease of formatting Contractor’s response, the following pages provide the required outline for Volume 2 – Cost Proposal. Contractor’s responses shall follow both the numbering and naming conventions of this outline.**

#### FILE 1: PRICING

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Contractor shall provide a completed Pricing Submittal Workbook according to the instructions laid forth in RFP Section 4, Pricing Information. The Pricing Submittal Workbook is included in RFP Appendix C and on the Procurement Library in its native Microsoft Excel format.

#### FILE 2: SMALL BUSINESS (SWAM) PROCUREMENT PLAN

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Contractor shall provide a completed SWaM Procurement Plan, which is included in RFP Appendix B, according to the instructions laid forth in RFP Section 9.c, Small Business (SWaM) Procurement Plan.

### 9.b.2.3. VOLUME 3 – REDACTED PROPOSAL

Contracted shall provide a complete redacted copy of the Technical Proposal and /or Cost Proposal, as applicable, in accordance with RFP Section 9.a.10, Proprietary Information, and the outlines laid forth in RFP Sections 9.b.2.1 and 9.b.2.2.



### 9.c. SMALL BUSINESS (SWaM) PROCUREMENT PLAN

It is the policy of Virginia to contribute to the establishment, preservation, and strengthening of small businesses and micro businesses including those small or micro businesses owned by women, minorities or service-disabled veterans and to encourage their participation in State procurement activities. Virginia encourages all Contractors (Suppliers) to provide for the participation of these small businesses through partnerships, joint ventures, subcontracts, and other contractual opportunities.

A Contractor which is a small business, a small woman-owned business, a small minority-owned business or a small service disabled veteran-owned business, as defined in § 2.2-4310 or 2.2-1401 of the Code of Virginia, or a certified micro business as defined in Executive Order Number 20 (2014), is a SWaM business. If Contractor is a SWaM business, the Contractor shall include a copy of all Virginia SWaM certifications with its proposal. No Contractor shall be considered a small business, a woman-owned business, a minority-owned business, a service-disabled veteran business or a micro business unless certified by SBSB. For information, go to: <http://www.sbsd.virginia.gov/>.

Please provide a Small Business (SWaM) Procurement Plan as set forth in Appendix B SWaM Procurement and Subcontracting Monthly Report and Small Business Procurement Plan. In the submitted Small Business (SWaM) Procurement Plan, please state the percentage of the contract's value that will be spent with SWaM subcontractors. Please also include in your plan a list of all subcontractors you plan to utilize who are not Virginia-certified SWaM businesses. If Contractor does not plan to use small business subcontractors in executing a contract resulting from this RFP, so state. Appendix B shall be included within Volume 2 – Cost Proposal as indicated in RFP Section 9.b.2.2.

## APPENDIX A – SERVICE-LEVEL AGREEMENTS

A successfully implemented service-level management discipline ensures that information system functions efficiently while fulfilling the desired business needs. SLAs relate to operational requirements including data quality thresholds to increase efficiency, enhance customer service, and control costs. Additionally, SLAs measure system performance through availability, accessibility, performance, and response times. SLAs also support business continuity response times (disaster recovery), problem management and resolution response times (preventative measurements and minimizing impacts of incidents).

### ISS SERVICE-LEVEL AGREEMENTS

Over the life of the contract, it is the Contractor’s responsibility to develop the measurement tool and manage the following processes and SLAs defined in SLA Requirements Table below, to meet the performance management objectives for the ISS Contractor.

The remedy amounts defined in Table 12 reflect the relative importance and value of the SLAs to DMAS.

**Table 12: ISS Service-Level Agreements**

ID	Description	Measurement	Remedy
ISS-TECH-SLA-001	Must pass the Commonwealth’s quality audits.	Audits conducted by internal, State, CMS.	Any audit remedies incurred by the State.
ISS-TECH-SLA-002	System reports online for 2 years	Contractor report verification	1% of monthly contract value
ISS-TECH-SLA-003	The Log data online for 90 days	Contractor report verification	1% of monthly contract value
ISS-TECH-SLA-004	Archive 3 years of log data	Contractor logs verification	1% of monthly contract value
ISS-TECH-SLA-005	Log data archived for 3 years	Contractor logs verification	1% of monthly contract value
ISS-TECH-SLA-006	Real-time response time	Category 1: less than or equal to 1 second Category 2: less than or equal to 3 seconds Category 3: less than or equal to 6 seconds Category 4: less than or equal to 20 seconds	2% of monthly contract value



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ID	Description	Measurement	Remedy
ISS-TECH-SLA-007	<p>Post batch files to the ISS Contractor shall not exceed specified time frame based on the category of the service. The definition of the batch files to be included in each category will be defined during the requirements phase.</p> <p>Category 1: mission critical processes less than or equal to 60 minutes</p> <p>Category 2: low priority processes less than or equal to 4 hours</p>	< 100%	2% of monthly contract value
ISS-TECH-SLA-008	<p>The Contractor <b>must</b> prioritize all issues into severity levels as defined by DMAS and resolve them according to the established timeframes for the production system defects</p> <p>Severity Level One (1) Defects: within 60 minutes of notification to or from Contractor</p> <p>Severity Level Two (2) Defects: within 4 hours</p> <p>Severity Level Three (3) Defects: within 8 hours</p> <p>Severity Level Four (4) or higher: within an agreed upon schedule between the Contractor(s) and the Department after the defect was identified</p>	< 100%	1% of monthly contract value
ISS-TECH-SLA-009	<p>On the occurrence of a disaster, the Contractor will restore essential services irrespective of the time the incident occurred</p>	> 120 clock minutes	2% of annual contract value
ISS-TECH-SLA-010	<p>A comprehensive technical and operational test of the Disaster Recovery (DR) Plan and Business Continuity Plan</p>	Failure to pass the annual test in a contract year	2% of annual contract value
ISS-TECH-SLA-011	<p>Website response times (Website response time is measured at the Contractor's router)</p>	< 2 seconds ninety-nine percent (99%) of the time.	2% of annual contract value



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ID	Description	Measurement	Remedy
ISS-TECH-SLA-012	ISS services Scheduled Maintenance must not prevent transaction processing	< 24 hours per day, seven (7) days per week.	1% of monthly contract value
ISS-TECH-SLA-013	Availability of the test regions during scheduled times	< 99.9% availability	2% of monthly contract value
ISS-TECH-SLA-014	Adhere to applicable State and Federal laws, rules, regulations, guidelines, policies, and procedures relating to information systems, information systems security and privacy, physical security, PHI confidentiality and privacy.	The Contractor will assume all liabilities including any incurred cost to the Department for the violation of applicable State and Federal laws, rules, regulations, guidelines, policies, and procedures relating to information systems, information systems security and privacy, physical security, PHI confidentiality and privacy.	Incurred costs



# APPENDIX B – SWAM PROCUREMENT AND SUBCONTRACTING MONTHLY REPORT AND SMALL BUSINESS PROCUREMENT PLAN

## A. SMALL, WOMEN-OWNED, AND MINORITY-OWNED BUSINESS (SWAM) PROCUREMENT AND SUBCONTRACTING QUARTERLY REPORT

On a quarterly basis, Contractor shall submit to DMAS evidence of compliance (subject only to insubstantial shortfalls and to shortfalls arising from subcontractor default) with the small business subcontracting plan. Upon completion of the contract, the Contractor agrees to furnish the purchasing office at a minimum the following information: name of firm with the SBSB certification number, phone number, total dollar amount subcontracted, category type (small, women-owned, or minority-owned), and type of product or service provided. Payment(s) may be withheld until compliance with the plan is received and confirmed by the agency or institution. The agency or institution reserves the right to pursue other appropriate remedies for non-compliance to include, but not be limited to, termination for default.

Contractor’s quarterly report shall include spend on all Contractor’s contracts with second-tier small business suppliers which provide products or Service/Solution under this Contract. The report shall specify the amount of such spend provided to SWaM vendors, by SWaM category, regardless of such SWaM vendors’ certification status. Contractor shall submit the report to [BCM@dmass.virginia.gov](mailto:BCM@dmass.virginia.gov).

## B. SWAM PROCUREMENT PLAN

All small businesses must be certified by the Virginia Department of Small Business and Supplier Diversity (SBSD) by the due date for receipt of bids Certification applications are available through SBSB online at <http://www.sbsd.virginia.gov/>.

Offeror Name: \_\_\_\_\_

Preparer Name: \_\_\_\_\_

Date: \_\_\_\_\_

### INSTRUCTIONS

- A. If you are certified by the SBSB as a small business or as a micro business, complete only Section A of this form. This shall not exclude SBSB-certified women, minority or service-disabled veterans-owned businesses when they have received SBSB small business certification.
- B. If you are not a SBSB-certified small business, complete Section B of this form.



**SECTION A**

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If your firm is certified by the SBSD are you certified as a (check all that apply):

- Small Business
- Small and Women-owned Business
- Small and Minority-owned Business
- Small Service Disabled Veteran-owned Business
- Small Service Disabled Veteran-owned Business
- Micro Business
- Micro Business and Women-owned Business
- Micro Business and Minority-owned Business
- Micro Service Disabled Veteran-owned Business

Certification Number: \_\_\_\_\_

Certification Date: \_\_\_\_\_



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**SECTION B**

Populate the table below to show your firm's plans for utilization of SBSD-certified small businesses in the performance of this contract. This shall not exclude SBSD-certified micro businesses or women, minority, or service disabled veteran-owned businesses when they have received the SBSD small business certification. Include plans to utilize small businesses as part of joint ventures, partnerships, subcontractors, etc.

Small Business Name & Address DMBE Certificate #	Status if Small Business is also: Women (W), Minority (M) Service-Disabled Veteran (D), Micro Business (MB)	Contact Person, Telephone & Email	Type of Goods and/or Services	Planned Involvement During Initial Period of the Contract	Planned Contract Dollars During Initial Period of the Contract
<b>Totals \$</b>					

## APPENDIX C – PRICING

### C.1 PRICE PROPOSALS

This section provides the instructions for the Price Proposal preparation. Use of the Microsoft Excel spreadsheet titled “Appendix C – Pricing Schedules.xls” in the form and content provided with this RFP is **MANDATORY**. Failure to use the schedules as provided shall result in disqualification. It is included as an attachment to this RFP in the Procurement Library.

#### OVERVIEW

The Contract Term is defined in stages. A Design, Development and Implementation (DDI) Phase is initiated for each project. The DDI Phase I will start from contract signing date through the end of the state fiscal year. A total of eight (8) Operations and Maintenance Phases (five fixed and three optional) that begin on July 1 and end June 30, for each state fiscal year will make up the additional stages. Please see the Pricing Stage Chart for periods by RFPs. DMAS, in its sole discretion, may extend this Contract with up to three (3) one-year option periods that would run from July 1 through June 30 for each period. The prices included in the Price Proposal will become the sole basis for Contractor reimbursement, except for authorized direct cost items identified in Price Schedule K – Configuration and Customization. The dollar values included in the Offeror’s Price Proposal become the basis for determining best value as described in RFP Section 9.a.14, Evaluation Process.

#### PRICING SCHEDULE A – DESIGN, DEVELOPMENT, AND IMPLEMENTATION (DDI) PHASE PRICE INSTRUCTIONS

The Design, Development and Implementation (DDI) Pricing Schedule for this solution is based on a “Flight Plan” concept and includes all planning, joint application design sessions, design conversion, construction, testing, implementation, and certification pricing. The DDI for services will be costed separately, totaled for complete DDI cost, and included in the Offeror’s proposed Total Pricing on Pricing Schedule N.

**Section 1.a.1 VIRGINIA MES PROCUREMENT STRATEGY of the RFP contains Figure 1 that is a Model of a proposed Flight Plan for a staggered implementation to support the pricing methodology.**

#### PRICING SCHEDULES B-I, OPERATION AND MAINTENANCE (O&M) PHASE PRICE INSTRUCTIONS

The Schedules used in this section include Schedule B – Ongoing Operations and Maintenance for State FY 2018-19 through Schedule I - Ongoing Operations and Maintenance for State FY 2025-26.

In Pricing Schedules B thru F, Offerors must specify a fixed price to operate the proposed solution for each year of the initial five year base period of the contract Operational and Maintenance Phase. Pricing Schedules G thru I specify the fixed price to operate the proposed solution for each of the three (3) one year optional extensions. The Contractor awarded a contract will be paid the monthly amount as determined in final negotiations.

#### PRICING SCHEDULE J – OPTIONAL ENHANCEMENTS

This schedule is to allow the Offeror to account for optional enhancements not requested or included in the mandatory RFP requirements that are included in the Offeror base price (no additional cost) as well



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as Offeror proposed enhancements and their associated prices that are not included in the base price. Optional enhancements will not be included in the initial scoring but may be discussed during negotiations.

**PRICING SCHEDULE K – CONFIGURATION AND CUSTOMIZATION**

This schedule will include pricing for the Offeror to account for requests that are either included in the base price or are priced as an option for system configuration and customization.

**PRICING SCHEDULE L – LICENSES**

The Pricing sheets will also include a License Pricing Sheet. This sheet will be used by the Offeror to account for licenses used during all periods of DDI and O&M.

**PRICING SCHEDULE M – SUPPLEMENTAL STAFFING PRICE**

This Schedule is for the Offeror to submit the fixed hourly rates for each labor category utilized and calculated into the fixed monthly payments line item for ongoing operations and maintenance for Schedules B-I. All cost associated with this Schedule is for informational purposes only but may be used during the performance of the contract to calculate Offeror reimbursement rates for other projects identified and approved by the Department.

**PRICING SCHEDULE N – SUMMARY OF ALL PRICING SCHEDULES**

This schedule is a summary pricing worksheet for Offerors to include the proposed prices from the DDI and O&M pricing schedules. The final negotiated price will be used for determining best value relative to the evaluation process as described in the RFP and the basis for which the awarded Contractor will be paid in the performance of the contract.

**PROPOSAL QUALITY MANAGEMENT PAYMENT CALCULATION EXAMPLE**

This example is a worksheet for Offerors to calculate the Quality Management Payment for each DDI stage of the project. The quality management payment calculation (7%) is a holdback. It will be paid yearly if the milestones for the DDI Fiscal Year are current. If not, then the payment will be paid when the milestones become current. If a Contractor finishes all scheduled milestones ahead of the schedule fiscal year end, it will trigger the payment regardless if the 12 months are complete or not. A second Quality Management Payment is tied to CMS Certification. The quality maintenance payment calculation for CMS certification (3%) is a holdback and will be paid after CMS certification is received. See Table C-2 below.

**ACTUAL VERSUS PROPOSAL PAYMENT CALCULATION FOR DDI**

The payments are listed as monthly payments for pricing purposes and comparisons for DDI. In practice, Virginia and the contractor will agree upon a milestone / deliverable schedule. Based on the identified milestones or deliverables, an approval will result in a payment portion of the overall Fiscal Year payment. See the Payment Table C-3 below.



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**CONTRACT STAGE PRICING**

The contract will be broken into stages tied to the state fiscal year. Stages will consist of DDI or Operations & Maintenance.

**Table C-1: Contract Stage Pricing Table**

Contract Stage	Period	RFPs
1) DDI Phase I	July 1, 2016 – June 30, 2017	PBMS, ISS, EDWS, FMS, CSS
2) DDI Phase II	July 1, 2017 – June 30, 2018	ISS, EDWS, FMS, CSS
3) O&M SFY -1	July 1, 2018 – June 30, 2019	Full O&M All RFPs
4) O&M SFY -2	July 1, 2019 – June 30, 2020	Full O&M All RFPs
5) O&M SFY -3	July 1, 2020 – June 30, 2021	Full O&M All RFPs
6) O&M SFY -4	July 1, 2021 – June 30, 2022	Full O&M All RFPs
7) O&M SFY -5	July 1, 2022 – June 30, 2023	Full O&M All RFPs
8) O&M SFY -6 (Optional)	July 1, 2023 – June 30, 2024	Full O&M All RFPs
9) O&M SFY -7 (Optional)	July 1, 2024 – June 30, 2025	Full O&M All RFPs
10) O&M SFY -8 (Optional)	July 1, 2025 – June 30, 2026	Full O&M All RFPs

**PROPOSAL QUALITY MANAGEMENT PAYMENT CALCULATION EXAMPLE**

This example is a worksheet for Offerors to calculate the Quality Management Payment for the DDI stage of the project.

**Table C-2: Quality Maintenance Payment Example**

Contract Stage	A License Price	B Total Stage Price	C DDI Quality Maintenance Payment (=B x 7%)	D Total Stage Payments =(B-A-C)	E Quality Maintenance Payment for CMS Certification DDI Project Phase(s) (=B times 3%)	F Adjusted Stage Price in Pricing Schedule (=B - E)
DDI SFY1 (7%)	\$10K	\$2M	\$140K	\$1.85M	\$60K	\$1.94M
DDI SFY2 (7%)	\$10K	\$4M	\$280K	3.71M	\$120K	\$3.88M
O&M Years 1-8	\$700K	\$48M	NA	\$47.3M	NA	\$48M
<b>Total Price</b>	\$720K	\$54M	\$420K	\$52.88M	\$180K	\$53.82M

Step 1: Offerors estimate Licenses Price for the Contract Stage based on their proposal and internal pricing processes.

Step 2: Offerors estimate Total Stage Price for the Contract Stage based on their proposal and internal pricing processes.

Step 3: Offerors calculate the Quality Maintenance Payment Amount for the DDI Contract Stage using the formula: Total Stage Price x 7%.

Step 4: Offerors calculate the Quality Maintenance Payment Amount for the CMS Certification using the formula: Total Stage Price x 3%. This hold back is paid when CMS certification is completed.

Step 5: Offerors calculate Proposal Fixed Monthly Payments using the formula: Total Stage Price – Quality Maintenance Payment Amount – Licenses Price.

**ACTUAL VERSUS PROPOSAL PAYMENT CALCULATION EXAMPLE**

If the 12 monthly payments equal \$800,000, then \$800,000 minus the 7% quality management hold back will be divided by the number of payment milestones and deliverables identified in the work plan (see table C-3 below). Virginia and the Contractor will agree on the final payment schedule. Once a milestone is achieved, the Contractor will submit an approval for payment.



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**Table C-3: Deliverable / Milestone Payment Table**

Deliverable / Milestones Due in Fiscal Year	Total Payments - \$800,000 Minus (7%) = \$744,000	Approval Schedule
1) Baselined Work Plan	\$148,800	On-time
2) Detailed Project Plan	\$148,800	On-time
3) Project Planning Complete	\$148,800	On-time
4) Requirements Validation	\$148,800	On-time
5) Design Document	\$148,800	On-time
<i>Fiscal Year End Payment Due</i>	\$56,000	At completion of last deliverable (#5) for FY
<b>Total</b>	\$800,000	



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**PRICE SCHEDULE A (A.1 – A.5) – DESIGN, DEVELOPMENT AND IMPLEMENTATION (DDI)  
CONTRACT STAGE 1, SFY 2016-17**

The Offeror shall provide pricing, independent of the “Ongoing Operations and Maintenance”(O&M), for Design, Development and Implementation (DDI) that is specifically related to the provision of the Contract Stage 1 associated requirements indicated in the Offeror’s completed response to the RFP.

- A.1 The Offeror shall provide a fixed price for the complete Contract Stage that includes fixed monthly payments over the Offeror’s estimated period of the Contract Stage.
- A.2 A Quality Maintenance Payment equal to seven percent (7.0%) of the Total Contract price for DDI will be paid upon successful implementation for the Stage 1 period.
- A.3 The Offeror shall provide the annual licenses costs.
- A.4 A Quality Maintenance Payment equal to three percent (3.0%) of the Total Contract price for DDI will be paid upon successful completion of the CMS Certification Project Phase for the Stage 1 period.
- A.5 The total stage price for DDI shall be transferred to Schedule N to be included in Offeror’s total cost for solution.

<b>Time Period for this Stage: July 1, 2016 to June 30, 2017</b>				
	<b>Number of Months (N)</b>	<b>Price per Month (PPM)</b>	<b>Total Price (N*PPM)</b>	<b>Calculated Percent Total Price (Total Price/Total Stage Price *100)</b>
(A.1) Fixed Monthly Payments	12	\$	\$	%
(A.2) Quality Maintenance Payments Price	N/A	N/A	\$	7%
(A.3) Licenses Price <sup>1</sup>	N/A	N/A	\$	%
(A.4) CMS Certification Quality Maintenance Payments Price	N/A	N/A	\$	3%
<b>(A.5) Total Stage Price (Sum A.1 – A.4)</b>	N/A	N/A	\$	100%

<sup>1</sup> License information shall also be included as a line item in Schedule L – Licenses.



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**PRICE SCHEDULE A (A.6- A.10) – DESIGN, DEVELOPMENT AND IMPLEMENTATION (DDI)  
CONTRACT STAGE 2, SFY 2017-18**

The Offeror shall provide pricing, independent of the “Ongoing Operations and Maintenance”(O&M), for Design, Development and Implementation (DDI) that is specifically related to the provision of the Contract Stage 1 associated requirements indicated in the Offeror’s completed response to the RFP.

- A.6 The Offeror shall provide a fixed price for the complete Contract Stage that includes fixed monthly payments over the Offeror’s estimated period of the Contract Stage.
- A.7 A Quality Maintenance Payment equal to seven percent (7.0%) of the Total Contract price for DDI will be paid upon successful implementation for the Stage 1 period.
- A.8 The Offeror shall provide the annual licenses costs.
- A.9 A Quality Maintenance Payment equal to three percent (3.0%) of the Total Contract price for DDI will be paid upon successful completion of the CMS Certification Project Phase for the Stage 2 period.
- A.10 The total stage price for DDI shall be transferred to Schedule N to be included in Offeror’s total cost for solution.

<b>Time Period for this Stage: July 1, 2017 to June 30, 2018</b>				
	<b>Number of Months (N)</b>	<b>Price per Month (PPM)</b>	<b>Total Price (N*PPM)</b>	<b>Calculated Percent Total Price (Total Price/Total Stage Price *100)</b>
(A.6) Fixed Monthly Payments	12	\$	\$	%
(A.7) Quality Maintenance Payments Price	N/A	N/A	\$	7%
(A.8) Licenses Price <sup>2</sup>	N/A	N/A	\$	%
(A.9) CMS Certification Quality Maintenance Payments Price	N/A	N/A	\$	3%
<b>(A.10) Total Stage Price (Sum A.6 – A.9)</b>	N/A	N/A	\$	100%

<sup>2</sup> License information shall also be included as a line item in Schedule L – Licenses.



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**PRICE SCHEDULE B – ONGOING OPERATIONS AND MAINTENANCE, CONTRACT STAGE SFY 2018-19**

The Offeror shall provide pricing, independent of the Design, Development and Implementation Contract Stage, that is specifically related to the provision of Ongoing Operations and Maintenance (O&M) for the referenced Contract Stage State Fiscal Year (SFY) in support of the Offeror’s final negotiated solution.

- B.1 The Offeror shall provide a fixed price for the complete Contract Stage over the State Fiscal Year (SFY) (July 1 -June 30) that includes a fixed monthly payment.
- B.2 The Offeror shall provide the annual licenses costs.
- B.3 The Offeror shall provide the Configuration and Customization for 4160 hours per year.

<b>Time Period for this Stage: July 1, 2018 – June 30, 2019</b>				
	<b>Number of Months (N)</b>	<b>Price per Month (PPM)</b>	<b>Total Price (N*PPM)</b>	<b>Calculated Percent Total Price (Total Price/Total Stage Price *100)</b>
(B.1) Fixed Monthly Payments	12	\$	\$	%
(B.2) Licenses Price <sup>3</sup>	N/A	N/A	\$	%
(B.3) Configuration/ Customization Price <sup>4</sup>	N/A	N/A	\$	%
<b>(B.4) Total Stage Price (Sum B.1 – B.3)</b>	N/A	N/A	\$	100%

<sup>3</sup> License information shall also be included as a line item in Pricing Schedule L – Licenses.

<sup>4</sup> Total amount from Schedule K - Configuration and Customization, shall be transferred for this line item.



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**PRICE SCHEDULE C – ONGOING OPERATIONS AND MAINTENANCE, CONTRACT STAGE SFY 2019-20**

The Offeror shall provide pricing, independent of the Design, Development and Implementation Contract Stage, that is specifically related to the provision of Ongoing Operations and Maintenance (O&M) for the referenced Contract Stage State Fiscal Year (SFY) in support of the Offeror’s final negotiated solution.

- C.1 The Offeror shall provide a fixed price for the complete Contract Stage over the State Fiscal Year (SFY) (July 1 -June 30) that includes a fixed monthly payment.
- C.2 The Offeror shall provide the annual licenses costs.
- C.3 The Offeror shall provide the Configuration and Customization for 4160 hours per year.

<b>Time Period for this Stage: July 1, 2019 – June 30, 2020</b>				
	<b>Number of Months (N)</b>	<b>Price per Month (PPM)</b>	<b>Total Price (N*PPM)</b>	<b>Calculated Percent Total Price (Total Price/Total Stage Price *100)</b>
(C.1) Fixed Monthly Payments	12	\$	\$	%
(C.2) Licenses Price <sup>5</sup>	N/A	N/A	\$	%
(C.3) Configuration/ Customization Price <sup>6</sup>	N/A	N/A	\$	%
<b>(C.4) Total Stage Price (Sum C.1 – C.3)</b>	N/A	N/A	\$	100%

<sup>5</sup> License information shall also be included as a line item in Pricing Schedule L – Licenses.

<sup>6</sup> Total amount from Schedule K - Configuration and Customization, shall be transferred for this line item.



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**PRICE SCHEDULE D – ONGOING OPERATIONS AND MAINTENANCE, CONTRACT STAGE SFY 2020-21**

The Offeror shall provide pricing, independent of the Design, Development and Implementation Contract Stage, that is specifically related to the provision of Ongoing Operations and Maintenance (O&M) for the referenced Contract Stage State Fiscal Year (SFY) in support of the Offeror’s final negotiated solution.

- D.1 The Offeror shall provide a fixed price for the complete Contract Stage over the State Fiscal Year (SFY) (July 1 -June 30) that includes a fixed monthly payment.
- D.2 The Offeror shall provide the annual licenses costs.
- D.3 The Offeror shall provide the Configuration and Customization for 4160 hours per year.

<b>Time Period for this Stage: July 1, 2020 – June 30, 2021</b>				
	<b>Number of Months (N)</b>	<b>Price per Month (PPM)</b>	<b>Total Price (N*PPM)</b>	<b>Calculated Percent Total Price (Total Price/Total Stage Price *100)</b>
(D.1) Fixed Monthly Payments	12	\$	\$	%
(D.2) Licenses Price <sup>7</sup>	N/A	N/A	\$	%
(D.3) Configuration/ Customization Price <sup>8</sup>	N/A	N/A	\$	%
<b>(D.4) Total Stage Price (Sum D.1 – D.3)</b>	N/A	N/A	\$	100%

<sup>7</sup> License information shall also be included as a line item in Pricing Schedule L – Licenses.

<sup>8</sup> Total amount from Schedule K - Configuration and Customization, shall be transferred for this line item.



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**PRICE SCHEDULE E – ONGOING OPERATIONS AND MAINTENANCE, CONTRACT STAGE SFY 2021-22**

The Offeror shall provide pricing, independent of the Design, Development and Implementation Contract Stage, that is specifically related to the provision of Ongoing Operations and Maintenance (O&M) for the referenced Contract Stage State Fiscal Year (SFY) in support of the Offeror’s final negotiated solution.

- E.1 The Offeror shall provide a fixed price for the complete Contract Stage over the State Fiscal Year (SFY) (July 1 -June 30) that includes a fixed monthly payment.
- E.2 The Offeror shall provide the annual licenses costs.
- E.3 The Offeror shall provide the Configuration and Customization for 4160 hours per year.

<b>Time Period for this Stage: July 1, 2021 – June 30, 2022</b>				
	<b>Number of Months (N)</b>	<b>Price per Month (PPM)</b>	<b>Total Price (N*PPM)</b>	<b>Calculated Percent Total Price (Total Price/Total Stage Price *100)</b>
(E.1) Fixed Monthly Payments	12	\$	\$	%
(E.2) Licenses Price <sup>9</sup>	N/A	N/A	\$	%
(E.3) Configuration/ Customization Price <sup>10</sup>	N/A	N/A	\$	%
<b>(E.4) Total Stage Price (Sum E.1 – E.3)</b>	N/A	N/A	\$	100%

<sup>9</sup> License information shall also be included as a line item in Pricing Schedule L – Licenses.

<sup>10</sup> Total amount from Schedule K - Configuration and Customization, shall be transferred for this line item.



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**PRICE SCHEDULE F – ONGOING OPERATIONS AND MAINTENANCE, CONTRACT STAGE SFY 2022-23**

The Offeror shall provide pricing, independent of the Design, Development and Implementation Contract Stage, that is specifically related to the provision of Ongoing Operations and Maintenance (O&M) for the referenced Contract Stage State Fiscal Year (SFY) in support of the Offeror’s final negotiated solution.

- F.1 The Offeror shall provide a fixed price for the complete Contract Stage over the State Fiscal Year (SFY) (July 1 -June 30) that includes a fixed monthly payment.
- F.2 The Offeror shall provide the annual licenses costs.
- F.3 The Offeror shall provide the Configuration and Customization for 4160 hours per year.

<b>Time Period for this Stage: July 1, 2022 – June 30, 2023</b>				
	<b>Number of Months (N)</b>	<b>Price per Month (PPM)</b>	<b>Total Price (N*PPM)</b>	<b>Calculated Percent Total Price (Total Price/Total Stage Price *100)</b>
(F.1) Fixed Monthly Payments	12	\$	\$	%
(F.2) Licenses Price <sup>11</sup>	N/A	N/A	\$	%
(F.3) Configuration/ Customization Price <sup>12</sup>	N/A	N/A	\$	%
<b>(F.4) Total Stage Price (Sum F.1 – F.3)</b>	N/A	N/A	\$	100%

<sup>11</sup> License information shall also be included as a line item in Pricing Schedule L – Licenses.

<sup>12</sup> Total amount from Schedule K - Configuration and Customization, shall be transferred for this line item.



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**PRICE SCHEDULE G – ONGOING OPERATIONS AND MAINTENANCE, CONTRACT STAGE SFY 2023-24 (RENEWAL OPTION YEAR 1)**

The Offeror shall provide pricing, independent of the Design, Development and Implementation Contract Stage, that is specifically related to the provision of Ongoing Operations and Maintenance (O&M) for the referenced Contract Stage State Fiscal Year (SFY) in support of the Offeror’s final negotiated solution.

- G.1 The Offeror shall provide a fixed price for the complete Contract Stage over the State Fiscal Year (SFY) (July 1 -June 30) that includes a fixed monthly payment.
- G.2 The Offeror shall provide the annual licenses costs.
- G.3 The Offeror shall provide the Configuration and Customization for 4160 hours per year.

<b>Time Period for this Stage: July 1, 2023 – June 30, 2024</b>				
	<b>Number of Months (N)</b>	<b>Price per Month (PPM)</b>	<b>Total Price (N*PPM)</b>	<b>Calculated Percent Total Price (Total Price/Total Stage Price *100)</b>
(G.1) Fixed Monthly Payments	12	\$	\$	%
(G.2) Licenses Price <sup>13</sup>	N/A	N/A	\$	%
(G.3) Configuration/ Customization Price <sup>14</sup>	N/A	N/A	\$	%
<b>(G.4) Total Stage Price (Sum G.1 – G.3)</b>	N/A	N/A	\$	100%

<sup>13</sup> License information shall also be included as a line item in Pricing Schedule L – Licenses.

<sup>14</sup> Total amount from Schedule K - Configuration and Customization, shall be transferred for this line item.



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**PRICE SCHEDULE H – ONGOING OPERATIONS AND MAINTENANCE, CONTRACT STAGE SFY 2024-25 (RENEWAL OPTION YEAR 2)**

The Offeror shall provide pricing, independent of the Design, Development and Implementation Contract Stage, that is specifically related to the provision of Ongoing Operations and Maintenance (O&M) for the referenced Contract Stage State Fiscal Year (SFY) in support of the Offeror’s final negotiated solution.

- H.1 The Offeror shall provide a fixed price for the complete Contract Stage over the State Fiscal Year (SFY) (July 1 -June 30) that includes a fixed monthly payment.
- H.2 The Offeror shall provide the annual licenses costs.
- H.3 The Offeror shall provide the Configuration and Customization for 4160 hours per year.

<b>Time Period for this Stage: July 1, 2024 - June 30, 2025</b>				
	<b>Number of Months (N)</b>	<b>Price per Month (PPM)</b>	<b>Total Price (N*PPM)</b>	<b>Calculated Percent Total Price (Total Price/Total Stage Price *100)</b>
(H.1) Fixed Monthly Payments	12	\$	\$	%
(H.2) Licenses Price <sup>15</sup>	N/A	N/A	\$	%
(H.3) Configuration/ Customization Price <sup>16</sup>	N/A	N/A	\$	%
<b>(H.4) Total Stage Price (Sum H.1 - H.3)</b>	N/A	N/A	\$	100%

<sup>15</sup> License information shall also be included as a line item in Pricing Schedule L – Licenses.

<sup>16</sup> Total amount from Schedule K - Configuration and Customization, shall be transferred for this line item.



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**PRICE SCHEDULE I – ONGOING OPERATIONS AND MAINTENANCE, CONTRACT STAGE SFY 2025-26 (RENEWAL OPTION YEAR 3)**

The Offeror shall provide pricing, independent of the Design, Development and Implementation Contract Stage, that is specifically related to the provision of Ongoing Operations and Maintenance (O&M) for the referenced Contract Stage State Fiscal Year (SFY) in support of the Offeror’s final negotiated solution.

- I.1 The Offeror shall provide a fixed price for the complete Contract Stage over the State Fiscal Year (SFY) (July 1 -June 30) that includes a fixed monthly payment.
- I.2 The Offeror shall provide the annual licenses costs.
- I.3 The Offeror shall provide the Configuration and Customization for 4160 hours per year.

<b>Time Period for this Stage: July 1, 2025 – June 30, 2026</b>				
	<b>Number of Months (N)</b>	<b>Price per Month (PPM)</b>	<b>Total Price (N*PPM)</b>	<b>Calculated Percent Total Price (Total Price/Total Stage Price *100)</b>
(I.1) Fixed Monthly Payments	12	\$	\$	%
(I.2) Licenses Price <sup>17</sup>	N/A	N/A	\$	%
(I.3) Configuration/ Customization Price <sup>18</sup>	N/A	N/A	\$	%
<b>(I.4) Total Stage Price (Sum I.1 – I.3)</b>	N/A	N/A	\$	100%

<sup>17</sup> License information shall also be included as a line item in Pricing Schedule L – Licenses.

<sup>18</sup> Total amount from Schedule K - Configuration and Customization, shall be transferred for this line item.



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**PRICE SCHEDULE J – PRICES FOR OPTIONAL ENHANCEMENTS**

Schedule J is to allow DMAS to identify functionality that may be considered as optional by the Department, as well as allow the Offeror to provide any additional optional services and/or enhancements it feels may complement its proposed solution for the Integrated Services Solution.

DMAS has defined four (4) optional enhancements. These options are described in Section 3.c, DMAS Defined Options. Price Schedule J (lines J.1-J.4) below contains the four options. The Offeror must complete the pricing for the Mandatory Pricing options.

Optional pricing is outside of the DDI and O&M costs and shall not be included in the scoring (to include scoring of SWaM). These enhancements and prices are being requested for informational purposes, and the Department does not agree to accept any Optional requirements proposed unless negotiated in the Contract with the successful Offeror.

If any of the Optional requirements, as designated by the Offeror, are part of the Offeror’s base solution and have a zero additional cost, please indicate ‘included in base’ in the Price column.

The Offeror shall include in the price for each optional enhancement all relevant additional prices associated, including resources, technical prices, hardware, or other prices expressly associated with the option.

Optional Enhancements <sup>19</sup>	Price
Document Management – Mandatory Pricing	(J.1) \$
EDI Call Center – Mandatory Pricing	(J.2) \$
Secure Web Portal Dashboard for Authentication, Authorization and SSO (utilizing ICAM) – Mandatory Pricing	(J.3) \$
Meeting Space – Optional Pricing	(J.4) \$
Additional Offeror Specific Optional Item	(J.5) \$
Additional Offeror Specific Optional Item	(J.6) \$
Additional Offeror Specific Optional Item	(J.7) \$
Additional Offeror Specific Optional Item	(J.8) \$

<sup>19</sup> NOTE: Optional enhancements and costs are for informational purposes and will not be included in the scoring of the pricing proposals or the scoring of SWaM Plans but may be discussed and included during contract negotiations.



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Optional Enhancements <sup>19</sup>	Price
<b>Total Price for Optional Enhancements<sup>20</sup> (Sum J.1 – J.8)</b>	(J.9) \$

**PRICE SCHEDULE K – CONFIGURATION AND CUSTOMIZATION**

The Offeror shall propose the fixed hourly labor rates for the Offeror’s personnel labor categories that is based on rates and stated effort for Configuration and Customization, including Testing and Validation Staff, Business Analyst Staff, Technical Writing and System Documentation Staff, and Project Management Staff resources needed to support Configuration Staff and Customization Staff. The rates shall include overhead, travel, profit, equipment usage and other miscellaneous costs. These hourly rates shall also be used to price Contract Modifications to the Contract if the Department decides additional Configuration Staff, Customization Staff and staff to support Configuration and Customization are needed beyond the base hours.

Configuration and Customization shall add up to at least two (2) FTE. One (1) FTE equals two thousand eighty (2,080) hours per year. 2 FTE x 2,080 = 4,160 hours. In addition, Offeror shall provide number, total hours and hourly rate for staff to support Configuration and Customization Staff.

# Staff Assigned	Primary Job Assignment	Total Hours	Hourly Rate <sup>21</sup>	Total Price
1.0 FTE	Configuration Staff	2,080	\$	(K.1) \$
1.0 FTE	Customization Staff	2,080	\$	(K.2) \$
2.0 FTE	<b>TOTAL Configuration and Customization Staff (sum of K.1 and K.2)</b>	<b>4,160</b>		<b>(K.3) \$</b>
<b>Staff to Support 4,160 hours Configuration and Customization per year</b>				
	Testing and Validation Staff		\$	(K.4) \$
	Business Analyst Staff		\$	(K.5) \$
	Technical Writing and System Documentation Staff		\$	(K.6) \$
	Project Management Staff		\$	(K.7) \$

<sup>20</sup> The Offeror may add additional rows as necessary to capture pricing for additional proposed options to the solutions.

<sup>21</sup> Hourly Rates shall be effective from DDI Contract Stage 1, SFY 2016-17, through contract based period, O&M Contract Stage SFY2024-25.



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	<b>TOTAL for Configuration and Customization Support Staff</b> <i>(sum of K.4, K.5, K.6, and K.7)</i>			(K.8)	\$
	<b>TOTAL for providing 4160 hours of Configuration and Customization</b> <i>(sum of K.3 and K.8)</i>			(K.9) <sup>22</sup>	\$
	<b>Cost of Living Assessment (COLA) Factor (Per SFY) if the Department requires the purchase of additional Enhancement hours.</b>				%

**PRICE SCHEDULE L – LICENSES**

Offeror shall provide pricing for any fees related to the licensing of the proposed solution and Operations Services software product or its components. The Offeror shall provide the licensing price for each individual System and Operation component and third-party tool included as part of the proposed software solution that requires a license agreement. The prices for each item are to be quoted separately unless bundled pricing is offered. Pricing should span the entire Contract period (DDI and O&M). Ongoing maintenance of the licenses Payment for licensing prices will be based on when the licenses are acquired. For the evaluation purposes, Offeror shall assume one hundred (100) Department licenses are needed per product/component, based on user access. Licenses not based on user access, such as at the server or processor level, should be specified below and the number of licenses needed should be noted.

<i>License Description</i>	<i>Quantity[1]</i>	<i>Unit Price</i>	<i>Total Price</i>
<b><i>(Terms and Options)</i></b>			
<i>SAS Enterprise Users</i>	<i>100</i>	<i>\$2,225</i>	<i>(L.1)</i>
<i>SharePoint Users</i>	<i>100</i>	<i>\$230</i>	<i>(L.2)</i>
		<i>\$</i>	<i>(L.3)</i>
		<i>\$</i>	<i>(L.4)</i>
		<i>\$</i>	<i>(L.5)</i>
		<i>\$</i>	<i>(L.6)</i>
<b><i>Total Licensing Price</i></b>			<b><i>(L7)<sup>23</sup></i></b>
<b><i>(sum of L.1, L.2 L.3, L.4, L.5, and L.6)</i></b>			

<sup>22</sup> Transfer total amount to appropriate line item on Schedules B-I.

<sup>23</sup> Transfer total amount to appropriate line item on Schedules A-I.



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**PRICE SCHEDULE M – SUPPLEMENTAL STAFF PRICING**

In pricing Schedule M, Offerors should submit the fixed hourly rate for each labor category utilized and calculated into the fixed monthly payments line item for ongoing operations and maintenance for Schedules B-I. Offerors should include the labor category and indicate the hourly rate for each category. The hourly rate must be a fully loaded rate and include all personnel, overhead, indirect, travel, profit, equipment usage, and other miscellaneous costs. All cost associated with Schedule M is for informational purposes only but may be used during the performance of the contract to calculate Offeror reimbursement rates for other projects identified and approved by the Department.

Labor Category <sup>24</sup>	Hourly Rate
	\$
	\$
	\$

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<sup>24</sup> Offeror shall complete this table and expand as necessary to capture all labor categories to be used by them in the performance of their proposed solution.



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**PRICE SCHEDULE N – SUMMARY OF ALL PRICING SCHEDULES**

This Price Schedule summary is intended to include the proposed prices from each Price Schedule included in the Offeror’s Price Proposal that will be used in the Price Evaluation. If there is a discrepancy between the amount shown here and the individual Price Schedules, the price information from the individual Price Schedule will be used during evaluation.

<b>Pricing Stage</b>	<b>Price</b>
<b>Total Implementation Contract Stage 1 SFY 2016-17 (Total Stage Price from Schedule A.5)</b>	<b>(A.5)</b>
<b>Total Implementation Contract Stage 1 SFY 2017-18 (Total Stage Price from Schedule A.10)</b>	<b>(A.10)</b>
<b>Total Ongoing Operations and Maintenance, Contract Stage SFY 2018-19 (Total Stage Price from Schedule B)</b>	<b>(B.4)</b>
<b>Total Ongoing Operations and Maintenance, Contract Stage SFY 2019-20 (Total Stage Price from Schedule C)</b>	<b>(C.4)</b>
<b>Total Ongoing Operations and Maintenance, Contract Stage SFY 2020-21 (Total Stage Price from Schedule D)</b>	<b>(D.4)</b>
<b>Total Ongoing Operations and Maintenance, Contract Stage SFY 2021-22 (Total Stage Price from Schedule E)</b>	<b>(E.4)</b>
<b>Total Ongoing Operations and Maintenance, Contract Stage SFY 2022-23 (Total Stage Price from Schedule F)</b>	<b>(F.4)</b>
<b>Total Ongoing Operations and Maintenance, Contract Stage SFY 2023-24 (Option Year Renewal) (Total Stage Price from Schedule G)</b>	<b>(G.4)</b>
<b>Total Ongoing Operations and Maintenance, Contract Stage SFY 2024-25 (Option Year Renewal) (Total Stage Price from Schedule H)</b>	<b>(H.4)</b>
<b>Total Ongoing Operations and Maintenance, Contract Stage SFY 2025-26 (Option Year Renewal) (Total Stage Price from Schedule I)</b>	<b>(I.4)</b>
<b>Operations and Maintenance Subtotal (Sum B.4, C.4 D.4, E.4, F.4, G.4, H.4 and I.4)</b>	<b>(O&amp;M)</b>



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Pricing Stage	Price
<b>Total Price Bid<sup>25</sup></b> <i>(sum of A.5, A.10 and O&amp;M)</i>	<b>(Total)</b>

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<sup>25</sup> The total price bid will also be used for SWaM scoring purposes.



## APPENDIX D – STATE CORPORATION COMMISSION FORM

Virginia State Corporation Commission (SCC) registration information. The Supplier:

is a corporation or other business entity with the following SCC identification number:  
\_\_\_\_\_ -OR-

is not a corporation, limited liability company, limited partnership, registered limited liability partnership, or business trust -OR-

is an out-of-state business entity that does not regularly and continuously maintain as part of its ordinary and customary business any employees, agents, offices, facilities, or inventories in Virginia (not counting any employees or agents in Virginia who merely solicit orders that require acceptance outside Virginia before they become contracts, and not counting any incidental presence of the Supplier in Virginia that is needed in order to assemble, maintain, and repair goods in accordance with the contracts by which such goods were sold and shipped into Virginia from Supplier's out-of-state location) -OR-

is an out-of-state business entity that is including with this proposal an opinion of legal counsel which accurately and completely discloses the undersigned Supplier's current contacts with Virginia and describes why those contacts do not constitute the transaction of business in Virginia within the meaning of § 13.1-757 or other similar provisions in Titles 13.1 or 50 of the Code of Virginia.

**\*\*NOTE\*\*** >> Check the following box if you have not completed any of the foregoing options but currently have pending before the SCC an application for authority to transact business in the Commonwealth of Virginia and wish to be considered for a waiver to allow you to submit the SCC identification number after the due date for proposals (the Commonwealth reserves the right to determine in its sole discretion whether to allow such waiver):

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# APPENDIX E – CERTIFICATE OF COMPLIANCE WITH PROHIBITION OF POLITICAL CONTRIBUTIONS AND GIFTS DURING THE PROCUREMENT PROCESS

## Certification of Compliance

### Certification of Compliance with Prohibition of Political Contributions and Gifts During the Procurement Process

For contracts with a stated or expected value of \$5 million or more except those awarded as the result of competitive sealed bidding

I, \_\_\_\_\_, a representative of \_\_\_\_\_,  
Please Print Name Name of Bidder/Offeror

am submitting a bid/proposal to \_\_\_\_\_ in response to  
Name of Agency/Institution

\_\_\_\_\_, a solicitation where stated or expected contract value is  
*Solicitation/Contract #*

\$5 million or more which is being solicited by a method of procurement other than competitive sealed bidding as defined in § 2.2-4301 of the *Code of Virginia*.

I hereby certify the following statements to be true with respect to the provisions of §2.2-4376.1 of the *Code of Virginia*. I further state that I have the authority to make the following representation on behalf of myself and the business entity:

1. The bidder/offeror shall not knowingly provide a contribution, gift, or other item with a value greater than \$50 or make an express or implied promise to make such a contribution or gift to the Governor, his political action committee, or the Governor's Secretaries, if the Secretary is responsible to the Governor for an agency with jurisdiction over the matters at issue, during the period between the submission of the bid/proposal and the award of the contract.
2. No individual who is an officer or director of the bidder/offeror, shall knowingly provide a contribution, gift, or other item with a value greater than \$50 or make an express or implied promise to make such a contribution or gift to the Governor, his political action committee, or the Governor's Secretaries, if the Secretary is responsible to the Governor for an agency with



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jurisdiction over the matters at issue, during the period between the submission of the bid/proposal and the award of the contract.

3. I understand that any person who violates § 2.2-4376.1 of the *Code of Virginia* shall be subject to a civil penalty of \$500 or up to two times the amount of the contribution or gift, whichever is greater.

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*Signature*

---

*Title*

---

*Date*

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# APPENDIX F – PROPRIETARY/CONFIDENTIAL INFORMATION IDENTIFICATION FORM

## Proprietary/Confidential Information Identification Form

Trade secrets or proprietary information submitted by an Offeror shall not be subject to public disclosure under the Virginia Freedom of Information Act; however, the Offeror must invoke the protections of §2.2-4342F of the *Code of Virginia*, in writing, either before or at the time the data or other material is submitted. The written notice must specifically identify the data or materials to be protected including the section of the proposal in which it is contained and the page numbers, and states the reasons why protection is necessary. The proprietary or trade secret material submitted must be identified by some distinct method such as highlighting or underlining and must include only the specific words, figures, or paragraphs that constitute trade secret or proprietary information. In addition, a summary of such information shall be submitted on this form. The classification of an entire proposal document, line item prices, and/or total proposal prices as proprietary or trade secrets is not acceptable. If, after being given reasonable time, the Offeror refuses to withdraw such a classification designation, the proposal may be scored lower or eliminated from further consideration.

Name of Firm/Offeror: \_\_\_\_\_, invokes the protections of § 2.2-4342F of the *Code of Virginia* for the following portions of my proposal submitted on \_\_\_\_\_.

Date

Signature: \_\_\_\_\_ Title: \_\_\_\_\_

DATA/MATERIAL TO BE PROTECTED	SECTION NO., & PAGE NO.	REASON WHY PROTECTION IS NECESSARY

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## APPENDIX G – OFFEROR CERTIFICATION

### Offeror Certification

    (Offeror Name)     certifies: (1) that it has not offered to any Commonwealth employee or contractor who had official responsibility for or otherwise played a role in this procurement, RFP 2016-04, or who played a role in the procurement on behalf of DMAS, money or other thing of value for or in consideration of the use of the employee or contractor's public position to obtain the contract that will result from this procurement; (2) that it did not receive any information concerning this procurement that is not available to the other Offerors or to the general public from any Commonwealth employee or contractor who had official responsibility for this procurement or who played a role in the procurement on behalf of DMAS; and (3) that it has complied with the Virginia Public Procurement Act, Code of Virginia § 2.2-4300 *et. seq.*

Signature: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Organization: \_\_\_\_\_

Date: \_\_\_\_\_

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## APPENDIX H – CONTRACT TEMPLATE

The Contract Template has been provided in a Microsoft Word file format, and it is included as an attachment to this RFP in the Procurement Library.



## APPENDIX I – MILESTONES AND DELIVERABLES

The following table provides the Milestones and Deliverables associated with this contract and shall be used to inform the Contractor’s Master Work Plan.

Milestone/Deliverable	Completion/Updates	Responsible Contractor
<b>DDI</b>		
<b>Initiation</b>		
Project Proposal – Input to DMAS prepared deliverable	Response to RFP	Each Contractor
Project Charter – Input to DMAS prepared deliverable	2 weeks after contract signed	Each Contractor
<b>Planning</b>		
Contractor Management Team Organization Chart	2 weeks after contract signed	Each Contractor
Master Integration Plan	4 weeks after contract signed	ISS Contractor
Detailed Project Management Plan	2 weeks after contract signed	Each Contractor
Master Work Plan (in MS Project)	4 weeks after contract signed and weekly thereafter	Each Contractor
Performance Reporting Plan and Status Summary	6 weeks after contract signed and weekly thereafter	Each Contractor
Communications Management Plan	6 weeks after contract signed and weekly thereafter	Each Contractor
Staff Acquisition Plan	6 weeks after contract signed and weekly thereafter	Each Contractor
Hardware and Equipment Acquisition Plan	6 weeks after contract signed and each week thereafter until phase end	Each Contractor
Software Acquisition and Installation Plan	6 weeks after contract signed and each week thereafter until phase end	Each Contractor
Documentation Management Plan	12 weeks after contract signed and each week thereafter	Each Contractor
Risk and Issues Management Plan, includes Escalation Management Plan	12 weeks after contract signed and each week thereafter	Each Contractor
Quality Management Plan	16 weeks after contract signed and each week thereafter	Each Contractor
Scope/Deliverable Management Plan	4 weeks after contract signed and each week thereafter	Each Contractor



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Milestone/Deliverable	Completion/Updates	Responsible Contractor
Requirements Management Plan	12 weeks after contract signed and each week thereafter	Each Contractor
Security Plan	12 weeks after contract signed and after any changes	Each Contractor
Change Management Plan	10 weeks after contract signed and each week thereafter	Each Contractor
Configuration Management Plan	8 weeks after contract signed and part of project execution and control thereafter	Each Contractor
Conversion Plan	8 weeks after contract signed	Each Contractor
Test Management Plan	10 weeks after contract signed	Each Contractor
CMS Certification Plan	12 weeks after contract signed and updated each week thereafter	Each Contractor
Release Management Plan	12 weeks after contract signed	Each Contractor
<b>Execution and Control</b>		
Detailed Project Management Plan Update	As needed	Each Contractor
Master Work Plan (in MS Project) Update	Weekly	Each Contractor
Performance Reporting Plan Update	Weekly	Each Contractor
Staff Acquisition Update	Weekly	Each Contractor
Documentation Management Plan Update	Weekly	Each Contractor
Risk and Issues Management Plan	Weekly	Each Contractor
Security Plan	After any changes	Each Contractor
Quality Management Plan	Weekly	Each Contractor
Training Plan	4 months before Implementation	Each Contractor
Finalized Requirements Traceability Matrix	12 weeks after contract signed	Department
Detailed Specification Design (DSD)	15 weeks after contract signed	Each Contractor
Change and Configuration Management	As needed	Each Contractor
<b>Implementation</b>		
Implementation and Transition Plan	3 months before Implementation	Each Contractor
<b>Closeout</b>		
Lessons Learned Report	3 months Post-implementation	Each Contractor
Project Closeout Report (Contractor Input Only)	3 months Post-implementation	Each Contractor



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Milestone/Deliverable	Completion/Updates	Responsible Contractor
<b>Evaluation</b>		
Project Evaluation (Contractor Input Only)	1 Year Post-Implementation	Each Contractor
<b>OPERATIONS</b>		
Quality Management Plan	2 months before Operations – Updated per project / release	Each Contractor
Documentation Management Plan	2 months before Operations – Updated per project / release	Each Contractor
Change and Configuration Management Plan	2 months before Operations – Updated per project / release	Each Contractor
Risk and Issues Management Plan	2 months before Operations – Updated per project / release	Each Contractor
Training Plan	2 months before Operations – Updated per project / release	Each Contractor
Security Plan	Updated after any changes	Each Contractor
Communications Plan	2 months before Operations – Updated per project / release	Each Contractor
SLA Reporting Application	2 months before Operations – Weekly thereafter	Each Contractor
Disaster Recovery Plan	2 months before Operations – Updated as needed	Each Contractor
Business Continuity Plan	2 months before Operations – Updated as needed	Each Contractor
Operations Production Status	Weekly – Content to be determined	Each Contractor
Root Cause Analysis	After any production interruption: Within 5 days of the event	Each Contractor
<b>TURNOVER</b>		
Turnover Plan	Per Contract	Each Contractor



## APPENDIX J – INTEGRATION SERVICES SOLUTION REQUIREMENTS

The following tables of requirements are provided for informational purposes in this RFP. Contractors shall complete the Requirements Traceability Matrix (RTM) provided in the Procurement Library and include in Volume I – Technical Proposal.

### J.1 – TECHNOLOGY STANDARDS

Requirement ID	Requirement
ISS-TECH-STND-001	All the artifacts developed as part of the proposed Solution shall be compliant with the CMS and HIPAA standards and requirements.
ISS-TECH-STND-002	The Solution shall use rules based, table driven modular, and reusable components.
ISS-TECH-STND-003	The Solution shall facilitate online, browser based web capabilities with no client component download(s) for all authorized end users including, but not limited to providers and members.
ISS-TECH-STND-004	The Solution shall support functionality to interface with multiple entities outside the MES for exchange of information.
ISS-TECH-STND-005	The Solution shall comply with all current and future HIPAA standard Transactions and Code Sets (TCS) in place or mandated by the Commonwealth and CMS.
ISS-TECH-STND-006	The Solution shall implement standard policies and practices to ensure the security and integrity of the information to be exchanged.
ISS-TECH-STND-007	The Solution shall provide notification to the ISS Contractor of all changes to application program interface (API) on a timely basis.
ISS-TECH-STND-008	The Solution shall provide standard and ad hoc reporting capabilities for all modules of the proposed solution which are accessed by Commonwealth end users and other stakeholders.
ISS-TECH-STND-009	The Solution shall meet the Federal reporting requirements and performance standards as defined by CMS and the CMS certification checklists.
ISS-TECH-STND-010	The Solution shall implement and support a reporting repository with Web based access by authorized end users, including the ability to extract data to be used with desktop applications.
ISS-TECH-STND-011	The Solution shall provide interoperability between the modules of the proposed solution and Commonwealth imaging and document management systems. All Commonwealth documents and images on any media type received or disseminated shall be accessible, stored, and indexed on the Enterprise Content Management system.
ISS-TECH-STND-012	The Solution shall allow users to select among several format types (e.g., PDF, Microsoft Excel, Microsoft Word) for any outputs produced. The output media types shall be role based or by individual end user(s).
ISS-TECH-STND-013	The Solution shall implement relevant standards including, but not limited to NIEM, CAQH-CORE, HL7, and HIPAA for data interchange.



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Requirement ID	Requirement
ISS-TECH-STND-014	The Solution shall provide Single Sign-On (SSO) capability using Commonwealth standards for login and authentication. The Contractor's system shall include an end user authentication process that permits the end user to enter one (1) name and password to access multiple applications. This process authenticates the user for those applications they have access rights to and eliminates the need for further prompts when switching between applications during a session.
ISS-TECH-STND-015	The Solution shall process all inbound and outbound files at a frequency as defined by the Department.
ISS-TECH-STND-016	The Solution shall support and monitor the processing of all transaction files and notify the Department of all transactions which have not been processed successfully.
ISS-TECH-STND-017	The Solution shall accept and apply interface data accurately 100% of the time.
ISS-TECH-STND-018	The Solution shall reconcile errors identified during the processing of any transaction file and reprocess partner transactions within the agreed upon SLA.
ISS-TECH-STND-019	The Solution shall comply with Commonwealth and Federal records management policies and retention schedules.
ISS-TECH-STND-020	The Solution shall ensure archived data is retrievable, formatted to match the original intake document, and shows the changes during processing.
ISS-TECH-STND-021	The Solution shall comply with all Commonwealth and Federal laws, grant requirements, rules, regulations, guidelines, policies, and procedures for destruction of records.
ISS-TECH-STND-022	The Solution shall retain all records for both paper and electronic claims as per the Commonwealth and Federal guidelines.
ISS-TECH-STND-023	The Solution shall comply with and align with Commonwealth Technology Standards.
ISS-TECH-STND-024	The Solution for proposed interfaces to Commonwealth systems shall comply with or have approved exceptions to all applicable Commonwealth Data Standards as found at: <a href="http://www.vita.virginia.gov/oversight/default.aspx?id=10344">http://www.vita.virginia.gov/oversight/default.aspx?id=10344</a> If not, please explain.
ISS-TECH-STND-025	The Solution shall provide effective, interactive control and use with nonvisual means and provide 508 Compliance in accordance with the following standard regarding IT Accessibility and 508 Compliance: <a href="http://www.vita.virginia.gov/uploadedFiles/Library/AccessibilityStandard_GOV103-00_Eff_11-04-05.pdf">http://www.vita.virginia.gov/uploadedFiles/Library/AccessibilityStandard_GOV103-00_Eff_11-04-05.pdf</a> (Refer to <a href="http://www.section508.gov">www.section508.gov</a> and <a href="http://www.access-board.gov">www.access-board.gov</a> for further information)  If yes, please describe how this functionality is achieved and include a completed Voluntary Product Accessibility Template (VPAT) with your proposal. (The VPAT template is located in APPENDIX C of the Accessibility Standard (GOV103-00)).  If no, does your solution/application/product provide alternate accessibility functionality? Please describe.



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Requirement ID	Requirement
ISS-TECH-STND-026	<p>The Solution shall comply with all current COV ITRM Policies and Standards, as applicable, found at:</p> <p><a href="http://www.vita.virginia.gov/library/default.aspx?id=537?">http://www.vita.virginia.gov/library/default.aspx?id=537?</a></p> <p>If proposed solution does not, please provide details that specify the Standard/Policy and how Offeror's solution does not comply.</p>

**J.2 – MAJOR MILESTONES AND DELIVERABLES**

Requirement ID	Requirement
ISS-PROJ-DDI-001	<p>The Contractor shall provide a description of a Project Management methodology that will be used to implement the Solution and that follows Project Management industry best practices while coordinating changes with the ISS Contractor and other contractors. The Contractor shall propose tools, processes, and procedures for the Project Management methodology.</p>
ISS-PROJ-DDI-002	<p>The Contractor shall provide the deliverables identified for each of the project phases in Appendix I:</p> <ul style="list-style-type: none"> <li>➤ Initiation</li> <li>➤ Planning</li> <li>➤ Execution and Control</li> <li>➤ Implementation</li> <li>➤ Closeout</li> <li>➤ Evaluation</li> </ul>
ISS-PROJ-DDI-003	<p>The Contractor shall provide the status of the project to the MES Program Management Office according to the schedule outlined in the DDI Project Plan chart in Appendix I. The Contractor PMO shall include the following in the weekly status reporting for the lifecycle of the project:</p> <ul style="list-style-type: none"> <li>➤ Issues and Risk Management</li> <li>➤ Milestone status</li> <li>➤ Change Management</li> <li>➤ Action Items Management</li> <li>➤ Project Meeting Minutes</li> </ul>
ISS-PROJ-DDI-004	<p>For any milestones or deliverables which are missed or projected to be missed, the Contractor shall provide a Corrective Action Plan (CAP) that includes the following information:</p> <ul style="list-style-type: none"> <li>➤ Root cause</li> <li>➤ Impact on schedule, scope and costs</li> <li>➤ Milestone recovery strategy</li> <li>➤ Milestone recovery date</li> <li>➤ Project recovery strategy</li> <li>➤ Project recovery date</li> </ul>



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Requirement ID	Requirement
ISS-PROJ-DDI-005	The Contractor shall follow the DDI Change Management process agreed to by DMAS. An Enterprise Change Management process shall be established by the ISS Contractor and Program Management Office along with Contractor input to address scope, schedule, or cost changes.
ISS-PROJ-DDI-006	The Contractor shall conduct detailed design and joint application requirement meetings with Department staff, other impacted MES solution contractors, and ISS Contractor staff to produce a detailed specification design document for development, configuration, testing, and implementation.
ISS-PROJ-DDI-007	The Contractor shall provide a revised work breakdown structure from the original submission, which includes the Department project team and ISS activities (provided by the ISS Contractor) and any other impacted MES contractors which have been mutually agreed-upon dependencies for DMAS approval.
ISS-PROJ-DDI-008	The Contractor shall provide a Project Manager (PM) with the Key Staff requirements and agrees to replace the PM only if necessary, and with someone possessing equally or more qualified skills and experience, as approved by the agency.
ISS-PROJ-DDI-009	The Contractor shall entertain baseline changes to the COTS package and provide a method for enhancement input in lieu of customizations through a User Input group or another forum to accept product input.
ISS-PROJ-DDI-010	The Contractor shall provide a Hardware and Equipment Acquisition Plan for the DDI.
ISS-PROJ-DDI-011	The Contractor shall provide a Software Acquisition and Installation Plan for the DDI.
ISS-PROJ-DDI-012	The Contractor shall provide a Risk Management Plan for the DDI.
ISS-PROJ-DDI-013	The Contractor shall provide a Quality Management Plan for the DDI.
ISS-PROJ-DDI-014	The Contractor shall provide an Implementation and Transition Plan for the DDI which is coordinated with Department staff, and possibly other dependent MES contractors.
ISS-PROJ-DDI-015	The Contractor shall provide a Training Plan for the DDI which addresses business owner input to satisfy operational needs.
ISS-PROJ-DDI-016	The Contractor shall conduct all DDI training in accordance with the approved DDI Training Plan.
ISS-PROJ-DDI-017	The Contractor shall provide a Training Plan for Operations which ensures ongoing operational training needs are met.
ISS-PROJ-DDI-018	The Contractor shall conduct all Operations training in accordance with the approved Operations Training Plan.
ISS-PROJ-DDI-019	The Contractor shall analyze and document project lessons learned, hold a walkthrough meeting of the results and provide an evaluation report.
ISS-PROJ-DDI-020	The Contractor shall provide a Communications Management Plan which addresses all stakeholders' communication needs for the project.
ISS-PROJ-DDI-021	The Contractor shall provide a Performance Reporting Plan which includes status reporting and critical success factors.



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Requirement ID	Requirement
ISS-PROJ-DDI-022	<p>The Contractor shall provide a Documentation Management Plan that:</p> <ul style="list-style-type: none"> <li>➤ Identifies all of the documentation and deliverables that will be produced to support its DDI methodology as well as on-going Operations and Maintenance.</li> <li>➤ Provides what is needed by the Contractor to successfully implement and operate the proposed solution.</li> <li>➤ Provides DMAS with the information it requires to understand and approve the details of the solution as well as provide the information it needs to fulfill its business requirements with respect to the solution.</li> </ul>
ISS-PROJ-DDI-023	<p>The Contractor shall provide a Release Management plan and milestones on an annual schedule with an approach to work with the ISS Contractor, any other impacted MES Contractor, and DMAS PMO with a desired 6-month lead time.</p>
ISS-PROJ-DDI-024	<p>The Contractor shall provide a detailed project plan for each new project or release that is coordinated with the ISS Contractor, any other impacted MES Contractor, and agency PMO.</p>
ISS-PROJ-DDI-025	<p>The Contractor shall provide a Resource Utilization and Acquisition plan for each new project or release including Project Management, technical support, and business support as needed.</p>
ISS-PROJ-DDI-026	<p>The Contractor shall develop a Root Cause Analysis process and reporting in conjunction with the ISS Contractor for all defects discovered.</p>
ISS-PROJ-DDI-027	<p>The Contractor shall create a DDI Project Management Plan according to the schedule outlined in Appendix I to be approved by DMAS. The project management plan shall include:</p> <ul style="list-style-type: none"> <li>➤ Quality Management Plan</li> <li>➤ Scope Management Plan</li> <li>➤ Requirements Management Plan</li> <li>➤ Risk and Issues Management Plan</li> <li>➤ Change Management Plan</li> <li>➤ Configuration Management Plan</li> <li>➤ Project Performance Management Summary Plan</li> <li>➤ Communications Management Plan</li> <li>➤ Documentation Management Plan</li> <li>➤ Training Plan</li> <li>➤ Disaster Recovery Plan - DDI</li> <li>➤ Business Continuity Plan</li> <li>➤ Turnover Plan</li> </ul>



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Requirement ID	Requirement
ISS-PROJ-DDI-028	The Contractor shall develop a Project Work Breakdown Structure (WBS) to include both Contractor and DMAS milestones and tasks. An initial Work Plan, according to the schedule outlined in Appendix I, shall involve top-down planning. The work plan shall adhere to PMBOK® best practices for project management. The WBS shall include tasks, resources, deliverables, task dependencies, percent complete, planned start, planned finish, actual start, and actual finish columns. The baseline work plan shall be delivered within 60 days of contract signing unless otherwise agreed to by the Agency. The Work Plan shall be updated and presented weekly.
ISS-PROJ-DDI-029	The Contractor's PMO shall participate in Agency Integration and Program Management Meetings.
ISS-PROJ-DDI-030	The Contractor shall make Project Documents available online to the Agency and contractor staff including but not limited to: work plan, status reports, status meeting agenda, and minutes.
ISS-PROJ-DDI-031	The Contractor shall develop a Project CMS Certification Plan which defines the Contractor's approach to CMS certification. It shall include processes and procedures which will be used to manage certification requirements throughout the project lifecycle. The plan shall include, but not be limited to: completing the certification checklist, complete certification phase deliverables, validate solution functionality against the checklist, and create traceable deliverables to the checklist.
ISS-PROJ-DDI-032	The Contractor shall create documents which support certification activities.
ISS-PROJ-DDI-033	The Contractor shall assist and participate in CMS certification visits.
ISS-PROJ-DDI-034	The Contractor shall respond to CMS queries during and after the site visit.
ISS-PROJ-DDI-035	The Contractor shall provide training which includes specific areas such as quality management, risk management, requirements management, overall design and development of the solution and be comprehensive enough so the Agency PMO can participate in the deliverable production and review process.
ISS-PROJ-DDI-036	The Contractor's PMO shall work with DMAS and have a PM and other resources willing to periodically be onsite to attend meetings and to conduct presentations as requested.
ISS-PROJ-DDI-037	The Contractor shall provide a deliverable tracking method to ensure all DDI related deliverables have been accounted for and scheduled and coordinated with the Department MES PMO. All deliverables shall be approved by DMAS.
ISS-PROJ-DDI-038	The Contractor shall provide an Escalation Management Plan to include risk and issue resolution paths through the organizational structure.



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Requirement ID	Requirement
ISS-PROJ-DDI-039	<p>The Contractor shall provide the status of the project to the MES Program Management Office according to the schedule outlined in the DDI Project Plan chart Appendix I with input from the DMAS MES PMO.</p> <p>Reports shall contain Key Project indicators including Cost Performance Index (CPI) and Schedule Performance Index (SPI). The reports shall convey upcoming milestones progress and overall percentage complete. The report shall have updates on risks, issues and action items. A dashboard shall be created with standards for reporting Green, Yellow, or Red status. Any Red status reporting shall be accompanied by a Corrective Action Plan (CAP). The Contractor shall provide weekly meeting minutes.</p>
ISS-PROJ-DDI-040	The Contractor shall provide end user documentation written in a procedural, systematic format, and aligned with business transformation documents.
ISS-PROJ-DDI-041	The Contractor shall ensure that abbreviations and acronyms are defined and consistent throughout the documentation.
ISS-PROJ-DDI-042	The Contractor shall use consistent field names for the same fields on different records throughout the documentation.
ISS-PROJ-DDI-043	The Contractor shall provide online documentation, including an online search capability with context sensitive help screens.
ISS-PROJ-DDI-044	The Contractor shall ensure definitions of codes used in various sections of end user manuals are consistent.
ISS-PROJ-DDI-045	The Contractor shall identify acronyms used in end user instructions, and ensure that they are consistent with windows, screens, reports, and the data element dictionary.
ISS-PROJ-DDI-046	The Contractor shall provide illustrations of windows and screens used in that module, with all data elements on the screens identified by number, in each end user manuals.
ISS-PROJ-DDI-047	The Contractor shall provide an electronic documentation format that facilitates efficient and immediate updating and dissemination of new or modified data.
ISS-PROJ-DDI-048	<p>The Contractor shall provide a way to update the electronic versions of the document. Each version shall have:</p> <ul style="list-style-type: none"> <li>➤ All pages numbered within each section</li> <li>➤ A new revision date on each page</li> <li>➤ All revisions clearly identified in bold print</li> </ul>
ISS-PROJ-DDI-049	The Contractor shall create and maintain end user documentation consistent with the current Department standards.
ISS-PROJ-DDI-050	The Contractor shall provide documentation to the Department on request on encrypted DVD/CD-ROM, and ensure access to end users via the website during the Operations Phase.
ISS-PROJ-DDI-051	The Contractor shall ensure end user documentation is written and organized so that end users not trained in applications can learn from reading the documentation how to access the online windows/screens, read module reports, and perform ad hoc report development and other related end user functions.



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Requirement ID	Requirement
ISS-PROJ-DDI-052	The Contractor shall present descriptions of error messages for all fields incurring edits, including the necessary steps to correct such errors.
ISS-PROJ-DDI-053	The Contractor shall provide a section in each end user manual describing all reports generated within the business area or function, which includes the following: <ul style="list-style-type: none"> <li>➤ A narrative description of each report</li> <li>➤ The purpose of the report</li> <li>➤ Definition of all fields in the report, including detailed explanations of calculations used to create all data and explanations of all subtotals and totals</li> <li>➤ Definitions of all user defined, report specific code descriptions; and copies of representative pages of each report</li> </ul>
ISS-PROJ-DDI-054	The Contractor shall present together all functions and supporting material for file maintenance (e.g., coding values for fields and the names of the files presented as independent sections of the manual).
ISS-PROJ-DDI-055	The Contractor shall ensure that instructions for making online updates clearly depict which data and files are being changed.
ISS-PROJ-DDI-056	The Contractor shall ensure that documentation does not contain any protected health information (PHI).
ISS-PROJ-DDI-057	The Contractor shall use draft versions of end user documentation as the basis for UAT and training, unless otherwise specified by the Department. Final versions shall be updated and completed for training before the start of the operations.
ISS-PROJ-DDI-058	The Contractor shall exclude Contractor(s) trademarks, logos, and identifying information in, or on all documentation.
ISS-PROJ-DDI-059	The Contractor shall provide online hyperlinks with references to Medicaid and non-Medicaid policy origination documents managed by the Department and the Contractor.
ISS-PROJ-DDI-060	The Contractor shall provide a writing style-guide for all documentation for purposes of creating consistency among all documents and containing a maintained list of acronyms used.
ISS-PROJ-DDI-061	The Contractor shall implement internal policy and procedures to promote data documentation, development, and management of defined data entities, attributes, data models, and relationships sufficiently to convey the overall meaning and use of Medicaid data and information.
ISS-PROJ-DDI-062	The Contractor shall support the adoption of statewide standard data definitions, data semantics, and harmonization strategies.



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Requirement ID	Requirement
ISS-PROJ-DDI-063	<p>The Contractor shall maintain the following flow diagrams:</p> <ul style="list-style-type: none"> <li>➤ Overall system flow</li> <li>➤ Each individual module flow</li> <li>➤ Business process flow</li> <li>➤ Business architecture</li> <li>➤ Technical architecture</li> <li>➤ Network architecture</li> </ul>
ISS-PROJ-DDI-064	<p>The Contractor shall maintain the following items for reference and it shall be searchable from the web. Also it shall be kept for each environment and access to these items shall be granted to the Commonwealth and the Department.</p> <ul style="list-style-type: none"> <li>➤ List of application servers and its usage</li> <li>➤ List of web servers and its usage</li> <li>➤ List of ESB and its usage</li> <li>➤ Network IP and port details</li> <li>➤ Environment variables</li> <li>➤ Hyperlinks</li> <li>➤ Document links</li> <li>➤ Organization chart</li> <li>➤ Contact details</li> <li>➤ On-call support</li> </ul>

### J.3 – TESTING

Requirement ID	Requirement
ISS-TEST-001	The Contractor shall provide an Integrated Test Facility (ITF) which includes separate environments for all test phases, to include at a minimum; unit, integration, SIT, UAT, interface, performance, regression, ORT, system recovery, and mock production.
ISS-TEST-002	The Contractor shall provide the Department with access to the ITF as required for testing onsite, from State offices, and/or remotely during the DDI phase and throughout the life of the Contract.
ISS-TEST-003	The Contractor shall provide the capability for version control in the ITF.
ISS-TEST-004	The Contractor’s test environment(s) shall be capable of mirroring the production system in its size, files, databases, processing, and reporting.
ISS-TEST-005	As system improvements or enhancements are implemented, that functionality shall also be deployed to test environments.
ISS-TEST-006	Test environment(s) data refresh shall be scheduled per the DMAS approved Change Management Plan.
ISS-TEST-007	The Contractor shall provide a process for extracting data from the production environment and importing into non-production environments.



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Requirement ID	Requirement
ISS-TEST-008	The Contractor shall provide a process for masking, sanitizing, scrambling, or de-sensitizing sensitive data (e.g. PII/PHI) when extracting data from the production environment for use in non-production environments.
ISS-TEST-009	The Solution shall provide the ability to perform temporal testing within all testing environments.
ISS-TEST-010	The Solution shall provide the ability to allow a tester to easily manipulate the system date for temporal testing.
ISS-TEST-011	The Solution shall provide the ability to execute performance tests of a simulated user load consistent with the actual load projected or used in production.
ISS-TEST-012	The Contractor shall support provider testing of new provider claims submission systems by allowing providers to submit direct data entry claims and electronic claims test files that are processed through the adjudication cycle without impact on system data.
ISS-TEST-013	The Contractor shall utilize a DMAS approved or supplied automated testing tool that works seamlessly with all components of the MES.
ISS-TEST-014	The testing tool shall include predictive modeling that supports the ability to run “What if” scenarios related to a variety of parameters including, but not limited to rates, coverage, and budgets using historical production claims.
ISS-TEST-015	The Contractor shall design and document detailed test cases for each sub-phase of testing.
ISS-TEST-016	The Contractor shall provide test cases that include identifications, detailed steps, expected results, and actual results.
ISS-TEST-017	The Contractor shall utilize a well-established and DMAS approved or supplied defect tracking tool for management and reporting of system defects.
ISS-TEST-018	The Contractor shall perform regression testing for all defects identified and provide regression testing results.
ISS-TEST-019	The Contractor shall submit all test results for each test sub-phase to DMAS which includes: number of test scenarios, cases, and scripts executed; pass/fail ratio; number of defects identified and corrected along with their severity ranking.
ISS-TEST-020	The Contractor shall communicate the progress of the System Integration Test effort through a regular progress report. This report shall address all test scenarios and test cases and report the status of the test effort relative to the test schedule.
ISS-TEST-021	The Contractor shall track and report weekly on the defects identified and the progress made toward resolution of the defects during the System Integration Test effort.
ISS-TEST-022	The Contractor shall document and present the results from the System Integration Testing.
ISS-TEST-023	The Contractor shall obtain DMAS approval of all tests results before testing is considered complete.



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Requirement ID	Requirement
ISS-TEST-024	The Contractor shall plan for and include State participation and involvement in all testing efforts throughout the Software Development Lifecycle.
ISS-TEST-025	The Contractor shall provide training on the system, process, and tools that will be used to execute UAT and training on the operation of the technical environment to support user validation.
ISS-TEST-026	The Contractor shall support DMAS in all testing activities by providing support staff and technical expertise.
ISS-TEST-027	The Contractor shall provide a functional demonstration of the system including any changes or enhancements prior to user acceptance testing.
ISS-TEST-028	The Contractor shall develop a Test Management Plan to successfully meet business needs for initial product implementation.
ISS-TEST-029	The Test Management Plan shall include the approach to each of the test phases as outlined in the Required Testing Methods.
ISS-TEST-030	The Test Management Plan shall include the testing schedule.
ISS-TEST-031	The Test Management Plan shall describe how, and at which phase, other Contractor products will be incorporated in the overall testing.
ISS-TEST-032	The Test Management Plan shall include roles and responsibilities throughout all testing phases.
ISS-TEST-033	The Test Management Plan shall describe how test scenarios, test cases, and test results will be traced to requirements.
ISS-TEST-034	The Test Management Plan shall describe the processes, procedures, and tools for problem identification and resolution.
ISS-TEST-035	The Test Management Plan shall include templates of test progress and defect reports.
ISS-TEST-036	The Test Management Plan shall describe how regression testing will be done at all levels when errors are corrected.
ISS-TEST-037	The Test Management Plan shall discuss contingencies for risk mitigation and delays during the test effort.
ISS-TEST-038	The Test Management Plan shall define procedures for notifying DMAS of problems discovered in testing, testing progress, and adherence to the test schedule.
ISS-TEST-039	The Test Management Plan shall include a strategy for enhancing system performance based on findings obtained during test activities.
ISS-TEST-040	The Test Management Plan shall include a description of the process used for the identification and preparation of data required for the System Integration Test effort, including a description of the use of converted data during test.
ISS-TEST-041	The Test Management Plan shall describe the process employed for security testing, including compliance for handling of PII and PHI.
ISS-TEST-042	The Test Management Plan shall include a description of entry criteria and prerequisites to the System Integration Test effort.



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Requirement ID	Requirement
ISS-TEST-043	The Test Management Plan shall define the exit criteria which, when met and approved by DMAS, provide evidence of the completion of the System Integration Test effort.
ISS-TEST-044	The Contractor shall provide a walk-through of the Test Management Plan before submitting to DMAS for approval.
ISS-TEST-045	The Contractor shall submit the Test Management Plan for DMAS review and approval.
ISS-TEST-046	The Test Management Plan shall describe how the Contractor will work with DMAS and MES QA Contractor to develop the Acceptance Test Plan and Test Cases.
ISS-TEST-047	The Test Management Plan shall define how defect tracking is used to identify organizational or procedural weaknesses and track the resulting corrective actions.
ISS-TEST-048	The Test Management Plan shall describe how services that execute on the Enterprise Service Bus (ESB) are unit, integration, and SIT tested.
ISS-TEST-049	The Test Management Plan shall describe how message-oriented interactions is accomplished.
ISS-TEST-050	Test Management Plan shall describe the Contractor's organizational structure and how the testing function is managed.
ISS-TEST-051	The Test Management Plan shall describe the Contractor support that is assigned and provided to DMAS and Contractor staff for each testing phase.
ISS-TEST-052	The Test Management Plan shall address the division of responsibilities between the Contractor, DMAS, and MES QA Contractor.
ISS-TEST-053	The Test Management Plan shall describe how the Contractor maintains the test environments; including loading test data routinely used by the system to perform its automated processes (e.g., reference values such as system parameters, system lists, reference tables, edits, dispositions, and security tables).
ISS-TEST-054	The Test Management Plan shall provide a testing methodology and approach on how the Contractor will test and verify conversion data and files.
ISS-TEST-055	The Test Management Plan shall define how defects and other issues reported by DMAS are analyzed, tracked, resolved; how required system changes implemented; and how testing is integrated with other project phases.
ISS-TEST-056	The Test Management Plan shall describe how the testing methodology accommodates workflow testing.
ISS-TEST-057	The Test Management Plan shall provide a testing methodology and approach on how the Contractor tests and verifies Extensible Markup Language (XML).
ISS-TEST-058	The Contractor shall develop comprehensive positive and negative test cases for all phases of testing.
ISS-TEST-059	The Contractor shall have processes in place to routinely load production and other data into the ITF, at DMAS request, as necessary to perform its automated processes.
ISS-TEST-060	The Contractor shall provide comprehensive documentation for requested test results for DMAS approval, prior to any software or COTS product being implemented in the production environment.



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Requirement ID	Requirement
ISS-TEST-061	The Contractor shall be responsible for scheduling and coordinating all testing activities to ensure that each test is prepared and performed in accordance with the test plan.

## J.4 – CHANGE MANAGEMENT

Requirement ID	Requirement
ISS-CHG-MGT-001	The Contractor shall provide a DDI Change Management Plan which meets the Project Management Institute’s standards contained in the Project Management Body of Knowledge (PMBOK®), and addresses and defines processes for managing changes to the project requirements, deliverables, and other components.
ISS-CHG-MGT-002	The Contractor shall provide an Operations Change Management Plan which meets the Project Management Institute’s standards contained in the Project Management Body of Knowledge (PMBOK®), and addresses and defines processes for managing changes to any of the production environment components, including but not limited to software, hardware, data, and documentation.
ISS-CHG-MGT-003	The Contractor shall provide the capability to support a change request methodology and system, including work flow with electronic signatures to track the requests/projects from initiation to closure, and support management of the requests. The Solution shall include storage of and linkage to all SDLC deliverables for each request/project.
ISS-CHG-MGT-004	The Contractor shall submit a proposed Impact Assessment Form with instructions to be used in the Change Management process that includes accounting for change in: <ul style="list-style-type: none"> <li>➤ Scope</li> <li>➤ Schedule</li> <li>➤ Costs or Resources</li> <li>➤ Business Process Definition</li> <li>➤ Documentation</li> <li>➤ Performance Standards</li> <li>➤ Configuration</li> <li>➤ Risks</li> </ul>
ISS-CHG-MGT-005	The Contractor shall follow the best practices guidelines for Change Management as described in ISO/IEC 20000 [1 to 11] standards for Information Technology Service Management (ITSM), which is contained within the Information Technology Infrastructure Library (ITIL) framework.  Please refer to the ISO catalogue for more details: <a href="http://www.iso.org/iso/home/store/catalogue_tc/catalogue_tc_browse.htm?commid=5013818">http://www.iso.org/iso/home/store/catalogue_tc/catalogue_tc_browse.htm?commid=5013818</a>

## J.5 – IV&V AND CMS CERTIFICATION

Requirement ID	Requirement
ISS-IVV-001	<p>The Contractor shall provide the necessary information requested by the IV&amp;V Contractor to assess the Contractor’s Project Management capabilities including, but not limited to:</p> <ul style="list-style-type: none"> <li>➤ Progress against budget and schedule</li> <li>➤ Risk management</li> <li>➤ Adherence to the software development lifecycle (SDLC)</li> <li>➤ Incorporation of the Seven Conditions and Standards into design and development</li> <li>➤ Reflection of the Department’s MITA goals and plans into actual design and development</li> <li>➤ Configuration management is robust and includes State or developer configuration audits against configuration baseline</li> <li>➤ Change management</li> <li>➤ Adherence to service-level agreements</li> <li>➤ Project Work Plan comprehensiveness</li> </ul>
ISS-IVV-002	<p>The Contractor shall provide the necessary information requested by the IV&amp;V Contractor to assess the Contractor’s System/Modular development capabilities including, but not limited to:</p> <ul style="list-style-type: none"> <li>➤ Completeness and reasonability of MES concept of operations, architecture, and designs</li> <li>➤ Accuracy of capture of interfaces and data sharing requirements with systems external to the MES</li> <li>➤ Viability and completeness of the data transition plan</li> <li>➤ Traceability of requirements through design, development, testing, and certification</li> <li>➤ Adequacy of system security and privacy policies, plans, technical designs, and implementations</li> <li>➤ Coverage and integrity of all system testing, including stress testing and testing of interfaces between modules and with external partner systems</li> <li>➤ Capacity management, including consideration of future Contractors’ support and release plans for underlying databases, software, and hardware</li> <li>➤ Adequacy of disaster recovery planning</li> </ul>
ISS-IVV-003	<p>The Contractor shall make available all systems related planning, design, development and implementation related activities, outputs, documentation, and test results in order to substantiate the solution meets related CMS certification checklist items as defined at the time of the review.</p>
ISS-IVV-004	<p>The Contractor shall demonstrate the solution meets MITA 3.0 Framework guidelines regarding business, information, and technical requirements in addition to compliance with the Seven Conditions and Standards.</p>



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**J.6 – AUDIT SUPPORT**

Requirement ID	Requirement
ISS-AUDIT-001	The Contractor shall provide DMAS, at a minimum, an annual report from its external auditor on effectiveness of internal controls. If the report discloses deficiencies in internal controls, the Contractor shall include management’s corrective action plans to remediate the deficiency. The report shall be compliant with the AICPA Statement on Standards for Attestation Engagements (SSAE) No. 16, Reporting on Controls at a Service Organization, Service Organization Controls (SOC) 2, Type 2 Report.
ISS-AUDIT-002	The Contractor, and each of its third-party service providers which provide a service that may impact the financial or program operations of DMAS, shall provide the SSAE 16 SOC 2 reports for its respective entity. The SSAE 16 audit reports shall be provided to DMAS’s Internal Audit Division annually, no later than 30 days after the report is issued to the Contractor.
ISS-AUDIT-003	The Contractor shall provide DMAS, at a minimum, an annual report from a qualified, independent, external IT security Contractor for a Vulnerability Assessment and Network Penetration Test covering all Contractor and subcontractor networks that will access State data and information.
ISS-AUDIT-004	The Contractor shall provide the Department, at a minimum, a quarterly report of the results of its quarterly vulnerability scans covering all Contractor and subcontractor networks that will access State data and information.
ISS-AUDIT-005	The Contractor shall provide the Department, at a minimum, a biennial report from an independent, external auditor on the Contractor’s compliance with the State IT Information Security Standard SEC 501-09 (or latest). If the report discloses security deficiencies, the Contractor shall include management’s corrective action plans to remediate the deficiency. The report shall be developed utilizing the requirements established in State IT Information Security Standard (SEC 501-09 or latest) and State IT Security Audit Standard (SEC 502-02.2 or latest).
ISS-AUDIT-006	The Contractor and its subcontractors shall provide network connectivity for visitors from DMAS, Federal, and State auditors, including the execution of outside audit tools and audit test software for guest auditors from the U.S. Department of Health and Human Services (HHS) Office of the Inspector General, the HHS CMS Virginia Auditor of Public Accounts (APA) or any other authorized auditors as determined by DMAS.
ISS-AUDIT-007	The Contractor shall produce robust audit trails and audit logs of all applications and engineering activities (including inquiry transactions) on the production systems. These audit logs will be kept available online, behind a front-end presentation toolset providing queries, reports, and analytics on any log selected. The system will be able to answer typical control questions required by COV SEC 501-09 and NIST 800-053 REV 4 (or latest) with online reporting. The DMAS Internal Audit Division and the Office of Compliance and Security shall provide the capability to access the audit logs directly without the Contractor’s intervention. The logs shall be available to be reviewed by authorized Federal and COV auditors. Log retention shall be seven (7) years based on Library of Virginia standards.



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Requirement ID	Requirement
ISS-AUDIT-008	The Contractor shall establish policies, procedures, and practices to ensure there is appropriate internal monitoring of the audit logs and the established process produces documentation to evidence the monitoring effort.
ISS-AUDIT-009	The Contractor shall provide DMAS, the U.S. Department of Health and Human Services (HHS) Office of the Inspector General, the HHS CMS, the Auditor of Public Accounts, and any other State and Federal auditors, or any of their duly authorized representatives with access to Contractor facilities for the purposes of audit, review, or physical inspection of system assets and system security, and access to any books, annual reports, management's report on internal control over financial reporting, SSAE No. 16 Service Organization Controls audit reports, fee schedules, documents, papers, and records of the Contractor and any of its subcontractors. Access to records includes any records which are stored offsite. Records shall be provided for review at no cost to the Department.
ISS-AUDIT-010	The Contractor shall provide DMAS, the U.S. Department of Health and Human Services (HHS) Office of the Inspector General, the HHS CMS, State and Federal auditors, or any of their duly authorized representatives, access to inspect, copy, and audit contractor documents, including, medical and/or financial records of the Contractor and its subcontractors.
ISS-AUDIT-011	The Contractor shall retain all records and reports relating to this Contract for a period of six years after final payment are made under this Contract or in the event that this Contract is renewed six years after the final payment. When an audit, litigation, or other action involving or requiring access to records is initiated prior to the end of said period, however, records shall be maintained for a period of six years following resolution of such action or longer if such action is still ongoing. Copies on microfilm or other appropriate media of the documents contemplated herein may be substituted for the originals provided that the microfilming or other duplicating procedures are reliable and are supported by an effective retrieval system which meets legal requirements to support litigation, and to be admissible into evidence in any court of law.
ISS-AUDIT-012	The Contractor shall provide the Department with timely responses and corrective action plans (CAPs) for any audit or review findings, and shall ensure that any and all of its subcontractors also comply. In addition, the Contractor shall provide quarterly status updates for each CAP until the CAP is complete and the finding is remediated.
ISS-AUDIT-013	The Contractor shall comply, and shall ensure any and all subcontractors comply with the following COV Information Security Standards (available on the VITA website), which among other requirements includes development and or performance of risk assessments, system security plans, disaster recovery plans, continuity of operations plans, and security audits: COV SEC 501-09 (or latest) IT Information Security Standard, COV SEC 502-02.2 (or latest) IT Security Audit Standard, COV SEC 514-03 (or latest) Removal of State Data from Electronic Media Standard, COV SEC 520-00 (or latest) IT Risk Management Standard, COV SEC 525-01 Cloud-Based Information Security Standard (Pending its release in 2016).
ISS-AUDIT-014	The Contractor shall not have the right to audit DMAS, or require that DMAS be audited.



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Requirement ID	Requirement
ISS-AUDIT-015	The Contractor shall provide Control Policy and Procedures required by the Agency to develop, disseminate, and review/update annually, formal documented procedures. The Contractor shall also provide a Security Roles-based Report that can be used as evidence to validate access control policy on an annual basis. (SEC501-09 Section 8.1.AC-1).
ISS-AUDIT-016	The Contractor shall provide Control Policy and Procedures to disable unneeded accounts in a timely manner as well as historical records of such actions. (SEC 501.9 Section 8.1-AC-2-COV 1.b).
ISS-AUDIT-017	The Contractor shall conduct and document a risk assessment of each IT system classified as sensitive at least once every three years. The risk analysis shall address all of the requirements in the Security Standard and include an analysis of encryption/decryption mechanisms pertaining to PHI data at rest or in transition. (SEC 501.9 Section 6.2).
ISS-AUDIT-018	The Contractor shall maintain and document a system for Risk Management which is compliant with the COV IT Risk Management Standard (SEC 520-00 or latest) published by VITA. The intent of this requirement is to ensure the Contractor establishes a risk management framework, setting a baseline for information risk management activities for the Contractor. These risk management activities include, but are not limited to, any regulatory requirements that the Contractor is subject to, information security best practices, and the requirements defined in this Standard. These risk management activities will provide identification of sensitive system risks, their associated business impact, and a remediation/recommendation strategy that will help mitigate risks to the Contractor's information systems and data and the State's information systems and data. The Risk Management Framework aligns with the methods set forth by the National Institute of Standards and Technology (NIST) Framework for Improving Critical Infrastructure Cybersecurity.
ISS-AUDIT-019	The Contractor shall process a documented request with supervisory approval to establish an account on IT systems. In addition, the Contractor shall notify the Agency System Administrator in a timely manner about termination and/or transfer of employees and contractors with access rights to IT systems and data. (SEC501.9 Section 8.1.AC-2 COV 2).
ISS-AUDIT-020	The Contractor shall provide and require encryption for the transmission of email and attached data that is sensitive relative to confidentiality. (SEC501.9 Section 8.16.SC-8-COV).
ISS-AUDIT-021	The Contractor shall, annually, support the Agency and review of user accounts and privileges. (SEC501-09 Section 8.1.AC-2(j)).
ISS-AUDIT-022	The Contractor shall support at least two Agency individuals to have administrative accounts to provide continuity of operations. (SEC501-09 Section 8.1.AC-2-COV 1 (h)).
ISS-AUDIT-023	The Contractor shall provide evidence of document management practices for administering accounts. (SEC501 -09 Section 8.1 AC-2-COV).

## J.7 – TURNOVER

Requirement ID	Requirement
ISS-TRNOVR-001	<p>The Contractor shall provide a Turnover Plan within 30 days of the Turnover Notification Letter. The plan shall include:</p> <ul style="list-style-type: none"> <li>➤ Data Turnover tasks</li> <li>➤ Custom interface Turnover tasks</li> <li>➤ Reusable code Turnover tasks</li> <li>➤ Documentation regarding files, interfaces, and work flows not considered to be part of the COTS proprietary documentation tasks</li> <li>➤ A timeline with milestones for the Turnover to include planning, execution, and implementation approval</li> </ul>
ISS-TRNOVR-002	<p>The Contractor shall carry out an orderly, cooperative, comprehensive, and controlled transition to the Department.</p>
ISS-TRNOVR-003	<p>The Contractor shall provide a security profile of Department users in a Microsoft Word document or Microsoft Excel spreadsheet format.</p>
ISS-TRNOVR-004	<p>The Contractor shall provide Turnover deliverables as part of the Turnover tasks to include:</p> <ul style="list-style-type: none"> <li>➤ All files and data</li> <li>➤ Reusable code Turnover</li> <li>➤ Customized ad-hoc reporting specifications</li> <li>➤ Documentation regarding files, interfaces, and work flows not considered to be part of the COTS proprietary documentation</li> <li>➤ A timeline with milestones and a work breakdown structure for the Turnover to include planning, execution, and implementation approval</li> <li>➤ A description of post turnover support for up to 6 weeks</li> </ul>

## J.8 – SEVEN CONDITIONS AND STANDARDS

Requirement ID	Requirement
ISS-SCS-001	<p>The Contractor shall comply and consistently meet or exceed the CMS Seven Conditions and Standards over the life of the contract.</p>
ISS-SCS-002	<p>Modularity Standard - The Contractor shall demonstrate the use of a modular, flexible approach in its solution. This approach shall describe the modularity within its Solution including, but not limited to:</p> <ul style="list-style-type: none"> <li>➤ Use of a Systems Development Life Cycle Methodology (SDLC)</li> <li>➤ Identification of the modules within the solution and a description of the attributes that make them modular</li> <li>➤ Identification and description of open interfaces</li> <li>➤ Use of standardized business rule definitions and engines</li> </ul>



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Requirement ID	Requirement
ISS-SCS-003	<p>MITA Condition: The Contractor shall support the following if required:</p> <ul style="list-style-type: none"> <li>➤ Conducting MITA Self Assessments</li> <li>➤ Developing MITA Roadmaps</li> <li>➤ Developing Concept of Operations (COO) and Business Process Models (BPM)</li> </ul>
ISS-SCS-004	<p>Industry Standard Condition - The Contractor shall ensure alignment with, and incorporation of, industry standards, including but not limited to: the Health Insurance Portability and Accountability Act of 1996 (HIPAA) security, privacy and transaction standards; accessibility standards established under section 508 of the Rehabilitation Act, or standards that provide greater accessibility for individuals with disabilities, and compliance with Federal Civil Rights laws; standards adopted by the Secretary under section 1104 of the Affordable Care Act; and standards and protocols adopted by the Secretary under section 1561 of the Affordable Care Act.</p> <p>The Contractor shall describe and provide examples of how the solution provides the following capabilities:</p> <ul style="list-style-type: none"> <li>➤ Inclusion of industry standards</li> <li>➤ Incorporation of industry standards in requirements, development, and testing phases</li> </ul>
ISS-SCS-005	<p>Leverage Condition - The Contractor shall work with DMAS to promote implementation of COTS packages or SaaS, and share, leverage, and identify possibilities for reuse of Medicaid technologies and systems within and among States, including but not limited to:</p> <ul style="list-style-type: none"> <li>➤ Multi-state efforts</li> <li>➤ Availability for reuse</li> <li>➤ Identification of open source, cloud-based, and commercial products</li> <li>➤ Customization</li> <li>➤ Transition and retirement plans</li> </ul>
ISS-SCS-006	<p>Business Results Condition - The Contractor shall support accurate and timely processing of claims, assignment of member eligibility benefits, adjudications, and effective communications with providers, members, and the public. The Contractor shall provide examples of how its solution accomplishes this condition, including but not limited to:</p> <ul style="list-style-type: none"> <li>➤ Degree of automation</li> <li>➤ Web-based Customer Service</li> <li>➤ Performance standards and testing</li> </ul>



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Requirement ID	Requirement
ISS-SCS-007	<p>Reporting Condition - The Contractor's solution shall produce transaction data, reports, and performance information that contribute to program evaluation, continuous improvement in business operations, transparency, and accountability. The Contractor shall provide examples of meeting this requirement including, but not limited to:</p> <ul style="list-style-type: none"> <li>➤ Accurate data</li> <li>➤ Interfaces with designated federal repositories or hubs</li> <li>➤ Automatic generation of reports</li> <li>➤ Audit trails</li> </ul>
ISS-SCS-008	<p>Interoperability Condition - The Contractor's solution shall provide seamless coordination and integration with appropriate exchanges including but not limited to HIE and HIX, and any run by the state or federal government, and allow interoperability with health information exchanges, public health agencies, human services programs, and community organizations providing outreach and enrollment assistance services. The Contractor shall describe and present examples of how the solution provides the following capabilities:</p> <ul style="list-style-type: none"> <li>➤ Interactions with exchanges</li> <li>➤ Interactions with other entities</li> <li>➤ Use standard messaging, protocols and architecture</li> </ul>

## J.9 – SECURITY/COMPLIANCE AUDIT

Requirement ID	Requirement
ISS-SSDR-SAD-001	The Solution shall support encryption at rest for all relational database items.
ISS-SSDR-SAD-002	The Solution shall require all relational database(s) to enforce Transport Layer Security (TLS 1.2 or above) for all incoming database connections.
ISS-SSDR-SAD-003	The Solution requires a minimum of 256 bit encryption (AES preferred).
ISS-SSDR-SAD-004	The Solution utilized to encrypt the database shall include security that contains encryption keys to be a minimum of 2048 bits.
ISS-SSDR-SAD-005	The Solution utilized to encrypt the database requires methods used by relational databases to be FIPS-140-2 certified or higher.
ISS-SSDR-SAD-006	The Solution utilized to encrypt the database requires methods used by relational databases to be common criteria certified.
ISS-SSDR-SAD-007	The Contractor shall provide a Security Plan which will be in compliance with all State and Federal enterprise information security policies, standards, security initiatives, and regulations.
ISS-SSDR-SAD-008	The Contractor shall provide a security solution which complies with VITA Information Security Standard Regulation SEC 501-09 or latest (SEC501-09 is updated annually and is based on NIST 800-53 v.4).



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Requirement ID	Requirement
ISS-SSDR-SAD-009	The Solution shall ensure that all data considered to be Protected Health Information (PHI) is secured while in transit and at rest (via encryption or an industry standard method of secure file transport). Data shall be stored in the continental United States.
ISS-SSDR-SAD-010	The Contractor shall provide guest network connectivity from its offices and facilities during the life of the contract, at the Contractor's expense. This can be guest Wi-Fi or some other DMAS approved method. Requested guest accounts will be provisioned within twenty four (24) hours.
ISS-SSDR-SAD-011	The Contractor shall collaborate and provide significant participation in support of the development and annual maintenance of the CMS System Security Plan (SSP).
ISS-SSDR-SAD-012	The Solution shall provide the capacity to manage the creation of unique and permanent User ID's across multiple systems.
ISS-SSDR-SAD-013	The Solution shall provide the capability for the provisioning of all MES accounts through the use of federated lists of tables.
ISS-SSDR-SAD-014	The Solution shall have the functionality to allow for automated password resets using industry standard algorithms.
ISS-SSDR-SAD-015	The Solution's password complexity shall require the use of all four of the following characteristics: Upper Case, Lower Case, Special Characters, and Numbers.
ISS-SSDR-SAD-016	The Solution's passwords shall be a minimum of 12 characters in length and expire every 42 days.
ISS-SSDR-SAD-017	The Contractor shall ensure the Solution integrates with a central ICAM/SS-O using web services.
ISS-SSDR-SAD-018	The Contractor shall ensure the Solution provides an authorization system and workflow for setting up user roles/access levels.
ISS-SSDR-SAD-019	The Contractor shall provide coordination between role-based contractor solutions that include DMAS user roles and the central ICAM/SS-O during implementation/setup of access control components.
ISS-SSDR-SAD-020	The Contractor shall provide coordination between role-based contractor solutions which include DMAS roles and the central ICAM/SS-O for external testing.
ISS-SSDR-SAD-021	The Contractor shall provide coordination and support during the mapping of current roles (such as VAMMIS ACF2 roles) into applicable contractor solution roles for DMAS users.
ISS-SSDR-SAD-022	The Contractor shall ensure the Solution provides role-based security and audit capabilities relative to the ICAM/SS-O.
ISS-SSDR-SAD-023	The Contractor shall ensure the user role/access level identifiers are continually in synch with the authorization system.

## J.10 – ISS SSO GLOBAL SECURITY

Requirement ID	Requirement Description
ISS-ICAM-SSO-GLBL-001	All applications (Custom or COTS) shall have the ability to seamlessly enable Single Sign-On (SSO) capability with appropriate authorization and entitlements for various user levels. This is accomplished by integrating with the MES Portal at DMAS, which in turn will communicate with an Enterprise Identity, Credential, Access and Session Management Solution (ICAM Solution), a COTS product thereby providing security functionalities like Identity, Credentials, Access, Entitlement and Session Management as per the "Security and Privacy Model", MITA 3.0 guidelines.
ISS-ICAM-SSO-GLBL-002	All applications (Custom or COTS) shall have the ability to communicate with an Enterprise Identity, Credential, Access, and Session Management Solution (ICAM Solution), a COTS product to validate user request for security guardrail checks like session token expiration, entitlements, credentials etc. as per the "Security and Privacy Model," MITA 3.0 guidelines.
ISS-ICAM-SSO-GLBL-003	Contractor proposed authorization solution shall support the MES SSO concept.
ISS-ICAM-SSO-GLBL-004	Contractor proposed authorization solution shall establish and maintain user role definitions as defined by DMAS Security Office.
ISS-ICAM-SSO-GLBL-005	Contractor proposed authorization solution shall provide a bi-directional interface with the authentication service.
ISS-ICAM-SSO-GLBL-006	Contractor proposed authorization solution shall provide a bi-directional interface with the MES Contractor's systems.
ISS-ICAM-SSO-GLBL-007	Contractor proposed authorization solution shall allow for user roles, as defined by DMAS Office of Compliance and Security, to be synched with other MES Contractors.
ISS-ICAM-SSO-GLBL-008	Contractor shall provide a VITA hosted solution or an in house solution. Upon acceptance of implementation (final product), shall be in due course of time be turned over to DMAS for ongoing maintenance.
ISS-ICAM-SSO-GLBL-009	Contractor shall provide training to DMAS as part of the turn over phase.
ISS-ICAM-SSO-GLBL-010	Contractor shall supply ICAM technical support and account conversion staff during the implementation phase of the contract. All existing provider portal users shall be on boarded into the MES Portal. All DMAS/COV accounts shall be populated into the ICAM solution. All new MES system accounts shall be on boarded before implementation.

## J.11 – ICAM SOLUTION TECHNICAL FUNCTIONALITY

Requirement ID	Requirement Description
ISS-ICAM-001	Contractor proposed authorization Solution shall support the MES SSO concept.
ISS-ICAM-002	Contractor proposed authorization Solution shall establish and maintain user role definitions as defined by DMAS Security Office.
ISS-ICAM-003	Contractor proposed authorization Solution shall provide a bi-directional interface with the authentication service.



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Requirement ID	Requirement Description
ISS-ICAM-004	Contractor proposed authorization Solution shall provide a contractor agnostic bi-directional interface with the MES Contractors.
ISS-ICAM-005	Contractor proposed authorization Solution shall allow for user roles, as defined by DMAS Office of Compliance and Security, to be synched with MES Contractors.
ISS-ICAM-006	Contractor shall provide a VITA-hosted Solution or an in-house Solution. Upon acceptance of implementation (final product), shall be turned over to DMAS for ongoing maintenance.
ISS-ICAM-007	Contractor shall provide training on ICAM to DMAS as part of the turnover phase.
ISS-ICAM-008	Contractor shall supply ICAM technical support and account conversion staff during the implementation phase of the contract. All existing provider portal users shall be on boarded into the MES Portal. All DMAS/Commonwealth accounts shall be populated into the ICAM Solution. All new MES system accounts shall be on boarded before implementation.
ISS-ICAM-009	Contractor shall provide a COTS based identity, credentials and access management solution (ICAM).
ISS-ICAM-010	Contractor's Solution shall provide privileged user management monitoring and reporting.
ISS-ICAM-011	Contractor's Solution shall provide provisioning (onboarding) workflows with tracking.
ISS-ICAM-012	Contractor's Solution shall support compliance reporting utilizing workflows with tracking.
ISS-ICAM-013	Contractor's Solution shall provide an integrated security workflow solution. Additionally, Contractor shall provide details about how well the proposed Solution integrates with SharePoint.
ISS-ICAM-014	Contractor's Solution shall provide analytics and metrics available for system logs and workflow statistics.
ISS-ICAM-015	Contractor's Solution shall provide IT audit monitoring and reporting.
ISS-ICAM-016	Contractor's Solution shall provide regulation support like HIPAA, Sarbanes-Oxley (SOX), etc.
ISS-ICAM-017	Contractor's Solution shall provide a process for the conversion of existing agency accounts to new system roles.
ISS-ICAM-018	Contractor's Solution shall include Audit Policy enforcement.
ISS-ICAM-019	Contractor's Solution shall provide Role based support (i.e., roles can be delegated to other personnel with respect to date ranges and/or organizational role demands). These privileges for a role could be changed on an as needed basis and all the role-based delegation and supervisor role changes shall be audit trailed with date and time stamp logs to show the historical changes.
ISS-ICAM-020	Contractor's Solution shall support Federation of user access rights on web applications across otherwise untrusted networks.



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Requirement ID	Requirement Description
ISS-ICAM-021	Contractor shall provide a back-end database solution approved by DMAS for storage of all transaction, access, audit critical access logs, and other essential data that will need to be retained as per security regulations.
ISS-ICAM-022	Contractor's Solution shall provision all agency supervisors to monitor and manage security roles of their direct reports, including request for granting and revoking access. DMAS management hierarchy definition maintained by DMAS Office of Compliance and Security (OCS) shall be captured by the ICAM Solution.
ISS-ICAM-023	Contractor's Solution shall provide proxy capabilities for substituting supervisor's responsibilities.
ISS-ICAM-024	Contractor's Solution shall provide a Secure Token Server (STS), which has a mechanism to generate several types of token types based on security frameworks, including but not limited to: SAML, OAuth, WS Security, and encrypted tokens based on user categories.
ISS-ICAM-025	Contractor's Solution provided STS shall have a mechanism to generate tokens that shall expire with a hard and soft timeouts.
ISS-ICAM-026	Contractor's Solution shall provide a mechanism to generate and store public and private keys for encryption and decryption of data through a Portal User Interface (UI).
ISS-ICAM-027	Contractor's Solution shall provide a mechanism to override the existing private and public key combination on an encrypted data store by an authorized system administrator to mitigate risks caused by ransomware or other security breaches.
ISS-ICAM-028	Contractor's Solution shall provide a mechanism to mandate a change of private keys, public keys, and passwords beyond a certain period of days. This setting should have the capability to be configured through the Portal UI by system administrators based on various user levels, entitlements, and application access.
ISS-ICAM-029	Contractor's Solution shall provide a mechanism for Multi Factor Authentication (MFA) for all users, with a minimum of 2 levels up to 4 levels based on the user access level. A sample scenario would be a member can have 2-factor authentication, user-provisioning approver shall have 3 levels of authentication, while a system administrator shall have 4 levels of authentication.
ISS-ICAM-030	Contractor's Solution shall provide a UI functionality where various applications integrated or communicating with ICAM Solution shall be provisioned.
ISS-ICAM-031	Contractor's Solution shall provide a UI functionality where various user roles and entitlements can be individually provisioned with respect to the applications.
ISS-ICAM-032	Contractor's Solution shall provide a mechanism to authenticate the identity and allow access based on entitlements by encrypting the details in the token generated.
ISS-ICAM-033	Contractor's Solution shall provide a mechanism to validate the security token expiration and entitlements when requested by other systems, and it shall return a status of this credential. This is critical as an already logged in user may have been idle for a while and it is the responsibility of the application to make a call to the ICAM Solution to determine the security token validity before fulfilling the request.



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Requirement ID	Requirement Description
ISS-ICAM-034	Contractor's Solution shall provide a mechanism to immediately terminate a security token on suspicious activity based on in built security algorithms and patterns. This activity needs to be reported to the security team for further investigation to rule out false positives.
ISS-ICAM-035	Contractor's Solution shall provide the functionality to enable ad-hoc response to SSO validation status check request that come from other systems.
ISS-ICAM-036	Contractor's Solution shall provide a secure encrypted storage of credential information.
ISS-ICAM-037	Contractor's Solution shall provide a reporting dashboard, which will display reports, transaction logs, audit logs, etc. for a particular user or a group.
ISS-ICAM-038	Contractor's Solution shall provide Business Process Management with a Business Rules Engine to provide quick creation of workflow processes on user, groups, or application provisioning.
ISS-ICAM-039	Contractor's Solution shall provide a workflow mechanism, which will allow the user provisioning process to be automated once the registration is completed.
ISS-ICAM-040	Contractor's Solution shall provide an immediate workflow approval process for less risk users (e.g., guest members or internal users requesting limited access) based on system algorithms to avoid delay in manual intervention.
ISS-ICAM-041	Contractor's Solution shall provide an optional functionality for ICAM Solution to be easily integrated with other enterprise-wide systems like EDI, EMR, ECM, ITSM Change management tools, etc. by non-cumbersome configuration changes.
ISS-ICAM-042	Contractor's Solution shall provide an optional functionality for infrastructure provisioning to enable quick creation of virtual instances in a localized data center or cloud based environment.
ISS-ICAM-043	Contractor shall ensure all the testing requirements and guidelines are met as per security standards. Thorough testing will include system testing with full load capacity and ICAM Solution integrated/communicating with other solutions.
ISS-ICAM-044	Contractor shall work with DMAS ISO team to determine threat vulnerabilities and perform failure testing to ensure there are no false positives or outliers during the failure load testing.
ISS-ICAM-045	Contractor shall provide an ad hoc reporting system against ICAM data that will allow the saving ad hoc report definition for future requests.

## J.12 – INTEGRATION SERVICES

Requirement ID	Requirement
ISS-IS-001	The Contractor shall facilitate the secure exchange of data with other applications in the MES within the agreed upon SLA through synchronous real time web services and/or asynchronous services using Queues through an Integration service.
ISS-IS-002	The Contractor shall have the ability to produce/consume SOAP, RESTful Web Services.



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ISS-IS-003	The Contractor shall have the ability to exchange files through secure file transfer protocol with other systems through an Integration service.
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### J.13 – RULES ENGINE

Requirement ID	Requirement
ISS-RULE-EGN-001	The Contractor's Rules Engine shall meet MITA 3.0 standards by using COTS Business Rules Engine products using BPMN and BPEL methodologies.
ISS-RULE-EGN-002	The Contractor's Rules Engine shall allow integration with Identity Access Management products for several elevated user levels for business rules approvals.
ISS-RULE-EGN-003	The Contractor's provided workflow shall automate details for any rules creation/modification/deletion and scheduled auto deployment shall be explained.
ISS-RULE-EGN-004	The Contractor's Rules Engine shall provide a testing environment with dashboard drill downs using past production data to show how functionality/end result will change by the rule changes. This can be displayed in the dashboard by a graphical and columnar view for easy impact assessment by the business user.
ISS-RULE-EGN-005	The Contractor shall provide a Rules Engine Business Dictionary which includes data elements, definition, data size, meaning, description and its usage.
ISS-RULE-EGN-006	The Contractor's Rules Engine shall allow changes to be made to the valid values without bringing down the rules engine.
ISS-RULE-EGN-007	The Contractor's Rules Engine shall have tracking mechanisms to identify which rules are executed for the particular transactions.
ISS-RULE-EGN-008	The Contractor's Rules Engine shall be able to produce a report on rules passed or failed for all transactions.
ISS-RULE-EGN-009	The Contractor's Rules Engine shall send alerts to the appropriate resource if there is any issue in the rules engine.
ISS-RULE-EGN-010	The Contractor's Rules Engine shall allow logging to be turned ON or OFF.
ISS-RULE-EGN-011	The Contractor's Rules Engine shall provide a debugging tool to debug the rules execution.
ISS-RULE-EGN-012	The Contractor's Rules Engine shall allow rules to run sequentially and in parallel.
ISS-RULE-EGN-013	The Contractor's Rules Engine shall allow Individual rules testing features available.
ISS-RULE-EGN-014	The Contractor's Rules Engine shall include test data creation tools.
ISS-RULE-EGN-015	The Contractor's Rules Engine shall allow users to map JSON or XML documents as input data elements.
ISS-RULE-EGN-016	The Contractor's Rules Engine shall be easily accessed through Java or web services.
ISS-RULE-EGN-017	The Contractor's Rules Engine shall process high volume transactions and shall be scalable.
ISS-RULE-EGN-018	The Contractor's Rules Engine shall be able to support NoSQL or MongoDB.



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Requirement ID	Requirement
ISS-RULE-EGN-019	Rules Editor shall allow the subject matter experts or technical resource to write the rules in the natural language.
ISS-RULE-EGN-020	The Contractor shall supply a dashboard to monitor the rules execution and its performance and statistics.
ISS-RULE-EGN-021	The Contractor's Rules administration process shall control user access, modify and execute the rules.

**J.14 – WORKFLOW**

Requirement ID	Requirement
ISS-WF-001	The Contractor's workflow management tool shall support the intelligent assignment, queueing, notification, escalation and management of requests, interactions and relationships with providers, members, and other stakeholders.
ISS-WF-002	The Contractor's workflow management tool shall be easily configurable.
ISS-WF-003	The Contractor's workflow management tool shall support notifications and alerts using a variety of access channels that can be managed by authorized users.
ISS-WF-004	The Contractor's workflow management tool shall have the capability to schedule the execution of tasks.
ISS-WF-005	The Contractor's workflow management tool shall be able to track and monitor the progress of the execution of the workflows.
ISS-WF-006	The Contractor's workflow management tool shall have the ability to prioritize the tasks based on the severity.
ISS-WF-007	The Contractor's workflow management tool shall be fault tolerant.
ISS-WF-008	The Contractor's workflow management tool shall provide ability to view the workflow execution history.
ISS-WF-009	The Contractor's workflow management tool shall have user defined reporting capabilities to assist in managing caseloads, workflow processes, and quality assurance.

**J.15 – PORTAL**

Requirement ID	Requirement
ISS-TECH-WEB-001	All Contractor websites shall comply with section 508 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794d) and meet the standards published in the Federal Register on December 21, 2000 (36 CFR Part 1194).
ISS-TECH-WEB-002	All Contractor website components used to publish or create content or user accessible interfaces shall comply with the Authoring Tool Accessibility Guidelines (ATAG) 2.0 as published by the Worldwide Web Consortium (W3C).



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Requirement ID	Requirement
ISS-TECH-WEB-003	All Contractor website components or content accessed via a Web Browser shall comply with Virginia web standards as published at: <a href="http://www.vita.virginia.gov/library/default.aspx?id=663">http://www.vita.virginia.gov/library/default.aspx?id=663</a>
ISS-TECH-WEB-004	The Contractor's online help shall be available and provide current and accurate information. Online Help shall be content sensitive to the extent possible. The format and structure of online help shall be approved by DMAS.
ISS-TECH-WEB-005	All Contractor website components or content accessed via a Web Browser shall meet the W3C Web Content Accessibility Guidelines (WCAG) V2.0.
ISS-TECH-WEB-006	All Contractor websites shall support human-readable URLs which are usable as navigational aids to end users.
ISS-TECH-WEB-007	All Contractor websites shall be accessible using common major web browsers like, but not limited to Chrome, Firefox, IE, Edge, and Opera and shall be compatible with previous versions approved by DMAS.
ISS-TECH-WEB-008	All Contractor websites shall be accessible using, but not limited to mobile devices, tablets and PC's.
ISS-TECH-WEB-009	All Contractor's solution components or content accessed via a Web Browser shall comply with the W3C Mobile Web Application Best Practices as published on December 14, 2010.
ISS-TECH-WEB-010	All Contractor websites shall support English, Spanish, and any other language that is used by 5% or more of the population.
ISS-TECH-WEB-011	All Contractor website components or content accessed via a Web Browser shall display a dismissible alert when being accessed by a browser type or browser version that is not fully supported.
ISS-TECH-WEB-012	All Contractor website components or content accessed via a Web Browser shall not use, nor have any dependencies on Active-X controls, Flash, Frames or iframes.
ISS-TECH-WEB-013	For supported browsers, all Contractor websites shall print what the users see. The Solution shall provide options to print or download HTML and PDF documents.
ISS-TECH-WEB-014	All Contractor websites shall include a knowledge based component and frequently asked questions.
ISS-TECH-WEB-015	The Contractor shall ensure all browser run scripts load from website servers, unless approved otherwise by DMAS.
ISS-TECH-WEB-016	The Contractor shall ensure all browser run scripts are verified only to communicate with websites, unless approved otherwise by DMAS.
ISS-TECH-WEB-017	The Contractor shall ensure all browser run scripts use minified version in production.
ISS-TECH-WEB-018	The Contractor shall ensure all websites are developed using current technologies such as Angular JS, JavaScript, JQuery, and Bootstrap.
ISS-TECH-WEB-019	The Contractor shall ensure all websites disallow multiple concurrent logins by an individual user or by a single user ID.



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Requirement ID	Requirement
ISS-TECH-WEB-020	The Contractor shall ensure all platforms supporting or hosting browser accessible components or content shall be scanned for known vulnerabilities no less frequently than once a month. Scan results shall be sent to DMAS Security Officer.
ISS-TECH-WEB-021	The Contractor's websites shall be scalable to support growth in the number of Medicaid providers, members and for future growth of Medicaid program.
ISS-TECH-WEB-022	The Contractor shall ensure users attempting to access a solution component or content that is unavailable due to scheduled maintenance shall receive a response notifying them of the reason for non-availability and an expected service resumption time.
ISS-TECH-WEB-023	The Contractor shall ensure all website users are notified of any scheduled maintenance on the website's main page.
ISS-TECH-WEB-024	The Contractor's websites shall adhere to the "Government Data Collection and Dissemination Practices Act" Code of Virginia, § 2.2-3800, "Administration of systems including personal information; Internet privacy policy; exceptions" Code of Virginia, § 2.2-3803, the "Virginia Freedom of Information Act" § 2.2-3700, et seq., and HIPAA regulations (Health Insurance Portability and Accountability Act (1996) (HIPAA).
ISS-TECH-WEB-025	The Contractor shall ensure all solution components that are accessible from the Public Internet (e.g. websites) shall make the site's privacy policy and terms of service available prior to authentication.
ISS-TECH-WEB-026	The Contractor shall ensure cookie dependencies for Solution components or content accessed via a web browser is limited to session cookies.
ISS-TECH-WEB-027	The Contractor shall ensure any cookies generated, used, or required by the solution do not contain user identifiable data.
ISS-TECH-WEB-028	The Contractor shall ensure users attempting to access a solution component or content that has a dependency on cookies with a browser that has cookies disabled shall receive a response notifying them of features, modules, or services that may not be available.
ISS-TECH-WEB-029	The Contractor shall ensure website form fields are validated on the client side as well as on server side.
ISS-TECH-WEB-030	The Contractor shall ensure fields have standard formats such as phone numbers, date, time, currency, numbers, SSN use input mask to aid users.
ISS-TECH-WEB-031	The Contractor shall ensure users do not see technical implementation details in error messages on production system, e.g. 500 errors shall display a message such as "we are experiencing technical problems, please check back soon" with a link back to home page or the page they came from.
ISS-TECH-WEB-032	The Contractor shall ensure the website provides the ability to upload multiple files and show end users the progress of the upload using, but not limited to JQUERY or Angular file upload plugin.
ISS-TECH-WEB-033	The Contractor shall ensure the website can validate and scan for potential malware and viruses before uploading files to the secured area.
ISS-TECH-WEB-034	The Contractor shall ensure the website provides live chat functionality for end user personnel to be connected with a customer service representative (site specific).



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Requirement ID	Requirement
ISS-TECH-WEB-035	The Contractor shall ensure the website provides auto call back technology. Auto call back shall be triggered based on the average wait time, the number of people in the queue, the current service-level, or the current abandon rate to reduce the number of repeat callers and provide greater customer satisfaction (site specific).
ISS-TECH-WEB-036	The Contractor shall ensure the website provides the ability for users to save data in heavily used forms as user specific templates for future submission (site specific).
ISS-TECH-WEB-037	The Contractor shall ensure the website provides the ability for users to clone previously entered forms that are Department selected and approved (site specific).
ISS-TECH-WEB-038	The Contractor shall ensure the website provides links for context sensitive referenced materials, e.g. materials from manuals, price lists, referenced materials (site specific).

## J.16 – ELECTRONIC DATA INTERCHANGE

Requirement ID	Requirement
ISS-EDI-001	For real-time submission, the Contractor shall ensure that the Unique ID that is assigned in the DMAS EDI Gateway will be tied to its backend process.
ISS-EDI-002	For batch submissions, the Contractor shall ensure that the Unique File ID assigned in the DMAS EDI Gateway will be tied to its backend process.
ISS-EDI-003	When connecting with the DMAS EDI Gateway, the Contractor shall ensure authorization and authentication is performed through the Commonwealth specified single sign-on system.
ISS-EDI-004	The Contractor solution shall support all current and future applicable EDI standards, including but not limited to HIPAA transactions, versions, and code sets and all phases of CAQH/CORE operating rules.
ISS-EDI-005	The Contractor shall ensure that data to support a HIPAA standard response is provided, including but not limited to the TA1, 999, 271, 277, 277CA, 820, and 834.
ISS-EDI-006	The Contractor shall ensure all incoming and outgoing transaction data is logged and archived to support auditing, reporting, and other business needs.
ISS-EDI-007	The Contractor shall provide archived data in response to a DMAS request in a timeframe to be determined based on the age of the data.
ISS-EDI-008	The Contractor shall provide an automatic response when it is unable to process a real-time or batch transaction from the DMAS EDI Gateway.
ISS-EDI-009	The Contractor shall ensure that all submitted transaction information metrics, including but not limited to (submitted timestamp, transaction size, user, IP, and port) are stored and accessible for problem resolution, reporting SLAs, and other business needs.
ISS-EDI-010	The Contractor shall ensure an hourly EDI statistics email is sent to listed users.
ISS-EDI-011	For real-time submission, the Contractor shall ensure unique UUID is assigned, and the ID is tied to the backend process.



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Requirement ID	Requirement
ISS-EDI-012	The Contractor shall ensure an alert is sent to the appropriate technical team regarding the system status.
ISS-EDI-013	The Contractor shall ensure SLA reports are generated and include information such as amount of time it took to process the file, file rejection rate, and file acceptance rate.
ISS-EDI-014	The Contractor shall ensure human readable format is produced for 999 and TA1.
ISS-EDI-015	The Contractor shall ensure all the submitted file information is kept in the database for easy access (file submitted timestamp, file size, user, and so on).
ISS-EDI-016	The Solution shall validate that a provider has identified a relationship with the service center and transaction ID as part of processing an EDI transaction.

**J.17 – ISS FUNCTIONAL**

Requirement ID	Requirement
ISS-FUNC-001	The ISS Contractor transaction capacity shall be scalable based on workload.
ISS-FUNC-002	The ISS Contractor shall support non-disruptive configuration changes.
ISS-FUNC-003	The ISS Contractor shall support integration with heterogeneous systems.
ISS-FUNC-004	The ISS Contractor shall provide a graphical administration interface.
ISS-FUNC-005	The ISS Contractor shall support non-disruptive upgrades.
ISS-FUNC-006	The ISS Contractor shall use a standards based widely used language for service development.
ISS-FUNC-007	The ISS Contractor shall support industry standard protocols.
ISS-FUNC-008	The ISS Contractor services shall comply with applicable Commonwealth and federal laws and regulations.
ISS-FUNC-009	The ISS Contractor shall provide a robust Service Portfolio Management.
ISS-FUNC-010	The ISS Contractor service development shall use a centralized code repository that supports all aspects of source control.
ISS-FUNC-011	The ISS Contractor shall provide a Service Registry.
ISS-FUNC-012	The ISS Contractor shall provide service performance monitoring.
ISS-FUNC-013	The ISS Contractor shall provide configurable service performance alerting.
ISS-FUNC-014	The ISS Contractor shall provide automated service failure alerting.
ISS-FUNC-015	The ISS Contractor shall provide configurable service failure, exception and alert logging.
ISS-FUNC-016	The ISS Contractor services shall be continuously available during scheduled availability hours.
ISS-FUNC-017	Each ISS Contractor transaction shall be uniquely identifiable and transaction flow must be traceable from end to end.



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Requirement ID	Requirement
ISS-FUNC-018	The ISS Contractor shall support disparate versions of the same service running simultaneously.
ISS-FUNC-019	The ISS Contractor shall support both synchronous and asynchronous transactions.
ISS-FUNC-020	The ISS Contractor shall provide standardized error and exception message logging and reporting with a level of detail that supports debugging down to the individual user.
ISS-FUNC-021	The services developed shall be configurable without hard-coding.
ISS-FUNC-022	The ISS Contractor shall be able to connect to all the industry standard database products.
ISS-FUNC-023	The ISS Contractor shall be able to maintain/manage connection pools to all the industry standard database products.
ISS-FUNC-024	The ISS Contractor shall support federated transactions.
ISS-FUNC-025	The ISS Contractor shall support each phase of CAQH-CORE rules (currently Phase 4).
ISS-FUNC-026	The ISS Contractor shall implement SOA framework components and related services utilities and interfaces that support modularity and reuse of the modular MES modules and component functionality as a unique redeployment in another business area.
ISS-FUNC-027	The ISS Contractor's solution shall support flexibility for upgrades or replacement components in the future, and be capable of exposing system components for use by other State agencies or other entities.
ISS-FUNC-028	The ISS Contractor shall support multiple industry standards, including, but not limited to, IBM MQ, XML, XSLT, JCA, J2EE, and .NET technologies.
ISS-FUNC-029	The ISS Contractor shall provide the capability to create a business process from an existing Services inventory within a timeframe approved by the Department.
ISS-FUNC-030	The ISS Contractor shall provide the capability to invoke a Service locally or remotely within a timeframe approved by the Department.
ISS-FUNC-031	The ISS Contractor shall provide the capability to invoke Services in a variety of protocols. The choice of protocol must not restrict the behavior of the Service. (Binding to a specific protocol takes place at run-time/deployment-time, not at design or development).
ISS-FUNC-032	The ISS Contractor shall provide the capability to participate in a message queuing system feature using industry standard specifications for messaging e.g. Simple Object Access Protocol (SOAP).
ISS-FUNC-033	The ISS Contractor shall provide the capability to meet future MITA or other external architecture requirements.
ISS-FUNC-034	The ISS Contractor shall provide the capability to mask differences among underlying platforms, software architectures, and network protocols.
ISS-FUNC-035	The ISS Contractor shall provide the capability to ensure information delivery even when some systems or networks may go off line from time to time (a/k/a. Guaranteed Message Delivery).



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Requirement ID	Requirement
ISS-FUNC-036	The ISS Contractor shall provide the capability to re-route, log, and enrich information without requiring applications to be rewritten.
ISS-FUNC-037	The ISS Contractor shall provide ability to support incremental service and application integration as driven by business requirements, not as governed by available technology.
ISS-FUNC-038	The ISS Contractor shall authenticate all accesses, and entities must authenticate with a Service account ID once every 24 hours.
ISS-FUNC-039	The ISS Contractor shall implement services capable of performing specific tasks based upon business rules that are programmable, separating the logic of the business requirement from the software program performing the execution.
ISS-FUNC-040	The ISS Contractor shall use a token for authentication when connections between are between authentications.
ISS-FUNC-041	The ISS Contractor shall provide the following environments but not limited to: <ul style="list-style-type: none"> <li>➤ Sandbox</li> <li>➤ Development</li> <li>➤ String Test</li> <li>➤ System Integration Test</li> <li>➤ Quality Assurance Test</li> <li>➤ User Acceptance Test</li> <li>➤ Contractor Integration Test</li> <li>➤ Performance Test</li> <li>➤ Production</li> </ul>

## J.18 – SYSTEM REPORTING

Requirement ID	Requirement
ISS-TECH-RPT-001	The Solution shall capture logs containing but not limited to the following types of messages: <ul style="list-style-type: none"> <li>➤ Security messages</li> <li>➤ Incoming and outgoing requests and responses</li> <li>➤ Internal processing messages</li> </ul>
ISS-TECH-RPT-002	All transaction related log messages shall contain a unique identifier that is assigned when the request came in, and that relates all log messages in a transaction.
ISS-TECH-RPT-003	The Solution shall retain two types of log message, current and archived, per SLA requirements. Current period logs must be available directly to the online system.
ISS-TECH-RPT-004	The Solution shall capture transaction statistics e.g. number of transactions, errors counts, and types of transactions.



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Requirement ID	Requirement
ISS-TECH-RPT-005	The Solution shall provide security incident reporting and mitigation mechanisms, e.g. Generate warning or report on system activity based on security parameters, Terminate access and generate report when potential security violation detected, Preserve and report specified audit data when potential security violation detected.
ISS-TECH-RPT-006	The Solution shall provide a Security Management Summary report quarterly, including a summary of incidents and violations that occurred during the reporting period with a Department approved Corrective Action Plan (CAP).
ISS-TECH-RPT-007	The Solution shall provide transaction statistics reports on demand or at set frequencies as determined by DMAS.
ISS-TECH-RPT-008	The Solution shall provide a repository of the reports generated that are retained per the Commonwealth SLA.
ISS-TECH-RPT-009	The Solution shall provide an online system to authorized end users, containing but not limited to the following: Role based dashboards containing real time and historical items, Historical graphs of statistics, Access to the complete end-to-end transaction history of a transaction, and Access to the reports repository.
ISS-TECH-RPT-010	The Solution shall provide access to logs that can be searched using but not limited to: (transaction id, and fields specified by the Department), to find the transactions required for review.
ISS-TECH-RPT-011	The Solution shall provide real time alerting when defined thresholds are met and shall be communicated via agreed methods.
ISS-TECH-RPT-012	The Solution shall provide a method for managing alert thresholds and the users alerted.
ISS-TECH-RPT-013	The Solution shall provide a monthly incident report for all identified system issues and potential risks with content and in a media and format approved by the Department.
ISS-TECH-RPT-014	The ISS Contractor shall provide incident supporting data upon request and include a summary report of the incident performance including, but not limited to: <ul style="list-style-type: none"> <li>➤ Key performance Indicators (KPIs) and related service-levels targeted vs. actual results</li> <li>➤ KPIs and related service-levels prior period report comparisons</li> <li>➤ KPIs and service-levels reported as non-compliant</li> <li>➤ KPI corrective action plans (CAP) and estimated compliance date</li> <li>➤ KPI resolution date and detailed corrective status for all CAP resolutions</li> </ul>
ISS-TECH-RPT-015	The Solution shall provide a summary of the enhancements in a report including but not limited the following items: <ul style="list-style-type: none"> <li>➤ Number of enhancements by type or class</li> <li>➤ Number of active enhancements (by current month, year)</li> <li>➤ Number of completed enhancements (by current month, year)</li> <li>➤ Budget and schedule deviations</li> <li>➤ Identified issues, proposed solution, and status</li> </ul>

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Requirement ID	Requirement
ISS-TECH-RPT-016	The Solution shall provide access to all data and supporting documentation used to generate all reports in a content, media, and format approved by the Department.
ISS-TECH-RPT-017	The Solution shall provide produce ad hoc reports on agreed upon timeframes.
ISS-TECH-RPT-018	The Solution shall track performance metrics including but not limited to: <ul style="list-style-type: none"> <li>➤ Transactions processed at the type level</li> <li>➤ Transactions errors</li> <li>➤ Logins</li> <li>➤ Login failures</li> <li>➤ Queue level</li> <li>➤ Response time</li> </ul>

## J.19 – ONBOARDING

Requirement ID	Requirement
ISS-TRN-ONB-001	The Contractor shall provide Training that includes a detailed overview of the Contractor's ISS.
ISS-TRN-ONB-002	The Contractor shall provide training for all API specifications.
ISS-TRN-ONB-003	The Contractor shall provide training for the Data Dictionary.
ISS-TRN-ONB-004	The Contractor shall provide training for all connection instruction details.
ISS-TRN-ONB-005	The Contractor shall provide Training for the ISS technical information contained in the online portal.
ISS-TRN-ONB-006	The Contractor shall provide training on the Contractor's change management procedures.
ISS-TRN-ONB-007	The Contractor shall provide training on the Contractor's ISS testing procedure.

## J.20 – DISASTER RECOVERY

Requirement ID	Requirement
ISS-NFR-DR-001	The Contractor shall prepare and submit for Commonwealth approval a comprehensive Disaster Recovery Plan due to the Commonwealth on an annual basis and after a substantive change to the ISS that would require revision to the DR Plan.
ISS-NFR-DR-002	The Contractor shall provide back-up processing capability at a remote site from the primary site such that normal ISS processing can continue in the event of a disaster or major hardware problem at the primary site. All operations at the remote back-up site will meet established contractual performance and SLA requirements.
ISS-NFR-DR-003	The Contractor shall coordinate with and demonstrate to the Department the Contractor's disaster recovery capabilities in accordance with SLAs. The Contractor will include recovery of any new functionality implemented during the previous year.



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Requirement ID	Requirement
ISS-NFR-DR-004	The Contractor shall, in the event of a catastrophic (i.e. possibility of crimes, terrorism, hackers, intentional torts, human error, virus, etc.) or natural disaster, resume normal operational business functions at the earliest possible time in accordance with specified SLAs and according to the Department-approved disaster recovery plan.
ISS-NFR-DR-005	The Contractor shall, in the event of other disasters caused by such things as criminal acts, human error, malfunctioning equipment, computer viruses, or electrical supply, resume normal business functioning at the earliest possible time, in accordance with SLAs.
ISS-NFR-DR-006	The Contractor shall plan and coordinate disaster recovery activities with Department-approved business partners.
ISS-NFR-DR-007	The Contractor shall coordinate with and demonstrate to the Department the Business Continuity and Contingency Plan every calendar year in conjunction with the annual disaster recovery demonstration.
ISS-NFR-DR-008	The Contractor shall leverage and use the LAST environment as the Disaster Recovery site for the ISS. The extent to which the primary site cannot be restored in accordance with SLAs, may determine that the recovery site be considered the new primary site.
ISS-NFR-DR-009	The Contractor shall, upon notification by DMAS that the primary production site is deemed inoperable, execute the Disaster Recovery Plan.
ISS-NFR-DR-010	The Contractor shall provide back-up network connectivity at both the primary Production and Disaster Recovery sites with the capacity to support ISS and its components.
ISS-NFR-DR-011	The Contractor shall ensure that the DRP is available to Commonwealth and Federal auditors at all times.
ISS-NFR-DR-012	The Contractor shall establish, in cooperation with DMAS a hierarchy of critical services and infrastructure to determine the order that services will be restored.
ISS-NFR-DR-013	The Contractor shall maintain a DRP that provides for the recovery of critical ISS services in accordance with SLAs upon the discovery of the service disruption, the declaration of a disaster or ISS Production site becoming unsafe or inoperable.
ISS-NFR-DR-014	The Contractor shall maintain or otherwise arrange for a disaster recovery site for its system operations in the event of a disaster that renders the ISS Production site inoperable.
ISS-NFR-DR-015	The Contractor shall modify the DRP, software installation procedures, and operational procedures as needed to reflect the changes implemented with new data sources, system changes, or any enhancements that will impact the disaster recovery capability.
ISS-NFR-DR-016	The Contractor shall perform an annual review of the disaster recovery back-up site, procedures for all off-site storage and validation of security procedures.
ISS-NFR-DR-017	The availability schedules and corresponding SLAs for the Production ISS shall apply to the disaster recovery environment when fulfilling the Production role.



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Requirement ID	Requirement
ISS-NFR-DR-018	The Contractor's DRP test shall be performed, each year at no additional cost to DMAS. In the event the Contractor's test is deemed by HHS to be unsuccessful, the Contractor shall continue to perform the test at its expense until satisfactory results are received and approved by DMAS.
ISS-NFR-DR-019	The Contractor shall develop, maintain, and submit to DMAS, in advance, all proposed off-site procedures, locations, and protocols for DMAS review and approval prior to implementation. The Contractor shall incorporate these items as components of the Disaster Recovery Plan (DRP).
ISS-NFR-DR-020	The Contractor shall execute a disaster recovery test to demonstrate the Contractor's capability to restore processing capability in accordance with the DRP and for all critical system components at a remote site. The DRP test shall be included as a part of Acceptance Testing. The length of the test shall be the amount of time that is necessary to recover from the disaster and provide proof that the recovery has been successfully completed.
ISS-NFR-DR-021	In the event of disaster, full EDW functionality shall be restored in accordance with SLAs. Critical ISS functions are defined as daily ETL refresh cycle and basic access to published data (querying, reporting, data analysis, web services, and web portal).
ISS-NFR-DR-022	The Contractor shall take all precautions to ensure that EDW system interruptions in service, resulting from a Production hardware failure, data corruption or a disaster that renders the Contractor's primary computer facility unusable are avoided.
ISS-NFR-DR-023	If the ISS Production site becomes unavailable during the contract period, the Contractor shall be required to move ISS operations to the disaster recovery site. In this event, the Contractor shall not be allowed to return to the original Production site without approval of DMAS.
ISS-NFR-DR-024	The Contractor's disaster recovery test shall include the processing of one weekly ETL cycle and one daily ETL cycle as in place at the time of the test, and will involve all major ISS functions including data acquisition, data access (Web portal, business intelligence capabilities), and data delivery. A report summarizing disaster recovery test results shall be provided to DMAS in accordance with SLAs. This report will include remediation steps taken to resolve any issues discovered during the test.
ISS-NFR-DR-025	The Contractor shall comply with all SLAs that are relevant to Disaster Recovery Requirements.



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Requirement ID	Requirement
ISS-NFR-DR-026	<p>The Contractor’s Disaster Recovery Plan shall adhere to Commonwealth and Federal laws, rules, regulations, and guidelines, will address recovery of ISS functions, human resources and the technology infrastructure and shall include:</p> <ul style="list-style-type: none"> <li>➤ Checkpoint/restart capabilities</li> <li>➤ Retention and storage of back-up files and software</li> <li>➤ Hardware back-up for the servers</li> <li>➤ Hardware back-up for data entry</li> <li>➤ Network back-up for telecommunications</li> <li>➤ Telephone communications lines to the disaster back-up site</li> <li>➤ Recovery prioritization list (hardware and software applications)</li> <li>➤ Telecommunication Voice Switch</li> </ul>
ISS-NFR-DR-027	<p>The Contractor’s Disaster Recovery Plan shall include detailed procedures to address (but not be limited to) the following potential events:</p> <ul style="list-style-type: none"> <li>➤ Natural disasters (e.g., earthquake, fire, flood, storms)</li> <li>➤ Terrorist acts</li> <li>➤ Power disruptions or power failure</li> <li>➤ Computer software or hardware failures</li> <li>➤ Computer shutdown due to hackers or viruses</li> <li>➤ Significant compromises/degradation of ISS performance</li> <li>➤ Processing shutdowns</li> </ul>
ISS-NFR-DR-028	<p>The Contractor shall coordinate with VITA to meet the minimum geographic offsite location requirement of 100 miles between the disaster recovery site and the Production environment site.</p>

## J.21 – TRAINING

Requirement ID	Requirement
ISS-TRN-001	<p>The Contractor shall work with DMAS to analyze, define, and tailor training to each specific user role and group.</p>
ISS-TRN-002	<p>The Contractor shall submit to DMAS for approval, all training plans which address the training needs for each user group and role.</p>
ISS-TRN-003	<p>The Contractor shall provide hands on training to the DMAS user community prior to each ISS release.</p>
ISS-TRN-004	<p>The Contractor shall conduct initial onsite training for each ISS release in Richmond Virginia to train essential Department staff that will use the ISS and the newly developed reports.</p>
ISS-TRN-005	<p>The Contractor shall develop a multi-tier training curriculum to educate Commonwealth staff on the use of the ISS and the use any reporting tools, using Commonwealth defined user proficiency levels from Basic to Super.</p>



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Requirement ID	Requirement
ISS-TRN-006	The Contractor shall provide a computer-based training (CBT) course for each ISS release for new employees and existing staff.
ISS-TRN-007	The Contractor shall procure a training facility and related resources at no cost to the State, if Commonwealth facilities are not available.
ISS-TRN-008	The Contractor shall be required to provide a fully qualified, expert user of the ISS and related reporting tool, for Commonwealth staff training.
ISS-TRN-009	If the Contractor sponsors training courses, symposiums, or users' conferences, the registration fee shall be waived for the attendance of essential DMAS staff. These sponsored training(s) will be identified in the training plan.
ISS-TRN-010	The Contractor shall provide ongoing training and update CBT courses to address system or functionality changes for the ISS.
ISS-TRN-011	The Contractor shall equip the training and resource center, including classroom-training facilities to accommodate stand-up instructor-led sessions, with effective learning environment and tools.
ISS-TRN-012	The Contractor shall equip the training facility for an effective and accessible learning environment with all necessary educational equipment to provide effective training, complete with desks, chairs, computers, tables, whiteboard, flip charts and access to electronic information.
ISS-TRN-013	The Contractor shall furnish and maintain appropriate hardware, software and telecommunications to support the development, maintenance and presentation of training program(s).
ISS-TRN-014	The Contractor shall use DMAS approved training media including, but not limited to, teleconferencing, Web-based, and computer-based training.
ISS-TRN-015	The Contractor shall comply with all SLAs that are relevant to this section.

## J.22 – CONTRACTOR SUPPORT

Requirement ID	Requirement
ISS-SR-VS-001	The Contractor shall supply all necessary project resources in order to provide adequate project support 24/7/365 days per year. The Contractor shall either set up a facility in Richmond or co-locate with DMAS staff for key personnel. DMAS will determine the staffing requirements based on the phase of the project and effectiveness of the Contractor team. The operations facility shall provide the infrastructure necessary to support all required Commonwealth staff functions.



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Requirement ID	Requirement
ISS-SR-VS-002	The Contractor shall utilize VITA issued laptops and have to be physically present in Richmond, Virginia to collect the laptops after completing identification screening. Upon DMAS request, the Contractor shall be able to provide computers with connectivity to the State server, internet and phone access for each employee, telecommunications, and tech support to staff. Those computers shall have suitable, sufficient processor speed, memory, and hard drive space to operate and support the current release of Microsoft's operating system and Office Suite software, as well as any additional equipment and software necessary to access and utilize ISS functions. All equipment at the Contractor's operations facility to which staff shall be assigned, shall have equivalent standards as those defined by VITA.
ISS-SR-VS-003	The following minimum activities shall also be performed at the Contractor's primary project site: <ul style="list-style-type: none"> <li>➤ Contract administration/housing key personnel</li> <li>➤ Project Coordination</li> <li>➤ Joint application design (JAD) and review sessions</li> <li>➤ Demonstrations of design prototypes</li> <li>➤ Discussion and presentations of proposed system design changes</li> <li>➤ Deliverable walkthroughs</li> <li>➤ Technical and user support help desk functions</li> <li>➤ System testing task walkthroughs</li> <li>➤ User acceptance test support</li> <li>➤ Implementation planning</li> <li>➤ Transition management support</li> <li>➤ Regularly scheduled and DMAS-requested training sessions</li> <li>➤ The Contractor shall accommodate these activities in accordance with the release schedule.</li> </ul>
ISS-SR-VS-004	The Contractor shall provide a solution for multi-layered production support based on response time and severity. The Contractor will include details about support for ISS.
ISS-SR-VS-005	The Contractor shall be solely responsible for obtaining all permits, approvals, licenses, certifications and similar authorizations required by any local, State, or Federal entities for the project and maintaining them throughout the duration of the contract.
ISS-SR-VS-006	The Contractor shall protect equipment from physical risks, including but not limited to power failures and other electrical anomalies.
ISS-SR-VS-007	The Contractor may perform functions, including computer processing, outside of Virginia but must perform the functions within the continental United States.
ISS-SR-VS-008	The Contractor shall comply with all SLAs that are relevant to this section.

## J.23 – POST-IMPLEMENTATION SUPPORT

Requirement ID	Requirement
ISS-SR-POST-001	The Contractor shall provide post-implementation support after every release and until 6 months after ICAM & ISS goes live.
ISS-SR-POST-002	The Contractor shall provide cost estimate for three (3) years of maintenance after implementation of all phases of ICAM & ISS.
ISS-SR-POST-003	The Contractor shall provide support for all general activities and tasks including operations, administration, maintenance and technical support for ICAM & ISS.
ISS-SR-POST-004	The Contractor support will include ongoing administration required to manage software updates and patches, data partitioning, indexes, statistics updates, file vacuuming, and scaling.
ISS-SR-POST-005	The Contractor shall be required to provide system maintenance which will 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 ensure 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>➤ Addition of new configuration settings, SOA modifications, Service modifications</li> <li>➤ Perform critical patch updates to ICAM or ISS systems due to OS level threat vulnerabilities</li> </ul>
ISS-SR-POST-006	The Contractor shall provide Level 3 support for those capabilities released into production.
ISS-SR-POST-007	The Contractor shall provide support responsible for handling the most difficult or advanced problems (Level 3) via the Contractor's Operational Support Team. Level 3 supports might include providing solutions to new or unknown issues.
ISS-SR-POST-008	The Contractor shall be responsible for higher level diagnosis and action when problems are escalated from Level 1 or Level 2 support.
ISS-SR-POST-009	The Contractor shall be available at the Contractor's facility and provide support in accordance with Service-level agreements (SLAs).
ISS-SR-POST-010	The Contractor shall provide a process for requesting on-site support during special circumstances depending on legislative and/or other circumstances.
ISS-SR-POST-011	Knowledgeable support personnel shall be available via a toll-free number during normal business hours. The Contractor shall maintain sufficient telephone lines and personnel so that no more than five percent (5%) of incoming calls within a month meet the following conditions: <ul style="list-style-type: none"> <li>➤ Ring busy</li> <li>➤ On-hold for more than two (2) minutes</li> <li>➤ Call not answered within ten (10) rings</li> </ul>



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Requirement ID	Requirement
ISS-SR-POST-012	The Contractor support shall include, but is not limited to, ISS & ICAM troubleshooting and monitoring, defect tracking and resolution, developing specialized reports, developing alternative ways to group, present, or otherwise.

**J.24 – HOURS OF OPERATION**

Requirement ID	Requirement
ISS-SR-HOP-001	The Contractor shall provide secure, on-line role-based access for inquiries, reporting, updates, and submissions to the ISS and ancillary applications for authorized users from 6:00AM-8:00PM (Eastern Time), Monday through Friday, excluding official Commonwealth of Virginia closed holidays. The Contractor shall notify and obtain approval from the Department prior to scheduling non-emergency system downtime/maintenance during these times. Expected system uptime is 24/7/365 days a year. Any outage for maintenance shall be planned and approved by normal Change Management approval process.
ISS-SR-HOP-002	The Contractor shall provide a process for requesting access to the ISS during special circumstances depending on legislative and/or other circumstances. This may require platform availability and ISS Operational support staff outside of the above business hours including weekends. When possible, DMAS will provide notification to the Contractor three (3) business days prior to requiring operations outside of the standard hours.
ISS-SR-HOP-003	The Contractor shall provide network availability in accordance with SLAs.
ISS-SR-HOP-004	The Contractor shall comply with all SLAs that are relevant to this section.



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## J.25 – DMAS DEFINED OPTIONS

The requirements below are those that DMAS has identified as requirements that it will consider optional, meaning DMAS will maintain the option to include the related requirements in the Integrated Services Solution. The price for these options will not be considered as part of the baseline price proposal used for evaluation.

### J.25.A – DOCUMENTATION MANAGEMENT

Requirement ID	Requirement
ISS-DOC-001	The Contractor shall capture all the incoming and outgoing documents in the repository with a unique ID, date, and timestamp.
ISS-DOC-002	The Contractor shall include electronic documentation context sensitive help screens for all online functions (desktop and browser).
ISS-DOC-003	The Documentation Management system shall provide full functionality for a robust Documentation Management system solution, including but not limited to: <ul style="list-style-type: none"> <li>➤ Web-based access</li> <li>➤ Document storage</li> <li>➤ Category meta-tagging</li> <li>➤ Collaborative editing with version controls</li> <li>➤ Workflow with automated notifications</li> <li>➤ Integrate and interface with common desktop productivity software</li> <li>➤ The ability to search among documents</li> <li>➤ The ability to enter notes or annotate documents</li> </ul>
ISS-DOC-004	The Documentation Management system shall store all generated outputs, including but not limited to reports and letters.
ISS-DOC-005	The Documentation Management system shall store all MES documentation, including but not limited to designs, manuals, and training materials.
ISS-DOC-006	The Documentation Management system shall store all documents transmitted by internal and external sources, including but not limited to reports generated by other systems, faxes, and uploaded materials.
ISS-DOC-007	The Documentation Management system shall store images of all hard-copy documents received including but not limited to paper claims, provider enrollment applications, service authorization requests, attachments, including attachments to claims, and correspondence.
ISS-DOC-008	The Documentation Management system shall support the ability to retrieve and view all information stored, based on a variety of identifying information, including but not limited to report number, provider ID, letter ID, run date, as of date, payment date, RA number, check number, claim control number, and letter date.
ISS-DOC-009	The Documentation Management system shall provide the ability to search within documents.



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Requirement ID	Requirement
ISS-DOC-010	The Documentation Management system shall provide the ability for users and applications to retrieve a document using a web-based application.
ISS-DOC-011	The Documentation Management system shall provide the ability to print and download any document in total or part as defined by the user.
ISS-DOC-012	The Documentation Management system shall manage access based on security rules defined for both internal and external users and systems.
ISS-DOC-013	The Documentation Management system shall maintain an audit trail of all actions related to ECM content, including but not limited to: <ul style="list-style-type: none"> <li>➤ Date and time document is entered in the System</li> <li>➤ Any actions taken on the document or attachment; including the date and time of the edits/modification</li> <li>➤ Record the user responsible for the changes</li> <li>➤ Record all user inquiries even if no action was taken by the user</li> </ul>
ISS-DOC-014	Audit trail reports shall be available on demand, both an aggregated report of all actions by type (inquiry, add, change, etc.) and by an individual user ID.
ISS-DOC-015	The Documentation Management system shall provide a scalable environment with a separate testing/staging environment.
ISS-DOC-016	The Documentation Management system shall convert and store the contents of the legacy ECM.
ISS-DOC-017	The Documentation Management system shall support data retention and deletion in accordance with Commonwealth record retention policies.
ISS-DOC-018	The Documentation Management system shall install and manage application-specific malware protection.
ISS-DOC-019	The Documentation Management system shall deploy customizations (e.g., web parts and solutions) supplied by an Authorized User using server tools.
ISS-DOC-020	The Documentation Management system shall provide all enterprise-level infrastructure hardware and software licensing required to support the services.
ISS-DOC-021	The Documentation Management system shall continually evolve to stay contemporary with best of breed market offerings.
ISS-DOC-022	The Contractor shall provide electronic documentation management capability that promotes automatic updates to the documentation when content, technical, and operational changes occur.
ISS-DOC-023	The Contractor shall provide an electronic document management capability to link, track, and update all electronic documentation, technical and operational, when affected by a subsystem or component or business practice and rules requirement change.



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Requirement ID	Requirement
ISS-DOC-024	The Contractor shall provide the methodology to work with the Department to finalize the service-level criteria for the following: <ul style="list-style-type: none"> <li>➤ Distinguishing the priority and severity of a problem</li> <li>➤ Determining the category of the problem</li> <li>➤ Establishing the nature of the problem</li> </ul>
ISS-DOC-025	The Contractor shall present instructions for requesting reports or other outputs with examples of input documents and replicas of screens (desktop and browser).
ISS-DOC-026	The Contractor shall provide the ability to accommodate electronic signatures.
ISS-DOC-027	The Contractor shall provide artifacts, including but not limited to reports, letters, documents, and documentation, for an Enterprise Content Management (ECM) system.

**J.25.B – EDI CALL CENTER**

Requirement ID	Requirement
ISS-ECC-001	The Contractor shall provide a call center to assist with EDI related submission, compliance, translation, and other technical support issues and questions.
ISS-ECC-002	The Contractor shall provide the ability to track call center inquiries from receipt to resolution.
ISS-ECC-003	The Contractor shall provide the capability for DMAS to easily access call center logs, and call statistics.
ISS-ECC-004	The Contractor EDI call center shall utilize all applicable existing DMAS EDI help desk phone numbers. The Contractor agrees to relinquish ownership of the toll-free numbers upon actual transfer back to DMAS or a DMAS assigned agent, at which time the Department shall take title to these telephone numbers.

**J.25.C – SECURE WEB PORTAL DASHBOARD FOR AUTHENTICATION**

Requirement ID	Requirement
ISS-AUTH-001	The Contractor shall provide a SSO Web Portal for internal and external users.
ISS-AUTH-002	The Contractor solution shall seamlessly integrate with the Web Portal of other MES vendors based on the users entitlement.
ISS-AUTH-003	The Contractor solution shall be compatible and capable of interfacing with a COTS based ICAM solution.



## J.25.D – MEETING SPACE

Requirement ID	Requirement
ISS-MTG-001	The Contractor shall provide appropriate space to conduct meetings during the DDI phase that require DMAS staff attendance, including but not limited to JADs, walkthroughs, and team meetings. The space would ideally be within walking distance of the DMAS offices, but must be no more than 3 miles from 600 East Broad Street. Include the number of sessions, length of sessions, and capacity in your proposal. The proposed meeting space should be fully functional to ensure productivity, including but not limited to accommodate teleconferences, connectivity for WebEx meetings, projector equipment and white boards.

## APPENDIX K – GLOSSARY

The glossary of “Term Definitions” and glossary of “Acronyms and Abbreviations” subsections (below) alphabetically provide the definition or meaning of the term, acronym, or abbreviation.

### K.1 – TERM DEFINITIONS

Term	Definition
<b>A</b>	
Adjudicated Claim	A claim that has been paid or denied by the system.
Application Program Interface (API)	A set of routines, protocols, and tools for building software applications.
Atypical Provider ID	The Centers for Medicare and Medicaid Services (CMS) defines Atypical Providers as providers that do not provide health care. This is further defined under HIPAA in Federal regulations at 45 CFR 160.103. Taxi services, home and vehicle modifications, and respite services are examples of Atypical Providers reimbursed by the Medicaid program.
<b>B</b>	
Benefit Package	A standardized package of benefits, administered by DMAS, for service coverage, patient coinsurance and deductible, etc. associated with a particular population. A member can have multiple DMAS-defined benefit packages at one time.
<b>C</b>	
Claim	Usually used to refer to a bill for payment submitted by or on behalf of a provider of a health care service, supply, or product. The VAMMIS also generates claims for capitation payments, management fees, and administration fees. While in some contexts a claim can refer to the document submitted, the VAMMIS considers each service line on all forms other than a UB-04 to be a claim. Claim is included in the generic term ‘payment request.’ Also see ‘Encounter.’
Client Medical Management (CMM)	Virginia’s member “lock-in” program where over-utilizers are restricted to a single physician and/or pharmacy to medically manage access to services.
Commonwealth	The Commonwealth of Virginia; also referred to as “the State”; also referred to as “Virginia.”
Computer-based Training (CBT)	A type of education in which the student learns by executing special training programs on a computer. CBT is especially effective for training people to use computer applications because the CBT program can be integrated with the applications so that students can practice using the application as they learn.
Conceptual Data Model (CDM)	Identifies the highest-level relationships between the different entities.



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Term	Definition
Continuity of Operations Plan (COOP)	A plan that addresses the continuation of critical operations, to the extent practical, in the event of a disaster.
Contractor	<ol style="list-style-type: none"> <li>1. The company that is awarded a contract to perform the work defined in this RFP. The term Contractor throughout this RFP is synonymous with Offeror.</li> <li>2. Entity or individual(s) providing services based on mutual agreement / terms for a specified period of time.</li> </ol>
<b>D</b>	
Department of Medical Assistance Services (DMAS)	DMAS is the agency that administers Medicaid and the State Children’s Health Insurance Program (CHIP) in Virginia. The CHIP program in Virginia is called Family Access to Medical Insurance Security (FAMIS). Our mission at DMAS is to provide a system of high quality and cost effective health care services to qualifying Virginians and their families. DMAS is one of twelve state agencies under the Virginia Secretary of Health and Human Resources.
DMAS Technology	A component of the Virginia Medicaid Enterprise Architecture that contains all the Commonwealth’s commercial hardware, systems software, and telecommunications located at DMAS. The technical components will be operated and maintained by the Virginia Information Technologies Agency (VITA).
Drug Rebate Technology	A component of the Virginia Medicaid Enterprise Architecture that contains all the commercial hardware, systems software, and telecommunications software and equipment used to support the Drug Rebate contractor’s proposed business services staff and Drug Rebate system. The Drug Rebate Contractor’s Technology connects with the Core VAMMIS Technology as well as DMAS Technology and would be addressed in the PBM RFP.
Detail System Design (DSD)	The DSD is the output of development, which has evolved into the systems documentation that reflects current processing.
<b>E</b>	
Encounter	An adjudicated claim that is sent by a Managed Care Organization (MCO), non-emergency transportation broker, Behavioral Health Administrator, or Dental Benefits Administrator (DBA), for example, to identify services it provided or denied for DMAS members.
Encounter Adjustment	A replacement of a previously submitted encounter. Currently an encounter adjustment results in the reversal of the original encounter (credit) and a newly processed encounter (debit) using the information on the adjustment. An encounter adjustment is used to correct information on a previously submitted encounter.



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Term	Definition
Enterprise Content Management (ECM)	The technologies used to capture, store, preserve and deliver content and documents related to organizational processes. ECM tools and strategies allow the management of an organization's unstructured information, wherever that information exists.
Enterprise Service Bus (ESB)	A “software architecture” model used for designing and implementing communication between mutually interacting software applications in a service-oriented architecture (SOA).
eVA	eVA is a web-based purchasing system used by Virginia government. State agencies, colleges, universities and many local governments to announce proposal opportunities, invite offerors, receive quotes, and place orders for goods and services.
Extensible Markup Language (XML)	A markup language that defines a set of rules for encoding documents in a format, which is both human-readable and machine-readable. It is defined by the W3C's XML 1.0 Specification and by several other related specifications, all of which are free open standards.
Extensible Stylesheet Language Transformations (XSLT)	A language for transforming XML documents into other XML documents, or other formats such as HTML for web pages, plain text or into XSL Formatting Objects, which may subsequently be converted to other formats, such as PDF, PostScript and PNG.
<b>F</b>	
Family Access to Medical Insurance Security (FAMIS)	This is Virginia's separate State Children’s Health Insurance Program (SCHIP) authorized under Title XXI of the Social Security Act. It generally covers eligible children with family income too high for Medicaid but less than 200% of the Federal Poverty Level.
FAMIS-Plus	FAMIS-Plus is a Medicaid expansion component of the Commonwealth’s Title XXI Children’s Health Insurance Program. Because it is a Medicaid expansion program, FAMIS-Plus follows all Medicaid rules.
Federal Financial Participation (FFP)	Federal Financial Participation (FFP) is a Title XIX (Medicaid) program that allows states to receive partial reimbursement for activities that meet FFP objectives.
Federal Information Processing Standards (FIPS)	A standardized code which uniquely identifies counties and county equivalents in the United States.
Fiscal Agent (FA)	Fiscal Agent is used to refer to the VAMMIS Fiscal Agent Services contractor.
Fiscal Agent Technology (FAT)	A component of the Virginia Medicaid Enterprise Architecture that contains all the commercial hardware, systems software, and telecommunications provided and operated by the Contractor at its facilities.



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H	
Hypertext Transfer Protocol (HTTPS)	An application protocol for distributed, collaborative, hypermedia information systems.
Hyper Text Markup Language (HTML)	A standard markup language used to create web pages. Web browsers can read HTML files and render them into visible or audible web pages.
I	
Information Service Request (ISR)	A formal change control document for requesting and authorizing work and changes to VAMMIS applications.
International Business Machines Corporation (IBM)	An American multinational technology and consulting corporation. IBM manufactures and markets computer hardware, middleware and software, and offers infrastructure, hosting and consulting services in areas ranging from mainframe computers to nanotechnology.
J	
Java Platform, Enterprise Edition (Java EE)	Known as J2EE, this is a widely used enterprise computing platform developed under the Java Community Process. The platform provides an API and runtime environment for developing and running enterprise software, including network and web services, and other large-scale, multi-tiered, scalable, reliable, and secure network applications.
JavaScript	A high-level, dynamic, un-typed, and interpreted programming language.
Java EE Connector Architecture (JCA)	A Java-based technology solution for connecting application servers and enterprise information systems (EIS) as part of enterprise application integration (EAI) solutions.
JQUERY	A cross-platform JavaScript library designed to simplify the client-side scripting of HTML. jQuery is the most popular JavaScript library in use today.
Java Script Object Notation (JSON)	A lightweight data-interchange format.
L	
Lock-in	See Client Medical Management (CMM).
Logical Data Model (LDM)	A model that is not specific to a database that describes things about which an organization wants to collect data, and describes the relationships among these things. It is independent of the underlying physical database implementation. The logical data model will leverage the conceptual model to include all the entities, relationships, attributes and primary and foreign keys in the design.
M	
Medallion 3.0	A Virginia Medicaid Managed Care that is a State program that provides its members with access to preventive and coordinated care.



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Medicaid Portal	A single point of entry for ALL users, that uses a Single Sign-On (SSO) and directs the user to a 'landing page' that is appropriate for their credentials/role. Then the user can go to another portal, like the Provider Portal (as authorized).
Medicaid Enterprise Certification Toolkit (MECT)	<p>The Medicaid Enterprise Certification Toolkit was developed to assist States in all phases of the MMIS life cycle beginning with the preparation of an Advance Planning Document (APD) through the certification review process.</p> <p>The main features of the Toolkit are the twenty (20) checklists that were developed for six (6) different Business Areas. The checklists contain the Business Area objectives and related systems review criteria necessary to meet the requirements specified in Federal and State laws and regulations.</p>
Medicaid Information Technology Architecture (MITA)	This is an initiative sponsored by CMS and is intended to foster integrated business and IT transformation across the Medicaid enterprise to improve the administration of the Medicaid program.
Medicaid	Enacted in 1965 under Title XIX of the Social Security Act (the Act), it is a grant in aid Medical Assistance Program financed through joint Federal and Commonwealth/State funding and administered by each state according to an approved state plan.
Medicaid Management Information Systems (MMIS)	The MMIS is a mechanized claims processing and information retrieval system, which states are, required to have if they obtain Federal funding to run their Medicaid programs. It is an integrated group of procedures and computer processing operations (subsystems) developed at the general design level to meet principal objectives. The current Federal regulation can be found in 42 CFR 433, subpart C.
Member	An individual enrolled in one of the DMAS programs.
MMIS Core Technology	A component of the current Virginia Medicaid Enterprise Architecture that contains all the commercial hardware, systems software, COTS products integrated into the VAMMIS, and custom application software used for hosting the VAMMIS and its related documentation.
Model View Controller (MVC)	This is a software architectural pattern for implementing user interfaces. It divides a given software application into three interconnected parts, so as to separate internal representations of information from the ways that information is presented to or accepted from the user.
MQ	A robust messaging middleware that simplifies and accelerates the integration of diverse applications and business data across multiple platforms.
<b>N</b>	
.NET	.NET Framework (pronounced 'dot net') is a software framework developed by Microsoft that runs primarily on Microsoft Windows.



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Normal Business Hours	8 A.M. – 5 P.M. ET, Monday through Friday except holidays approved by DMAS.
<b>O</b>	
OAuth	An authentication protocol that allows users to approve application to act on their behalf without sharing their password.
Offeror	A company or individual that presents something to another for acceptance or rejection and is also referred to as bidder.  Offeror is the term used during the Procurement process to refer to the submitter of a response.
<b>P</b>	
Payment Request	A submission of information used to request the issuance of a payment by the MES Financial Solution.
PES Technology	A component of the Virginia Medicaid Enterprise Architecture that contains all the commercial hardware, systems software, and telecommunications software and equipment used to support the PES contractor's proposed business services staff. The PES Contractor's Technology connects with the Core VAMMIS Technology as well as DMAS Technology.
Physical Data Model (PDM)	It is the actual model, which will be created in the database to store the data, and is the most detailed model in Data Warehouse data modeling. The physical data model includes table names; column names (including data type and size); primary keys, foreign keys of a table; and constraints. Physical Data Models for the EDW will include models for the landing area, the staging area, and the base data area. Physical data models include the physical data schema derived from the logical data model.
Protected Health Information (PHI)	Any information about health status, provision of health care, or payment for health care that can be linked to a specific individual. This is interpreted rather broadly and includes any part of a patient's medical record or payment history.
Personally Identifiable Information (PII)	This is Sensitive Personal Information (SPI), as used in US privacy law and information security. It is information that can be used on its own or with other information to identify, contact, or locate a single person, or to identify an individual in context.
<b>R</b>	
Recoupment	A payment returned by a Medicaid provider, or a full or partial recovery of such payment due to an overpayment. May be associated with over billings, fraud and abuse, TPL collections, etc.
<b>S</b>	
Service Center	This is the term used by DMAS for an EDI trading partner. A service center can be a clearinghouse or a provider.



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Service-level agreement (SLA)	A performance measure designated by DMAS to identify the performance expectations of a contractor for services that are critical to the success of the Commonwealth of Virginia’s Medicaid program.
Service-oriented Architecture (SOA)	This is an architectural pattern in computer software design in which application components provide services to other components via a communications protocol, typically over a network. The principles of service-orientation are independent of any contractor, product, or technology.
Simple Object Access Protocol (SOAP)	A messaging protocol that allows programs that run on disparate operating systems (such as Windows and Linux) to communicate using Hypertext Transfer Protocol (HTTP) and its Extensible Markup Language (XML).
Secure Sockets Layer (SSL)	The standard security technology for establishing an encrypted link between a web server and a browser. This link ensures that all data passed between the web server and browsers remain private and integral.
Single Sign-On (SSO)	A session/user authentication process that permits a user to enter one name and password in order to access multiple applications.
State	The Commonwealth of Virginia; also referred to as “the Commonwealth”; also referred to as “Virginia”
Supplier	The term Supplier is used throughout this document in the context of an industry standard term, whose primary purpose is establishing the labeling of the source or ownership of the object being referenced. E.g. Suppliers Quarterly Report, Associate Supplier Agreement. In addition, the terminology is used in Virginia procurement related documentation in reference to a “Supplier” of goods and/or services.
<b>T</b>	
Temporary Detention Order (TDO)	An order obtained and issued for a person who is in imminent danger to his, herself, or others as a result of mental illness, or is too seriously mentally ill to care for self and is incapable or unwilling to volunteer for treatment. DMAS administers the processing of the Temporary Detention Orders (TDO) and Emergency Custody Orders (ECOs) for authorization of payments for services provided to residents of the Commonwealth.
Trading Partner	One of the two or more participants in an ongoing business relationship.
Transaction Code Set (TCS)	Any set of codes used for encoding data elements, such as tables of terms, medical concepts, medical diagnosis codes, or medical procedure codes.
Transaction Processing Platform (TPP)	The term used in the current documentation that is equivalent to what is called the current Fiscal Agent (FA) Technology in this RFP.
Transmission Control Protocol /Internet Protocol (TCP/IP)	The basic communication language or protocol of the Internet. It can also be used as a communications protocol in a private network (either an intranet or an extranet).



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U	
Universal Description, Discovery, and Integration (UDDI)	An OASIS Standard, which defines a universal method for enterprises to dynamically discover and invoke Web services.
Uniform Resource Locator (URL)	A reference (an address) to a resource on the Internet.
V	
Vendor	An entity or individual(s) providing goods or services to DMAS based on individual requests from DMAS for such items/services typically processed through Accounts Payable transactions.
Virginia Medicaid Enterprise Architecture (VMEA)	The Virginia Medicaid Enterprise Architecture is based on the Medicaid Information Technology Architecture (MITA 3.0) framework and the CMS Seven Conditions and Standards. VMEA is a modularized, highly decoupled, rule-based, service-oriented software solution. Components of the Architecture include portal management service, core services, financial management service, pharmacy benefit management service, encounter processing service, and data warehouse.
Virginia Medicaid Management Information System (VAMMIS)	The Commonwealth of Virginia's solution to meet the Federal MMIS requirement for a mechanized claims processing and information retrieval system.
Virginia Information Technologies Agency (VITA)	VITA is the Commonwealth's consolidated, centralized information technology services provider.
W	
Web Services	Client and server applications that communicate over the World Wide Web's (WWW) Hypertext Transfer Protocol (HTTP). Web services provide a standard means of interoperating between software applications running on a variety of platforms and frameworks.
Web Services Description Language (WSDL)	An XML-based language used to describe the services a business offers and to provide a way for individuals and other businesses to access those services electronically
Web Services Policy Framework (WS-Policy)	Members of the core Web Services architecture specifications.
Web Services Security (WS-Security)	A proposed IT industry standard that addresses security when data is exchanged as part of a Web service



## K.2 – ACRONYMS AND ABBREVIATIONS

Note: Some items in this subsection may also be defined in glossary of Term Definitions in Section K.1.

### A

ADR – Alternative Dispute Resolution

APA – Auditor of Public Accounts

API – Application Program Interface or Atypical Provider ID

ATV – Agency Transaction Voucher

### B

BAC – Basic Accounting Code

BCCP – Business Continuity and Contingency Plans

BENDEX – Beneficiary and Earnings Data Exchange

BEST – Health Insurance Beneficiary State File

### C

CAP – Corrective Action Plan

CARC – Claim Adjustment Reason Codes

CARS – Commonwealth Accounting and Reporting System

CBT – Computer Based Training

CCC – Commonwealth Coordinated Care

CDM – Conceptual Data Model

CHIP – Children’s Health Insurance Program

CHIRP – Claim History Information Retrieval Processor

CIO – Chief Information Officer

CIPPS – Commonwealth Integrated Payroll/Personnel System

CMM – Client Medical Management



CMS – Centers for Medicare and Medicaid Services

COOP – Continuity of Operations Plan

COTS – Commercial, off-the-shelf

COV – Commonwealth of Virginia

CSS – Core Services Solution

## **D**

DDE – Direct Data Entry

DDI – Design, Development, and Implementation

DMAS – Department of Medical Assistance Services

DR – Disaster Recovery

DSD – Detailed Systems Design

## **E**

ECM – Enterprise Content Management

EDI – Electronic Data Interchange

EDWS – Enterprise Data Warehouse Solution

EFT – Electronic Funds Transfer

EPSDT – Early and Periodic Screening, Diagnosis, and Treatment

ESB – Enterprise Service Bus

ETL – Extract Transform Load

EULA – End User License Agreement

eVA – Virginia's Procurement Portal

## **F**

FA – Fiscal Agent

FAMIS – Family Access to Medical Insurance Security



FAT– Fiscal Agent Technology

FEIN – Federal Employer Identification Number

FFP - Federal Financial Participation

FFS – Fee-for-Service

FIPS – Federal Information Processing Standard (FIPS) code

FMS – Financial Management Solution

FTP – File Transfer Protocol

## G

GAP – Governor’s Access Plan

GSD – General System Design

## H

HCFA – Healthcare Financing Agency

HHS – Health and Human Services

HIPAA – Health Insurance Portability and Accountability Act

HMO – Health Maintenance Organization

HTML – Hyper Text Markup Language

HTTPS – Hypertext Transfer Protocol

## I

IAOC – Intra-agency Oversight Committee

IBM – Internal Business Machines Corporation

ICAM – Identity Credentials Access Management System

IEVS – Income and Eligibility Verification System

IIB - IBM Integration Bus

I/O – Input /Output



ISO – The International Organization for Standardization

ISR – Information Service Request

ITF – Integrated Test Facility

ITIL – Information Technology Infrastructure Library

ITIM – Information Technology Investment Management

ITSM – Information Technology Service Management

## **J**

Java EE – Java Platform, Enterprise Edition

JCA – Java EE Connector Architecture

JSON – Java Script Object Notation

## **L**

LDM – Logical Data Model

## **M**

MARS – Management and Administrative Reporting System

MCO – Managed Care Organization

MECT – Medicaid Enterprise Certification Toolkit

MES – Medicaid Enterprise System

MICC – Maternal and Infant Care Coordination

MITA – Medicaid Information Technology Architecture

MLTSS – Managed Long-term Services and Supports

MMIS – Medicaid Management Information System

MVC – Model View Controller

## **N**

.NET – .NET Framework

NEMT – Non-emergency transportation



## O

ORT – Operational Readiness Testing

OAuth – Authentication Protocol

## P

PBS – Performance Budgeting System

PBMS – Pharmacy Benefit Management System

PDM – Physical Data Model

PES – Provider Enrollment Services

PHI – Protected Health Information

PII – Personally Identifiable Information

PMD – Project Management Division

## R

RA – Remittance Advice

RARC – Remittance Advice Remark Codes

REST– Representational State Transfer

RFP – Request for Proposal

RTO – Recovery Time Objective

## S

SaaS – Software as a Service

SAM – System for Award Management

SDLC – System Development Life Cycle

SIT – System Integration Testing

SLA – Service-level agreement

SLH – State and Local Hospitalization



SOA – Service-oriented Architecture

SOAP – Simple Object Access Protocol

SOC – Service Organization Controls

SPOC – Single Point of Contact

SS-A – State Self-assessment

SSAE – Standards for Attestation Engagements

SSI – Supplemental Security Income

SSL – Secure Sockets Layer

SSO – Single Sign-On

SSP – System Security Plan

SURS – Surveillance and Utilization Review System

SWaM – Small, Women-owned, and Minority-owned business

## T

TBD – To Be Determined

TCS – Transaction and Code Set

TDO – Temporary Detention Order

TPLRS – Third Party Liability Recovery System

TCP/IP – Transmission Control Protocol /Internet Protocol

## U

UAT – User Acceptance Testing

UAI – Uniform Assessment Instrument

UDDI – Universal Description, Discovery, and Integration

URL – Uniform Resource Locator



## V

VITA – Virginia Information Technologies Agency

VMEA – Virginia Medicaid Enterprise Architecture

VAMMIS – Virginia Medicaid Management Information System

## W

WSDL – Web Services Description Language

WS-Policy – Web Services Policy Framework

WS-Security – Web Services Security

## X

XML – Extensible Markup Language

XSTL – Extensible Stylesheet Language Transformations