

TECHNICAL RESPONSE PACKET
710-24-076

RESPONSE SIGNATURE PAGE

Type or Print the following information.

PROSPECTIVE CONTRACTOR'S INFORMATION			
Company:	Ikaso Consulting, LLC		
Address:	533 Airport Boulevard, Suite 400		
City:	Burlingame	State: California	Zip Code: 94010
Business Designation:	<input type="checkbox"/> Individual <input checked="" type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Public Service Corp <input type="checkbox"/> Partnership <input type="checkbox"/> Corporation <input type="checkbox"/> Nonprofit		
Minority and Women Owned Designation*:	<input type="checkbox"/> Not Applicable <input type="checkbox"/> American Indian <input type="checkbox"/> Service Disabled Veteran <input type="checkbox"/> African American <input type="checkbox"/> Hispanic American <input checked="" type="checkbox"/> Women-Owned <input checked="" type="checkbox"/> Asian American <input type="checkbox"/> Pacific Islander American		
	AR Certification #: _____ * See Minority and Women-Owned Business Policy		
PROSPECTIVE CONTRACTOR CONTACT INFORMATION			
<i>Provide contact information to be used for solicitation related matters.</i>			
Contact Person:	Reiko Osaki	Title:	President & CEO
Phone:	415-734-6858	Alternate Phone:	
Email:	rosaki@ikasoconsulting.com		
CONFIRMATION OF REDACTED COPY			
<input type="checkbox"/> YES, a redacted copy of submission documents is enclosed. <input checked="" type="checkbox"/> NO, a redacted copy of submission documents is <u>not</u> enclosed. I understand a full copy of non-redacted submission documents will be released if requested. <i>Note: If a redacted copy of the submission documents is not provided with Prospective Contractor's response packet, and neither box is checked, a copy of the non-redacted documents, with the exception of financial data (other than pricing), will be released in response to any request made under the Arkansas Freedom of Information Act (FOIA). See Solicitation Terms and Conditions for additional information.</i>			
ILLEGAL IMMIGRANT CONFIRMATION			
By signing and submitting a response to this <i>Solicitation</i> , a Prospective Contractor agrees and certifies that they do not employ or contract with illegal immigrants and shall not employ or contract with illegal immigrants during the term of a contract awarded as a result of this solicitation.			
ISRAEL BOYCOTT RESTRICTION CONFIRMATION			
By checking the box below, a Prospective Contractor agrees and certifies that they do not boycott Israel and shall not boycott Israel during the term of a contract awarded as a result of this solicitation. <input checked="" type="checkbox"/> Prospective Contractor does not and shall not boycott Israel.			

An official authorized to bind the Prospective Contractor to a resultant contract shall sign below.

The signature below signifies agreement that any exception that conflicts with a Requirement of this *Solicitation* may cause the Prospective Contractor's response to be rejected.

Authorized Signature: Reiko Osaki Title: President & CEO

Printed/Typed Name: Reiko Osaki Date: 7/5/24

SECTIONS 1 – 4: VENDOR AGREEMENT AND COMPLIANCE

- Any requested exceptions to items in this section which are NON-mandatory **must** be declared below or as an attachment to this page. Vendor **must** clearly explain the requested exception, and should label the request to reference the specific solicitation item number to which the exception applies.
- Exceptions to Requirements **shall** cause the vendor's proposal to be disqualified.

Company Name	Reiko Osaki	Company Address
Phone	414-774-0950	City/State/Zip
Fax	414-774-0950	Country
Website	reikoosaki@reikoconsulting.com	Website

By signature below, vendor agrees to and **shall** fully comply with all Requirements as shown in this section of the bid solicitation.

Authorized Signature: _____

Reiko Osaki

Printed/Typed Name: Reiko Osaki

Date: _____

7/15/24

VENDOR CONTACT INFORMATION

- Provide primary and secondary contact information to be used by DHS during maintenance and administration of the resulting contract.

	Primary Contract	Secondary Contract
Name	Reiko Osaki	Matthew Lewis
Title	President & CEO	Director
Phone	415-734-6858	860-227-9889
Email	rosaki@ikasoconsulting.com	mlewis@ikasoconsulting.com

State of Arkansas
DEPARTMENT OF HUMAN SERVICES
700 South Main Street
P.O. Box 1437 / Slot W345
Little Rock, AR 72203

ADDENDUM 1

TO: All Addressed Vendors
FROM: Office of Procurement
DATE: June 6, 2024
SUBJECT: 710-24-076 Medicaid and Other Human Services Procurement Support

The following change(s) to the above referenced RFP have been made as designated below:

- ☐ Change of specification(s)
☐ Additional specification(s)
☐ Change of bid opening date and time
☐ Cancellation of bid
☒ Other

OTHER

- Exhibits 1 and 2 – remove and replace with Revised Exhibits 1 and 2
- Add Attachment I – Client History Form

The specifications by virtue of this addendum become a permanent addition to the above referenced RFP. Failure to return this signed addendum may result in rejection of your proposal.

If you have any questions, please contact: Karrie Goodnight, DHS.OP.Solicitations@dhs.arkansas.gov, (501) 320-3906.


Vendor Signature

7/5/24
Date

Ikaso Consulting, LLC
Company

State of Arkansas
DEPARTMENT OF HUMAN SERVICES
700 South Main Street
P.O. Box 1437 / Slot W345
Little Rock, AR 72203

ADDENDUM 2**TO:** All Addressed Vendors**FROM:** Office of Procurement**DATE:** July 5, 2024**SUBJECT:** 710-24-076 Medicaid and Other Human Services Procurement Support

The following change(s) to the above referenced RFP have been made as designated below:

- ☐ Change of specification(s)
☐ Additional specification(s)
☒ Change of bid opening date and time
☐ Cancellation of bid
☒ Other

CHANGE OF BID OPENING DATE AND TIME

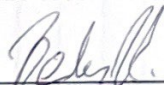
- Proposal submission date and time changed to: July 11, 2024, 1:00 p.m. CST
- Proposal Opening date and time changed to: July 11, 2024, 2:00 p.m. CST

OTHER

- Attachment I – Client History Form, Question #2:
For clarification, please note that the two state clients referenced may be the same state client for two different MES modules.

The specifications by virtue of this addendum become a permanent addition to the above referenced RFP. Failure to return this signed addendum may result in rejection of your proposal.

If you have any questions, please contact: Karrie Goodnight, DHS.OP.Solicitations@dhs.arkansas.gov or (501) 320-3906.


Vendor Signature _____ Date 7/6/24
IKaso Consulting, LLC
Company _____

Contract Number _____
Attachment Number _____

Action Number _____

CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM

Failure to complete all of the following information may result in a delay in obtaining a contract, lease, purchase agreement, or grant award with any Arkansas State Agency.

SUBCONTRACTOR:

SUBCONTRACTOR NAME:

☐ Yes ☒ No

TAXPAYER ID NAME: Ikaso Consulting, LLC

IS THIS FOR:

Goods? ☐ Services? ☒ Both? ☐

YOUR LAST NAME: Osaka

FIRST NAME: Reiko

M.I.:

ADDRESS: 533 Airport Boulevard, Suite 400

CITY: Burlingame

STATE:

CA

ZIP CODE: 94010

COUNTRY: USA

AS A CONDITION OF OBTAINING, EXTENDING, AMENDING, OR RENEWING A CONTRACT, LEASE, PURCHASE AGREEMENT, OR GRANT AWARD WITH ANY ARKANSAS STATE AGENCY, THE FOLLOWING INFORMATION MUST BE DISCLOSED:

FOR INDIVIDUALS *

Indicate below if: you, your spouse or the brother, sister, parent, or child of you or your spouse is a current or former: member of the General Assembly, Constitutional Officer, State Board or Commission Member, or State Employee:

Position Held	Mark (✓)		Name of Position of Job Held [senator, representative, name of board/ commission, data entry, etc.]	For How Long?		What is the person(s) name and how are they related to you? [i.e., Jane Q. Public, spouse, John Q. Public, Jr., child, etc.]	Relation
	Current	Former		From MM/YY	To MM/YY		
General Assembly							
Constitutional Officer							
State Board or Commission Member							
State Employee							

☒ None of the above applies

FOR AN ENTITY (BUSINESS) *

Indicate below if any of the following persons, current or former, hold any position of control or hold any ownership interest of 10% or greater in the entity: member of the General Assembly, Constitutional Officer, State Board or Commission Member, State Employee, or the spouse, brother, sister, parent, or child of a member of the General Assembly, Constitutional Officer, State Board or Commission Member, or State Employee. Position of control means the power to direct the purchasing policies or influence the management of the entity.

Position Held	Mark (✓)		Name of Position of Job Held [senator, representative, name of board/ commission, data entry, etc.]	For How Long?		What is the person(s) name and what is his/her % of ownership interest and/or what is his/her position of control?	Ownership Interest (%)	Position of Control
	Current	Former		From MM/YY	To MM/YY			
General Assembly								
Constitutional Officer								
State Board or Commission Member								
State Employee								

☒ None of the above applies

Contract Number _____
Attachment Number _____
Action Number _____

Contract and Grant Disclosure and Certification Form

Failure to make any disclosure required by Governor's Executive Order 98-04, or any violation of any rule, regulation, or policy adopted pursuant to that Order, shall be a material breach of the terms of this contract. Any contractor, whether an individual or entity, who fails to make the required disclosure or who violates any rule, regulation, or policy shall be subject to all legal remedies available to the agency.

As an additional condition of obtaining, extending, amending, or renewing a contract with a state agency I agree as follows:

1. Prior to entering into any agreement with any subcontractor, prior or subsequent to the contract date, I will require the subcontractor to complete a **CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM**. Subcontractor shall mean any person or entity with whom I enter an agreement whereby I assign or otherwise delegate to the person or entity, for consideration, all, or any part, of the performance required of me under the terms of my contract with the state agency.
2. I will include the following language as a part of any agreement with a subcontractor:
Failure to make any disclosure required by Governor's Executive Order 98-04, or any violation of any rule, regulation, or policy adopted pursuant to that Order, shall be a material breach of the terms of this subcontract. The party who fails to make the required disclosure or who violates any rule, regulation, or policy shall be subject to all legal remedies available to the contractor.
3. No later than ten (10) days after entering into any agreement with a subcontractor, whether prior or subsequent to the contract date, I will mail a copy of the **CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM** completed by the subcontractor and a statement containing the dollar amount of the subcontract to the state agency.

I certify under penalty of perjury, to the best of my knowledge and belief, all of the above information is true and correct and that I agree to the subcontractor disclosure conditions stated herein.

Signature Reiko Osaki Title President & CEO Date 7/5/24
Vendor Contact Person Reiko Osaki Title President & CEO Phone No. (415) 734-6858

Agency use only
Agency Number 0710 Agency Name Department of Human Services Agency Contact Person _____ Contact Phone No. _____ or Grant No. _____



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533 Airport Boulevard, Suite 400, Burlingame, California 94010

Ikaso Equal Opportunity Policy

Objective

Ikaso Consulting, LLC (hereafter "Ikaso") is an equal opportunity employer. In accordance with applicable anti-discrimination law, it is the purpose of this policy to effectuate these principles and mandates. Ikaso prohibits discrimination and harassment of any type and affords equal employment opportunities to employees and applicants without regard to race, color, religion, sex, national origin, age, disability or genetic information. Ikaso conforms to the spirit as well as to the letter of all applicable laws and regulations.

Scope

The policy of equal employment opportunity (EEO) and anti-discrimination applies to all aspects of the relationship between Ikaso and its employees, including:

- Recruitment
- Employment
- Promotion
- Transfer
- Training
- Working conditions
- Wages and salary administration
- Employee benefits and application of policies

The policies and principles of EEO also apply to the selection and treatment of independent contractors, personnel working on our premises who are employed by temporary agencies and any other persons or firms doing business for or with Ikaso.

Procedures

Ikaso administers our EEO policy fairly and consistently by:

- Posting all required notices regarding employee rights under EEO laws in areas highly visible to employees.
- Advertising for job openings with the statement "An Equal Opportunity Employer—M/F/D/V."
- Posting all required job openings with the appropriate state agencies.
- Forbidding retaliation against any individual who files a charge of discrimination, opposes a practice believed to be unlawful discrimination, reports harassment, or assists, testifies or participates in an EEO agency proceeding.
- Requires employees to report to a member of management, an HR representative or the general counsel any apparent discrimination or harassment.



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- Promptly notifies the general counsel of all incidents or reports of discrimination or harassment and takes other appropriate measures to resolve the situation.

(continued on next page)



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533 Airport Boulevard, Suite 400, Burlingame, California 94010

Equal Employment Opportunity/Anti-Harassment and Discrimination

At Ikaso, we are committed to providing equal employment opportunities to everyone. Accordingly, the purpose of this policy is to reinforce our commitment to the creation and maintenance of a diverse workplace where all are treated with dignity, decency and respect. We believe that you cannot perform well if you are not treated well. The environment of the company should be characterized by mutual trust, inclusion and the absence of intimidation, oppression and exploitation. Ikaso will not tolerate unlawful discrimination or harassment of any kind. Through enforcement of this policy and by providing required education to all employees, we will seek to prevent, correct and discipline behavior that violates this policy.

All employees, regardless of their positions, are covered by and are expected to comply with this policy and to take appropriate measures to ensure that prohibited conduct does not occur. Additionally, anyone in a managerial position who knowingly allows or tolerates discrimination, harassment or retaliation, including the failure to immediately report such misconduct, are in violation of this policy and subject to discipline.

In compliance with all applicable federal, state and local anti-discrimination and harassment laws and regulations, Ikaso enforces this policy in accordance with the following definitions and guidelines:

- **Discrimination**

It is a violation of Ikaso's policy to discriminate relative to employment opportunities, benefits or privileges; to create discriminatory work conditions; or to use discriminatory evaluative standards in employment if the basis of that discriminatory treatment is, in whole or in part, the person's race, color, national origin, age, religion, disability status, gender, sexual orientation, gender identity, genetic information, marital status, or on any other protected status under state, local or federal law.

Discrimination of this kind may also be strictly prohibited by a variety of federal, state and local laws, including Title VII of the Civil Rights Act of 1964, the Age Discrimination Act of 1967 and the Americans with Disabilities Act of 1990. This policy is intended to comply with the prohibitions stated in these anti-discrimination laws.

Discrimination in violation of this policy will be subject to disciplinary measures up to and including termination.

- **Harassment**

Ikaso prohibits harassment of any kind, including sexual harassment, and will take appropriate and immediate action in response to complaints or



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knowledge of violations of this policy. For purposes of this policy, harassment is any verbal or physical conduct designed to threaten, intimidate or coerce an employee, co-worker, or any person working for Ikaso.

Ikaso takes steps to train all employees on how to recognize and report harassment. Every employee is required to complete the training linked here: <https://calcivilrights.ca.gov/shpt/>

The following examples of harassment are intended to be guidelines and are not exclusive when determining whether there has been a violation of this policy:

- o Verbal harassment includes comments that are offensive or unwelcome regarding a person's national origin, race, color, religion, gender, sexual orientation, age, body, disability or appearance, including epithets, slurs and negative stereotyping.
- o Nonverbal harassment includes distribution, display or discussion of any written or graphic material that ridicules, denigrates, insults, belittles or shows hostility, aversion or disrespect toward an individual or group because of national origin, race, color, religion, age, gender, sexual orientation, pregnancy, appearance, disability, sexual identity, marital status or other protected status.

- **Sexual Harassment**

Sexual harassment is a form of unlawful employment discrimination under Title VII of the Civil Rights Act of 1964 and is prohibited under our policy. According to the Equal Employment Opportunity Commission (EEOC), sexual harassment is defined as "unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature ... when ... submission to or rejection of such conduct is used as the basis for employment decisions ... or such conduct has the purpose or effect of ... creating an intimidating, hostile or offensive working environment."

Sexual harassment occurs when unsolicited and unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature:

- o Is made explicitly or implicitly a term or condition of employment.
- o Is used as a basis for an employment decision.
- o Unreasonably interferes with an employee's work performance or creates an intimidating, hostile or otherwise offensive environment.

The following examples of sexual harassment are intended to be guidelines and are not exclusive when determining whether there has been a violation of this policy:

- o Verbal sexual harassment includes innuendoes, suggestive comments, jokes of a sexual nature, sexual propositions, lewd remarks and



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threats; requests for any type of sexual favor (this includes repeated, unwelcome requests for dates); and verbal abuse or "kidding" that is oriented toward a prohibitive form of harassment, including that which is sexual in nature and unwelcome.

- o Nonverbal sexual harassment includes the distribution, display or discussion of any written or graphic material, including calendars, posters and cartoons that are sexually suggestive or show hostility toward an individual or group because of sex; suggestive or insulting sounds; leering; staring; whistling; obscene gestures; content in letters, notes, facsimiles, e-mails, photos, text messages, tweets and Internet postings; or other forms of communication that are sexual in nature and offensive.
 - o Physical sexual harassment includes unwelcome, unwanted physical contact, including touching, tickling, pinching, patting, brushing up against, hugging, cornering, kissing, fondling, and forced sexual intercourse or assault.
 - o Courteous, mutually respectful, pleasant, noncoercive interactions between employees that are appropriate in the workplace and acceptable to and welcomed by both parties are not considered to be harassment, including sexual harassment.
- **Open Door Policy (without a door)**

Ikaso is committed to promoting and practicing an "open door" environment for all employees. Communication is a joint responsibility shared by the firm and you. If you have any questions about the information contained in this Employee Guide or about any other aspect of your job, we welcome them. Your opinions, suggestions and questions are important. Harboring a concern in silence or discussing it with other employees who do not have the authority to resolve it can be very frustrating; we cannot work towards correcting a problem we do not know about.

We recognize that whenever a group of people work together, there are bound to be some differences of opinion and problems that arise occasionally. If you are having a problem with an individual, we encourage you to approach that person first and attempt to resolve the conflict. We want to foster a culture of open and honest communication, however if approaching the person would put you in a vulnerable situation, or if initial attempts at resolution do not resolve the problem, go to your immediate supervisor. In some cases, you and your supervisor may decide to refer the problem to another manager or HR. It is important for every employee to feel free to talk to any member of management about issues of concern at work. We will attempt to provide you with honest, straightforward responses to your questions and comments.



If you have an uncomfortable experience with a client, our preference is for you to promptly report it to your supervisor or any Ikaso leader.

- **Complaint Procedure**

Ikaso has established the following procedure for lodging a formal complaint of harassment, discrimination or retaliation. The company will treat all aspects of the procedure confidentially to the extent reasonably possible.

Complaints should be submitted as soon as possible after an incident has occurred, preferably in writing, to any member of the Ikaso Leadership Team. It is the responsibility of all leaders at Ikaso to promptly and impartially follow up on all complaints of harassment, discrimination and retaliation in accordance with this policy. The complaint will be reviewed and if necessary and appropriate, the complaint will be referred to Human Resources or an outside party for investigation. If necessary, the complainant and the respondent will be separated during the course of the investigation, either through internal transfer or administrative leave.

If it is determined that a violation of this policy has occurred, appropriate disciplinary action will be taken based on the specific facts and severity of the conduct. If the review or investigation is inconclusive or if it is determined that there has been no violation of policy but potentially problematic conduct may have occurred, appropriate preventive action will be taken. Nothing in this policy may prevent the complainant or the respondent from pursuing legal or other remedies.

No hardship, loss, benefit or penalty may be imposed on an employee in response to filing or responding to a bona fide complaint of discrimination or harassment or being as a witness in the investigation of a complaint.

All complaints, reviews and investigations are treated confidentially to the extent possible, and information is disclosed strictly on a need-to-know basis. The identity of the complainant is usually revealed to the parties involved during the investigation, and steps to ensure that the complainant is protected from retaliation during and after the investigation will be taken.

Americans with Disabilities Act (ADA)

Ikaso is committed to complying with all applicable provisions of the Americans with Disabilities Act (ADA). We do not discriminate against individuals with physical or mental disabilities with regard to any employment practice, condition, term, or privilege of employment. Please inform Human Resources of any accommodations that you need.

PROPOSED SUBCONTRACTORS FORM

• **Do not** include additional information relating to subcontractors on this form or as an attachment to this form.

PROSPECTIVE CONTRACTOR PROPOSES TO USE THE FOLLOWING SUBCONTRACTOR(S) TO PROVIDE SERVICES.

Type or Print the following information

Subcontractor's Company Name	Street Address	City, State, ZIP

☒ **PROSPECTIVE CONTRACTOR DOES NOT PROPOSE TO USE SUBCONTRACTORS TO PERFORM SERVICES.**

COPY

Medicaid and Other Human Services Procurement Support

Arkansas Department of Human Services

Response to RFP for Solicitation Number: 710-24-076

Due: July 11th, 2024 2:00 p.m. Central Time



Ikaso Consulting, LLC

Submitted By:

*Ikaso Consulting, LLC
533 Airport Boulevard, Suite 400
Burlingame, California 94010*

Proposal Contact:

*Reiko Osaki, President and CEO
Ikaso Consulting, LLC
Phone: 415-734-6858*



Transmittal Letter

July 5, 2024

From: Ms. Reiko Osaki
President & CEO
Ikaso Consulting, LLC
533 Airport Blvd, Suite 400
Burlingame, CA 94010

To: Karrie Goodnight
OP Buyer
Arkansas Department of Human Services
Attn: Office of Procurement
700 Main Street
Little Rock, AR 72201

Re: Response for DHS Medicaid and Other Human Services Procurement Support

Dear Ms. Goodnight,

Ikaso Consulting, LLC (Ikaso) is pleased to submit this response to the Arkansas Department of Human Services (DHS) for Medicaid and Other Human Services Procurement Support.

Please do not hesitate to contact me with any clarification requests. I can be reached by phone at (415) 734-6858 or by email at rosaki@ikasoconsulting.com.

Sincerely,

Reiko Osaki
President & CEO
Ikaso Consulting, LLC

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Information for Evaluation

E.1 General Experience

A. Elaborate on the experience of assigned staff listed on #3 of the Client History Form. Describe each assigned qualified staff's direct experience related to the description including a description of project(s).

Experience at a Glance

Description	Direct Experience
Project Managing Solicitations	Each assigned team member below (Matt Lewis, Uday Ayyagari and Donna Villamil) individually has 10 years of experience in project managing solicitations.
Writing and executing complex procurements	Each assigned staff individually has over 10 years of experience writing and executing complex procurements.
Soliciting MES modules or components for State programs with 500,000 or more Medicaid Beneficiaries	<ul style="list-style-type: none"> • Matt Lewis: 2+ years of experience • Uday Ayyagari: 5+ years of experience • Donna Villamil: 5+ years of experience
Leading governmental procurement projects	Each assigned staff individually has over 10 years of experience writing and executing complex procurements.
Addressing protests for high-cost state or federal solicitations	All assigned staff have experience addressing protests for high-cost state or federal solicitations, with Matt Lewis and Uday Ayyagari both having direct experience in Arkansas protests (in addition to other settings).

Matt Lewis - Day to Day Project Leader

Ikaso Job Title: Director

Project Managing Solicitations:

Extensive experience in project managing solicitations, including oversight of the entire process of planning, solicitation development, managing responses, evaluations, negotiations, and contracting for various procurement methods such as RFPs, RFSS, and RFIs.

Writing and executing complex procurements:

Background in law. Experienced in solicitation development and contract drafting. Mr. Lewis has helped design and run procurements and negotiate contracts for the purchase of Medicaid technology and support services, technology for entitlement program administration, child welfare technology, managed care plans for Medicaid programs, and other services required for federally regulated programs.

Soliciting MES modules or components for State programs with 500,000 or more Medicaid Beneficiaries:

Mr. Lewis has over two years of experience supporting MES module solicitations. Specifically, Mr. Lewis drafted and ran Indiana's Pharmacy Benefits Management (PBM) Services RFP, a complex MES module procurement, supporting our client with all facets of the day-to-day operational administration of the pharmacy benefit for the Indiana Health Coverage Programs (IHCP), including adjudication and payment of pharmacy claims, call center operations, prior authorizations, auditing of pharmacies and rate setting.

Leading governmental procurement projects:

Mr. Lewis has served as an expert in state procurement execution and the design and implementation of programs that comply with complex regulatory schemes while promoting governments' interests and fulfilling their needs. Mr. Lewis has over 12 years of experience leading governmental procurement projects.

Addressing protests for high-cost state or federal solicitations:

Experienced in addressing protests for high-cost and high-profile procurements with successful outcomes. Mr. Lewis has direct experience addressing protests in Arkansas while leading the Dental Managed Care and CCWIS procurements.

Uday Ayyagari - Project Support

Ikaso Job Title: Director

Project Managing Solicitations:

Experienced in managing solicitation processes, including project oversight of full lifecycle activities, external stakeholder coordination and client communications.

Writing and executing complex procurements:

Solicitation development, contract, exhibit and amendment drafting, meeting summaries, and related technical and non-technical procurement-related writing competencies.

Soliciting MES modules or components for State programs with 500,000 or more Medicaid Beneficiaries:

Mr. Ayyagari has over five years of experience supporting MES module solicitations. Mr. Ayyagari has supported the Enterprise System Modernization (ESM) Project, a complex project including the Eligibility and Enrollment MES module procurement for Tennessee. Further, Mr.

Ayyagari led the procurement of the Medicaid Management Information System (MMIS), MES module for Claims Processing, Third Party Liability (TPL) MES modules for Indiana.

Leading governmental procurement projects:

Mr. Ayyagari has served as an expert in public sector end-to-end procurement. Mr. Ayyagari has over 19 years of experience leading governmental procurement projects.

Addressing protests for high-cost state or federal solicitations:

Experienced in addressing protests for high-cost and high-profile procurements with successful outcomes. Mr. Ayyagari has direct experience addressing protests in Arkansas.

Donna Villamil - Project Support

Ikaso Job Title: Principal

Project Managing Solicitations:

Demonstrated experience in project managing solicitations, including oversight of the entire procurement process from initial planning to award and contracting.

Writing and executing complex procurements:

Experienced in writing (a) scopes of work, (b) procurement documents, and (c) contracts drafting.

Soliciting MES modules or components for State programs with 500,000 or more Medicaid Beneficiaries:

Ms. Villamil has over five years of experience supporting MES module solicitations. Ms. Villamil has supported the Indiana Eligibility Determination Services System (IEDSS) Project, a large IT system project including the Eligibility and Enrollment MES module procurement. Further, Ms. Villamil led the procurement of the Enterprise Decision Support Solution (EDSS), MES module for Decision Support System and Data Warehouse.

Leading governmental procurement projects:

Ms. Villamil has led 25+ governmental procurement projects in the last fifteen years, with her services ranging from end-to-end procurements to contract renegotiations and support for meeting Federal inquiries and requirements.

Addressing protests for high-cost state or federal solicitations:

Experienced in addressing protests for high-cost and high-profile procurements with successful outcomes.

- B. Provide resume and narrative for all proposed key personnel including proposed subcontractors (if applicable), who will be performing project activities. Resumes and narrative must include description of qualifying experience and/or projects, length of service for all qualifying experience, as well as education and/or certifications.

Please see the following proposed key personnel resumes capturing team members who would be leading the DHS Medicaid and Other Human Services Procurement Support projects. Our proposed project personnel have MES module solicitation experience, previous Arkansas experience, and directly relevant experience to the proposed scope of work. DHS projects will include support from Ikaso junior staff, all of whom have experience in public sector experience and exposure to MES modules. By way of example, we have included Michael Furac's resume, a junior staff team member with demonstrated MES experience.

Matt Lewis (Director)

Years of Experience

Project Managing Solicitations	12 Years
Writing and executing complex procurements	12 Years
Soliciting MES modules or components for State programs with 500,000 or more Medicaid Beneficiaries	2+ Years
Leading governmental procurement projects	12 Years
Addressing protests for high-cost state or federal solicitations	12 Years

Employment History

- Ikaso Consulting – Manager, Director (2016 to Present)
- CNA Financial – Long-Term Care Technical Director (2015 to 2016)
- Drinker Biddle & Reath LLP – Attorney (2010 to 2015)
- CGI Spend Management Solutions – Associate (2005 to 2008)
- Silver Oak Partners – Analyst, Associate (2004 to 2005)

Select Examples of Relevant Experience

2019-2022: State of Arkansas, Department of Human Service (DHS)

Mr. Lewis served as the project manager for the Department of Children and Family Services solicitation to replace its legacy child welfare software system with a new, federally required child welfare platform - CCWIS.

2020: State of Kansas, Office of Procurement and Contracts (OPC)

Mr. Lewis served as the project manager for a review and analysis of the State's centralized procurement office and its practices as part of the onboarding of a new state procurement director. The report made over thirty organizational and policy adjustment recommendations on areas such as delegated authority, protest mitigation, and workforce training.

2019: State of Hawaii, Procurement Office

Mr. Lewis served as the Project Manager for the Construction Procurement Policy Review project with the State Procurement Office. In this role, Matt oversaw a team of three in its comprehensive review and comparison of the State's procurement statutes, rules and policies related to construction compared with the federal analog practices in the Federal Acquisition Regulations. This engagement also included numerous interviews with State stakeholders invested in the construction procurement process both to better understand the challenges facing the State and better inform Ikaso's recommendations. Ikaso's report was submitted by the State procurement office to the legislature.

2016-Present: State of Indiana, Family and Social Services Administration

Mr. Lewis has led dozens of successful human services solicitations. Of note, he helped draft and lead the Pharmacy Benefits Manager (PBM) RFP, an MES module, which RFP was awarded in 2019. Since then, he has led RFPs for Medicaid Operational Validation and Verification (a programmatic equivalent of IV&V), Program Integrity Services and Systems, Case Management Services, and numerous solicitations related to the state's mental health reform efforts, including but not limited to 988 Call Center Software and Certified Community Behavioral Health Clinic evaluation efforts and Population Health Management system.

2017-2019: State of Indiana, Department of Administration (IDOA)

Mr. Lewis served as a consultant designing and executing a number of critical acquisitions for the state of Indiana. His work redesigning the state's hearing aid purchasing system and negotiating best-in-class contracts was featured as a cover story of Gov Pro magazine. Mr. Lewis has also helped Ikaso's review of Indiana's minority, women, and veteran business acquisition program.

Education

B.A. History - Haverford College

J.D. Temple University

Uday Ayyagari (Director)**Years of Experience**

Project Managing Solicitations	19 Years
Writing and executing complex procurements	19 Years

Soliciting MES modules or components for State programs with 500,000 or more Medicaid Beneficiaries	5+ Years
Leading governmental procurement projects	19 Years
Addressing protests for high-cost state or federal solicitations	19 Years

Employment History

- Ikaso Consulting – Director (2010 to Present), Manager, Senior Associate (2008 to 2010)
- CGI Spend Management Solutions – Senior Consultant (2005 to 2007)
- Silver Oak Partners – Analyst, Associate (2003 to 2005)

Select Examples of Relevant Experience**2008-Present: State of Indiana, Family and Social Services Administration (FSSA) and Indiana Department of Administration (IDOA)**

Mr. Ayyagari leads a team of consultants advising FSSA in the areas of procurement, negotiations, and contracting for Medicaid, human services programs, cross-divisional IT systems, and other strategic initiatives. A sampling of areas where Mr. Ayyagari has led procurement and negotiations efforts includes pharmacy benefits management, Medicaid Management Information Systems (MMIS), data warehousing systems and services, case management systems, program integrity, provider enrollment and credentialing, Medicaid/SNAP/TANF eligibility IT systems, eligibility processing services, and childcare and early childhood education systems.

Additionally, Mr. Ayyagari functions as the primary point of contact for Ikaso's engagement with FSSA and interfaces on an ongoing basis with the agency's Chief Financial Officer, Chief Information Officer, and contract management teams on issues of strategic importance in acquisition, contracting, and vendor management.

Finally, Mr. Ayyagari interfaces closely with the state's central procurement office located within IDOA to ensure close coordination with procurement staff and compliance with procurement requirements.

2011-2020: State of Tennessee, Department of Human Services (DHS); TennCare

Mr. Ayyagari led a team of consultants supporting planning and acquisition for DHS' Enterprise System Modernization project, with the goal of establishing an integrated suite of IT systems to support eligibility operations, child support enforcement, and child care program administration. Previously, Mr. Ayyagari served as a project advisor to the state's Medicaid program, TennCare, where he provided subject matter expertise for systems acquisitions and negotiations.

2016-2018: State of Arkansas, Office of Procurement (OSP)

Mr. Ayyagari served as project director, working on behalf of Arkansas' OSP on the design and execution of a suite of high-value public procurements, including the State's first Medicaid managed care procurement. Subsequently, he successfully worked with numerous stakeholder groups to design a procurement for a completely new program covering Independent Assessments and Provider Transformation Support for Special Needs Medicaid Plan Members (such as those covering the aged and disabled, individuals with serious mental illness, and individuals with developmental disabilities).

2015-2016: State of Iowa, Department of Human Services (DHS)

Mr. Ayyagari led a review of 12 Medicaid-related contracts to assess modifications needed to support the State's move from the fee-for-service model to managed care. To align with future program needs, Mr. Ayyagari led the team in developing negotiation scripts and supporting negotiations with vendors including Core MMIS, PBM, and Program Integrity to achieve the state's goals around pricing, performance measurement, and operational continuity, and capturing the negotiation outcomes in the resultant contract amendments.

Education

M.B.A. Haas School of Business - University of California, Berkeley

M.S. Mechanical Engineering - University of California, Berkeley

B. Tech - Mechanical Engineering - Indian Institute of Technology

Donna Villamil (Principal)

Years of Experience

Project Managing Solicitations	24 Years
Writing and executing complex procurements	24 Years
Soliciting MES modules or components for State programs with 500,000 or more Medicaid Beneficiaries	5+ Years
Leading governmental procurement projects	24 Years
Addressing protests for high-cost state or federal solicitations	24 Years

Employment History

- Ikaso Consulting – Manager, Principal (2011 to Present)
- CGI, State and Local Industry Group – Executive Consultant (2007 to 2010)
- CGI, Spend Management Solutions – Executive Consultant (2005 to 2007)
- Silver Oak Partners – Manager (2005), Consultant, Senior Consultant (2000 to 2004)
- Mitchell Madison Group – Analyst (1998 to 2000)

Select Examples of Relevant Experience**2011-Present: State of Indiana, Family and Social Services Administration (FSSA)**

Ms. Villamil has helped FSSA execute 25+ procurements in the last ten years, with her services ranging from end-to-end procurements to contract renegotiations and support for meeting Federal inquiries and requirements. She has assisted multiple divisions in the administration with procurements of Medicaid programs and technology systems, such as the Indiana Eligibility Determination Support System (IEDSS). Currently, she oversees the procurement for an Enterprise Decision Support System (EDSS), a complex technology system that is used for State Medicaid program data.

2020-Present: State of Indiana, Department of Health (IDOH)

Ms. Villamil supported the department in the procurement of several complex technology systems within the health space. She led the procurement of a Vaccination, Immunization, Scheduling, Inventory, Testing and Claims (VISIT) system, offering end-to-end support from RFP drafting through to contract execution. She currently leads two procurements, one for a Maternal and Child Health (MCH) data system, and one for an Immunization Information System (IIS).

2019-Present: State of Indiana, Department of Child Services (DCS)

Ms. Villamil managed four procurements for DCS, delivering competitive contracts for their new child support automated system project and their Comprehensive Child Welfare Information System (CCWIS) project. Currently, she brings continuity from the RFP phase by providing contract management support and strategic support services. In this role, she assists with vendor negotiations and helps to draft contract amendments and monitor contract funds. She also supports budget projection analysis for annual Advance Planning Documents (APDs) submissions to federal partners.

2012-2020: State of Tennessee, Department of Human Services (TDHS)

Ms. Villamil worked closely with TDHS on procurements related to TDHS' Enterprise System Modernization project to develop and execute three RFPs – an eligibility and benefits management system, child support system re-platforming services, and quality assurance services – supporting the procurements through required state and federal process steps and reviews. Ms. Villamil's work for TDHS began with several staffing and workload analysis projects to identify opportunities to create improved processes and better workload distribution.

Education

B.A. Economics - Operations Research - Columbia University

Michael Furac (Senior Associate)***Years of Experience***

Project Managing Solicitations	3 Years
Writing and executing complex procurements	3 Years
Soliciting MES modules or components for State programs with 500,000 or more Medicaid Beneficiaries	3 Years
Leading governmental procurement projects	3 Years
Addressing protests for high-cost state or federal solicitations	3 Years

Employment History

- Ikaso Consulting – Analyst, Associate, Senior Associate (2021 to Present)
- Annenberg Institute for School Reform – Consultant (2020-2021)
- Brown University – Research Associate (2020-2021)

Select Examples of Relevant Experience**2022 - Present: State of Indiana, Family and Social Services Administration (FSSA)**

Mr. Furac supports the administration on the procurement for an Enterprise Decision Support System (EDSS), a system used for State Medicaid program data. He assists with RFP drafting, and will continue supporting the project through evaluation facilitation, analysis of existing and proposed cost structures, and contract negotiations.

2023: State of Indiana, Department of Health (IDOH)

Mr. Furac supported the department on the procurement of a Vaccination, Immunization, Scheduling, Inventory, Testing and Claims (VISIT) system. The procurement covered both design, development, and implementation (DDI) as well as maintenance and operations (M&O) services. He assisted with RFP drafting, evaluation facilitation, analysis of existing and proposed cost structures to ensure that the department achieved cost savings, and contract negotiations.

2021 - 2023: State of Indiana, Family and Social Services Administration (FSSA) Division of Family Resources (DFR)

Mr. Furac supported the department on the procurement for services providing document center support, a portion of the eligibility determination system for State Medicaid programs. He assisted with RFP drafting, evaluation facilitation, analysis of existing and proposed cost structures to ensure that the department achieved cost savings, and contract negotiations.

Mr. Furac supported the department on the procurement for the Indiana Eligibility Determination Support System (IEDSS), an eligibility determination system for State Medicaid programs. He assisted with RFP drafting, evaluation facilitation, analysis of existing and proposed cost structures to ensure that the department achieved cost savings, and contract negotiations.

Education

M.P.A Public Affairs - Brown University

M.A Philosophy (Ethics) - University of Guelph

B.A.H Philosophy - University of Guelph

E.2 Medicaid Enterprise System Experience

A. Describe the Prospective Contractor's experience assisting with procurements related to Medicaid Enterprise Systems.

Ikaso Consulting has over a decade of experience procuring Medicaid Enterprise Systems across multiple states. In the past 5 years, we have supported the state of Indiana in procuring their Medicaid Management Information System (MMIS). The MMIS was an integrated group of procedures and computer processing operations developed at the general design level to administer Medicaid business functions such as administrative programs and cost control activities, beneficiary and provider inquiries and services, operations of claims control and computer capabilities, and management reporting for planning and control activities. As part of the minimum viable solution for the MMIS, the system was required to meet the goals and objectives outlined by the Centers for Medicare and Medicaid Services (CMS) Medicaid Information Technology Architecture (MITA) and the CMS Enhanced Funding Requirements.

The successfully procured MMIS system was a complex information system, and involved a complex contracting process, which Ikaso supported through the full life cycle to contract routing. Ikaso team members engaged key decision makers on the state-side, as well as daily state-users of the system throughout the RFP drafting process to ensure that business needs were accurately captured in the RFP. Meetings were predominantly informative, and our team served as the primary drafters of RFP documents, employing subject matter expertise informed by the state-team interviews.

In addition to the MMIS system, Ikaso has also supported other MES modules in the past five years: Medicaid Eligibility Determination systems, and Enterprise Decision Support Solutions which combined a Medicaid data warehouse procurement alongside a Medicaid cloud analytic environment procurement to improve reporting and analytic capabilities.

B. Describe the Prospective Contractor's and proposed subcontractors (if applicable) subject matter expertise specifically related to the procurement of Medicaid programs.

Through over a decade of Medicaid-related procurements Ikaso team members have developed subject matter expertise in the procurement standards and best practices to lead a successful procurement for Medicaid programs. Our team is comfortable navigating the Federal requirements that come with Medicaid funding, and has extensive experience handling communications with Federal partners at Center for Medicaid Services (CMS) and Food and Nutrition Services (FNS) throughout procurements for Medicaid programs and services. Ikaso understands the rigorous technical standards tied to Medicaid programs, and the important compliance components and funding contingencies. Ikaso is also well-versed in navigating the restrictions on procurements for systems or services that employ Federal funds, such as the restriction of geographical preferences.

Ikaso also brings a deep understanding of the specific content and activities that are needed to develop a strong and successful RFP for Medicaid programs. We have experience in identifying cost drivers for complex programs, defining and determining parameters for potential future programs and services in addition to the specific program or service being procured, clearly defining staffing requirements including staff expertise to ensure successful implementation of a Medicaid program, and developing cost proposals and other such templates that produce beneficial results for our clients.

Ikaso brings its expertise in both the technical aspect of procurements employing Federal Medicaid funds and its specific knowledge of the Medicaid programs and services to the table as a partner. We understand how the technical requirements impact business operations and service delivery to the Arkansas communities served by DHS.

C. Describe the Prospective Contractor's and proposed subcontractor's (if applicable) subject matter expertise specifically related to the procurement of Medicaid programs and information technology systems.

We have extensive subject matter expertise related to the procurement of Medicaid programs and technology systems. Our experience spans multiple states' procurement laws over more than a decade of procurements in the Medicaid space. Many of these projects are detailed in Attachment I and include, but are not limited to Indiana's Eligibility and Determination Support System, Indiana's Medicaid Management Information System, and Tennessee's Enterprise System Modernization.

Our team understands the level of privacy and security standards that are required for Medicaid technology systems to adhere to, and the significance that these details hold throughout the

procurement drafting phase. For example, ensuring that the rigorous privacy and security standards at the time of drafting are clearly defined is important to ensuring that clients receive proposals matching their needs; but it is also key to ensure that any future updates to such standards are captured as an ongoing responsibility for any winning vendor.

E.3 Procurement Experience

A. Describe the Prospective Contractor's and proposed subcontractor's (if applicable) subject matter expertise specifically related to Arkansas Procurement Law.

Since our first engagement with Arkansas in 2016, we have been committed to thoroughly understanding the specific environments of our project support with an intentional emphasis on the respective Arkansas statutes, rules, policies, and regulations. This ensures our approach, findings, deliverables, and recommendations align with the distinct needs of Arkansas. We have successfully supported several large procurements and worked with three different state organizations, Office of State Procurement, Department of Human Services, and Arkansas General Assembly Review Subcommittee.

With every engagement, Ikaso's first step is to define the project parameters, including thorough research on applicable laws and regulations. Ikaso has supported numerous complex procurements in Arkansas including three Arkansas Department of Human Services acquisitions for Comprehensive Child Welfare Information System (CCWIS), Dental Managed Care, Independent Assessments for Beneficiaries Enrolled in Aging, Behavioral Health and Developmental Disability Programs, and an Electronic Medical Record System for Arkansas State Hospital. Further, Ikaso has supported the State's first Medicaid managed care procurement.

Uniquely, Ikaso has direct expertise providing strategic review and guidance on Arkansas Procurement Law. From 2017 to 2019, Ikaso was engaged by the Arkansas General Assembly Review Subcommittee, commissioned by the Arkansas' legislature, to review the laws, regulations, policies, procedures, and practices of the State's acquisition, contracting, and vendor management operations. After the submission of the report, the Ikaso team worked with members of the State's legislature translating these recommendations into legislation which passed with near unanimous support and are now law.

B. Describe the Prospective Contractor's and proposed subcontractor's (if applicable) subject matter expertise specifically related procurement planning and research.

We are experts in procurement planning and research, and Ikaso helps our clients plan their approach to a wide variety of procurement challenges. We recognize successful procurement execution is contingent upon the creation of an effective and coordinated procurement plan and detailed research and benchmarking. As we begin to prepare our clients for a procurement, we assess the situation and consider all the various tools and methods at our clients' disposal. This

will vary depending on many factors including the state, the client's goals for the procurement, the size/complexity of the procurement, the risk profile of the procurement, the competitiveness of the vendor space, and the desired timeline. We support our clients from beginning to end on procurements, meaning that our procurement strategy planning is comprehensive. Our planning starts with identifying the need and conducting market research and go all the way to supporting contract negotiations with the awarded vendor(s).

Ikaso conducts market research using intensive research practices with a focus on identifying industry best practices, innovative opportunities, and quality vendors to ensure the most effective and efficient use of client resources. We start with the client agreement on our market research plan and methodology, including the budget, timeline, and the data acquisition. The plan typically identifies areas of interest or concern, contains sources of supply, and additional information related to pricing targets, options, and approaches.

Our methodology leverages industry-specific research (*i.e.*, publications), but targeting contracts from peer states usually provides the best source for helpful information that contain scope, approach, pricing, and sources of supply. We begin first with our internal Ikaso expertise and experience. Then, we provide research services as part of our process. We prioritize our efforts within a three-pronged approach:

1. Internal Market Research: We research the market within the state and gather existing contracts and agreements, study them, and prepare comparative analyses to identify overlaps and disparities within services, capabilities, and cost, if available.
2. External Peer State Research: We research peer states and how they approached contracting within similar scopes and industries and then integrate the best practices and considerations into our research. This may also provide insights into market pricing for services of similar size and scope of the client.
3. Market Analysis: We identify potential respondents to solicitation materials with particular focus on the vendors that have the capacities and services to meet the particular needs of the state.

C. Describe the Prospective Contractor's and proposed subcontractor's (if applicable) subject matter expertise specifically related to Public Procurement Probity.

Ikaso was founded with the sole purpose of providing end-to-end acquisition services for public sector and not-for-profit entities. Over fifteen years later, we continue to exclusively serve the public sector. We are wholly committed to avoiding conflicts of interest pursuant to state regulations. Because Ikaso only serves public sector and not-for-profit clients, we understand the need for transparency, civic engagement, and accountability in our projects. We ensure our work product can withstand public scrutiny and that we take clear steps to help the client mitigate protest and other forms of risk. In every project, Ikaso brings to clients our robust

experience on large-scale projects, all while promoting transparency and buy-in, and ensuring procurement process integrity and probity.

With a conscientious and informed approach, a commitment to public procurement probity is a pillar of our work and contributes to the success and credibility of our deliverables, support, and involvement. Our team perceives public procurement probity as the cornerstone of all operations, ensuring all procurement processes are conducted with integrity, fairness, and transparency. In every stage of the procurement process, Ikaso manages probity and acts ethically.

Ikaso's independence prevents conflicts of interest. Ikaso's status as an independent (minority and woman owned) company with a singular focus on acquisition consulting averts conflicts of interest during our execution of all client acquisition projects. There are no other business areas at Ikaso that might bid on other types of contracts and, thus, Ikaso will not be conflicted out of serving DHS.

D. Describe the Prospective Contractor's and proposed subcontractor's (if applicable) subject matter expertise specifically addressing Protests for high-cost state or federal solicitations.

Ikaso recognizes the efforts and commitments invested into public sector procurement, and with this in mind, our intentional and meticulous project design and support strives to mitigate circumstances that could produce successful protests or challenges. Ikaso has extensive experience in protest response assistance and protest risk mitigation strategies for both high visibility and value solicitations.

We have provided protest response assistance for some of our clients' most high-cost and high visibility solicitations. We approach protest response assistance in a methodical and highly coordinated manner, ensuring our clients are fully supported and protests are handled appropriately, effectively, and in compliance with state and federal regulatory requirements.

Recently, when supporting the procurement of multiple multi-billion dollar solicitations for Medicaid managed care organizations, the award resulted in a protest. Ikaso provided extensive support for protest response assistance through detailed review of the protest, client coordination and communication, and providing factual witness and expert witness testimony, ultimately resulting in an unsuccessful protest.

At all points of Ikaso involvement in the acquisition lifecycle, we apply protest risk mitigation strategies to reduce conditions that could lead to successful protests. To ensure that all solicitation components fit together, we review solicitations that have undergone initial development by our clients based on our experience and benchmarks with a particular focus on meeting program objectives and protest mitigation. For one of our projects, we reviewed an

ongoing solicitation effort that had resulted in multiple protests and identified strategies that led to successful go-live, including issuing a Request for Information (RFI) and developing an innovative evaluation methodology that better aligned with the market.

E. Describe the Prospective Contractor's and proposed subcontractor's (if applicable) subject matter expertise, specifically negotiations.

Our consultation and assistance services include supporting negotiations with the vendor (and can include negotiating preliminary terms on our client's behalf), and ensuring that the terms of the contract align with our client's procurement code, approved legal boilerplates, as well as with the overall objectives of the solicitation. The outcome of our negotiations is a contract that reflects the goals and specifications of the procurement and adheres to both government entity and vendor requirements. We know that a clear and well-constructed contract enables the contract manager to manage the terms of the contract in a straightforward and organized manner.

Specifically, Ikaso has successfully negotiated multiple contracts with DHS, including CCWIS and Dental Managed Care contracts. We have experience negotiating with a range of vendors, including global HHS and IT vendors.

F. Describe the Prospective Contractor's and proposed subcontractor's (if applicable) subject matter expertise specifically related to facilitating demonstrations, oral presentations, and/or interviews.

Ikaso recognizes the benefit of conducting oral presentations, demonstrations, and/or interviews from vendors to afford better understanding of existing proposals, with the goal of resolving ambiguity and demonstrating the product or service in action, not to improve upon a proposal or expand suggested offerings. With demonstrations, oral presentations and/or interview support as a core component of Ikaso's acquisition lifecycle support, Ikaso brings years of experience across various solicitations. Our expertise includes full support of the oral presentation, demonstration, and/or interview processes, including but not limited to: developing evaluator clarification requests, demonstrations agendas, invitations, and facilitating demonstrations/oral presentations.

- Developing evaluator clarification requests: Ikaso has supported drafting of clarification questions with the evaluation team as part of the initial consensus scoring note taking process. If the evaluation team deems them complete, clarification questions are handed promptly from Ikaso to the state rep, who sends them to the Respondents. Sometimes, when clarification questions are more robust, it behooves us to give evaluators a few days to review and edit them before sending.

- Demonstrations/oral presentations meeting coordination: Ikaso has extensive experience coordinating, organizing, and facilitating oral presentations/demonstrations. Oral presentation instructions to respondents include sharing agendas, scheduling information (e.g., invitations) and often clarification questions are included, which may request that specific proposal features are demonstrated or clarified demonstrations often center on software demonstrations.
- Ensuring consistent and fair treatment across vendors invited to present, demonstration or be interviewed in accordance with a state's customs and required practices.

G. Describe the Prospective Contractor's and proposed subcontractor's (if applicable) subject matter expertise specifically related to evaluations.

Ikaso has a deep domain of knowledge and experience facilitating all steps in the evaluation process, tailoring our approach to meet our client's needs and in compliance with applicable rules and regulations. From small commodity procurements to multi-billion-dollar human services solicitations, we have prepared our clients to evaluate proposals - by assisting in the drafting of evaluation criteria and evaluation sheets, training evaluators, ensuring Conflict of Interest / nondisclosure forms are signed, facilitating days-long scoring evaluation sessions with agency subject matter experts, and drafting award decision materials. Throughout this process, we maintain the utmost level of deference to the expertise and authority of our client.

We recognize that knowledge and expertise in the procurement sector is generally limited to procurement teams, and is outside the normal duties of operating agency staff. We work with a variety of agencies (e.g., Health and Human Services, Education, Environment, and others) and staff whose day-to-day work is heavily affected by procurement outcomes, yet may themselves never have been involved in a procurement directly. To bridge the knowledge gap, we work closely with our clients throughout each engagement - from planning to scope development, evaluation, award, negotiation, and beyond - in a way that shares knowledge and provides on-the-job training.

Evaluation team training is a standard component of our acquisition support package and is included as an offered step in all of our procurement processes. Experienced and nuanced training skills can be important when evaluation teams include staff that have been selected to participate based on their subject matter expertise in the programmatic area of the solicitation and have not engaged with the procurement process previously.

Where applicable, we conduct the evaluation team training after the solicitation has been posted and prior to receipt of solicitation responses. The training covers the background of the

procurement, including the programmatic outcomes that the solicitation intends to yield, as well as an overview of the forthcoming steps in the evaluation process. Our goal here is to ensure that each evaluation team member understands their role during the evaluation process as well as the importance of maintaining confidentiality. The Ikaso support team works to develop and deliver a presentation that typically covers:

- Evaluation Team Introductions
- Acquisition Purpose & Requirements Overview
- Response Components
- Evaluation Process Overview
- Initial Review of Proposals by Evaluation Team
- Scoring and Short-Listing of Proposals
- Award Recommendation
- Evaluation Criteria and Assigned Points
- Evaluation Scorecard
- Evaluation Timeline – Major Milestones
- Time Commitment Overview
- Next Steps
- Communication and Confidentiality Information and Reminders

Following the evaluation team training, a toolkit is created and shared with the evaluation team for continuous reference throughout the evaluation process. The toolkit typically includes the following components:

- The presentation materials
- Tailored tools to facilitate their review of their solicitations
- A non-disclosure agreement for their review and execution
- A recording of the training presentation in the event that a member of the client or evaluation team cannot attend the live training

Furthermore, we share our contact information directly with the evaluation team for their reference should any questions arise regarding the evaluation process, their role, or the materials we created.

After responses are received and initially reviewed, at the client's discretion, Ikaso is prepared to facilitate consensus scoring evaluation sessions with agency subject matter experts. Consensus scoring takes different forms in different states, and Ikaso is well versed in conducting them in the manner required in Arkansas. The Ikaso team is highly experienced in facilitating consensus discussion, prioritizing accuracy, consistency, and fairness.

H. Describe the Prospective Contractor's and proposed subcontractor's (if applicable) subject matter expertise specifically related to writing and executing complex procurements.

Ikaso Consulting was founded in 2008 with the mission to build a values-driven organization to serve state government acquisition services. For the past 15+ years, we have been successfully writing and executing complex procurements.

Writing complex procurements is a core service offering of Ikaso. We have drafted numerous scopes of work and procurement documents, typically as part of an overall draft RFP/RFI development, or as part of a larger project to assess a roster of large or complex contracts for improvement opportunities. We have demonstrated experience in solicitation development, contract, exhibit and amendment drafting, meeting summaries, and related technical and non-technical procurement-related writing competencies. As government entities acquire a wide range of goods and services, and each entity has their specific circumstances and needs, there is no uniform path to the development of specifications. However, Ikaso employs tried and tested techniques, practices, and methodologies to leverage the expertise of our clients that have consistently led to success in developing accurate and effective specifications for their solicitations.

Ikaso has a breadth of experience executing complex procurements and supporting a broad range of solicitation formats. Our team has developed hundreds of solicitations in a wide range of areas, from commodities like office supplies, to complex IT systems worth hundreds of millions of dollars, to Medicaid health services programs worth billions of dollars. Equipped with a nuanced understanding of what it takes to identify the program objectives and develop a solicitation that will yield the desired outcomes, we begin the solicitation preparation process by understanding the fundamental strategic vision of the program or operations that the solicitation will support. Whenever possible, we like to be involved in the development of that vision and ensure the integration of the acquisition strategy with desired outcomes. We work with a big-picture lens on the full acquisition lifecycle and engage with stakeholders to truly understand their goals.

E.4 Approach and Methodology

A. One service objective of DHS is to reduce the number of hours spent by DHS subject matter experts and executive staff in developing scopes of work and associated solicitation materials. The Awarded Contractor will participate in high level discussions around service limitations and objectives and receive historical contract documents, requirement matrices, and other written materials as an initial artifact archive. Describe the approach and methodology of how the Prospective Contractor will utilize this archive

and/or materials researched by the Prospective Contractor to draft solicitation documents with a minimal draw on DHS staff hours.

Ikaso proposes an engagement in 5 phases: Project kick-off, Artifact Review, RFP drafting, Evaluations, Contract negotiations and execution:

- **Project kick-off:** We predict that this phase will involve the most interaction with State personnel, to ensure we are capturing needs and timelines effectively. At this stage, the high-level goals of the procurement, as well as specific considerations from the DHS staff will be provided, and will guide subsequent phases of the project. Ikaso regularly engages in kick-off activities that set the stage for our team to independently drive projects forward. In order to reduce the time commitment for DHS staff, Ikaso employs a thorough script of questions and considerations that cover all phases of the project, so as to reduce the need to return with additional questions later in the process. Ikaso will also provide a work plan that establishes the project's timeline through each phase, accounting for all Federal review periods, internal constraints, and realistic expectations for each phase and of the project.
- **Artifact review:** After the kick-off, and once DHS has shared all relevant artifacts, Ikaso team members will engage in a thorough review of these artifacts. The review looks to establish a clear view of the current state of the Arkansas Medicaid system and programs, and to identify the gaps that need to be filled by the successful procurement in order for the established goals to be realized. At this time we will also look to engage relevant subject matter experts (SMEs) within the program staff, the finance team, the privacy and security team, the IT team, and any other relevant stakeholder team(s).

Additionally, in the artifact review phase, Ikaso will develop tracking tools that team members will maintain throughout the project, and which will be shared with DHS team members in order to provide up to date information on the status of the procurement process. Further project management tools, such as the detailed work plans, will be employed throughout the project's life cycle.

- **RFP Drafting:** Our team will draft all relevant documents for procurement. This process will be heavily informed by the project kick-off and the artifact review findings, as well as our team's extensive knowledge of procurement best practices in the Medicaid space. The procurement draft will be shared with the state team at regular intervals for their review and consideration, before being shared with Federal partners to review and approve ahead of posting.
- **Evaluations:** Our team has extensive experience supporting clients throughout the evaluation process, including supporting DHS OP and OSP in their shared coordination

and facilitation of large RFP evaluations. In particular, Ikaso's evaluation support for the CCWIS RFP was commended by all evaluators and advisors. Ikaso will support the DHS team throughout the review and evaluations of all submitted proposals.

- **Contract negotiations and execution:** Our team will support the DHS team through the negotiation period, including handling all scheduling (as the state needs), agenda preparation, engaging legal and technical SMEs as needed, and all other negotiation needs, through to the execution of the finalized contract.

B. A service objective for DHS is to receive timely, well-informed, and project- specific initial recommendations for procurement strategies. For each project, the awarded Contractor will meet with subject matter experts, executive staff, and procurement staff for a high-level discussion of project limitations and objectives. Describe the approach and methodology of how the Prospective Contractor will mobilize their expertise, experience, research resources to identify and recommend an initial project procurement strategy.

Ikaso Consulting ensures that our clients are engaged throughout the full procurement process, and are provided the support they need to make informed, meaningful decisions. Our firm has worked extensively in the field of procurement strategy, and with our long history of working with state procurement teams, we understand how timelines, training, and budget considerations can affect this work. From our past experiences, we have learned that success in procurement comes from open collaboration and communication with our client, attention to detail, a preparedness to change course to reflect new developments, and, most importantly, a strong work ethic. With all of this in mind, please see the following approach and methodology of how we will initially mobilize our expertise, experience, research resources to identify and recommend an initial project procurement strategy.

Step 0: Internal Ikaso Staffing

Our team is purposeful and passionate about serving our clients – this translates into our intentional delivery of services and provision of team members. Before engaging with our client, Ikaso senior leadership will have deliberate conversations surrounding staffing and project needs begin. This is an iterative process at our company, relying on senior leadership's deep understanding of team members' capacities, capabilities, and relevant experience. Therefore, we will assign junior staff with MES solicitation or comparable experience to the DHS MES procurement project.

Step 1: Initial Research and Preparation

Before engaging with our client, our team will develop training materials for the employees and prepare for our initial "Kick-Off" meeting. Preparation will include:

1. Research and mastery of Arkansas procurement statutes, rules, policies, and practices
2. Development of an initial procurement strategy plan

3. Leverage Ikaso past project experiences in real-time to meet our clients' needs. When needed, we supplement our expertise with industry research on recent similar acquisitions from other peer public sector entities to validate the client's scope of work or specifications. For contracts in which technology or other innovation has advanced rapidly, Ikaso may - with the client's approval - coordinate outreach to relevant peer public sector entities for insights and best practices.

Step 2: Project Kick-Off

The initial kickoff meeting with DHS project leads will have several goals:

1. Confirm all project deliverables, requested services, and the schedule for the project work to be completed.
2. Hear DHS's initial reactions and revisions to the initial procurement strategy plan
3. Establish a regular meeting cadence (if desired by the client) and schedule for sharing deliverables.
4. Continue collecting initial drafts, project documentation, and background information on key factors and project subject matter.
5. Prepare for solicitation development

At the outset of each project, we work with our clients to define the objectives for the project, define what constitutes success, and identify project limitations.

Step 3: High-level Discussion of Project

To prepare for the high-level discussion of project limitations and objectives, Ikaso will utilize the results of the kickoff meeting, as well as our similar experiences in facilitating high-level discussions with executive staff and stakeholders. Goals of the discussion include:

1. Determine guiding principles, project objectives, project limitations, key results, and drivers of key results
2. Clarify roles and responsibilities of all individuals involved in the project including roles of subject matter experts, executive staff, and procurement staff
3. Understand current contract and documentation (if available)
4. Review past performance issues with the incumbent (if any)
5. Identify risks and challenges that may arise and contemplate approaches to mitigate them
6. Establish a timeline, including detailed milestones such as solicitation development, review, posting periods, evaluation, negotiation, and expected implementation periods while working within parameters such as holidays and stakeholder priorities

Ikaso will consolidate the meeting results into the project procurement strategy plan, to serve as a roadmap for the project. As needed, Ikaso can host more initial meetings depending on the DHS project leads' preference and needs.

Full Lifecycle Support

Throughout the lifecycle of a procurement project, Ikaso will identify and provide additional project procurement strategy recommendations as needed based on the project's progress, current state, and needs of DHS.

C. Describe how the Prospective Contractor's approach and methodology to procurement strategy incorporates predictive or progressive analysis to reduce risk for project-specific, downstream concerns.

Ikaso deploys a variety of predictive and progressive analysis methods with our approach to procurement strategy to reduce risk and address potential for project-specific downstream concerns.

Ikaso recognizes the importance of predictive analysis as a methodology to aid potential future outcomes forecasting, a practice critical to supporting our clients in decision making and anticipating challenges. With this in mind, Ikaso has developed scenario planning practices and risk forecasting strategies to provide our clients with guidance that help contemplate various project situations and potential outcomes. Scenario planning practices include facilitating the simulation of plausible scenarios and the associated potential outcomes to support project planning. Risk forecasting strategies include leveraging past project experience and using available data to predict potential project risks and impacts to ensure if the determined risk arises, Ikaso is prepared to support risk mitigation.

Additionally, we have experience in applying progressive analysis strategies to enhance Ikaso and our clients' understanding throughout the project lifecycle to understand evolving and changing project conditions. Ikaso's approach to progressive analysis centers on continuously monitoring effectiveness of procurement progress against deployed procurement strategies. This approach includes regularly checking project progress against the project deliverables and timelines, reassessing risk as project progresses and contemplating updates (if applicable) to risk plans, and adjusting plans to be responsive to ongoing analysis and developing information.

Ikaso's approach and methodology to procurement strategy incorporates predictive and/or progressive analysis to reduce risk for project-specific, downstream concerns through scenario planning, risk forecasting, continuous monitoring, and adaptive planning at the outset and as the project progresses. Ikaso recognizes the importance of positioning procurement project activities and approach to be both proactive and intentional around potential challenges and responsive and resilient if challenges arise.

Our teams are always looking out for potential concerns, risks, conflicts of interest, issues with disclosures and transparency, etc. Dedicated project teams maintain an open dialogue with client contacts, as do our senior level staff. Teams meet regularly to discuss strategy, current status of the work, potential challenges and workarounds, and the necessity of further research

or analysis. If there is a problem for which the project team cannot offer ready solutions, the problem will be shared with other senior Ikaso team members with specific experience solving similar issues. Senior team members work with the team to gather more information, sometimes through further research and analysis, and if necessary, escalate the problem to the company President.

D. A service objective for DHS is to receive ongoing recommendations to manage risk associated with emergent issues, such as revisions in Federal guidance or regulation, market changes, or shifts in business needs that may occur throughout the solicitation process. Describe the Prospective Contractor's approach and methodology for monitoring, identifying, and defining, emergent issues. Describe how the Prospective Contractor designs project specific solutions to manage risk associated with those emergent issues.

Ikaso's provision of procurement support includes continuous and ongoing recommendations to manage risk associated with emergent challenges, as identified by Ikaso and/or our client. Ikaso's approach to determine emergent issues involves establishing systems for project activity updates, regular check-ins, stakeholder feedback and input, and continuous assessment of evolving project conditions. Further, Ikaso leverages internal procurement expertise and experience, considers applicable rules, regulations, and statutes within the applicable federal, state, and/or jurisdictional boundaries, and prioritizes project communication and organization.

At every stage of engagement, we continue to assess progress and consider if there are new factors introduced and/or emergent issues developing. We consider ourselves "professional worriers" and flag emergent issues while also providing recommendations for resolution for your consideration. We then adapt our process accordingly to ensure we meet your expectations and help achieve your goals. In practice, Ikaso's approach includes the following components to carefully track and define emergent issues:

- Internal Ikaso Check-ins: With every engagement, the Ikaso team members who are involved in the project are in constant communication and have regularly scheduled check-ins to internally review project progress. These communication points additionally serve as opportunities to collectively monitor and identify any emergent issues, as applicable, internally ahead of escalating any identified issues with DHS project leads.
- Stakeholder Input / Collaboration: Throughout every project, Ikaso engages identified clients and stakeholders, recognizing they often have responsibilities pertinent to project progress (e.g., content review, informed decision-making) and provide diverse perspectives and expertise. This collaborative approach improves collective problem-solving strategies, enhancing Ikaso's ability to determine emergent issues.
- Project Activity Reports: Provide detailed status reports, inclusive of completed and planned project activities, project status (On Track, At Risk, or Requires Escalation), and any additional items for discussion. This communication document serves as one form to

communicate emergent issues – recognizing the severity of issue is considered when sharing in this form.

Our efforts to continually monitor, identify, and define, emergent issues occur at every step of the solicitation process. For example, when drafting documents, Ikaso collaborates with our clients to fully understand the review process that agency documents must undergo prior to being finalized for go-live. While supporting IT procurements for agencies within a state client, for instance, Ikaso defers to internal review procedures, which often can call for vetting all technology-related documents with the state's technology agency. Through meticulous planning that seeks to break down communication silos between key stakeholders, Ikaso is able to regularly obtain and incorporate feedback that, had they not been involved in the drafting stages, may have created risks later on.

When emergent issues are identified, Ikaso's approach to designing project specific solutions to manage associated risks includes contemplating specific risk identification, designing mitigation strategies, communicating proactively with DHS project leads and stakeholders, and continuous monitoring of the identified emergent issues. Ikaso evaluates emergent issues under the context of the specific procurement. To design project specific solutions, we tailor every project solution to the unique circumstances of our clients.

E. A service objective of DHS is to establish effective targeted communications between the Prospective Contractor and DHS stakeholders. The Contractor will coordinate multiple agency stakeholders during the solicitation posting to award process. How will the Prospective Contractor approach communicating with internal DHS stakeholders including the OP team to coordinate successful processes from solicitation posting to award. Specifically, what targeted methods will be used to avoid standing meetings and dead time associated with them?

Ikaso approaches project communications with clients in a timely and concise manner, recognizing our clients have competing tasks and responsibilities. At the outset of the project, Ikaso will work with DHS project leads (and internal DHS stakeholders) to determine preferred communication channels and cadence of communication. Ikaso will ensure project communication is conducted both efficiently and effectively with internal DHS stakeholders including the OP team throughout the project from solicitation development to award. Please see the following targeted methods Ikaso can provide to DHS to optimize meeting activities and reduce dead time associated with standing meetings:

- **Project Activity Report Updates:** Ikaso provides detailed status reports, at a preferred cadence determined by clients. This ensures clients are aware of the work we are doing and have the opportunity for collaboration and requests.

- Work plans: For every project, Ikaso creates a detailed work plan complete with all project activities, deliverables, and due dates.
- Progress Trackers and Dashboards: For complex projects, Ikaso is experienced in creating Excel progress trackers and dashboards to systematically monitor and communicate progress in an organized manner.
- Centralized Project Materials: Ikaso can provide clients with full access to an online repository of project-related documents or utilize clients' enterprise software (e.g., Microsoft Teams, Microsoft SharePoint, Microsoft OneDrive, OwnCloud) to ensure that clients have full visibility into our work throughout all stages of a project. In past projects where Ikaso supported DHS Ikaso team members were provided Arkansas email addresses and access credentials - which we would happily accept again to facilitate calendar access and file sharing.
- Agenda-driven meetings: For every meeting, we prepare and send out an agenda before with key items that are pertinent for discussion and elicit opportunities for our client to add agenda items as well to ensure meetings are productive for all parties involved. While preparing agendas, Ikaso evaluates agenda items to determine if they require a meeting or can be addressed via email and/or within a project activity report.
 - Check-in Meetings: For every project, at the cadence determined by our client, we seek check-in calls with our clients to keep them apprised of project progress and upcoming steps and hear any new information and direction they may have to provide. These meetings are typically coupled with regular project activity reports.
 - Collaborative Meetings: For larger projects, we also conduct a monthly cross-division meeting for state executives. Our goal is to have these frequent status reviews to encourage collaboration, mitigate any issues, and maintain timelines.
- Open Communication Methods: Beyond recurring update meetings and ongoing email contact, all clients are given the personal cell phone numbers of our project team leaders, with an open and sincere invitation to call at any time, for any reason.

Ikaso, with experience spanning over 15 years, has successfully provided and continues to provide responsive project communication, catered to the needs and priorities of our clients.

F. Contracts established from designated solicitation projects must include key performance metrics and associated financial penalties for insufficient performance. As part of the solicitation documentation, the Contractor will develop the key performance indicators for each project. Describe the Prospective Contractor's approach and methodology to identify, track, define, prioritize, and draft these metrics and measures of key performance indicators while developing scope of work requirements.

Ikaso excels in developing and implementing vendor performance evaluation methods, complete with key performance metrics and associated financial penalties for insufficient performance. Our approach involves a collaborative process, engaging with program staff to identify and prioritize Key Performance Indicators (KPIs) and Service Level Agreements (SLAs) based on the unique needs of the contract. During this process, we also determine the frequency of the tracking, to ensure the client receives the information needed to determine how a vendor is performing. Of note, Ikaso has developed performance based contracting metrics in compliance with § 19-11-267 and in consultation with DHS.

We develop tailored vendor performance metrics informed by our comprehensive research and analysis. While supporting solicitations involving KPIs, Ikaso conducts extensive benchmarking against other states to consider how KPIs may be utilized in the implementation of the goods/services being procured. This research helps shape Ikaso's initial understanding and proposal of key performance metrics to track and prioritize.

Further, Ikaso reviews the KPI drafting and creation under the specific project parameters and in alignment with the scope of work requirements drafting to ensure both components of the project function cohesively. This includes identifying and defining KPIs while considering how success can be measured against project objectives. Additionally, Ikaso recognizes the importance of drafting quantifiable, realistic, clear, and targeted KPIs and associated financial penalties to ensure metrics effectively gauge vendor progress and performance.

Throughout this process, Ikaso leverages the subject matter expertise of our clients to iterate and align KPIs and associated financial penalties with their project objectives and if applicable, leverage their insight into incumbent performance against previous KPIs (if applicable). After research and coordination with our client, Ikaso will support finalization of KPIs.

Post award, we additionally have experience creating customized tools to track both quantitative metrics and qualitative assessments, ensuring a comprehensive evaluation of vendor performance. Ikaso's focus extends beyond ongoing metrics. We actively support the tracking of implementation metrics at the onset of the contract, ensuring vendors adhere to timelines.

Ikaso values transparency and accountability - we ensure our clients' contracts are drafted in a manner that produces the highest quality standards and contains metrics that help our clients gauge and track the effectiveness of contracted services. Our team recognizes the importance of intentional planning so our performance oversight is always tailored to the needs of the client and project.

G. Describe the Prospective Contractor's approach to managing and monitoring requirement updates as changes occur. These projects may include multiple divisions throughout DHS.

Ikaso's approach to managing and monitoring requirement updates as changes occur involves a structured yet responsive approach to the needs of DHS and various divisions supporting these projects. We have demonstrated experience supporting our clients' in cross-agency solicitation projects. We recognize projects are dynamic and subject to change based on our client's needs. Therefore, Ikaso anticipates requirements may update and/or change during solicitation development. We will manage and monitor these changes closely and in a responsive manner with the utmost level of deference to the expertise and authority of our client.

Ikaso has direct experience in Arkansas managing, monitoring, and supporting development of requirements for the Division of Children and Family Services Comprehensive Child Welfare Information System (CCWIS) procurement. As part of the project support during specifications and scope of work development, Ikaso facilitated in-person meetings with a core group of cross-agency subject matter experts to understand their current experience with the system, future state priorities, profile user demand and potential system requirements and specifications, and operational support expectations. We conducted several working sessions and detailed reviews of the legacy system and process documentation to a) identify the required functionality and b) capture and develop requirements for each system functional area/module. As needed, Ikaso thoughtfully engaged other relevant stakeholders and solicited feedback about their specific areas of their expertise (e.g., Title IV-E, eligibility determination, foster-provider management, adoption services) translating largely verbal direction into concrete, written procurement requirements.

A solicitation may have numerous stakeholders from different agencies with different needs and goals, sometimes in conflict with one another. We have experience in facilitating discussions with disparate stakeholder groups to establish consensus on requirements.

We support our clients' cross-agency strategic initiatives using all of the skills and services at our disposal such as change management services, strategic communication skills, project management skills, and procurement services.

H. Describe the Prospective Contractor's approach to managing and monitoring remote personnel to ensure high productivity.

Ikaso is experienced in managing and monitoring remote personnel with a demonstrated focus on ensuring high productivity and efficiency. Ikaso works closely with our client to coordinate onsite and offsite performance. While offsite, Ikaso supports projects fully and attentively with Ikaso team members spanning multiple time zones, offering a breadth of coverage and availability. Ikaso's approach at remote oversight of personnel includes establishing clear expectations, communication practices / channels, and leveraging collaborative project tools.

Ikaso has established clear expectations of staff performance and availability. Our staff are located throughout the United States allowing us to be available from 8:00 AM Eastern Time to 5:00 PM Pacific Time. With many projects, Ikaso team members span time zones, creating a breadth of project coverage and ensuring project productivity continues beyond an individual staff member's working hours. Further, Ikaso holds its employees accountable to ensure high productivity through monitoring progress on assigned project activities and providing meaningful feedback on staff performance.

The Ikaso team maintains clear communication practices, leveraging various channels and forms to increase line of sight into project activities. As a firm, each week, we meet one to two times to share full team announcements and any pertinent project needs. Within project teams, Ikaso team members meet more frequently to ensure project activities are on track and sufficient team member coverage is available. Communication practices additionally include email updates, virtual check-ins, and ad hoc meetings. Ikaso is experienced in coordinating and scheduling virtual meeting check-ins at a cadence and platform (e.g., Zoom, Google Meet, Teams, etc.) determined by our client.

Ikaso leverages collaborative project tools for both project activities and project management. Ikaso utilizes online repositories to store project-related documents (e.g., Microsoft Teams, Microsoft SharePoint, Microsoft OneDrive, OwnCloud), ensuring team members, at all times, have full visibility into project work. We also utilize project management software such as Asana. Collectively leveraging the aforementioned virtual project tools provides greater insight into project work and progress, enhancing Ikaso's ability to manage and monitor staff's productivity.

Ikaso operates primarily offsite and remote and therefore, Ikaso team members are accustomed to effectively and efficiently working remotely and collaboratively both internally with fellow Ikaso team members and externally with clients. Notably, Ikaso's work with DHS on the CCWIS RFP was successfully completed during lockdowns and 100% remote work during the Covid 19 pandemic. Ikaso was well equipped to adjust to this temporary status given our deep experience managing remotely.

- I. Describe what mitigation tactics will be used when a project is delayed, or tasks are not completed as expected.

Ikaso has an unblemished record for meeting the project timelines estimated and established in cooperation with the client via project work plans at the outset of each engagement. However, Ikaso recognizes that project delays and/or tasks not being completed as expected can happen. When project delays occur, Ikaso will apply mitigation strategies to ensure proactive planning, communication, and project management.

At the outset of every project, we establish a work plan, complete with key milestones, deliverables, and project activities, and share it with our client to ensure we have a timeline to adhere to. While drafting the work plan, we proactively utilize mitigation tactics to contemplate project dependencies and potential risks. Once identified, we develop draft plans to address any contemplated project delays and timing risks.

Ikaso values clear and effective communication with clients to manage potential delays in projects. Once Ikaso identifies any potential project delays, Ikaso initiates transparent and proactive communication with our client to increase awareness of project conditions and contemplate potential pathways to mitigate impact of project delays including reassessing resource allocation, further optimizing Ikaso workflow, and enhancing Ikaso support, if determined necessary by our client.

Ikaso team members' collective, strategic perspective and practiced ability to see the bigger picture has helped our clients anticipate and apply mitigation tactics when project activities are not completed on time and/or as expected. Ikaso is cognizant of our clients' bandwidth, and when possible, we implement strategies to support project progress despite constraints involving client limitations. Further, when client time is scarce due to competing demands, our team consistently exceeds expectations to minimize deliverable review and iteration time.

E.5 Sample

- A. Provide a sample solicitation and relevant associated materials produced by the Respondent meeting the following criteria:*
- a. Established a service contract with a total (multi-year) contract value of more than \$50 million dollars (\$50,000,000)*
 - b. The established contract received funding through a partnership with a federal agency using an Advanced Planning or equivalent process.*

Ikaso supported the Indiana Division of Family Resources (DFR), a division within the Family and Social Services Administration, to procure the Indiana Eligibility Determination Services System (IEDSS). The total remuneration of the resulting IEDSS contract was \$59,983,670.40 at the time of signing, with a contract term of three (3) years and six (6) months.

Funding for this procurement was provided by CMS and FNS, and was accessed by DFR through the use of an Advanced Planning Document (APD). Ikaso aided DFR in the production of timelines that were employed by this APD, and maintained in subsequent communications and work plans shared with the Federal partners. Please see the attached IEDSS sample solicitation and relevant associated materials.

B. Describe how the initial procurement strategy was identified for the solicitation.

Ikaso worked with the key decision makers within the State team in charge of the system being procured, including engaging relevant Subject Matter Experts (SMEs) early in the process in order to set the strategic and technical goals of the procurement. In addition to the project management components of organization of meetings, agenda setting, note taking, and work plan development, Ikaso contributed to the discussion by bringing our extensive understanding of the Medicaid systems marketplace, Federal regulations, and the state agencies further goals.

Through this process additional considerations for the procurement were made apparent, such as:

- As the system was already in operation, Ikaso aided the client in mapping out a timeline that included a transition period, in which an incoming vendor would be onboarded to the responsibilities of owning the system while reducing the risk of service disruption as the result of the system changing hands.
- The need for an extension of the current contract in order to ensure there was no break in service as the procurement took place. This process required a sole-source extension request to both the State's Office of Administration, as well as Federal partners. Ikaso supported the client in drafting materials and leading communications in both cases.
- Cataloging ongoing and planned enhancements that would need to be transferred to the new contract upon the completion of the procurement. This process also involved a risk assessment for each enhancement, in order to ensure that no critical issues would arise throughout a transition period.

C. Describe how this procurement addressed concerns identified in the initial solicitation strategy discussions.

The client expressed the following concerns:

1. The client expressed concerns that the system's level of complexity would deter potential bidders, leading to a less than competitive market.
2. The client identified the need to improve vendor management capabilities as a result of the procurement, particularly in regards to customer service and performance standards
3. The client was concerned as to how they could reduce/minimize unforeseen cost increases across the life of the contract by reducing the risk of change requests.
 - The client specifically wanted to ensure that their standard approach to enhancement billing was the most cost effective for the state.
4. The client wanted to ensure that there was minimal risk in a transition in the case that the winning respondent was to take over the responsibilities of the incumbent.

5. The client wanted to ensure that deliverables produced for M&O/CRs were clearly described in the scope of work, to ensure consistent and timely delivery by the vendor and relieve the client of some vendor management duties.

In order to reduce the risks associated with these concerns, Ikaso:

1. With input from SMEs involved in the procurement, drafted a set of minimum requirements and clear descriptions of the project's goals that encouraged medium-sized and locally-based companies to bid on the project. While the complexity of the system was significant, the clear description of current state and future state goals made it possible for medium-sized companies and locally-based companies familiar with the client's needs to propose reasonable solutions and introduced meaningful competition into the procurement process.
2. In order to ensure a higher standard of customer service by the vendor selected through the procurement process, the scope of work and contract vehicle were drafted with explicit expectations for communication activities such as reporting on weekly, monthly, and quarterly bases; set clear boundaries for deliverable timeliness, as well as minimum standards for deliverable templates; and required the vendor to document clearly all ongoing projects, such as enhancements, for state review. This increased oversight built into the scope of work improved the outcomes for the client by shifting some activities related to performance management onto the regular activities the vendor was required to perform as part of their fulfillment of the scope of work.
3. The client's concern with reducing unforeseen costs was addressed through rewriting several specific sections of the scope of work to more clearly express the required flexibility of the winning vendor. For example, in the case of system improvements required as a result of Federal policy or regulation changes, the vendor was required to produce these updates as part of their maintenance and operation activities, where prior these updates would have pulled from the enhancement pool and so increased costs. Further, in cases where an enhancement was requested by the State, but was required to be altered before release due to policy or technical standards being changed, the vendor was now required to implement these changes without charging additional hours. By reducing the reasons for pulling from enhancement hours for updates and system upgrades, the client experienced less fluctuation in expected and actual expenditures.
 - Similarly, the manner in which enhancements would be charged by the vendor was a topic of significant research in order to ensure the client was positioned to realize the lowest overall cost for enhancement hours. Ikaso projected costs for three different possible approaches to enhancement hours charges: fixed fee, time and materials, and sprint-based. After analysis of the provided data, and discussions with SMEs and key stakeholders on the client side, the fixed-fee approach was adopted and written into the scope of work and subsequent contract, as it produced the lowest overall cost to the client.
4. To offset the risk of losing long-term contractors that were familiar with the system upon transition, the scope of work was drafted to include a requirement that any incoming

vendor (and subcontractor) would extend offers to select individuals that the client identified. Through this requirement, Ikaso alleviated the risk associated with institutional experience leaving the project upon transition to a new contractor.

5. The client's concern with vendor management, particularly the increased efforts of State personnel required to work on vendor management activities, was addressed through increased expectations of reporting and communications on the part of the vendor built into the scope of work. As a course of the maintenance and operations of the system, the scope of work stipulated clear expectations for the vendor to comply with regular reporting requirements (as noted above), as well as clear Service Level Agreements (SLAs), which were required to be met in order for the vendor to be compliant with the standards of the scope of work. Further, the vendor was required to report on these SLAs at regular intervals, and provide the data used to generate these reports.

D. Describe the processes and techniques used to collect and prioritize information.

In line with the identified procurement strategy above, Ikaso collected information from SMEs across various topic areas to ensure a complete context of information gathering. We engaged SMEs within the finance team, the security and privacy team, the agency IT team, the State IT team, and the specific program team that oversaw the system being procured. In order to reduce the burden on each of these groups, Ikaso batched information together under each category and conducted targeted outreach to the SMEs in order to efficiently use everyone's time and resources. Additional information was also received from the incumbent vendor via the client team, whom Ikaso worked with to craft the relevant communications in order to ensure that no aspect of the procurement was unintentionally relayed to the incumbent vendor.

E. Describe challenges and limitations throughout the development of the solicitation and what tactics were used to overcome them.

The client's key consideration was the overall cost of the contract, and as such the main challenge was to draft a scope of work that would lead to reduced costs without sacrificing service levels. In order to achieve this goal, Ikaso worked closely with the agency IT SMEs to understand the frustrations and risks of the existing scope of work, and worked to refine and revise the new scope of work to get to the most optimal balance of the lowest risk coupled with the most realistic execution. Throughout this process, we kept in mind the long-term realities of contract and vendor management needs. We recognized that the procurement was not meant to be a short-term fix, but rather a long-term partnership, and as such the scope of work was developed to maintain low risks and realistic expectations for all parties throughout the lifetime of the contract. Decisions in the drafting process to achieve this end were informed by our team's extensive experience, as well as the specific needs of the client.

F. Describe what project management methodologies and tools were used to ensure project success.

Ikaso employed project management artifacts such as work plans, project timeline documents, and communication templates in order to ensure a mutual understanding and expectation setting for ourselves and our client throughout the engagement. Additionally, we developed a shared document repository that facilitated review, editing, and approval of all procurement materials throughout the project. Our team employed methodical and standardized feedback shared with targeted personnel to resolve specific decision points throughout the project. When the procurement materials were drafted, we engaged in a multi-stage internal review process that had clearly defined gates of reviewing parties, from the agency CIO to the State IT team, to ensure that all parties were comfortable with the scope of work before it was sent for Federal review. This process led to a Federal review that did not require systemic or significant changes to any part of the procurement package, and resulted in a review that did not require the full time allowed for Federal reviewers.

G. Describe experience, roles, and responsibilities in negotiations including any required expertise and testimony for this sample.

In the contract negotiation phase of this project, Ikaso led multiple rounds of negotiations with the winning vendor, prepped client teams ahead of negotiations, and engaged SMEs to bolster discussions when needed. While Ikaso does not provide specific legal advice throughout the contracting process, our experienced team members facilitate State legal counsel for all relevant needs throughout the contract negotiation process by engaging the official legal counsel, briefing them on relevant contract clauses, ensuring they are informed of the client agency's position and preferences, and maintaining drafts of all documents in discussion. Ikaso brought its expertise from over a decade of Medicaid procurement and contract negotiations experience to ensure that the client's needs and interests were well represented, that agenda items were treated fairly and completely, and that results and decisions were accurately recorded in subsequent drafts of all contract materials. In this case, Ikaso's experience in previous negotiations with large, global IT vendors were particularly important, as the realities of such negotiations are distinct from negotiating with a medium-sized or locally-based IT company.

H. Describe how Prospective Contractor maintained compliance with all federal funding requirements including IAPD, APD, or similar, submissions and timeline for this sample.

Because funding was coming from multiple Federal sources, and specific rates of reimbursement were employed for different pieces of the system, Ikaso worked with the finance

team to forecast fiscal needs relevant to invoicing expectations per the specific timeline that had been described in the APD document. Ikaso engaged in project management and oversight activities to ensure that the timeline described in the latest APD document was accurate and realistic, and that milestones were being met as described.

- I. Provide an example of a protest in which the Prospective Contractor had to coordinate including a summary of your responsibilities/involvement, basis of the protest, and outcome. If no protest occurred in the course of the sample solicitation provided, a protest from another project is acceptable.*

While there was no protest for the IEDSS procurement, a procurement for another MES, Application Services, did experience a protest two (2) years prior. In the case of a protest, Ikaso gathers and reviews all procurement materials, notes, and other documentation relevant to the protest and develops a background document that we present to the supporting legal team. We offer our services and support as needed throughout the protest process, whether briefing the legal team or drafting communications if requested. In the case of the Application Services protest, the legal team did not require additional assistance beyond the detailed background briefing we provided. The protest was unsuccessful.

E.6 Project Management and Reporting

- A. Explain how the Prospective Contractor will ensure there are enough experienced and qualified personnel dedicated to each project to ensure successful completion.*

Ikaso is determined to provide the best available resources and staffing to each client, ensuring projects are staffed with qualified and experienced personnel. Before engaging with our client, Ikaso senior leadership will have intentional discussions to determine project staffing and project needs. This is an iterative process at our senior leadership's weekly meetings, relying on their deep understanding of team members' capacities, capabilities, and relevant experience. This is informed by the best available skills for the specific task at hand recognizing each member of our company has experience across different subject matters, allowing us to tailor the staff assigned to each project based on the project area.

Further, Ikaso performs monthly workload analysis to continuously ensure each member of the project team has the necessary bandwidth for the requirements of their assigned projects. Ikaso maintains a firm staffing tracker to plan and monitor staffing assignments on each project. This tracker helps us determine the capacity our team has to take on new work. We utilize the tracker to manage and monitor work orders in a high-level, standardized format. This ensures that as

we increase our work with customers in multiple states and locations, we are able to accommodate the work responsibly, at scale.

Regarding potential staff turnover during a project, our team members do not commonly leave Ikaso. However, when it happens our collaborative staffing model is such that there is never a coverage gap where a project's successful completion could be in jeopardy. Our projects typically have three or more team members involved consistently throughout, so in the event an assigned team member leaves before the project is completed, there are always others who are fully familiar with the project available to carry on and also help onboard new staff. The depth of our bench is such that we are able to place well-suited staff on projects whenever the need arises.

Every member of the Ikaso team aids in providing our services, meaning all staff are immediately capable of providing any services necessary to ensure successful project completion and client satisfaction. This team is also expanding, as we have continued to hire aggressively to meet the growing demand for our services, ensuring more than enough staff are available for any state's needs.

B. Describe the Prospective Contractor's experience with creating a comprehensive project plan. Provide an outline of the approach which describes the Prospective Contractor's ability to be flexible to adjust changes in priorities and your company's network of expertise to leverage changes.

Ikaso is committed to helping our clients achieve their project goals and recognizes that organization is the foundation for a project's success. In every endeavor, Ikaso offers an intentional and methodical process to ensure transparency and accountability beginning with creation and maintenance of a comprehensive project plan.

Ikaso has in-depth knowledge of creating and maintaining comprehensive project plans catering to the needs and parameters identified by our clients. Ikaso develops detailed work plans and project plans at the start of each project, and makes updates as needed. We also detail agency staff resource requirements, change management logs, and risk management logs when desired, all with the goal of quality control and transparency with the client. Further, we deploy project management tools such as document repositories, utilize project management software such as Asana, and form clear lines of communication internally and externally.

We consistently meet our deadlines and we recognize client priorities change and thus adapt our schedules accordingly. For example, on a recent project with a state client, our timeline needed to be extended by five months to accommodate the state's priorities in other work. This was no issue for our team, as we were able to meet the state's scheduling needs with the same

team, and provide ongoing support and deliverables despite the large change in our initial timeline.

We understand it is a possibility for project conditions (e.g., timelines, priorities, etc.) to change due to various reasons at any point of procurement support. With this in mind, Ikaso maintains an agile and holistic approach to project support, ensuring changing project conditions are met with responsiveness and adaptiveness. Further, Ikaso has demonstrated experience in pivoting as needed when conditions change to ensure successful project completion. Please see the following outline of our approach to adjust to changes in priorities identified by DHS.

- **Evaluate current priorities:** If DHS identifies changes in priorities, Ikaso will review these changes against the initially established priorities to assess how and to what extent priorities are changing. During this step, Ikaso will work closely with DHS to ensure we are in alignment, facilitating targeted discussions to confirm mutual understanding of the new project context.
- **Re-evaluate priorities:** Once changing priorities are identified and confirmed with DHS, Ikaso will recenter the project around new priorities, as needed. Recentering activities include reassessing the prioritization and urgency of project work under the new context. With this component, Ikaso will evaluate resource logistics, both allocation and availability, on the client side and internally.
- **Revisit project progress made to date:** Changes in priorities may affect relevancy of prior project progress. Ikaso will review project progress (e.g., deliverables, solicitation development, etc.) to confirm alignment with updated priorities and as needed and with DHS oversight, make necessary adjustments to previous work to achieve alignment.
- **Adjust project planning (if applicable):** We will further review procurement project plans and strategies against changes in priorities with a critical analysis of impact of priority changes. Ikaso will provide recommendations to DHS around any needed project planning adjustments, contemplating the impact of changing priorities on project operations. During this process, Ikaso will also contemplate if any new decisions are necessary and if so, inform relevant DHS stakeholders.
- **Communicate with relevant stakeholders:** Throughout the project, Ikaso will maintain clear and proactive communication with DHS. If applicable, Ikaso will further support appropriate and transparent communication of changing project conditions to relevant DHS stakeholders, as directed and confirmed by DHS project leads.

Ikaso is flexible to the needs of our clients in order to ensure a smooth, informative, and customizable procurement support process. We remain agile to client needs and are always solution-oriented to ensure the best possible outcome for our clients.

C. Define how the Prospective Contractor plans to utilize their company resources and expertise to provide procurement support services for each project.

Ikaso team members combined have 280+ years of public sector experience serving governments in 22 states as well as local governments and not-for-profit entities. Our team brings significant value through our extensive experience and understanding of public sector (states in particular) acquisition operations and methods to each project with DHS. All Ikaso team members have direct and practical acquisition support experience. This includes practitioners such as former state government procurement and operations executives. Our team is an experienced and cohesive unit, with many members having worked together for more than 20 years.

At every stage of involvement, our team ensures we deliver value and curate our approach to each client's needs and preferences. Demonstrated by our long-standing client partnerships (our first client is still a client today), our clients can attest to our delivery of the highest standards of project management, customer service, and dedication to quality control. Please see the following initial considerations for how Ikaso will utilize company resources and expertise to provide procurement support services for each project:

Ikaso leaders meet weekly to discuss active projects and their challenges, continuously adding

The Ikaso team has a breadth of knowledge on the procurement process, procurement reform, and specific MES module solicitation project experience across states. We are adept at quickly gaining expertise with any state's procurement rules, regulations, and terms and conditions, meaning we can begin project work quickly and successfully.

D. Describe the Prospective Contractor's plan for managing and providing oversight for all phases of the procurement for each project.

At Ikaso, we approach project management and oversight in procurement as an opportunity to provide our clients with a structured framework and support to drive successful procurements. Ikaso is committed to helping our clients achieve their project goals and recognizes that organization is the foundation for a project's success. In every endeavor, Ikaso offers an intentional and methodical process to ensure transparency and accountability. We build detailed work plans for every engagement clearly outlining roles, responsibilities, timelines, dependencies, and necessary processes.

For a recent project, Ikaso maintained and routinely updated a work plan that the clients had access to at all times and we made and reviewed adjustments to the work plan according to the client's needs and timeline changes. When the team reached key milestones, Ikaso also

presented project updates to executive clients with slides detailing and documenting the processes and results accomplished.

Managing projects of this magnitude and complexity requires our team's intricate, internal coordination to ensure successful collaboration and oversight. For each project, a senior Ikaso member will be assigned as a Project Leader. This Ikaso team member will serve as the key contact for DHS and proactively oversee all project work and conduct project management, project planning, and contract management at all phases of the procurement to ensure appropriate contact and collaboration.

E. Describe the Prospective Contractor's experience in providing reporting to stakeholders, executive leadership and State and Federal agencies. How will this apply to an engagement with Arkansas?

Ikaso has demonstrated experience providing reporting to stakeholders, executive leadership and State and Federal agencies in various forms and to various degrees of detail, as identified and preferred by our clients. For a recent project, Ikaso provided bi-weekly executive summaries for client leaders including reporting on the progress and risks related to the various project workstreams and vendors. Ikaso supported our clients by creating materials (e.g. Q&As, presentations, press releases) over four years for monthly meetings with community stakeholders, monthly meetings with federal partners at CMS, meetings with state legislators as requested, and quarterly meetings with the State Medicaid Advisory Committee.

We recognize the importance of reporting for stakeholders, executive leadership and State and Federal agencies as a tool to increase transparency into project progress and activities throughout every stage of the project. Ikaso is prepared to provide activity reports on a monthly basis (unless otherwise specified by DHS) throughout the duration of the contract. Additionally, Ikaso is willing to provide additional reporting forms as needed by DHS.

Attachment I
Client History Form
Medicaid and Other Procurement Support
Services
710-24-076

Attachment I

Medicaid and Other Procurement Support Services Client History Form

Instructions: This form is intended to help the State gain a more complete understanding of each Prospective Contractor's experience. This form **must** be completed accurately and in full.

The State reserves the right to verify the accuracy of these answers by contacting any of the listed clients, and all applicable clients **must** be listed. Omission of a client will constitute a failure to complete this form.

For purposes of this form, the "client" is not an individual but the entity which held the contract. By way of explanation, in the Contract resulting from this RFP, Arkansas DHS will be the client. For each listed client, Respondents may (but are not required to) provide the contact information for a person at the client entity who is knowledgeable of the named project. If the State contacts clients listed on this form, the State reserves the right to contact the listed individual or another person at the listed client.

The boxes below each prompt will expand if necessary. The form **must** be signed (please see the final page) by the same signatory who signed the *Response Signature Page*.

1. Please list at least three (3) successfully awarded solicitation projects **where you** (*the prime contractor only*) served as the lead providing procurement support for projects equal to or greater than \$50 million total projected contract cost in the past five (5) years. For each project, please specify the organization/agency/division, not just the state or political subdivision. Please describe the scope and total project cost and include the dates on which procurement support was provided. If there are no contracts which meet this definition, please state "none."

Our Project Experience in:

- Procurement support for projects equal to or greater than \$50 million total projected contract cost in the past five (5) years

At Ikaso, we have extensive experience providing end-to-end procurement strategy and execution for a broad range of solicitations at every level of government. Our team has developed hundreds of solicitations in a wide range of areas, from commodities like office supplies, to complex IT systems worth hundreds of millions of dollars, to Medicaid health services programs worth billions of dollars. Please see the following five past procurement support examples of projects greater than \$50 million total project contract cost supported by Ikaso in the past five years. With all five procurements, Ikaso provided end-to-end acquisition lifecycle support through the RFP process.

Project Example One – Health Link

Client: State of Iowa, Department of Human Services (DHS)

Project Time Period: Nov. 2021 - Oct. 2022 (12 months)

Total Project Cost: \$26,000,000,000.00

Project Description and Scope

From 2021 to 2022, Ikaso was engaged by DHS to provide end-to-end procurement support to procure three contractors for the delivery of healthcare services for the Iowa Medicaid, Iowa Health and Wellness Plan, and Healthy and Well Kids in Iowa (Hawki) programs. These programs enroll the majority of Iowa Medicaid and Children's Health Insurance Program (CHIP) populations. Ikaso supported the procurement of these multi-billion dollar contracts for Medicaid managed care organizations throughout the RFP process, from

drafting through evaluation facilitation and award. Post award, Ikaso provided support for protest response and contract drafting.

Project Example Two – Hoosier Healthwise / Healthy Indiana Plan

Client: State of Indiana, Office of Medicaid Planning and Policy (OMPP)

Project Time Period: Jan. 2021 - Dec. 2022 (24 months)

Total Project Cost: \$64,000,000,000.00

Project Description and Scope

From 2021 to 2022, Ikaso provided OMPP with end-to-end procurement support through the RFP process to procure four managed care entities (MCEs) to deliver risk-based managed care services statewide to Medicaid beneficiaries enrolled in the State of Indiana's Hoosier Healthwise and Healthy Indiana (HIP) programs. The Hoosier Healthwise / Healthy Indiana Program RFP was a high-value Medicaid Managed Care procurement that involved Ikaso support from RFP drafting through evaluation facilitation, award, and eventual contract execution.

Project Example Three – Level of Care Assessment Representative

Client: State of Indiana, Family and Social Services Administration (FSSA), Division of Aging (DA), Division of Developmental Disability and Rehabilitative Services, and Office of Medicaid Policy and Planning (OMPP)

Project Time Period: April 2022 - December 2023 (20 months)

Total Project Cost: \$78,000,000.00

Project Description and Scope

The Ikaso team provided end-to-end procurement strategy and execution support for FSSA through an RFP process to successfully procure a contractor to provide a single front door for individuals seeking access to Medicaid long-term care (LTC)/long-term services and supports (LTSS), which FSSA called "level of care assessment representative". This package of services includes pre-admission screening and resident review (PASRR), HCBS Waiver level of care assessments, recommendations, and determinations, and related responsibilities such as helpline operation, Medicaid application assistance, and intake counseling for individuals with a nursing facility level of care (NFLOC). This RFP shifted long-standing siloing of unique components of the LTC/LTSS entry points in order to streamline access and increase accountability for timeliness and accuracy of assessments and determinations. Ikaso support included extensive Scope of Work design and RFP drafting, responding to vendor inquiries, evaluation support and contract negotiations support. During the RFP drafting phase, Ikaso conducted benchmarking and developed a comprehensive cost proposal template to identify all components of the total bid amount. As Respondents prepared proposals, the Ikaso team supported the training and onboarding of the State evaluation team. During the evaluation process, the Ikaso team helped facilitate consensus scoring, took notes, and supported development of clarification questions. Ikaso also conducted best and final offers in partnership with the State team. Following the award, Ikaso supported State staff during contract negotiations to reach their savings target through detailed and quantitative comparative analysis of the successful vendor's pricing proposal versus the State's budgetary considerations, resulting in \$53.7M savings for the State for a final 4-year total contract value of \$78,000,000.00.

Project Example Four – PathWays for Aging

Client: State of Indiana, Family and Social Services Administration (FSSA)

Project Time Period: 2020 - 2024 (46 months)

Total Project Cost: \$29,000,000,000.00

Project Description and Scope

Ikaso provided FSSA with end-to-end procurement support through an RFI and RFP process to successfully award three contracts valued at a total of approximately \$30 billion to managed-care organizations for the Indiana PathWays for Aging program (PathWays). PathWays is Indiana's first-ever statewide Medicaid managed-care long-term services and supports program, serving over 120 thousand adults aged 60 and older. Ikaso facilitated the state's process to draft their most innovative Medicaid contract to date, by integrating national best practices from benchmarking research, federal requirements, and hundreds of stakeholder recommendations cataloged over two years, into the PathWays scope of work. Post-award, Ikaso provided support for protest response assistance, strategic engagement with the Centers for Medicare & Medicaid Services to gain federal program approval, and contract drafting and finalization.

Project Example Five – RCC/CCC Eligibility Operations

Client: State of Indiana, FSSA Division of Family Resources (DFR)

Project Time Period: 2021 - 2022 (24 months)

Total Project Cost: \$124,000,000.00

Project Description and Scope

Ikaso was engaged by DFR to support the end-to-end acquisition process to procure comprehensive eligibility services, staffing, and support for Indiana's Eligibility Operation, specifically in the DFR Central and Regional Change Centers (CCCs and RCCs). The Eligibility Operation is the central resource in helping Hoosiers apply for and receive benefits, including SNAP, TANF, and Health Coverage including Medicaid, and relies on three central parts to continue serving the State - Central and Regional Change Center Eligibility Operations (scope of the RFP), Local Office Staff Augmentation (provided under separate contract), and Training (provided under separate contract). The RCC/CCC Eligibility Operations was a high-value successfully awarded project that involved Ikaso support from solicitation development through evaluation facilitation, award, and eventual operational transition of several hundred contracted staff from the incumbent to the new vendor.

2. Please list at least two (2) state clients where you (*the prime contractor only*) directly supported the successful procurement of at least two (2) MES modules in states similarly sized or larger than Arkansas in the last five (5) years. For each client, please specify the organization/agency/division, not just the state or political subdivision. Please briefly describe the scope and total project cost and include the dates on which procurement support was provided. If there are no contracts which meet this definition, please state "none."

In the past 5 years Ikaso Consulting has engaged in four (4) projects that directly supported the successful procurement of MES modules in states similarly sized or larger than Arkansas.

MES Module	Project Name	State
Eligibility and Enrollment	Indiana Eligibility Determination Services System (IEDSS)	Indiana
Claims Processing, Third Party Liability (TPL)	Medicaid Management Information System (MMIS) - Core	Indiana
Decision Support System and Data Warehouse	Enterprise Decision Support Solution (EDSS)	Indiana
Eligibility and Enrollment	Enterprise System Modernization (ESM) Project	Tennessee

Project Example One – Indiana Eligibility Determination Support Solution (IEDSS)

Total Project Cost: \$60,000,000.00

From April 2021 through July 2023 Ikaso supported the Division of Family Resources (DFR) and the CIO's office within Indiana's Family and Social Services Administration (FSSA) in procuring the Indiana Eligibility Determination Services System (IEDSS). IEDSS was a large IT system procurement that involved a maintenance and operations (M&O) component, development and deployment of ongoing system enhancements, and the maintenance of a legacy system. Specifically, the IEDSS system supports the state's Worker Portal by operating as a System of Record (SOR), as well as performing additional technical components to support integrated eligibility and enrollment related processes for Medicaid, Supplemental Nutrition Assistance Program (SNAP), and Temporary Assistance for Needy Families (TANF). Ikaso supported DFR in this procurement process from the ideation phase through contract execution.

Project Example Two – Medicaid Management Information System (MMIS)

Total Project Cost: \$205,000,000.00

From August 2021 through January 2023 Ikaso engaged the Office of Medicaid Policy and Planning (OMPP) within FSSA to procure their Core Medicaid Management Information System (MMIS). The MMIS is an integrated group of procedures and computer processing operations (subsystems) developed at the general design level to administer Medicaid business functions, such as administrative program and cost controls, beneficiary and provider inquiries and services, operations of claims control and computer capabilities, management reporting for planning and control, and Third Party Liability (TPL). The RFP was for M&O and Medicaid Business Operations Manager work. Ikaso supported the MMIS RFP from ideation through to contract execution.

Project Example Three – Enterprise Decision Support Solution (EDSS)

Active Procurement - No Award Yet

From June 2023 to the present, Ikaso has engaged the Data and Analytics team within FSSA's Administrative division in procuring their Enterprise Decision Support Solution (EDSS). The EDSS consists of two scopes: the first being an Enterprise Data Warehouse (EDW), which will house Medicaid-related data to be accessed by 4 other FSSA divisions, and 2 other Indiana Agencies; the second component of the EDSS will be a Cloud Analytic Environment (CAE), which will be a 'data lake' that the Data and Analytics team employs in their reporting, monitoring, and decision support activities for FSSA divisions. To date, Ikaso's role has involved RFP drafting, publishing, and responding to vendor inquiries. Future phases of the project will include evaluation support and contract negotiations support through to contract execution.

Project Example Four – Enterprise System Modernization (ESM)

Total Project Cost: \$77,000,000.00

From 2014 to 2020, Ikaso supported the Tennessee Department of Human Services (TDHS) on procurements to modernize the systems and software used to run their child support systems as well as eligibility processing. This project involved creating a multi-year strategy for the client to successfully procure these services, and to implement a complicated and interrelated set of information technology (IT) systems. We started the process by conducting an RFI for approaches to enterprise system modernization to gain an understanding of what TDHS's options were in the market. Subsequently, Ikaso developed a roadmap for procuring the necessary elements of the modernization effort and executed the roadmap through a series of five (5) competitive procurements: a feasibility study RFP, Child Support Replatform RFP, Enterprise Integration RFP, Eligibility System RFP, and Quality Assurance RFP, supporting all solicitations through required state and federal process steps and reviews. The Eligibility System procurement was completed in the 2019-2020 timeframe. Ikaso team members developed all the components of the solicitation, and supported the project through negotiation and finalization of the contract with the awarded vendor.

3. Please list and assign qualified staff with direct experience through a combination of employment with governmental entities and/or private entities including at minimum:

- Ten (10) years of combined experience in project managing solicitations,
- Ten (10) combined years of experience in writing and executing complex procurements,
- For up to two (2) proposed staff, five (5) combined years of experience soliciting MES modules or components for State programs with 500,000 or more Medicaid beneficiaries, and
 - o At least one proposed staff member with five (5) years of experience leading governmental procurement projects.
- Experience addressing protests for high-cost state or federal solicitations.

Description	# Years of Experience	Assigned Staff
Project Managing Solicitations	Each assigned team member below (Matt, Uday and Donna) individually has over 10 years of experience in project managing solicitations.	<ul style="list-style-type: none"> • Matt Lewis • Uday Ayyagari • Donna Villamil
Writing and executing complex procurements	Each assigned staff individually has over 10 years of experience writing and executing complex procurements.	<ul style="list-style-type: none"> • Matt Lewis • Uday Ayyagari • Donna Villamil
Soliciting MES modules or components for State programs with 500,000 or more Medicaid Beneficiaries	<ul style="list-style-type: none"> • Matt Lewis: 2+ years of experience • Uday Ayyagari: 5+ years of experience • Donna Villamil: 5+ years of experience 	<ul style="list-style-type: none"> • Matt Lewis • Uday Ayyagari • Donna Villamil
Leading governmental procurement projects	Each assigned staff has over 10 years of experience writing and executing complex procurements.	<ul style="list-style-type: none"> • Matt Lewis • Uday Ayyagari • Donna Villamil
Addressing protests for high-cost state or federal solicitations	All assigned staff have experience addressing protests for high-cost state or federal solicitations, with Matt Lewis and Uday Ayyagari both having direct experience in Arkansas protests (in addition to other settings).	<ul style="list-style-type: none"> • Matt Lewis • Uday Ayyagari • Donna Villamil

4. Please list any additional projects not included above in the areas of procurement support services provided in the areas of Medicaid, IT systems, and other large state complex solicitations. (i.e. approximately 3000 project hours over the course of 18 months). For each client, please specify the organization/agency/division, not just the state or political subdivision. Please briefly describe the scope and duration of the services. If there are no contracts which meet this definition, please state "none." If there are no contracts which meet this definition, please state "none."

Please see the following five additional projects demonstrating Ikaso's experience providing procurement support in the areas of Medicaid, IT systems, and other large state complex solicitations.

Project Example One – Comprehensive Child Welfare Information System (CCWIS)

Client: State of Arkansas, Division of Children and Family Services (DCFS)

Project Time Period: January 2019 - February 2022 (37 months)

Project Description and Scope

The Ikaso team developed and executed a CCWIS RFP which gave the State the widest array of implementation options to consider different vendor, platform, and hosting approaches. Ikaso worked with agency stakeholders to develop technical specifications for RFP, developed all other RFP documents and templates including cost proposal and performance milestones, obtained federal approval of RFP, posted RFP and supported evaluation, negotiated contract with ultimate vendor, obtained federal approval of contract.

Project Example Two – Dental Managed Care

Client: State of Arkansas, Department of Human Services (DHS)

Project Time Period: July 2016 - May 2017 (11 months)

Project Description and Scope

The Ikaso team developed draft and final RFP packages for a new Medicaid dental managed care program. The team developed the draft and final RFP package, including Scope of Work, performance standards, quality measures and other informational attachments to assist respondents with developing responses. We supported the bidders' conference, RFP evaluation process, timely award, and led the contract negotiations.

Project Example Three – Vaccination, Immunization, Scheduling, Inventory, Testing and Claims (VISIT), IT System

Client: State of Indiana, Indiana Department of Health (IDOH)

Project Time Period: 1/2023- 11/2023 (11 months)

Project Description and Scope

The Ikaso team successfully supported IDOH through the RFP procurement and contract negotiation phase for a Contractor to design, develop, and implement (DDI) a Vaccination, Immunization, Scheduling, Inventory, Testing and Claims (VISIT) system and provide ongoing maintenance and operations services (M&O) post system go-live. The VISIT system allows public users to schedule vaccinations and medical testing; allows providers to manage related scheduling, inventorying, and patient health information; and follows strict security protocols to ensure the safety and security of Hoosiers' personal health information (PHI) and personally identifying information (PII). Ikaso provided end-to-end acquisition support through the RFP process, from procurement conception through contract execution.

Project Example Four – OECOSL Software Systems

Client: State of Indiana, Office of Early Childhood and Out-of-School Learning (OECOSL)

Project Time Period: November 2019 - August 2021 (25 months)

Project Description and Scope

Ikaso was engaged by OECOSL to provide end-to-end acquisition support, through the RFP process, to procure a software system with the goal of establishing IT infrastructure and software to reduce administrative burdens on the populations OECOSL serves and on OECOSL staff, enhance self-service options for child care providers, fulfill operational requirements including compliance with current and new federal and State laws, and enhance access to data analytics and visualizations. The OECOSL Software Systems RFP was a complex IT systems procurement that involved Ikaso support from ideation through contract execution, including extensive vendor negotiations. The final contract led to \$2.9M savings for the state, driven by successful requests for Best and Final Offers (BAFO) during the RFP process.

Project Example Five – Pharmacy Benefits Management (PBM) Services

Client: State of Indiana, Office of Medicaid Policy and Planning (OMPP)

Project Time Period: 2017 - 2019 (20 months)

Project Description and Scope

Ikaso provided acquisition expertise and project management support from RFI, solicitation development, and award, through system implementation and subsequent contract update negotiations, for the Pharmacy Benefits Management (PBM) Services contract. The purpose of this project was to support OMPP with all facets of the day-to-day operational administration of the pharmacy benefit for the Indiana Health Coverage Programs (IHCP), including adjudication and payment of pharmacy claims, call center operations, prior authorizations, auditing of pharmacies and rate setting. The PBM Services RFP was a complex procurement, intended to ensure enhanced quality of care under the pharmacy benefit while controlling the growth of pharmacy benefit expenditures.

(See ORIGINAL for ink signed version)

Authorized Signature: /s/ Reiko Osaki _____ Title: President _____

Printed/Typed Name: Reiko Osaki _____ Date: 7/6/24 _____

SAMPLE SOLICITATION

Ikaso Consulting, LLC

Response to RFP for Solicitation Number: 710-24-076





STATE OF INDIANA

Request for Proposal 22-70230

INDIANA DEPARTMENT OF ADMINISTRATION

**On Behalf Of
Indiana Family and Social Services Administration (FSSA), Division
of Family Resources (DFR)**

**Solicitation For:
IEDSS System Maintenance and Operations**

**Response Due Date:
April 4, 2022**



Strategic Sourcing Analyst
Indiana Department of Administration
Procurement Division
402 W. Washington St., Room W468
Indianapolis, Indiana

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SECTION ONE

GENERAL INFORMATION AND REQUESTED PRODUCTS/SERVICES

1.1 INTRODUCTION

In accordance with Indiana statute, including IC 5-22-9, the Indiana Department of Administration (IDOA), acting on behalf of the Indiana Family and Social Services Administration (FSSA), Division of Family Resources (DFR), is seeking to establish a contract for Maintenance and Operations (M&O) of the Indiana Eligibility Determination Services System (IEDSS). As part of this M&O contract, the Contractor shall provide M&O and Enhancement services for all aspects of the IEDSS solution as well as maintenance of the solution implemented for retention of legacy eligibility system data. The IEDSS solution provides Indiana a Worker Portal “system of record” and related technical components to support Eligibility & Enrollment (E&E) related processes for Medicaid, Supplemental Nutrition Assistance Program (SNAP), and Temporary Assistance for Needy Families (TANF). The IEDSS solution, through interfaces to various Federal, State, and commercial entities, supports DFR in determining and maintaining benefits, as appropriate, throughout all aspects of E&E, while maintaining compliance with Federal and State laws, regulations, and policies. It is the intent of IDOA to solicit responses to this Request for Proposals (RFP) in accordance with the statement of work, proposal preparation section, and specifications contained in this document. This RFP is being posted to the IDOA website <https://www.in.gov/idoa/procurement/current-business-opportunities/> for downloading. Neither this RFP nor any response (proposal) submitted hereto are to be construed as a legal offer.

1.2 DEFINITIONS AND ABBREVIATIONS

Following are explanations of terms and abbreviations appearing throughout this RFP. Other special terms may be used in the RFP, but they are more localized and defined where they appear, rather than in the following list.

Award Recommendation	IDOA’s summary to the agency being supported, typically in letter format, of the solicitation and suggestion on respondent selection for the purposes of beginning contract negotiations.
IAC	Indiana Administrative Code
IC	Indiana Code
Contract Award	The acceptance of IDOA’s Award Recommendation by the agency being supported in conjunction with the public posting of the Award Recommendation.
VSC	Valuable Scope Contribution – A business function that supports the scope of this solicitation

Full Time Equivalent (FTE)	The State defines FTE as a measurement of an employee's productivity when executing the scope of work in this RFP for a specific project or contract. An FTE of 1 would mean that there is one worker fully engaged on a project. If there are two employees each spending 1/2 of their working time on a project that would also equal 1 FTE
Implementation	The successful implementation of IEDSS system changes as specified in the contract resulting from this RFP
State Agency	As defined in IC 4-13-1, "State Agency" means an authority, board, branch, commission, committee, department, division, or other instrumentality of the executive, including the administrative, department of State government
Subcontractor	As used in Attachments A, refers to the entity entering into a contract with the Prime Contractor for a portion of the scope of the solicitation.
Total Bid Amount	The amount that the respondent proposes on Attachment D that represents their total, all-inclusive price.
Respondent	An offeror as defined in IC 5-22-2-18; and any entity or person who does business with the State and is registered as same. The State will not consider a proposal responsive if two or more offerors submit a joint or combined proposal. One entity or individual must be clearly identified as the company who will be ultimately responsible for performance of the contract

1.3 PURPOSE OF THE RFP

The purpose of this RFP is to select a respondent that can satisfy the State's need for all aspects of the IEDSS solution as well as maintenance of the solution implemented for retention of legacy eligibility system data.

1.4 SUMMARY SCOPE OF WORK

1.4.1 Scope of Work

The detailed scope of work is provided in RFP Attachment C.

1.4.2 Minimum Requirements

The following represent the qualifications of the Respondents to this RFP:

- a. Provided maintenance and operations (M&O) services for a large system for at least one (1) client within the last five (5) years. "Large" is defined in this instance as a system that supports at least 1,500 users who are processing data for at least 1 million client records throughout a year, and have the corresponding technical components to handle this capacity for intake, processing, batches/interfaces, and reporting. (Note: client records include records for current recipients, previous recipients, and historically denied applicants).
- b. Worked on a systems implementation or a M&O project for a city, county, state,

or federal health or human services agency, or a project funded by a federal health or human services agency within the last five (5) years.

1.5 RFP OUTLINE

The outline of this RFP document is described below:

Section	Description
Section 1 – General Information and Requested Products or Services	This section provides an overview of the RFP, general timelines for the process, and a summary of the products/services being solicited by the State/Agency via this RFP
Section 2 – Proposal Preparation Instruction	This section provides instructions on the format and content of the RFP including a Letter of Transmittal, Business Proposal, Technical Proposal, and a Cost Proposal
Section 3 – Proposal Evaluation Criteria	This section discusses the evaluation criteria to be used to evaluate respondents' proposals
Attachment A	M/WBE Participation Plan Form
Attachment B	Sample Contract
Attachment C	Scope of Work
Attachment D	Cost Proposal Template
Attachment E	Business Proposal Template
Attachment F	Technical Proposal Template
Attachment G	Q&A Template
Attachment H	Reference Check Form
Attachment I	Solicitation Interest Form
Attachment J	Bidder's Library (multiple files)
Attachment K	Staff Specifications
Attachment L	Functional and Technical Design Documents
Attachment M	Incident Management Overview
Attachment N	Intent to Respond Form
Attachment O	Non-Disclosure Agreement
Attachment P	Attestation Form

1.6 PRE-PROPOSAL CONFERENCE

Due to current concerns for public health and safety, the Pre-Proposal Conference

will not be conducted in person. A Pre-Proposal Conference will be held virtually on the time and date specified in [Section 1.24](#) Summary of Milestones. Potential Respondents to the solicitation are encouraged to submit any questions pertaining to the RFP via the Question/Inquiry Process outlined in Section 1.7 below.

Due to the Pre-Proposal Conference not being held in person, Potential Respondents (prime contractors and subcontractors) will be given the opportunity to express interest in this solicitation and to have their company and contact information posted to the solicitation website. Attachment I provides a template for submitting company information. This form is optional, and if desired to be submitted, should be emailed directly to tdeaton@idoa.in.gov no later than the date specified in Section 1.24 Summary of Milestones. Compiled company contact information will be posted to the solicitation website on the date specified in Section 1.24 Summary of Milestones.

1.7 QUESTION/INQUIRY PROCESS

All questions/inquiries regarding this RFP must be submitted by the dates and times outlined in Section 1.24 Summary of Milestones. Questions/Inquiries may be submitted in Attachment G, Q&A Template, via email to rfp@idoa.IN.gov and must be received by the times and dates indicated below.

The subject line of the email submissions must clearly state the following: **“RFP 22-70230 Questions/Inquiries – [INSERT COMPANY NAME]”**.

Following the Round 1 question/inquiry due date, Procurement Division personnel will compile a list of the questions/inquiries submitted by all Respondents. The responses will be posted to the IDOA website according to the RFP timetable established in Section 1.24. The question/inquiry and answer link will become active after responses to all questions have been compiled. Only answers posted on the IDOA website will be considered official and valid by the State. No Respondent shall rely upon, take any action, or make any decision based upon any verbal communication with any State employee. If the Respondent has additional questions solely related to the State’s responses to Round 1 Written Questions or to Attachment L’s documents, they may submit a Round 2 Written Question. Round 2 Written Questions may be submitted in Attachment G, Q&A Template, via email to rfp@idoa.IN.gov and must be received by the time and date indicated in Section 1.24.

The subject line of the email submissions must clearly state the following: **“RFP 22-70230 Round 2 Questions/Inquiries – [INSERT COMPANYNAME]”**.

Inquiries are not to be directed to any staff member of the FSSA or any other participating agency. Such action may disqualify Respondent from further consideration for a contract resulting from this RFP.

If it becomes necessary to revise any part of this RFP, or if additional information is necessary for a clearer interpretation of provisions of this RFP prior to the due date for proposals, an addendum will be posted on the IDOA website. If such addenda issuance is necessary, the Procurement Division may extend the due date and time of proposals to accommodate such additional information

requirements, if required.

1.8 DUE DATE FOR PROPOSALS

All proposals must be submitted through a two-part process. Both deadlines must be met for a response to be complete. Part one, the Submission Form is due as set forth in Section 1.24.¹ Proposals will be disqualified if the Submission Form is received after the expiration of the first deadline. Part two, the receipt date for Proposals on Flash Drives, is as set forth in Section 1.24. Proposals will be disqualified if Flash Drives are received after their deadline. The awarded proposal will be posted on the IDOA Award Recommendations website, at <http://www.in.gov/idoa/2462.htm>.

The Submission Form is available at <http://www.in.gov/idoa/procurement/current-business-opportunities>. Complete the form in its entirety. The sourcing number and IDOA Procurement Lead information is available on the title page of this document. The Transmittal Letter and completed Attachment P, Attestation Form are to be attached to the Submission Form.

The Flash Drive(s) should be sent using the address information below:

██████ – RFP 22-70230
Indiana Department of Administration
Procurement Division
402 West Washington Street, Room W468
Indianapolis, IN 46204

- Each respondent must submit at least one original Flash Drive but if more are needed, that is acceptable
- The proposal must follow the format indicated in Section Two of this document. No other method of Submission will be accepted.
- Unnecessarily elaborate brochures or other presentation, beyond those necessary to present a complete and effective proposal, are not desired.
- No more than one proposal per respondent may be submitted
- Responses not submitted by the deadlines will not be considered; nor will sending it via email or hand delivery be viable alternatives.
- The State will not provide confirmation of receipt of Flash Drives. If that is desired, the respondent should select a shipping method that will offer confirmation of receipt.
- The State accepts no obligations for costs incurred by respondents in anticipation of being awarded.
- All communication, unless stated otherwise in this document, should be directed to the IDOA staff member on the title page of this solicitation. If communication is had with any other staff member, the **respondent may disqualify themselves from further**

¹ The date and time stamp generated by the State system indicating receipt of the Submission Form shall be considered the official time stamp for this RFP. See 1.24 Summary of Milestones for the due date and time.

consideration.

1.9 MODIFICATION OR WITHDRAWAL OF OFFERS

Modifications to responses to this RFP may only be made in the manner and format consistent with the submittal of the original response, acceptable to IDOA until due date and time.

The Respondent's authorized representative may withdraw the proposal prior to the due date.

1.10 PRICING

Pricing on this RFP must be firm and remain open for a period of not less than 180 days from the proposal due date. Any attempt to manipulate the format of the document, attach caveats to pricing, or submit pricing that deviates from the current format will put your proposal at risk.

Please refer to the Cost Proposal sub-section under Section 2 for a detailed discussion of the proposal pricing format and requirements.

1.11 PROPOSAL CLARIFICATIONS AND DISCUSSIONS, AND CONTRACT DISCUSSIONS

The State reserves the right to request clarifications on proposals submitted to the State. The State also reserves the right to conduct proposal discussions, either oral or written, with Respondents. These discussions could include request for additional information, request for cost or technical proposal revision, etc. Additionally, in conducting discussions, the State may use information derived from proposals submitted by competing respondents only if the identity of the respondent providing the information is not disclosed to others. The State will provide equivalent information to all respondents which have been chosen for discussions. Discussions, along with negotiations with responsible respondents may be conducted for any appropriate purpose.

The Procurement Division will schedule all discussions. Any information gathered through oral discussions must be confirmed in writing.

A sample contract is provided in Attachment B. Any requested changes to the sample contract must be submitted with your response (See Section 2.3.5 for details). The State reserves the right to reject any of these requested changes. It is the State's expectation that any material elements of the contract will be substantially finalized prior to contract award.

1.12 BEST AND FINAL OFFER

The State may request best and final offers from those Respondents determined by the State to be reasonably viable for contract award. However, the State reserves the right to award a contract on the basis of initial proposals received. Therefore, each proposal should contain the Respondent's best terms from a price and technical standpoint.

Following evaluation of the best and final offers, the State may select for final contract negotiations/execution the offers that are most advantageous to the State, considering cost and the evaluation criteria in this RFP.

1.13 REFERENCE SITE VISITS

The State may request a site visit to a Respondent's working support center to aid in the evaluation of the Respondent's proposal. Site visits, if required will be discussed in the technical proposal.

1.14 TYPE AND TERM OF CONTRACT

The State intends to sign a contract with one or more Respondent(s) to fulfill the requirements in this RFP.

The term of the contract shall be for a period of three (3) years and six (6) months from the date of contract execution. There are three (3) one-year renewals for a total of six (6) years and six (6) months at the State's option.

1.15 CONFIDENTIAL INFORMATION

Respondents are advised that materials contained in proposals are subject to the Access to Public Records Act (APRA), IC 5-14-3 *et seq.*, and, after the contract award, the entire RFP file will be posted on the IDOA website and may be viewed and copied by any member of the public, including news agencies and competitors. The responses are deemed to be "public records" unless a specific provision of IC 5-14-3 protects it from disclosure. Respondents claiming a statutory exception to the APRA **must indicate so in the Transmittal Letter** which specific provision applies to which specific part of the response.

Confidential Information must also be clearly marked in a separate folder. Please note citing "Confidential" on an entire section is not sufficient. The Public Access Counselor (PAC) provides guidance on APRA. Respondents are encouraged to read guidance from the PAC on this topic as this is the guidance IDOA follows:

- [18-INF-06; Redaction of Public Procurement Documents Informal Inquiry](#)

If the Respondent does not identify the statutory exception, the Procurement Division will not consider the submission confidential. The State also reserves the right to seek the opinion of the PAC for guidance if the State has doubts the cited exception is applicable.

1.16 TAXES

Proposals should not include any tax from which the State is exempt.

1.17 PROCUREMENT DIVISION REGISTRATION

In order to submit a proposal per Section 1.8, Respondents must be registered as a bidder with the Department of Administration, Procurement Division.

At Bidder Profile Registration, <https://www.in.gov/idoa/procurement/supplier-resource-center/requirements-to-do-business-with-the-state/bidder-profile-registration/> the following may be completed.

- To register, follow instructions provided in Section 2.3.7.
- If registered, a Bidder ID # list is available to complete the Submission Form per Section 2.1.

1.18 SECRETARY OF STATE REGISTRATION

If awarded the contract, the Respondent will be required to register, and be in good standing, with the Secretary of State. The registration requirement is applicable to all limited liability partnerships, limited partnerships, corporations, S-corporations, nonprofit corporations and limited liability companies. Information concerning registration with the Secretary of State may be obtained by contacting:

Secretary of State of Indiana
Corporation Division
402 West Washington Street, E018
Indianapolis, IN 46204
(317) 232-6576
www.in.gov/sos

1.19 COMPLIANCE CERTIFICATION

Responses to this RFP serve as a representation that the Respondent has no current or outstanding criminal, civil, or enforcement actions initiated by the State, and it agrees that it will immediately notify the State of any such actions. The Respondent also certifies that neither it nor its principals are presently in arrears in payment of its taxes, permit fees or other statutory, regulatory or judicially required payments to the State. The Respondent agrees that the State may confirm, at any time, that no such liabilities exist, and, if such liabilities are discovered, that State may bar the Respondent from contracting with the State, cancel existing contracts, withhold payments to set off such obligations, and withhold further payments or purchases until the entity is current in its payments on its liability to the State and has submitted proof of such payment to the State.

1.20 EQUAL OPPORTUNITY COMMITMENT

Pursuant to IC 4-13-16.5 and in accordance with 25 IAC 5, Executive Order 13-04 and IC 5-22-14-3.5, it has been determined that there is a reasonable expectation of minority and woman business enterprises subcontracting opportunities on a contract awarded under this RFP. Therefore, a contract goal of 8% for Minority Business Enterprises and 11% for Woman Business Enterprises have been established and all respondents will be expected to comply with the regulation set forth in 25 IAC 5, Executive Order 13-04 and IC 5-22-14-3.5.

Failure to address these requirements may impact the evaluation of your proposal.

1.21 MINORITY & WOMEN'S BUSINESS ENTERPRISES RFP SUBCONTRACTOR COMMITMENT (MWBE)

In accordance with 25 IAC 5-5, the Respondent is expected to submit with its proposal a Minority & Women's Business Enterprises RFP Subcontractor Commitment Form. The Form must show that there are, participating in the proposed contract, Minority Business Enterprises (MBE) and Women Business Enterprises (WBE) listed in the Minority and Women's Business Enterprises Division (MWBED) directory of certified firms located at <https://www.in.gov/idoa/2352.htm>.

If participation is met through use of respondents who supply products and/or services directly to

the Respondent, the Respondent must provide a description of products and/or services provided that are directly related to this proposal and the cost of direct supplies for this proposal. Respondents must complete the Subcontractor Commitment Form in its entirety. The amount entered in “**TOTAL BID AMOUNT**” should match the amount entered in the Attachment D, Cost Proposal Template.

Failure to meet these goals will affect the evaluation of your Proposal. The Department reserves the right to verify all information included on the MWBE Subcontractor Commitment Form.

Prime Contractors must ensure that the proposed subcontractors meet the following criteria:

- Must be listed on the IDOA Directory of Certified Firms, **on or before** the proposal due date
- Prime Contractor must include with their proposal the subcontractor’s M/WBE Certification Letter provided by IDOA, to show current status of certification.
- Each firm may only serve as one classification – MBE or WBE (see section 1.22)
- A Prime Contractor who is an MBE or WBE must meet subcontractor goals by using other listed certified firms. Certified Prime Contractors cannot count their own workforce or companies to meet this requirement.
- **Must serve a Valuable Scope Contribution (VSC). The firm must serve a value-added purpose on the engagement, as confirmed by the State.**
- Must provide goods or service only in the industry area for which it is certified as listed in the directory at <https://www.in.gov/idoa/2352.htm>
- Must be used to provide the goods or services specific to the contract
- National Diversity Plans are generally not acceptable

MINORITY & WOMEN’S BUSINESS ENTERPRISES RFP SUBCONTRACTOR LETTER OF COMMITMENT (MWBE)

A signed letter(s), on company letterhead, from the MBE and/or WBE must accompany the MWBE Subcontractor Commitment Form. Each letter shall state and will serve as acknowledgement from the MBE and/or WBE of its subcontract amount, a description of products and/or services to be provided on this project, and approximate date the subcontractor will perform work on this contract. The MBE and/or WBE subcontractor amount and subcontractor percentage is only based on the initial term of the contract, unless the products and/or services are needed beyond the initial term. Any products and/or services desired after the initial term will require separate negotiations between the prime contractor and subcontractor. The State may deny evaluation points if the letter(s) is not attached, not on company letterhead, not signed and/or does not reference and match the subcontract amount, subcontract amount as a percentage of the “**TOTAL BID AMOUNT**” and the anticipated period that the Subcontractor will perform work for this solicitation.

By submission of the Proposal, the Respondent acknowledges and agrees to be bound by the regulatory processes involving the State’s M/WBE Program. Questions involving the regulations governing the MWBE Subcontractor Commitment Form should be directed to: Minority and Women’s Business Enterprises Division at (317) 232-3061 or <https://www.in.gov/idoa/2352.htm>.

MINORITY & WOMEN'S BUSINESS COMPLIANCE (MWBE)

If awarded the contract with MWBE subcontractor participation, the Respondent will be required to report payments made to MWBE Division subcontractors under the Contract on a monthly basis using the online audit tool, commonly referred to as "Pay Audit." The Contractor should also notify subcontractors that they must confirm payments received from Contractor in Pay Audit. The Pay Audit system can be accessed on the IDOA webpage at: www.in.gov/idoa/mwbe/payaudit.htm

Further, a copy of each subcontractor agreement must be submitted to IDOA's MWBE Division within thirty (30) days of the effective date of this Contract. The contracts may be uploaded into Pay Audit, emailed to MWBECompliance@idoa.IN.gov; or mailed to MWBE Compliance 402 W. Washington Street, Indianapolis IN 46204. Failure to provide a copy of any subcontractor agreement or failure to meet these commitments could be considered a material breach of this Contract and result in sanctions per 25 IAC 5.

Any changes to this information during the term of the contract must be approved by MWBE Compliance at MWBECompliance@idoa.IN.gov.

1.22 RESERVED

1.23 AMERICANS WITH DISABILITIES ACT

The Respondent specifically agrees to comply with the provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 *et seq.* and 47 U.S.C. 225).

1.24 SUMMARY OF MILESTONES

The following timeline is only an illustration of the RFP process. The dates associated with each step are not to be considered binding.² Due to the unpredictable nature of the evaluation period, these dates are commonly subject to change. At the conclusion of the evaluation process, all Respondents will be informed of the evaluation team's findings.

Key RFP Dates

Activity	Date
Issue of RFP	01/04/2022
Pre-Proposal Conference (Optional)	01/14/2022 3:00 PM Eastern Time Join Webex Meeting Join by video system Dial 23069896668@indiana.webex.com You can also dial 173.243.2.68 and enter your meeting number. Join by phone

² Submission of the Submission Form, Proposals on Flash Drives and Reference Check Forms to State ARE binding and not subject to change.

	+1-240-454-0887 United States Toll (San Jose) Access code: 2306 989 6668
Deadline to Submit Solicitation Interest Form (Attachment I)	1/21/2022 by 5:00 PM Eastern Time
Deadline to Submit Round 1 Written Questions	1/26/2022 by 3:00 PM Eastern Time
Response to Round 1 Written Questions/RFP Amendments	2/4/2022
Deadline to Submit Round 2 Written Questions	2/10/2022 by 3:00PM Eastern Time
Response to Round 2 Written Questions/RFP Amendments	2/17/2022
Deadline to Submit Intent to Respond Form (Attachment N) (Optional)	2/22/2022 by 3:00 PM Eastern Time
Submission process Part one: Submission Form and Required Attachments (see footnote 2.)	04/04/2022 by 3:00 PM Eastern Time
Submission process Part two: Submission of Proposals on Flash Drive(s) (see footnote 2.)	04/07/2022 By 4:30 PM Eastern Time
Submission of Reference Check Forms to State (see footnote 2.)	4/07/2022 by 4:30 PM Eastern Time
<i>The dates for the following activities are target dates only. These activities may be completed earlier or later than the date shown.</i>	
Proposal Evaluation	TBD
Proposal Discussions/Clarifications (if necessary)	TBD
Oral Presentations (if necessary)	TBD
Best and Final Offers (if necessary)	TBD
RFP Award Recommendation	05/31/2022

1.25 RESERVED

1.26 CONFLICT OF INTEREST

Any person, firm or entity that assisted with and/or participated in the preparation of this RFP document is prohibited from submitting a proposal to this specific RFP. For the purposes of this RFP “person” means a State officer, employee, special State appointee, or any individual or entity working with or advising the State or involved in the preparation of this RFP proposal. This prohibition would also apply to an entity who hires, within a one-year period prior to the publication of this RFP, a person that assisted with and/or participated in the preparation of this RFP.

The IEDSS M&O respondent and its subcontractors must be fully independent and the respective organizations cannot be associated with any oversight contract as a part of the IEDSS program, which include but is not limited to Quality Assurance (QA), Operational Verification & Validation (OV&V), or Independent Verification & Validation (IV&V) agreements. Additional guidance can be found in the applicable FNS 901 Handbook (<https://fns-prod.azureedge.net/sites/default/files/resource-files/HB901v2.4.pdf>) section 4.8.6.

If a Respondent would like to confirm if any entity in their proposal does not have a conflict of interest under this clause 1.26, please email tdeaton@idoa.in.gov and MHempel@idoa.in.gov by

3:00pm Eastern Time on February 10, 2022 with the name of the entity, an explanation of their intended role if the Respondent is awarded the contract, and an explanation of the entity's role in the IEDSS program for which there may be a conflict of interest per this clause 1.26.

1.27 PROCUREMENT PROTEST POLICY

The State's procurement protest policy can be found in the State's [Procurement Protest Policy](#). Per the policy, there are two periods of protest allowable for the RFP:

- Specifications Protest - written letter of protest regarding inadequate, unduly restrictive, or ambiguous requirements or specifications must be received by IDOA by the close of business not less than ten (10) business days (as defined by the State work calendar) prior to the proposal due date.
- Award Recommendation Letter Protest - written letter of protest regarding the procurement methods and/or procedures used during the procurement process must be received by IDOA by the close of business within five (5) business days (as defined by the State work calendar) after the date of the Award Recommendation Letter.

Additional details as to the required content in the letter and the steps involved in a protest can be found in the [Procurement Protest Policy](#).

1.28 INTENT TO RESPOND FORM

The State encourages potential Respondents fill out and return, by e-mail to tdeaton@idoa.in.gov, the Intent to Respond Form (Attachment N) by the date and time specified in Section 1.24 of this document. The submission of this form is not mandatory in order to submit a proposal.

The subject line of the email submissions must clearly state the following:
"RFP 22-70230 Intent to Respond Form – [INSERT COMPANYNAME]".

1.29 FUNCTIONAL AND TECHNICAL DESIGN DOCUMENTS (ATTACHMENT L)

To obtain the documents within Attachment L (Functional and Technical Design Documents), please download and complete Attachment O then return the completed document to tdeaton@idoa.in.gov.

The subject line of the email submissions must clearly state the following:
“**RFP 22-70230 Attachment O – [INSERT COMPANY NAME]**”.

Attachment L contains the following documents:

- IEDSS Security Matrix.xlsx
- Role Name with UserCount.xlsx
- IEDSS Task List.xlsx
- IEDSS Types of Assistance.xlsx
- IEDSS DFR Eligibility Technical Architecture.pdf
- IEDSS Simulation Overview.docx
- IEDSS Scheduling.xlsx”
- IEDSS Eligibility Screens.xlsx”
- IEDSS EDBC Framework.pdf”
- Master IEDSS Change Log.pdf”
- IEDSS Rejected IEDSS Paper Applications.docx”
- IEDSS PSD Account Transfer.pdf”
- IEDSS EBT Demographics Interface”
- IEDSS SAPN Check Interface.pdf
- IEDSS OCR DSD.xlsx
- IEDSS Outbound Dialer Call List.pdf
- IEDSS Outbound Dialer Call List.xlsx
- IEDSS DPS OCR Application Reception Interface.pdf
- IEDSS Back Office Case Maintenance Batches.pdf
- IEDSS Redet Search.xlsx
- IEDSS User Interface Standards and Guidelines IEDSS Worker Portal.pdf
- IEDSS Authorized Representative Form and Rights and Responsibilities.docx
- IEDSS Health Coverage– Approval (Others).docx
- IEDSS Reports Dashboards Specification.pdf
- IEDSS Reports Appeal Lifecycle Dashboard Requirements.pdf
- IEDSS Reports Application Disposition Summary.pdf
- IEDSS Reports P N A Supplement Assistance Report.pdf
- IEDSS Reports Fraud Management Report.docx
- IEDSS Reports Claim Referral Status Dashboard.pdf
- IEDSS Batch Performance Summary Report.xlsx
- IEDSS Use MCE Grievance Language in Frail Expiration Notices.xlsx
- IEDSS Redetermination Process Modifications.xlsx
- IEDSS IEDSS-S2_DES_D03-SSErWinModel.pdf
- IOT Datacenter Architecture.pdf
- Future Change Requests Overview.docx
- Historical Change Requests.xlsx

SECTION TWO PROPOSAL PREPARATION INSTRUCTIONS

2.1 GENERAL

To facilitate the timely evaluation of proposals, a standard format for proposal submission has been developed and is described in this section. All Respondents are required to format their proposals in a manner consistent with the guidelines described below:

- Proposals will be disqualified if the Submission Form is received after the expiration of the first deadline per Section 1.24.
- Proposals will be disqualified if the Submission Form is received without the Transmittal Letter and/or the required completed Attachment P, Attestation Form attached.
- The Transmittal Letter must be in the form of a letter and attached to the Submission Form.
- Attachment P, the Attestation Form, must be attached to the Submission Form.
- Proposals will be disqualified if Flash Drives are received after the expiration of the second deadline per Section 1.24.
- Each item, Transmittal Letter, Business Proposal, Technical Proposal, Cost Proposal, and attachments, must be separate electronic files. Please do not submit your proposal as one large file.
- A Bidder ID is a required field on the Submission Form to submit a response. A Bidder ID list is available at <http://www.in.gov/idoa/procurement/supplier-resource-center/requirements-to-do-business-with-the-state/bidder-profile-registration/>
- Requests to extend the due date to accommodate delivery challenges will be denied. Submission Form and Flash Drive responses not submitted by the deadlines will not be considered; sending responses via email or hand delivery will not be a viable alternative.
- The State strongly encourages respondents to allow plenty of time to ship their proposals on Flash Drives.
- Please submit all attachments in their original format. Any attempt to manipulate the format of the documents that deviates from the current format will put your proposal at risk of disqualification.
- Confirmation of Flash Drives is the responsibility of the Respondent and reliant upon the shipping method chose.

2.2 TRANSMITTAL LETTER³

The Transmittal Letter must address the following topics except those specifically identified as “optional.”

2.2.1 Agreement with Requirement listed in Section 1

The Respondent must explicitly acknowledge understanding of the general

³ The Transmittal Letter may be included on the Flash Drive if desired.

information presented in Section 1 and agreement with any requirements/conditions listed in Section 1.

2.2.2 Summary of Ability and Desire to Supply the Required Products or Services

The Transmittal Letter must briefly summarize the Respondent's ability to supply the requested products and/or services that meet the requirements defined in Section 2.4 of this RFP. **The letter must also contain a statement indicating the Respondent's willingness to provide the requested products and/or services subject to the terms and conditions set forth in the RFP including, but not limited to, the State's mandatory contract clauses.**

2.2.3 Signature of Authorized Representative

A person authorized to commit the Respondent to its representations and who can certify that the information offered in the proposal meets all general conditions including the information requested in Section 2.3.4, must sign the Transmittal Letter. **In the Transmittal Letter, please indicate the principal contact for the proposal along with an address, telephone and fax number as well as an e-mail address, if that contact is different than the individual authorized for signature.**

2.2.4 Respondent Notification

Unless otherwise indicated in the Transmittal Letter, Respondents will be notified via e-mail.

It is the Respondent's obligation to notify the Procurement Division of any changes in any address that may have occurred since the origination of this solicitation. The Procurement Division will not be held responsible for incorrect vendor/contractor/respondent addresses.

2.2.5 Confidential Information

Respondents are advised that materials contained in proposals are subject to the Access to Public Records Act (APRA), IC 5-14-3 et seq. (see section 1.15).

Provide the following information:

- List all documents, or sections of documents, for which statutory exemption to the APRA is being claimed;
- Specify which statutory exception of APRA applies for each document, or section of the document;
- Provide a description explaining the manner in which the statutory exception to the APRA applies for each document or section of the document.
- Provide a separate redacted (for public release) version of the document.

2.2.6 Other Information

This item is optional. Any other information the Respondent may wish to briefly

summarize will be acceptable.

2.3 BUSINESS PROPOSAL

The Business Proposal must address the following topics except those specifically identified as “optional.” **The Business Proposal Template is Attachment E.**

2.3.1 General

This section of the business proposal may be used to introduce or summarize any information the Respondent deems relevant or important to the State’s successful acquisition of the products and/or services requested in this RFP.

2.3.2 Respondent’s Company Structure

The legal form of the Respondent’s business organization, the state in which formed (accompanied by a certificate of authority), the types of business ventures in which the organization is involved, and a chart of the organization are to be included in this section. If the organization includes more than one product division, the division responsible for the development and marketing of the requested products and/or services in the United States must be described in more detail than other components of the organization.

2.3.3 Company Financial Information

This section must include documents or a link to the documents to demonstrate the Respondent’s financial stability. Examples of acceptable documents include: most recent Dunn & Bradstreet Business Report (preferred) or audited financial statements for the two (2) most recently completed fiscal years. If neither of these can be provided, explain why and include an income statement and balance sheet, for each of the two most recently completed fiscal years.

If the documents being provided by the Respondent are those of a parent or holding company, additional information should be provided for the entity/organization directly responding to this RFP. That additional information should explain the business relationship between the entities and demonstrate the financial stability of the entity/organization which is directly responding to this RFP.

2.3.4 Integrity of Company Structure and Financial Reporting

This section must include a statement indicating that the CEO and/or CFO, of the responding entity/organization, has taken personal responsibility for the thoroughness and correctness of any/all financial information supplied with this proposal. The particular areas of interest to the State in considering corporate responsibility include the following items: separation of audit functions from corporate boards and board members, if any, the manner in which the organization assures board integrity, and the separation of audit functions and consulting services. The State will consider the information offered in this section to determine the responsibility of the Respondent under IC 5-22-16-1(d).

2.3.5 Contract Terms/Clauses

A sample contract that the State expects to execute with the successful Respondent(s) is provided in Attachment B. This contract contains both mandatory and non-mandatory clauses. Mandatory clauses are listed below and are non-negotiable. Other clauses are substantively required. It is the State's expectation that the final contract will be substantially similar to the sample contract provided in Attachment B.

In your Transmittal Letter and Attachment P, please indicate acceptance of these mandatory contract terms (see section 2.2.2). In this section please review the rest of the contract and indicate your acceptance of the non-mandatory contract clauses. If a non-mandatory clause is not acceptable as worded, suggest specific alternative wording to address issues raised by the specific clause, via Track Changes within Attachment B. If you require additional contract terms please include them, via Track Changes, within Attachment B (i.e. maintenance and support terms, services levels, EULA, etc.). If you require additional contract terms please include them in this section. To reiterate it's the State's strong desire to not deviate from the contract provided in the attachment and as such the State reserves the right to reject any and all of these requested changes.

The mandatory contract and substantively required terms are as follows:

- Duties of Contractor, Consideration, and Term of Contract
- Authority to Bind Contractor
- Compliance with Laws
- Drug-Free Workplace Certification
- Employment Eligibility Verification (E-Verify)
- Funding Cancellation
- Governing Law
- Indemnification
- Information Technology Enterprise Architecture Requirements
- Nondiscrimination Clause
- Ownership of Documents and Materials
- Payments
- Penalties/Interest/Attorney's Fees
- Termination for Convenience
- Non-Collusion and Acceptance
- Federal Requirements Clauses

Any or all portions of this RFP and any or all portions of the Respondent's response may be incorporated as part of the final contract

2.3.6 References

The State requests three (3) references for this RFP for projects of a similar size, technical component scope, and complexity as IEDSS that the Respondent (not

the subcontractors) worked on. At least one reference should be a city, county, state or federal health or human services agency or be for a project funded by a federal health or human services agency within the last five (5) years. If the Respondent's role in the reference project was as a subcontractor, please be sure the Respondent was accountable for a major portion of the delivery of contracted services (e.g., not simply providing staffing with minimal accountability, or providing software licensure as a passthrough).

- Reference information is captured on Attachment H. The Respondent should complete the reference information portion of the Attachment H which includes the name, address, and telephone number of the client facility and the name, title, and phone/fax numbers of a person who may be contacted for further information if the State elects to do so. The rest of Attachment H should be completed by the reference and **emailed by the reference DIRECTLY** to the State. The State should receive 1 copy from clients for whom the Respondent has provided products and/or services that are the same or similar to those products and/or services requested in this RFP. Attachment H should be submitted to idoareferences@idoa.in.gov.
- Attachment H should be submitted by the due date listed in Section 1.24 of the RFP. Please provide the customer information for each reference.

2.3.7 Registration to do Business

Secretary of State

If awarded the contract, the Respondent will be required to be registered, and be in good standing, with the Secretary of State. The registration requirement is applicable to all limited liability partnerships, limited partnerships, corporations, S-corporations, nonprofit corporations and limited liability companies. The Respondent must indicate the status of registration, if applicable, in this section of the proposal.

Department of Administration, Procurement Division

Additionally, respondents must be registered with the IDOA. This can be accomplished on-line at <https://www.in.gov/idoa/procurement/supplier-resource-center/requirements-to-do-business-with-the-state/bidder-profile-registration/>.

The IDOA Procurement Division maintains two databases of vendor information. The Bidder registration database is set up for vendors to register if you are interested in selling a product or service to the State of Indiana. Respondents may register on-line at no cost to become a Bidder with the State of Indiana. To complete the on-line Bidder registration, go to <https://www.in.gov/idoa/procurement/supplier-resource-center/requirements-to-do-business-with-the-state/bidder-profile-registration/>. The Bidder registration offers email notification of upcoming solicitation opportunities, corresponding to the Bidder's area(s) of interest, selected during the registration process. Respondents do need to be registered to bid on and receive email notifications. Completion of the Bidder registration will result in your name being added to the Bidder's Database, for email notification. The Bidder registration requires some general business information, an indication of the types of goods and services you can offer the State of Indiana,

and locations(s) within the State that you can supply or service. There is no fee to be placed in Procurement Division's Bidder Database. To receive an award, you must be registered as a bidder. Problems or questions concerning the registration process or the registration form can be e- mailed to [REDACTED], at [REDACTED].

2.3.8 Authorizing Document

Respondent personnel signing the Transmittal Letter of the proposal must be legally authorized by the organization to commit the organization contractually. This section shall contain proof of such authority. A copy of corporate bylaws or a corporate resolution adopted by the board of directors indicating this authority will fulfill this requirement.

2.3.9 Subcontractors

The Respondent is responsible for the performance of any obligations that may result from this RFP, and shall not be relieved by the non-performance of any subcontractor. Any Respondent's proposal must identify all subcontractors and describe the contractual relationship between the Respondent and each subcontractor. Per instructions in Attachment P, either a copy of the executed subcontract or a letter of agreement over the official signature of the firms involved must accompany each proposal.

Any subcontracts entered into by the Respondent must be in compliance with all State statutes, and will be subject to the provisions thereof. For each portion of the proposed products or services to be provided by a subcontractor, the technical proposal must include the identification of the functions to be provided by the subcontractor and the subcontractor's related qualifications and experience. Also, the Attestation Form, Attachment J, must include the identification of the functions to be provided by the subcontractor.

The combined qualifications and experience of the Respondent and any or all subcontractors will be considered in the State's evaluation. The Respondent must furnish information to the State as to the amount of the subcontract, the qualifications of the subcontractor for guaranteeing performance, and any other data that may be required by the State. All subcontracts held by the Respondent must be made available upon request for inspection and examination by appropriate State officials, and such relationships must meet with the approval of the State.

The Respondent must list any subcontractor's name, address and the state in which formed that are proposed to be used in providing the required products or services. The subcontractor's responsibilities under the proposal, anticipated dollar amount for subcontract, the subcontractor's form of organization, and an indication from the subcontractor of a willingness to carry out these responsibilities are to be included for each subcontractor. This assurance in no way relieves the Respondent of any responsibilities in responding to this RFP or in completing the commitments documented in the proposal. The Respondent must indicate which, if any, subcontractors qualify as a Minority or Women under IC 4-13-16.5-1 and Executive Order 13-04. See Sections 1.21, 1.22 and Attachments A for Minority and

Women Business information.

2.3.10 RESERVED

2.3.11 General Information

Each Respondent must enter your company's general information including contact information.

2.3.12 Experience Serving State Governments

Each Respondent is asked to please provide a brief description of your company's experience in serving state governments and/or quasi-governmental accounts.

2.3.13 Experience Serving Similar Clients

Each Respondent is asked to please describe your company's experience in serving clients of a similar size to the State that also had a similar scope. Please provide specific clients and detailed examples.

2.3.14 RESERVED

2.3.15 RESERVED

2.4 TECHNICAL PROPOSAL

The Technical Proposal must be divided into the sections as described below. Every point made in each section must be addressed in the order given. The same outline numbers must be used in the response. RFP language should not be repeated within the response. Where appropriate, supporting documentation may be referenced by a page and paragraph number. However, when this is done, the body of the technical proposal must contain a meaningful summary of the referenced material. The referenced document must be included as an appendix to the technical proposal with referenced sections clearly marked. If there are multiple references or multiple documents, these must be listed and organized for ease of use by the State. **The Technical Proposal Template is Attachment F.**

2.5 COST PROPOSAL

The Cost Proposal Template is Attachment D.

The Cost Proposal must be submitted in the original format. Any attempt to manipulate the format of the Cost Proposal document, attach caveats to pricing, or submit pricing that deviates from the current format will put your proposal at risk.

Cost Proposal Narrative

The Respondent should provide a brief narrative (not longer than two pages) in support of each Cost Proposal item. The narrative should be focused on clarifying how the proposed prices correspond directly to the Respondent's Technical Proposal. For example, evaluators will expect detailed explanation of *Maintenance and Support* to correspond to *Maintenance and Support* items if described in the Technical Proposal. **Please compose and return this document in a PDF**

format, labeled as “Cost Proposal Narrative”.

Cost Assumptions, Conditions and Constraints

The respondent should list and describe as part of its Cost Proposal any special cost assumptions, conditions, and/or constraints relative to, or which impact, the prices presented on the Cost Schedules. It is of particular importance to describe any assumptions made by the respondent in the development of the respondent's Technical Proposal that have a material impact on price. It is in the best interest of the respondent to make explicit the assumptions, conditions, and/or constraints that underlie the values presented on the Cost Schedules. Assumptions, conditions or constraints that conflict with the RFP requirements are not acceptable. **Please compose and return this document in a PDF format, labeled as “Cost Assumptions, Conditions and Constraints”.**

2.6 RESERVED

2.7 RESERVED

2.8 ATTESTATION FORM⁴

The Attestation Form is Attachment P. This is the formal declaration of responses to the following as well as to the additional areas cited within Attachment P as it relates to this solicitation. Attachment P, Attestation Form is to be attached to the Submission Form due on the Submission Form due date and Eastern time.

⁴ The Attachment P, Attestation Form may be included on the Flash Drive if desired.

SECTION THREE PROPOSAL EVALUATION

3.1 PROPOSAL EVALUATION PROCEDURE

The State has selected a group of personnel to act as a proposal evaluation team. Subgroups of this team, consisting of one or more team members, will be responsible for evaluating proposals with regard to compliance with RFP requirements. All evaluation personnel will use the evaluation criteria stated in Section 3.2. The Commissioner of IDOA or their designee will, in the exercise of their sole discretion, determine which proposals offer the best means of servicing the interests of the State. The exercise of this discretion will be final.

The procedure for evaluating the proposals against the evaluation criteria will be as follows:

- 3.1.1 Each proposal will be evaluated for adherence to requirements on a pass/fail basis. Proposals that are incomplete or otherwise do not conform to proposal submission requirements may be eliminated from consideration. Further any proposals not meeting the Mandatory Requirements listed in Section 3.2, Step 1 and noted in Attachment P will be disqualified.
- 3.1.2 Each proposal will be evaluated on the basis of the categories included in Section 3.2. A point score has been established for each category.
- 3.1.3 Based on the results of this evaluation, the qualifying proposal determined to be the most advantageous to the State, taking into account all of the evaluation factors, may be selected by IDOA and FSSA for further action, such as contract negotiations. If, however, IDOA and FSSA decide that no proposal is sufficiently advantageous to the State, the State may take whatever further action is deemed necessary to fulfill its needs. If, for any reason, a proposal is selected and it is not possible to consummate a contract with the Respondent, IDOA may begin contract preparation with the next qualified Respondent or determine that no such alternate proposal exists.

3.2 EVALUATION CRITERIA

Proposals will be evaluated based upon the proven ability of the Respondent to satisfy the requirements of the RFP in a cost-effective manner. Each of the evaluation criteria categories is described below with a brief explanation of the basis for evaluation in that category. The points associated with each category are indicated following the category name (total maximum points = 92). For further information, please reference Section 3.2.3 below. If any one or more of the listed criteria on which the responses to this RFP will be evaluated are found to be inconsistent or incompatible with applicable federal laws, regulations or policies, the specific criterion or criteria will be disregarded and the responses will be evaluated and scored without taking into account such criterion or criteria.

Summary of Evaluation Criteria:

Crite ria	Points
1. Adherence to Mandatory Requirements	Pass/Fail
2. Management Assessment/Quality (Business and Technical Proposal)	55 available points
3. Cost (Cost Proposal)	25 available points
4. Minority Business Enterprise Subcontractor Commitment	5 (1 bonus point is available, see Section 3.2.5)
5. Women Business Enterprise Subcontractor Commitment	5 (1 bonus point is available, see Section 3.2.5)
Total	90 (92 if bonus awarded)

All proposals will be evaluated using the following approach.

Step 1

In this step proposals will be evaluated only against Criteria 1 to ensure that they adhere to Mandatory Requirements. The Mandatory Requirements are:

- Executive Summary and required content; submitted as Submission Form attachment
- **Attachment A** and **A1** with commitment letters, and forms, if applicable;
- **Attachment C** Indiana Economic Impact Form, completed;
- **Attachment D** Cost Proposal, **Attachment E** Business Proposal, **Attachment F** Technical Proposal, unaltered and complete with all requested supporting documents.
- **Attachment J** Attestation Form, complete with all requested supporting documents; submitted as Submission Form attachment.

Any proposals not meeting the Mandatory Requirements will be disqualified.

Step 2

The proposals that meet the Mandatory Requirements will then be scored based on Criteria 2 and 3 ONLY. This scoring will have a maximum possible score of 80 points. All proposals will be ranked on the basis of their combined scores for Criteria 2 and 3 ONLY. This ranking will be used to create a “short list”. Any proposal not making the “short list” will not be considered for any further evaluation.

Step 2 may include one or more rounds of proposal discussions, oral presentations, clarifications, demonstrations, etc. focused on cost and other proposal elements. Step 2 may include additional “short lists”.

Step 3

The short-listed proposals will then be evaluated based on all the entire evaluation criteria outlined in the table above.

If the State conducts additional rounds of discussions and a BAFO round which lead to changes in either the technical or cost proposal for the short-listed Respondents, their scores will be recomputed.

The section below describes the different evaluation criteria.

- 3.2.1 Adherence to Requirements – Pass/Fail
Respondents passing this category move to Phase 2 and proposal is evaluated for Management Assessment/Quality and Price.

The following 2 categories cannot exceed 80 points.

- 3.2.2 Management Assessment/Quality
55 available points

- 3.2.3 Price
25 available points

Cost scores will then be normalized to one another, based on the lowest cost proposal evaluated. The lowest cost proposal receives a total of 25 points. The normalization formula is as follows:

$$\bullet \text{ Respondent's Cost Score} = (\text{Lowest Cost Proposal} / \text{Total Cost of Proposal}) \times 25$$

- 3.2.4 RESERVED

- 3.2.5 Minority Business Subcontractor Commitment -5 points

The following formula will be used to determine points to be awarded based on the MBE goals listed in Section 1.20 of this RFP. Scoring is conducted based on an assigned 5-point, plus possible 1 bonus-point, scale. Points are assigned for MBE participation based upon the BAFO meeting or exceeding the established goals.

If the respondent's commitment percentage is less than the established MBE goal, the maximum points achieved will be awarded according to the following schedule:

%	1%	2%	3%	4%	5%	6%	7%	8%
Pts.	.625	1.25	1.875	2.5	3.125	3.75	4.375	5.0

NOTE: Fractional percentages will be rounded up or down to the nearest whole percentage. (e.g. 7.49% will be rounded down to 7% = 4.375 pts., 7.50% will be rounded up to 8% = 5.00 pts. Rounding will be calculated based on the Sub-Contract Amount, divided by the Total Bid Amount.)

If the respondent's commitment amount is greater than \$0 but the commitment percentage is rounded down to 0% for MBE participation the respondent will receive 0 points.

If the respondent's commitment amount is \$0 and thus the commitment percentage is 0% for MBE participation, a deduction of 1 point will be discounted on the MBE score.

The respondent with the greatest applicable VSC participation which exceeds the stated goal ("exceeds" defined herein as a commitment percentage that is equal to or greater than 9% before rounding) for the MBE category will be awarded 6 points (5 points plus 1 bonus point). In cases where there is a tie for the greatest applicable VSC participation and both firms exceed the goal for the MBE category both firms will receive 6 points.

3.2.6 Women's Business Subcontractor Commitment - 5 points

The following formula will be used to determine points to be awarded based on the WBE goals listed in Section 1.20 of this RFP. Scoring is conducted based on an assigned 5-point, plus possible 1 bonus-point, scale. Points are assigned for WBE participation based upon the BAFO meeting or exceeding the established goals.

If the respondent's commitment percentage is less than the established WBE goal, the maximum points achieved will be awarded according to the following schedule:

%	1%	2%	3%	4%	5%	6%	7%	8%	9%	10%	11%
Pts.	0.45	0.9	1.35	1.8	2.25	2.7	3.15	3.6	4.05	4.5	5.0

NOTE: Fractional percentages will be rounded up or down to the nearest whole percentage. (e.g. 7.49% will be rounded down to 7% = 3.15 pts., 7.50% will be rounded up to 8% = 3.6 pts. Rounding will be calculated based on the Sub-Contract Amount, divided by the Total Bid Amount.)

If the respondent's commitment amount is greater than \$0 but the commitment percentage is rounded down to 0% for WBE participation the respondent will receive 0 points.

If the respondent's commitment amount is \$0 and thus the commitment percentage is 0% for WBE participation, a deduction of 1 point will be discounted on the WBE score.

The respondent with the greatest applicable VSC participation which exceeds the stated goal ("exceeds" defined herein as a commitment percentage that is equal to or greater than 12% before rounding) for the WBE category will be awarded 6 points (5 points plus 1 bonus point). In cases where there is a tie for the greatest applicable VSC participation and both firms exceed the goal for the WBE category both firms will receive 6 points.

3.2.7 RESERVED

3.2.8 Qualified State Agency Preference Scoring

When applicable, pursuant to Indiana Code 5-22-13, a qualified State Agency submitting a response to this RFP will be awarded preference points for Minority and Women's Business Enterprise equal the Respondent awarded the highest combined points awarded for such preferences in the scoring of this RFP.

The Commissioner of IDOA or their designee will, in the exercise of their sole discretion, determine which proposal(s) offer the best means of servicing the interests of the State. The exercise of this discretion will be final.

RFP 22-70230 SCOPE OF WORK ATTACHMENT C

1. Introduction

In accordance with Indiana statute, including IC 5-22-9, the Indiana Department of Administration (IDOA), acting on behalf of the Indiana Family and Social Services Administration (FSSA) Division of Family Resources (DFR), is seeking to establish a contract for Maintenance and Operations (M&O) of the Indiana Eligibility Determination Services System (IEDSS). As part of this M&O contract, the Contractor shall provide M&O and Enhancement services for all aspects of the IEDSS solution as well as maintenance of the solution implemented for retention of legacy eligibility system data. The IEDSS solution provides Indiana a Worker Portal “system of record” and related technical components to support Eligibility & Enrollment (E&E) related processes for Medicaid, Supplemental Nutrition Assistance Program (SNAP), and Temporary Assistance for Needy Families (TANF). The IEDSS solution, through interfaces to various Federal, State, and commercial entities, supports DFR in determining and maintaining benefits, as appropriate, throughout all aspects of E&E, while maintaining compliance with Federal and State laws, regulations, and policies.

The Contractor shall maintain IEDSS solution components and provide enhancements that comply with all aspects of:

- Centers for Medicare & Medicaid Services (CMS) applicable requirements (<https://www.medicaid.gov/medicaid/data-and-systems/meet/index.html>) for Health Coverage E&E, and with any other FNS and CMS certification requirements, including CMS Streamlined Modular Certification (SMC) Outcomes-Based Certification (OBC)
- United States Department of Agriculture (USDA) Food and Nutrition Service (FNS) applicable requirements (<https://www.fns.usda.gov/apd/fns-handbook-901-v2-advance-planning-documents>) for Supplemental Nutrition Assistance Program (SNAP) and SNAP Employment & Training (E&T) (<https://www.fns.usda.gov/snap/et-state-plan-handbook>), and related guidance from FNS,
- Administration for Children & Families (ACF) applicable requirements for Temporary Assistance for Needy Families (TANF) and TANF Employment & Training (E&T).

1.1. Services Overview

During the course of the contract, the Contractor shall provide the following services: Maintenance and Operations (M&O) for IEDSS, enhancement services for IEDSS, and the maintenance of the decommissioned legacy systems. Below is a high-level description of these three services.

1. **M&O Services.** The Contractor shall provide M&O services for IEDSS throughout the life of the Contract. This includes but is not limited to the following services:

- Architecture Services
- Software/Hardware Management
 - Infrastructure Management
 - Application Lifecycle Management (ALM)
 - Database Support
 - Application Monitoring
- Incident Management and IEDSS Contractor Tier 2/3 Helpdesk Support
- Access Management
- Business and Operations Reporting

- Security & Privacy
- Training
- Business Continuity and Disaster Recovery

Please see Section 6 for additional details for these services.

2. **Enhancements.** The Contractor shall provide Design, Development, and Implementation (DDI) services for IEDSS solution enhancements according to the Contract's System Development Lifecycle (SDLC) processes (see Section 5). Enhancements can be for new IEDSS solution components or enhancements, and/or major configuration changes to existing IEDSS solution components. These modifications will be managed via the Change Management process (see Section 4.5).
3. **Maintenance of Decommissioned Legacy System Data Archive (Indiana Case Eligibility System (ICES) Archive).** The Contractor shall maintain ICES Archival Platform components throughout the Contract term. The State anticipates this shall require minimal support and include services such as patches and maintaining necessary user access (see Section 8). The ICES Archival Platform is necessary for post-eligibility requirements (e.g., Federal and State retention requirements, appeal processing, and benefit recovery processing).

Note: The State is dependent on the Contractor for providing products and services that fully comply with the requirements and deliverables set forth in the contract. State approval of the Contractor's work product associated with the responsibilities, requirements, and deliverables does not in any way relieve the Contractor from full financial responsibility should the Contractor's work product not meet the State requirements, as set out in the RFP and the subsequent contract.

1.2. Staff Subject Matter Expertise

During the term of the Contract resulting from this RFP, the Contractor shall provide business and technical subject matter expertise to successfully execute the scope of this Contract. The State has policy, operations, and business Subject Matter Experts (SMEs) who are Managers, Business Analysts, System Analysts, Technical Managers, Technical Analysts, UAT participants, and other related staff. Some of these staff may come from partner systems, agencies, or other applicable interface partners. These individuals must be consulted on design, defect triage, system operational issues, and system direction. These specific individuals will be made clear to the Contractor upon engagement. In terms of governance, the State is the ultimate decision maker on all aspects of IEDSS solution management, including Change Management.

1.3. Staff Skills Overview

The Contractor is expected to use individual staff to cover multiple M&O services and enhancement efforts to the greatest extent possible, while not sacrificing quality of service, including service level agreements (SLAs). These services are not anticipated to be provided in "silos", and the Contractor should find efficiencies in staffing. The Contractor will provide staff for the following areas, as needed to successfully execute the scope of this Contract. See Attachment K for details on the roles that will be

required to have an understanding of CMS, FNS, and ACF Federal requirements for Medicaid, SNAP, and TANF expectations within the IEDSS solution and its interface partners as applicable.

Area	Roles (further described in Attachment K and Section 12)
Architecture	<ul style="list-style-type: none"> • Application Architect • System Engineer/Architect
Program/Project Management	<ul style="list-style-type: none"> • Project Manager • Deputy Project Manager • Administrative Support
Business Analysis	<ul style="list-style-type: none"> • Junior Business Analyst • Senior Business Analyst • Web/User Interface (UI) Architect
Development	<ul style="list-style-type: none"> • Junior Programmers/ Developers • Senior Programmers/ Developers
Testing	<ul style="list-style-type: none"> • Test Manager • Junior Tester – Business • Junior Tester – Technical • Senior Tester – Business • Senior Tester – Technical
Technical	<ul style="list-style-type: none"> • Application Manager • Technical Manager • Operations Manager • Senior Database Administrator (DBA) • Junior Database Administrator • Junior System Analyst • Senior System Analyst
Security	<ul style="list-style-type: none"> • Security Officer • Security Architect • Security Analyst <p>Note: other roles also require privacy & security backgrounds (e.g., Business Analysts, Developers, Testers, and Technical staff)</p>

Additional content related to “Tracks” is detailed in Section 3.1. Management of these Tracks will be critical for matrix-oriented teams to support desired scope and comply with business and technical requirements.

1.4. Third Party Partners

The Contractor shall provide requested information and support to the IEDSS Operational Verification and Validation (OV&V) Vendor. DFR has contracted with an OV&V vendor to help review IEDSS changes (e.g. solution changes, report configuration changes, etc.). They will provide checkpoints during SDLC that allow the SDLC process to move forward: Change Requests (CRs); Requirements; Design, Development, and Testing; and Implementation. They also will conduct a Post Implementation Review to ensure the change is working as expected, all documentation is correctly stored, and any post implementation defects are properly addressed. Additionally, they will track the Contractor’s predefined service level agreements (SLAs) regularly to monitor and report on Contractor performance.

If during the term of the contract, DFR chooses to utilize an Independent Verification and Validation (IV&V) vendor as part of major DDI and/or enhancement activities, the Contractor shall also provide requested information and support to this vendor, as dictated by State (IOT and FSSA) and Federal (CMS and FNS) requirements. These activities may include providing the IV&V vendor sufficient information for them to support CMS certification and/or FNS implementation concurrence.

2. Background

2.1. IEDSS Background

In 2012, the State of Indiana determined that in order to provide better service to its constituents an investment in technology should be made to replace the eligibility system of record, Indiana Client Eligibility System (ICES), as well as other supporting eligibility systems, Family Assistance and Care through Technology Services (FACTS) and Staff Management and Resource Tracking (SMART). The new system, IEDSS, primarily serves the needs of workers in the FSSA Division of Family Resources (DFR) and the FSSA Office of Medicaid Policy and Planning (OMPP). IEDSS, as the eligibility system of record for Medicaid, SNAP, and TANF, functions with other DFR eligibility systems and interfacing partners to support the following programs administered by FSSA:

- [Supplemental Nutrition Assistance Program](#) (SNAP) (DFR manages policy and eligibility operations)
 - Indiana Health Coverage Programs (OMPP manages policy and the Core MMIS. DFR manages eligibility processing)
 - [Medicaid](#) / [Hoosier Healthwise](#)
 - [Children's Health Insurance Program](#) (CHIP) (falls under Hoosier Healthwise)
 - [Healthy Indiana Plan \(HIP 2.0\)](#)
 - [Presumptive Eligibility](#) (supported by Core MMIS in Indiana)
 - Cash Assistance (DFR manages policy and eligibility operations)
 - [Temporary Assistance for Needy Families](#) (TANF)
 - [Refugee Cash Assistance](#) (RCA)
 - [Indiana Manpower and Comprehensive Training \(IMPACT\)](#) (DFR manages policy and operations)
 - [Supplemental Assistance for Personal Needs payments \(SAPN\)](#) (DFR manages the triggering of payments)
-
- DFR is the primary sponsor of IEDSS and owns all IEDSS solution components. DFR is responsible for managing the policies for SNAP, TANF, and RCA while handling the eligibility processing and approval for these programs. DFR also supports referrals to Indiana Manpower and Comprehensive Training (IMPACT), an employment and training component for the TANF and SNAP programs that uses a case management tool for assigning, scheduling and tracking employment activities and issuing supportive services to IMPACT participants. IEDSS supports IMPACT for scheduling, referrals, and effects on eligibility, while DFR's Application Services vendor maintains the IMPACT E&T case management services.
 - OMPP is the division of FSSA that oversees Health Coverage programs (including Medicaid, CHIP, HIP 2.0, and presumptive eligibility). OMPP is responsible for providing policies related to healthcare programs for the IEDSS solution, while DFR is responsible for determining eligibility for these programs (except presumptive eligibility, which is handled by Core MMIS on behalf of OMPP).
 - The Federal agencies representing these programs include the USDA Food and Nutrition Service, the U.S. Health and Human Services (HHS), the Center for Medicare and Medicaid Services (CMS), and the Administration for Children and Families (ACF).

Further details on these State and Federal entities are provided in Section 2.2 and Section 2.3.

IEDSS was piloted in spring of 2019 and statewide implementation was completed in 2020 (along with decommission of the legacy systems). The vendor responsible for DDI is also responsible for M&O. The awarded Contractor to this RFP will work with this M&O incumbent on transition efforts, as applicable.

A previous RFP was issued for IEDSS Maintenance & Operations (M&O) in calendar year 2020 and was cancelled. This current RFP (RFP #XXXXXX) is a different procurement with scope details, components, and expectations of Respondents, as articulated in the RFP documents. If Respondents to this RFP wish to review this previous RFP, they may access it at <https://www.in.gov/idoa/procurement/award-recommendations/> under RFP 21-2234.

2.2. State Entities who Manage IEDSS

Below is additional background information about the State entities involved with the Eligibility and Enrollment (E&E) solution components that IEDSS provides.

1. **Family & Social Services Administration (FSSA)** – FSSA supports Indiana healthcare and provides, administers, and funds social services. The six care divisions in FSSA administer to over one million Hoosiers. Please see the following site for more information: <https://www.in.gov/fssa/index.htm>. While IEDSS may have interfaces with several organizations within FSSA, for the purposes of this RFP, the entities within FSSA most applicable to IEDSS are listed below (DFR, OMPP, and DST). IEDSS must comply with all aspects of FSSA Security Policies: <https://www.in.gov/fssa/4979.htm>
 - a. **Division of Family Resources (DFR)** – DFR is held responsible by CMS, FNS, and ACF for complying with Federal E&E and Employment & Training (E&T) requirements. DFR establishes eligibility for Medicaid and Health Coverage, SNAP, and TANF benefits; manages the timely and accurate delivery of SNAP and TANF benefits with timely referral of Health Coverage recipient data to enrollment process and operations (see OMPP below); provides employment and training services to IMPACT clients; and focuses on the support and preservation of families by emphasizing self-sufficiency and personal responsibility.

Systems that DFR own are the following: IEDSS, IMPACT (AS-supported), ICES Archival Platform (which is the data repository for the legacy eligibility system), Benefits Portal (Application Services (AS) vendor-supported), Agency Portal (AS-supported), Document Center (AS-supported), Medical Review Team (MRT – used for Medicaid Aged, Blind, and Disabled support and interfaces with IEDSS), and the DFR Phone System (includes Interactive Voice Response (IVR)) solution (AS and IOT-supported).

The Contractor will report to the DFR Director or their designee for the scope of work under this Contract.
 - b. **Office of Medicaid Policy and Planning (OMPP)** – OMPP’s suite of programs, called the Indiana Health Coverage Programs (IHCP), includes traditional Medicaid, risk-based managed care, Healthy Indiana Plan (HIP) 2.0, a variety of waiver services, and a prescription drug program tailored to the needs of specific populations. OMPP systems support enrollment and claims payment for the Health Coverage recipients deemed eligible by DFR systems. Systems that OMPP owns include the following: CORE Medicaid

Management Information System (MMIS), Pharmacy, and Management and Administrative Reporting (MAR).

- c. **Division of Healthcare Strategies & Technologies (DST)** - Supports FSSA technology solutions and systems by providing technical managers, project managers, business/system analysts, database administrators (DBAs), security and privacy staff, and developers to FSSA divisions and processes. The Contractor will be expected to work throughout the SDLC process with DST technical and system business analysts.
 - d. **State Personnel Department (SPD) Office of Administrative Law Proceedings (OALP) (formerly the FSSA Office of Hearings & Appeals (OHA))** – This organization includes Administrative Law Judges (ALJs) who use IEDSS to manage the intake, scheduling, processing, and support downstream actions (e.g., notices to clients and eligibility updates for continued benefits, Benefit Recovery, and other related activities) for eligibility (Medicaid, SNAP, and TANF) as well as non-eligibility (other FSSA programs) appeals.
2. **Indiana Office of Technology (IOT)** - Provides measurable, secure, consistent, reliable enterprise technology services at cost-effective prices to partner agencies so they can better serve the mutual customer, the Hoosier taxpayer. All IEDSS M&O scope is anticipated to have production and non-production solution components hosted by IOT throughout the term of the resulting contract from this RFP. While DFR and the Contractor may work with several entities within IOT to support IEDSS operations, a dedicated team within IOT currently reports to DFR and supports all aspects of IEDSS infrastructure (as well as other DFR systems). IOT is also a sponsor of production IEDSS solution releases, so the Contractor will be expected to interact with IOT throughout all aspects of the SDLC process.
- a. The Contractor and the IEDSS solution must comply with all aspects of IOT Policies, Procedures, and Standards, including the Information Security Framework:
 - i. [IOT Policies, Procedures, and Standards](#)
 - ii. [IOT Information Security Framework](#)
 - iii. [IOT Project Review Policy](#)

The diagram below depicts the entities described above and where they fit in the Indiana Government Organization.

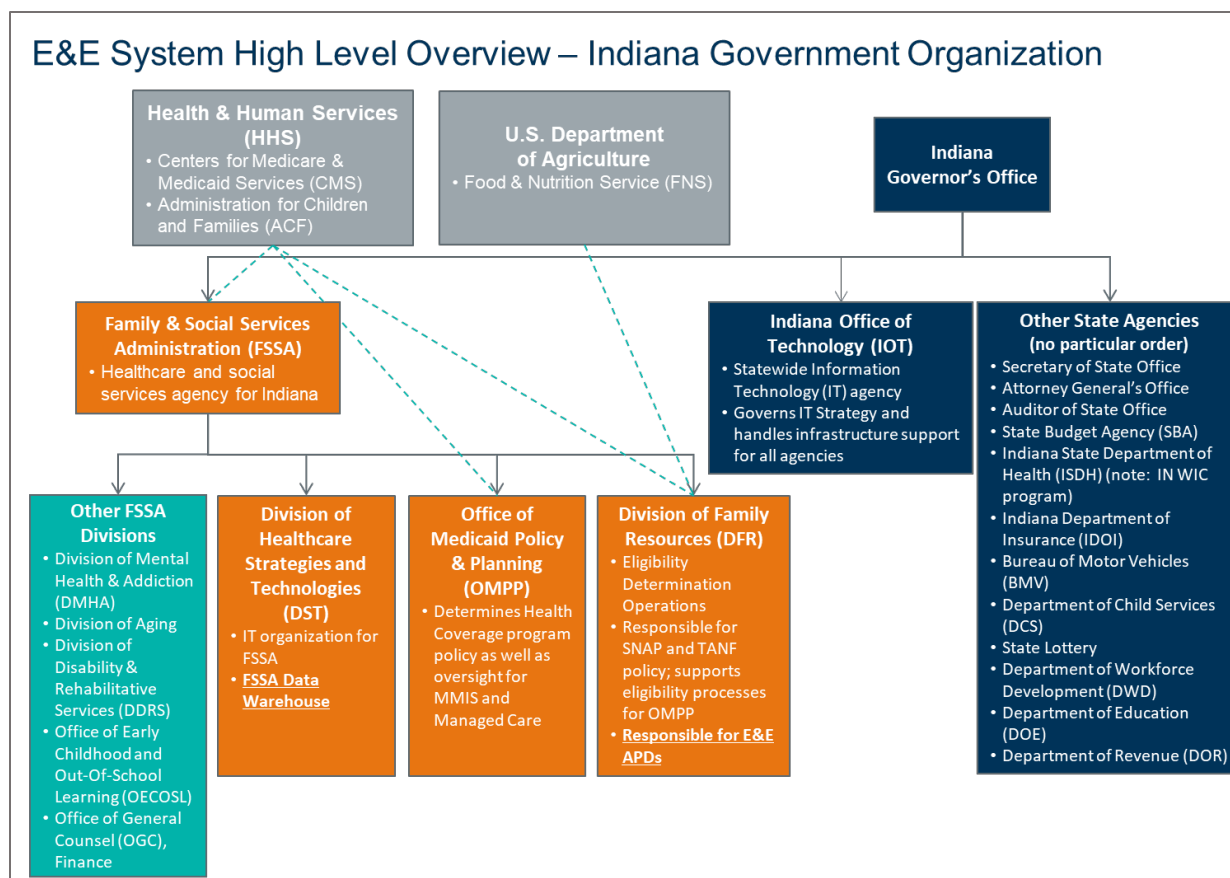


Figure 1: E&E Overview

2.3. Federal Agencies, Programs, and Their IEDSS Requirements

- Centers for Medicare & Medicaid Services (CMS).** CMS supports the Medicaid program, which is funded by Federal and State sources. The Medicaid program, in turn, funds the State of Indiana FSSA Healthcare Assistance programs which support the medical care of persons who meet specific categorical non-financial, income, and resource requirements. Individuals can be eligible for full, limited, or emergency Medicaid coverage depending on the category under which they qualify.

Also funded by CMS, the Children’s Health Insurance Program (CHIP) provides comprehensive coverage, with some limitations, for eligible children under the age of 19 who pay a premium based on family income.

Hoosier Healthwise for Children, Families, and Pregnant Women blends Medicaid and CHIP seamlessly for applicants and members while efficiently achieving the Federal requirement to screen all children first for Medicaid before enrolling them in CHIP.

Healthy Indiana Plan (HIP 2.0) is a Medicaid demonstration waiver under Section 1115(a) of the Social Security Act. The design of the HIP 2.0 program was set forth in compliance with the Patient Protection and Affordable Care Act (PPACA).

While Presumptive Eligibility in Indiana is available under PPACA requirements, Presumptive Eligibility for Pregnant Women specifically supports ambulatory prenatal care to pregnant women who are determined eligible by a qualified provider, while their Medicaid application is pending.

In terms of E&E system requirements, CMS has set forth expectations that are applicable to IEDSS solution components and processes. The Contractor will be expected to support FSSA's continuing compliance with these expectations. In reviewing the requirements below, note that they are heavily interrelated and reference each other (e.g., the Medicaid Eligibility and Enrollment Toolkit (MEET) references MARS-E 2.0 and subsequent versions, MITA, and Standard and Conditions for Medicaid).

- **MEET.** The Contractor must support the State in complying with the requirements listed in MEET checklists as well as all other expectations noted. Several of the checklist items will be mandatory (e.g., streamlined application requirements).
 - IEDSS complies with MEET 1.1.
 - See more information at this link: <https://www.medicaid.gov/medicaid/data-and-systems/meet/index.html>
- **Streamlined Modular Certification (SMC) Outcome-Based Certification (OBC).** CMS has released this certification mechanism for E&E systems to ensure that critical Federal regulations, policies, and guidance are realized in E&E solutions. The State fully supports SMC OBC with the IEDSS solution, and the Contractor will be made aware of how all controls/requirements within SMC OBC are being supported by Indiana.
 - See more information at this link: <https://www.medicaid.gov/medicaid/data-systems/outcomes-based-certification/index.html>
- **The Conditions & Standards along with Expanded Conditions for E&E systems and Medicaid Management Information Systems (MMISs).** Currently, the State complies with all aspects of these Conditions & Standards, and the Contractor is expected to support ongoing compliance.
 - 42 CFR § 433.112(b)(12) that was revised in 2016
 - See more information at this link: <https://www.medicaid.gov/Federal-policy-guidance/downloads/smd16009.pdf>
- **Medicaid Information Technology Architecture (MITA) 3.0 and subsequent versions.** Currently, the State complies with MITA 3.0 expectations, and the Contractor is expected to support ongoing compliance with MITA 3.0 and maturity improvements, where applicable. Current MITA status details will be shared with the Contractor at the beginning of the contract term.
 - See more information at this link: <https://www.medicaid.gov/medicaid/data-and-systems/mita/index.html>
- **Minimum Acceptable Risk Standards for Exchanges (MARS-E) 2.0 and subsequent versions.** IEDSS is currently MARS-E 2.0 compliant and on track to comply with required future versions per CMS timeline expectations. The Contractor and IEDSS is required to track ongoing compliance with all controls and expectations as dictated by MARS-E 2.0 and subsequent versions (e.g., 2.2 as of this RFP posting and 3.0 which is planned to reference NIST 800-53 Rev. 5).
 - Upon contract commencement, the Contractor will be provided access to the artifacts that have been maintained so far for IEDSS by the current contractor and the State (i.e., System Security Plan (SSP) and Plan of Action & Milestones (POA&M))
 - See more information at this link for 2.0 version only: <https://www.cms.gov/CCIIO/Resources/Regulations-and-Guidance/Downloads/2-MARS-E-v2-0-Minimum-Acceptable-Risk-Standards-for-Exchanges-11102015.pdf>
- **42 CFR 433.112 (b)(5) and (6), and 45 CFR 95.617(a)** (see Section 3.4).

- **Future FNS and CMS certification requirements.** FNS approval for system and business process updates, and CMS certification requirements may be updated throughout the term of the Contract.

2. **United States Department of Agriculture (USDA) Food and Nutrition Service (FNS).** FNS supports the Supplemental Nutrition Assistance Program (SNAP) as well as E&T programs. The purpose of the SNAP Program is to assist eligible low-income participants to obtain a more nutritious diet by increasing food purchasing power. The purpose of E&T programs is to encourage and support applicable members of the SNAP household in gaining skills, training, work, and/or experience that will increase their ability to obtain regular, effective employment. FNS is responsible for establishing the regulations and providing states with direction in policy, management, funding, operations, and systems.

For E&T, the State has created the IMPACT program, which is in alignment with FNS and ACF E&T Program requirements (see below for FNS and additional details on IMPACT). IMPACT also refers to the case management tool for assigning, scheduling, and tracking employment activities while supporting the issuance of supportive services to IMPACT participants.

In terms of E&E and E&T system requirements, FNS has set forth expectations that are applicable to IEDSS solution components and processes. The Contractor will be expected to support DFR's compliance with these expectations:

- FNS Handbook 901: <https://www.fns.usda.gov/apd/fns-handbook-901-v2-advance-planning-documents>
 - FNS E&T State Plan Handbook: <https://www.fns.usda.gov/snap/et-state-plan-handbook>
 - SNAP Review of Major Change in Program Design and Management Evaluation Systems: <https://www.fns.usda.gov/snap/fr-011916>. These requirements apply to major enhancements stemming from Change Management and DDI components of this RFP
 - FNS Test Plan requirements: <https://www.fns.usda.gov/apd/new-rule-system-testing>
 - FNS System Integrity Review Tool (SIRT): https://fns-prod.azureedge.net/sites/default/files/apd/SNAP_System_Integrity_Review_Tool.pdf
 - Other related federal guidance from ACF, CMS, and FNS
3. **Administration for Children & Families (ACF).** The Temporary Assistance for Needy Families (TANF) and Refugee Cash Assistance (RCA) programs are supported by ACF. These programs are designed to provide financial assistance to individuals who meet specific program eligibility requirements helping them gain self-sufficiency. For additional details on ACF and their role in E&E and E&T, visit <https://www.acf.hhs.gov/>.

2.4. Other Standards

In addition to the Federal and State requirements noted above, the Contractor shall comply with:

- All rules and regulations described in Section 10 of this document, as written
- All requirements in Contract Attachment B, Section 12, as written
- SDLC best practices for effective IT solution delivery: For this Contract, the Contractor shall use Hybrid Agile SDLC processes and other related best practices may be considered (see <http://www.in.gov/iot/2394.htm> and Section 5.0 for more information)

3. IEDSS Overview

3.1. Current Eligibility System

Indiana currently uses various systems to perform key functions required to support eligibility. The table below provides a functional description of the current eligibility systems and their role:

Eligibility Component	How Contractor Awarded this RFP Will Support This Component	Description	Major Technology and Architecture
Indiana Eligibility Determination Services System (IEDSS) <ul style="list-style-type: none"> System to be supported by Contractor as a result of this RFP 	The Contractor will provide full support as described throughout this RFP	The Indiana eligibility system of record for Medicaid, SNAP, and TANF, using data and business rules interfaces through other supplemental web-based systems. IEDSS includes the following portals: <ul style="list-style-type: none"> Worker Portal to support application processing, case maintenance, hearings and appeals, redeterminations, changes, and other critical eligibility-related processing. Interfaces with Benefits Portal, Agency Portal, IMPACT, DFR Phone System, Document Center, CDMS, Federal agencies, state agencies, FSSA partner agencies, and vendor partners Interfaces Medicaid information for eligible to CoreMMIS for enrollment and MMIS support Interfaces SNAP/TANF issuance information to Conduent EBT platform for EBT card issuance and maintenance Interfaces with Federally Facilitated Marketplace (FFM) via Federal Data Services Hub (FDSH) for FFM to provide Exchange Health Coverage programs in Indiana Intranet served and hosted by IOT 	<ul style="list-style-type: none"> Java Oracle Exadata hosted database, Oracle 19 Mule Enterprise Service Bus (ESB) Corticon Rules Engine WebSphere OpenText ExStream for manual and automated correspondence/no notice generation See Attachment J for exhaustive list of all technology included within IEDSS

Eligibility Component	How Contractor Awarded this RFP Will Support This Component	Description	Major Technology and Architecture
Application Services: Benefits Portal	<p>The Contractor will not directly be responsible for this platform.</p> <p>However, the Contractor will support IEDSS interfaces to the platform, including support to the Application Services vendor and the State on SDLC activities (e.g., design discussions, integration testing, and implementation planning and execution) related to this platform's M&O and/or Enhancement activities that impact the interfaces between IEDSS and this platform.</p>	<ul style="list-style-type: none"> • https://fssabenefits.in.gov/ • Provides functionality for clients and Authorized Representatives to apply for Health Coverage, SNAP, and/or Cash Assistance (TANF). Interfaces this data to IEDSS via CDMS (see below) • Screening tool for clients to determine "Am I Eligible" for benefits without committing to application • Provides functionality to clients for determining current case status, printing proof of eligibility, reporting changes, and having access to other helpful information. This information is populated based on interface data solicited from IEDSS via CDMS (see below) • Provides enotice functionality, based on notices generated by IEDSS, with interfacing provided via CDMS (see below) 	<ul style="list-style-type: none"> • Based on Java frameworks and non-relational document-oriented database (MongoDB)
Application Services: Agency Portal	<p>The Contractor will not directly be responsible for this platform.</p> <p>However, the Contractor will support IEDSS interfaces to the platform, including support to the Application Services vendor and the State on SDLC activities (e.g., design discussions, integration testing, and implementation planning and execution) related to this platform's M&O and/or Enhancement activities that impact the interfaces between IEDSS and this platform.</p>	<ul style="list-style-type: none"> • https://www.fssabenefits.in.gov/AgencyPortal/#/ • Provides functionality for authorized agencies working with clients receiving public assistance through DFR E&E to determine case status for clients who approve this access (e.g., Area Agencies for Aging, navigators). Information from IEDSS populates this system via CDMS (see below) • Additional details: https://www.in.gov/fssa/df/4323.htm 	<ul style="list-style-type: none"> • Java frameworks • Oracle 19

Eligibility Component	How Contractor Awarded this RFP Will Support This Component	Description	Major Technology and Architecture
Application Services: IMPACT Worker Portal	<p>The Contractor will not directly be responsible for this platform.</p> <p>However, the Contractor will support IEDSS interfaces to the platform (and IEDSS GoldenGate mirrored database tables access), including support to the Application Services vendor and the State on SDLC activities (e.g., design discussions, integration testing, and implementation planning and execution) related to this platform's M&O and/or Enhancement activities that impact the interfaces between IEDSS and this platform.</p>	<ul style="list-style-type: none"> • Intranet URL • Used by DFR and E&T vendor staff for supporting the IMPACT program. Information from IEDSS populates this system via CDMS (see below) as well as via access to GoldenGate-supported mirrored database tables within the IEDSS Oracle database • Additional details: https://www.in.gov/fssa/df/2682.htm 	<ul style="list-style-type: none"> • Java frameworks • Oracle 19
Application Services: Document Center	<p>The Contractor will not directly be responsible for this platform.</p> <p>However, the Contractor will support IEDSS interfaces to the platform, including support to the Application Services vendor and the State on SDLC activities (e.g., design discussions, integration testing, and implementation planning and execution) related to this platform's M&O and/or Enhancement activities that impact the interfaces between IEDSS and this platform.</p>	<ul style="list-style-type: none"> • Intranet URLs • Template-based document system augmented by barcoding strategy for document types. This strategy allows documents coming into Document Center operations to be indexed directly to cases while supporting standardized processes for Document Center workers and E&E staff. IEDSS generates documents that are interfaced via CDMS (see below) to the Document Center for retention and later access by workers 	<ul style="list-style-type: none"> • Captiva • IBM Content Manager • Oracle 19

Eligibility Component	How Contractor Awarded this RFP Will Support This Component	Description	Major Technology and Architecture
Application Services: DFR Phone System (including Interactive Voice Response (IVR))	<p>The Contractor will not directly be responsible for this platform.</p> <p>However, the Contractor will support IEDSS interfaces to the platform, including support to the Application Services vendor and the State on SDLC activities (e.g., design discussions, integration testing, and implementation planning and execution) related to this platform's M&O and/or Enhancement activities that impact the interfaces between IEDSS and this platform.</p>	<ul style="list-style-type: none"> • Intranet URLs and phone/fax number for external callers <ul style="list-style-type: none"> ◦ Fax number for routing documents to Document Center • Mature IVR with call routing to role-based workers/management via queues • Reporting of call data • Average of 20,600 calls received monthly over the first half of 2018. Calls can increase greatly when new functionality or enhancement rolls out • Supports Outbound Dialer for automated calls, based on batches from IEDSS • Interfaces to IEDSS via CDMS for screen-pop (i.e., caller number identified in IVR with IEDSS popping up the associated case information, if available for that caller number) and other functionality 	<ul style="list-style-type: none"> • Genesys PureConnect I3 on premise solution (The State is procuring an updated phone system solution in 2022. The State will notify the Contractor in the event that their scope is impacted with this update.) • Java frameworks / .NET • Oracle 19
Application Services: Communication & Document Management System (CDMS)	<p>The Contractor will not directly be responsible for this platform.</p> <p>However, the Contractor will support IEDSS interfaces to the platform, including support to the Application Services vendor and the State on SDLC activities (e.g., design discussions, integration testing, and implementation planning and execution) related to this platform's M&O and/or Enhancement activities that impact the interfaces between IEDSS and this platform.</p>	<ul style="list-style-type: none"> • Document Processing System (DPS) <ul style="list-style-type: none"> ◦ Intranet URL – supports interfacing between IEDSS and Document Center, Agency Portal, and Benefits Portal • Call Center System (CCS) <ul style="list-style-type: none"> ◦ Intranet URL – supports interfacing between IEDSS and the DFR Phone System • Electronic Message System (eMS) <ul style="list-style-type: none"> ◦ Intranet URL – provides enotices and other emails based on data from IEDSS 	<ul style="list-style-type: none"> • Java frameworks • Oracle 19

Eligibility Component	How Contractor Awarded this RFP Will Support This Component	Description	Major Technology and Architecture
Medical Review Team (MRT)	<p>The Contractor will not directly be responsible for this platform.</p> <p>However, the Contractor will support IEDSS interfaces to the platform, including support to the Application Services vendor and the State on SDLC activities (e.g., design discussions, integration testing, and implementation planning and execution) related to this platform's M&O and/or Enhancement activities that impact the interfaces between IEDSS and this platform.</p>	<ul style="list-style-type: none"> Intranet URL System used by DFR staff supporting Medicaid Aged, Blind, and Disabled determination efforts, including the gathering of medical packet information and review. Interfaces this data back and forth between IEDSS and CDMS to support Aged, Blind, and Disabled status confirmation as a factor in benefit determinations Maintained by FSSA DST 	<ul style="list-style-type: none"> .NET SQL

3.2. System Users

The organization chart shows the users of IEDSS and their interrelationship to one another.

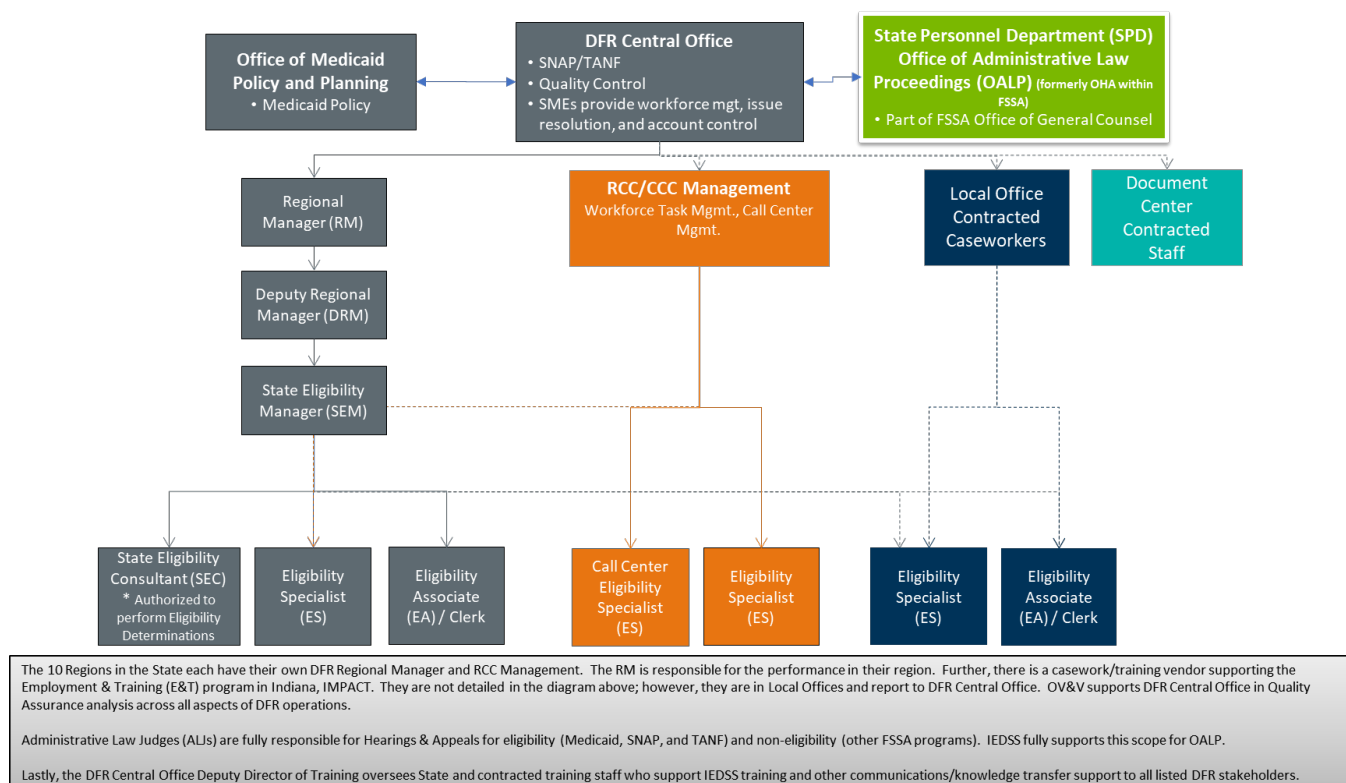


Figure 2: IEDSS Primary Users Organization Chart

At this time, user counts are anticipated to remain relatively constant for the next few years, even though numbers below are approximate following the SEM row:

User Type	Number of Users
Regional Manager (RM)	10
Deputy Regional Manager (DRM)	10
State Eligibility Manager (SEM)	130
State Eligibility Consultant (SEC)	1100
Eligibility Specialist (ES) (Local Office and RCCs/CCC)	Max = 2000
Eligibility Associate (EA)/Clerk (Local Office)	400
RCC/CCC Caseworker Management	100
Document Processing user	20
DFR Central Office Users (Operations Management, Executive Support Staff, Quality Control, Policy)	100
Oversight Validation & Verification (OV&V) – review State and vendor casework for Quality Assurance	10
Other State Agency and Federal Agency Users (OMPP, DCS, DWD, FNS, CMS, DMHA, SSA)	500
Office of Hearings and Appeals Users (Supervisors and Administrative Law Judges (ALJs))	100

Note: A review of April 2021 to September 2021 data shows an average of 868 IEDSS Contractor Tier 2/3 Helpdesk service tickets per month, with a minimum of 564 tickets and a maximum of 1,145 tickets, generated by the users listed in the table above in addition to SDLC staff within IEDSS and from DFR interface partners. However, calls can increase greatly for a period of time following the rollout of new functionality or enhancements.

A snapshot of IEDSS volumes from October 2020 to October 2021 is provided below.

	Monthly Average	Max Month Volume	Min Monthly Volume
Number of Applications	74,966	88,066	61,535
Number of Recipients of at least one program	1,871,029	1,975,450	1,740,779

Additionally, the ES, EAs, and SECs, via the DFR Phone System solution that interfaces with IEDSS, receive a range of 158,000 – 237,000 calls monthly from DFR clients, authorized representatives, and providers based on review of call data for October 2020 – October 2021.

3.3. Business Requirements

Indiana developed a task-based casework platform, leveraging lifecycles consisting of tasks to drive work. The State does not maintain a caseload and relies on operational workgroups in the RCCs/CCC to handle application tasks, non-indexed document tasks, calls for client inquiries, appeal packet preparation/scheduling tasks, benefit recovery tasks, change tasks, fraud referral, and other related tasks. Local Office State employees, augmented with front office staff to handle in-person client intake, support tasks related to eligibility determinations, redeterminations, and change determinations. Additionally, there are support, monitoring, Federal agencies, partner agencies, and other oversight entities who have access to IEDSS to support eligibility, post-eligibility, and other required tasks or activities.

These users, as detailed in Section 3.3, are all dependent upon the role-based access that IEDSS realizes. **See the “IEDSS Security Matrix” in Attachment L.** The users cited in Section 3.3 are mapped to these roles to realize screen access, functionality, and task assignment via queues and manual/automated triggering. **The tasks that these roles in the security matrix use and/or monitor are listed in the “IEDSS Task List” in Attachment L.** As demonstrated by the tasking in the “Task List”, many tasks fall within a lifecycle and are triggered appropriately, with due dates configured to “motivate” work as needed for optimal business process management (e.g., “application lifecycle”, “change lifecycle”, “redetermination lifecycle”, and many others). These tasks are then monitored in dashboards that are facilitated via the Oracle GoldenGate “mirror” of the production database. The dashboards support management in monitoring task quantities, their respective status due dates (some have RYG status (red if almost due or past due)), corresponding county/region/workgroup, and other related information to support workload and workflow management. The most important lifecycles within IEDSS support the determination and ongoing case maintenance of clients applying to or receiving Medicaid, SNAP, and TANF assistance. **See “IEDSS Types of Assistance” for all the aid categories and coverage that is managed within IEDSS.**

IEDSS has adopted the use of “business tracks” to support the management of this broad user base and set of functionality required to manage all requirements, design, testing, implementation, ongoing maintenance, defect resolution, and enhancements. **To demonstrate the scale and complexity of these tracks, Attachment L has artifact samples for each track, with requirements, detailed design, testing information, technical information, and other pertinent examples of track scope demonstration.**

Below is a listing of the business tracks within IEDSS, with the associated responsibility breakdown for each track.

Track	Responsibility Areas
Back Office	<p>This track includes functional components that provide core case maintenance functions after benefits are determined including the following:</p> <ul style="list-style-type: none"> • Task Management: Indiana employs a task-based model to trigger, prompt, organize, and monitor work. • Case History Maintenance (Batch and Screens): Keeps track of all the actions performed in a case. • Benefit Recovery/Intentional Program Violation (IPV)/Underpayment: Allows workers to issue underpaid benefits and recover any overpaid benefits. • Periodic Reporting: Allows workers to initiate periodic/interim reporting for SNAP, TANF, or Health Coverage cases. • Redetermination/Recertification/Interim Reporting/Periodic Reporting: Allows workers to initiate redeterminations for SNAP, TANF, or Health Coverage cases. • Case Changes: Allows workers process case changes as needed. • Document Management and Integration: Manages the documents associated with a case. Works with the Interface track to interface with CDMS/DPS for presenting documents within IEDSS. • Workload Rebalancing: Enables activities performed on case after intake. • Case Notes/Comments: Allows capturing of case notes associated with an individual or case • Hearings and Appeals: OALP uses IEDSS for all aspects of eligibility (Medicaid, SNAP, and TANF) appeals as well as program appeals throughout all of FSSA.

Track	Responsibility Areas
Correspondence	<p>This track includes all aspects of correspondences, which include notices and forms, which need to be sent by the State to a client or third party.</p> <ul style="list-style-type: none"> • Screens: There are screens associated with correspondence generation in IEDSS, and this functionality must work with the Interface and Back Office track for generating correspondence/notices to CDMS/DPS and then have those documents available for later retrieval. • Eligibility Notices: Pending verification notices (“2032” forms in Indiana), Medicaid/SNAP/TANF approval and denial notices, redetermination notices, and other related eligibility determination-supporting correspondence • Non-Eligibility Notices: Scheduling notices, appeals notices, and informational notices <p>Note: OpenText ExStream Live Editor and OpenText ExStream server software are used by workers and the system to generate manual and automated correspondence/notices.</p> <ul style="list-style-type: none"> • Number of documents/templates that are supported in ExStream: ~200 (corresponds to over 700 total notice types) • Number of documents/templates that are generated in manual versus automated: In one particular representative year, IEDSS generated 574,301 automated notices and 57,371 manual notices monthly on average

Track	Responsibility Areas
Eligibility Determination and Benefit Calculation (EDBC)	<p>This track includes the several functional components that support the determination rules critical for eligibility determinations. These rules are executed following the understanding of the case structure and support the understanding of pertinent pending financial/non-financial factors to be determined. Following verification of those factors, EDBC rules are used again to support final determinations. These rules are all contained with the Corticon Rules Engine that has been incorporated into the codebase of the IEDSS solution. EDBC functional components:</p> <ul style="list-style-type: none"> • Standard Filing Unit (SFU): Configures the Assistance Groups for SNAP, TANF, Refugee Cash Assistance, and Health Coverage programs with associated participation statuses for each individual in the case. • Non-Financial Eligibility Determination: Determines non-financial eligibility for SNAP, TANF, Refugee Cash Assistance, and Health Coverage Assistance Groups using case and individual information. • Resource Eligibility Determination: Determines resource eligibility for SNAP, TANF, and Health Coverage Assistance Groups using case and individual information. • Financial Eligibility Determination: Determines financial eligibility for SNAP, TANF, Refugee Cash Assistance, and Health Coverage Assistance Groups using case and individual information. • Authorization: Supports role-based process for review, approval, denial and suspension of Assistance Group benefits for each benefit period • Benefit Calculation: Calculates the amount of benefits per program that an individual or Assistance Group should receive based on business rules. • Disaster SNAP (D-SNAP): The unique rules and issuance results for processing D-SNAP applications in the event of an eligible disaster declaration. • Mass Change: Rules and Functionality to support mass updates that occur in a regular cadence for eligibility programs (e.g., Cost of Living Adjustment (COLA)). • QualCheck: A Java-based application with screening eligibility rules. Applicants can enter information into the Benefits Portal, which in turn interfaces to QualCheck to provide potential eligibility screening results for display in the Benefits Portal.

Track	Responsibility Areas
Front Office	<p>This track includes the business functions that allow the user to enter application information and intake information into the system including the following:</p> <ul style="list-style-type: none"> • Application Registration: Allows workers to register complete applications into the system. This intake includes those applications coming from the Benefits Portal interface to IEDSS (online Medicaid, SNAP, TANF applications), paper applications interfaced from CDMS (Medicaid, SNAP, TANF), or Medicaid phone applications interfaces from the Benefits Portal while using the DFR Phone System solution for call handling that is also interfaced via CDMS to IEDSS. • Appointment Scheduling: Allows workers to set up ongoing schedules based on office resource availability. Supports the creation (manual and automatic) of appointments as well as ongoing maintenance. • Data Collection: Allows workers to record client information in the intake and/or interview process. <ul style="list-style-type: none"> ○ Individual Details ○ Household Information ○ Non-Financial Information ○ Income Information ○ Expense Information ○ Resource Information • IMPACT: Allows workers to track E&T status and client's compliance with Indiana's work program (IMPACT) for TANF/SNAP eligibility. This functionality is supported by a combination of interfaces to IMPACT for referral and compliance information sharing, along with Oracle GoldenGate->Informatica ETL->IMPACT for schedule information. IEDSS does the scheduling and referral of applicable client information for those who must comply with work requirements for SNAP/TANF, and IMPACT responds with compliance status to IEDSS. • Disaster SNAP (D-SNAP): The screens/functionality to facilitate the D-SNAP program in the event that an applicable disaster declaration occurs. • MRT Support: The MRT system interfaces with IEDSS for these screens to support Medicaid Aged, Blind, and Disabled determinations, including the appropriate gathering of supplemental medical information to support eligibility. • Reception Log: These screens are used by offices to support in-person intake and tracking of clients.

Track	Responsibility Areas
Interfaces	<p>This track includes all the real-time and batch interfaces between IEDSS and DFR, FSSA, external State, Federal, and DFR vendor partners. All interfaces within the IEDSS solution are SOAP.</p> <ul style="list-style-type: none"> • Screens: There are a number of screens associated with each interface to provide data that is either automatically loaded into cases or manually analyzed by workers to apply to cases as appropriate. • Batch Admin Screen: This screen that is part of the Back Office track helps technical and business staff monitor all of the batches, their success/failure for reach record, and other pertinent information monitored nightly and throughout the day as appropriate • Application Services / IMPACT Interfaces: Agency Portal Interface / Benefits Portal Interface / Document Center Interface / DFR Phone System: These interfaces, via CDMS, are critical for providing information to clients (e.g., case status on the Benefits Portal/Agency Portal), for clients to apply (online/paper/phone), and to serve documents to IEDSS after IEDSS generates them to CDMS • See Interfaces Tracker (See Tab 1 of Attachment J) for all other interfaces. At a high level, IEDSS interfaces are all via the IEDSS Mule ESB either directly to entities (i.e., Application Services), via Mule ESB to the DFR ESB (currently Microsoft BizTalk) behind the IN firewall (i.e., all FSSA agency and other state agency interfaces), or via Mule ESB to DFR ESB to beyond the IN firewall (i.e., all Federal agency interfaces and vendor interfaces such as Conduent EBT and Equifax/Work Number). This interface tracker provided is critical for the Contractor to maintain throughout the term of the Contract. It is used to assist DFR and the SDLC teams as well as partner agencies to manage ongoing SDLC activities. <p>Note: The number of records in batch transmissions vary by interface (from tens of records to close to 1.5 million records). Real time exchanges vary from a single record to a few records per exchange. As of November 2021, there were 608 types of IEDSS batches. To provide Respondents with a clearer picture of the work required to run batches, a sample three-month batch calendar has been included in Tab 7 of Attachment J and a listing of all IEDSS batch jobs has been included in Tab 8 of Attachment J.</p>

Track	Responsibility Areas
Support	<p>This track includes functions which support the core business functionalities, including the following:</p> <ul style="list-style-type: none"> • Task Management and Alerts: In alignment with Back Office, the task tracker (see Attachment L) is used to manage the ongoing understanding of all tasks, their triggers, and who supports these tasks. • Batch Framework: The overall architecture and mechanisms to run particular programs/functionality without direct, end user interaction. The Technical Team cited in “Other” below also ensure that compliance with the framework is maintained with PMD scans and other application code support. • Mass Change: This functionality works with EDBC to realize automatic re-evaluation of program eligibility on multiple cases. • Data Archival: Allows preservation of necessary application data for extended periods of time, based on Federal and State law/requirements, as well as what management, workers, and other stakeholders require for ongoing information tracking. This functionality also includes appropriate data purge according to business rules. • Audit Log: Allows the capture and storage of transaction information pertaining to a record. While there are security requirements under MARS-E 2.0 and subsequent versions for this functionality, some of the logging is formatted more according to case actions to support workers researching the history of a case. • Security Profiles: See Attachment L for the critical “Security Matrix” used to manage all roles and access to the system, as well as what available functionality is provided to roles. This role-based functionality allows the State to selectively grant user access to pages and functionality/fields based on role. • Reception Logs: Allows for logging of information when a client checks into an office in-person, based on Front Office screens/functionality. • Quality Control (QC): Allows for detection and prevention of errors in a case. This functionality is provided to Quality Control DFR staff to comply with CMS, FNS, and ACF QC requirements. • Hearings and Appeals: Allows for a client to appeal an action taken by FSSA and track the progress of hearings through scheduling functionality, packet preparation, decision tracking, notice generation, and appeal results incorporated into eligibility (i.e., appeal results in denial overturned or upheld, thus affecting Medicaid, SNAP, TANF for “eligibility” appeals. “Non-eligibility” appeal results are referred to the appropriate FSSA program whose decision was appealed). • Help/User Interface (UI): The overall structure, architecture, look and feel, and usability of the UI is managed here. Additionally, help screens and text are all provided within this track.


Track	Responsibility Areas
Reports	<p>This track addresses the State’s data reporting requirements including:</p> <ul style="list-style-type: none"> • Ad-Hoc Reports: Reports built and generated as needed by IEDSS reporting staff, based on data extracts generated from IEDSS. This information may also be provided to the FSSA Data Warehouse for their reporting needs. • Management Reports/Dashboards: These reports are designed and generated either on a period schedule or on-demand to help monitor task lifecycles and tasks themselves. This functionality also supports management in understanding quantities of major work (e.g., applications, redeterminations, changes) that is pending or “coming due”, based on appropriate business rules. • Oracle GoldenGate and Informatica Extract, Transform, and Load (ETL) for IEDSS reports • Oracle GoldenGate and Informatica ETL for FSSA Data Warehouse reporting <p>This track also supports the FSSA Data Warehouse by clarifying business rules pertaining to data in IEDSS since FSSA Data Warehouse maintains reporting to Federal agencies (CMS, FNS, and ACF) as well as other state reporting needs.</p>
Other – Technical Team, Security Team, Test Team	<p>While not formal tracks, these entities support all other tracks. Each may create and maintain their own requirements, design, and other SDLC documentation, but they are also responsible for supporting the technical, security, and testing activities across the entire IEDSS solution.</p> <ul style="list-style-type: none"> • Technical Team: This group ensures that overall architecture, framework, SDLC platform, application monitoring (i.e., Splunk configuration as well as monitoring and reacting to IOT notifications), and other technical aspects are supported. They create and maintain system documentation, maintenance/operating documentation, and they track the ongoing log of all platforms with their upgrade/patch plans. They additionally work with DFR to plan and realize performance tests, while working with IOT regularly on infrastructure planning and monitoring activities. • Security Team: This team supports ongoing impact analyses of all enhancements to ensure they take into account security implications (functionality and compliance). They support the State in creating security documentation for IEDSS Federal compliance as well as supporting the ongoing IEDSS security program of security testing, vulnerability testing, vulnerability assessment, security reporting, incident management, and other required aspects of IEDSS with regards to MARS-E 2.0 and subsequent versions, IRS Publication 1075, and SSA security requirements. • Test Team: This team supports all tracks and entities above with ongoing system, integration, automated, regression, and other testing (see Section 5 below for additional Test details).



As demonstrated in the tracks and in Attachment L, functionality in the below table represents the activities that users execute frequently within the system. The table provides statewide per business hour workload measurement projections based on anticipated volumes over time for all users in the system. While this data is representative of typical statewide quantities, the Contractor is anticipated to support 1.5 times these quantities to safely accommodate peak loads.



Measurement	Projected Statewide Per Business Hour Workload
Application Registration	532
Data Collection	1,308
Change Reporting	236
Redetermination	1,028
Search	53,712
Audit Trail	1,390
EDBC – ongoing cases	5,338
EDBC – new cases	1,630
OEDBC cases	10
Create Task	1,768
Executive Dashboard	1,058
Task Management Dashboard	946
Correspondence	1,456
Schedule-Search	4,486
Search Document	1,310
Create Appeal Request	422
Appeal Request Search	1,148
Interfaces-Search	1,020
Alternate Address	8
Office Scheduling	50
Medicaid History	188
Work Number Search- Copy to DC	376
View Recent History	70
Search Employee Profile	196
Search Redetermination/Recertification/ Interim Report	50
View Document (PDF)	246
Daily Appointments- Search, Save	18

3.4. Key Health Coverage Business Flows

Below are some key sample Health Coverage business process flows for IEDSS. The Contractor shall maintain this functionality, along with the rest of the IEDSS functionality, providing modifications as needed to meet changing State and Federal policies. While these flows are critical to Health Coverage / Medicaid and are required under CMS certification requirements, these are high level examples of the type of functionality supported in IEDSS. There are other post-eligibility processes, such as Hearings & Appeals and Benefit Recovery that are all supported. Note further that the clients in the examples below, may also be applying for or are current recipients to SNAP and/or TANF, with interfacing to CoreMMIS (which in turn interfaces to Managed Care Entities (MCEs)) for Health Coverage enrollment and EPPIC for SNAP/TANF (the Conduent-supported SNAP/TANF card issuance and Electronic Benefits Transfer (EBT) processing).

Process	Steps (Bold text indicates steps handled by functionality that is maintained by the Contractor)
<p><u>Health Coverage Application</u></p>  <p>Married couple, who applied for Health Coverage via the Self-Service Portal.</p> <p><i>MEET 1.1 Checklist Citations</i> <i>EE1, EE2, EE4, EE5, EE13, EE14, EE15, EE19, EE23, EE24, EE26, EE28, EE33, EE37, EE10, EE12, EE7, EE8, EE46, EE49, EE60, TA.CM.4, TA.BI.9</i></p>	<ol style="list-style-type: none"> 1. Application was submitted via the Benefits Portal which triggers a task for an Eligibility Worker. 2. Worker receives a task to process the application and runs clearance on each individual against our IEDSS Master Client Index (MCI). 3. Worker confirms that the data is loaded successfully and completes the application registration process. 4. A task is created for another worker to process the application through the data collection module. 5. The application is approved and applicable correspondence is generated to the client. 6. The demographic and eligibility information, along with Health Coverage category approved, are sent on the nightly CoreMMIS interface and is loaded into the CoreMMIS system.

Process	Steps (Bold text indicates steps handled by functionality that is maintained by the Contractor)
<p><u>Redetermination/Change</u></p>  <p>Couple with 3 kids. Couple is due for redetermination in 4/2019. Mailer was sent and returned verification of change in child support.</p> <p><u>MEET 1.1 Checklist Citations</u> EE2, EE4, EE5, EE13, EE14, EE15, EE20, EE22, EE23, EE24, EE26, EE28, EE36, EE37, EE12, EE7, EE8, EE49, TA.BI.9</p>	<ol style="list-style-type: none"> 1. Recipients' case is due for a Redetermination Health Coverage for two children. A May Return Mailer was sent. 2. The Mailer was returned with a letter from Child Support that the Child Support Un-adjudicated Arrears (CHUA) support ends 03/31/19. That is the only change noted on the form. 3. The mailer is marked as received, signed and complete. Worker reviews the mailer and the verification sent with the mailer. 4. Worker invokes the case in the redetermination driver, updates the case, and runs EDBC. 5. Case is authorized with appropriate notices being generated. 6. The demographic and eligibility information, along with Health Coverage category approved, are sent on the nightly CoreMMIS interface and is loaded into the CoreMMIS system.
<p><u>IEDSS - MMIS Data Exchange</u></p>  <p>Couple applied for Health Coverage for themselves and their son by walking into a Local Office.</p> <p><u>MEET 1.1 Checklist Citations</u> EE1, EE2, EE4, EE6, EE13, EE14, EE15, EE19, EE23, EE24, EE28, EE29, EE30, EE33, EE37, EE38, EE10, EE12, EE7, EE8, EE45, EE46, EE47, EE48, EE49, EE50, EE51, (EE55, 56, 57, 58 applicable to Core MMIS), TA.DC.10, TA.SOA.1, TA.BI.9</p>	<ol style="list-style-type: none"> 1. Family walks into the local office and files a health coverage application. 2. Worker processes the application then runs application through clearance and completes the application registration process. 3. A task is triggered for another worker to process the application through the data collection module. 4. The case is authorized with Medicaid benefits for the family. 5. The demographic and eligibility information, along with Health Coverage category approved, are sent on the nightly CoreMMIS interface and is loaded into the CoreMMIS system.

Process	Steps (Bold text indicates steps handled by functionality that is maintained by the Contractor)
<p><u>Application Referred to Federally Facilitated Marketplace (FFM)</u></p>  <p>Single, 39 year old, male, applying for Health Coverage through the Self-Service Portal, in the State of Indiana. He is employed with an annual income of \$55,000.</p> <p><i>MEET 1.1 Checklist Citations</i> <i>EE1, EE2, EE4, EE5, EE13, EE14, EE15, EE16, EE18, EE19, EE23, EE24, EE25, EE26, EE27, EE28, EE37, EE38, EE39, EE10, EE11, EE12, EE7, EE8, EE46, EE49, EE51, EE60, TA.DC.10, TA.SOA.1</i></p>	<ol style="list-style-type: none"> 1. Application received from Benefits Portal. Data is converted to a PDF document and loaded into staging tables. 2. Worker receives a task to process the application and runs clearance on the person against the Master Client Index. 3. Worker confirms that the data is loaded successfully and completes the application registration process. 4. A task is created for another worker to process the application through the data collection module. 5. The application is denied for over income reasons and a correspondence is generated and sent to the client. 6. A referral is sent via interface to the CMS-maintained Federally Facilitated Marketplace (FFM) for any further Health Coverage processing.
<p><u>Application received from FFM</u></p>  <p>Pregnant, 36 year old, single woman, applying for Health Coverage via the FFM portal.</p> <p><i>MEET 1.1 Checklist Citations</i> <i>EE1, EE2, EE3, EE4, EE5, EE13, EE14, EE15, EE16, EE17, EE18, EE23, EE24, EE26, EE28, EE33, EE34, EE37, EE38, EE39, EE10, EE11, EE12, EE7, EE8, EE46, EE47, EE48, EE49, TA.DC.10, TA.SOA.1, TA.LG.1/TA.LG.2</i></p>	<ol style="list-style-type: none"> 1. Application received from CMS FFM via interface. Data is converted to a PDF document and loaded into staging tables. 2. Worker receives a task to process the application and runs clearance for the person against the Master Client Index. 3. Worker confirms that the data is loaded successfully and completes the application registration process. 4. A task is created for another worker to process the application through the data collection module. 5. The application is approved and applicable correspondence is generated to the client. 6. The demographic and eligibility information, along with Health Coverage category approved, are sent on the nightly CoreMMIS interface and is loaded into the CoreMMIS system. 7. A response is sent back via interface to CMS FFM for the application.

3.5. Technical Overview

See Attachment J for exhaustive list of all technology included within IEDSS. For each of the IEDSS solution technologies and tools cited, the State will need to consider alternatives throughout the term of the agreement due to version support ending, more cost-effective solutions, more readily federal-compliant technologies, etc. It is expected that the Contractor will support the State in conducting alternative analyses with each of the IEDSS solution technologies and tools.

3.5.1. Architecture

The IEDSS eligibility technical architecture diagram can be found in the IEDSS DFR Eligibility Technical Architecture.pdf file within Attachment L. Please note that the ACA Boundary represented is the authorization boundary that the State is required to defend for MARS-E 2.0 and subsequent versions Authorization to Connect (ATC). Please note that the State has supported timely ATC determination with CMS since MARS-E's inception, and the most recent ATC Renewal was received on 8/30/2019. The State is on track to receive ATC Renewal timely by August 2022, as required by CMS.

- Privacy Impact Assessment performed annually (submitted June 30th each year to CMS).
- Privacy & Security Controls assessments and attestations performed in 2019 (per CMS Guidance Annual Security and Privacy Attestation Procedures for the Affordable Care Act Information Systems, March 2018, Version 2.1).
- Per Federal requirements, controls assessment and attestation occur annually by June 30 of each year.
- It is anticipated that a new version of MARS-E will be supported during the term of this Contract, which will include controls from NIST 800-53 Rev. 5

The IEDSS solution is fully compliant with MARS-E 2.0 and is on track to comply with subsequent versions per CMS required timelines.

- MARS-E 2.0 Authorization Boundary includes IEDSS Worker Portal, Benefits Portal, Agency Portal, CDMS/Document Management, MRT, IVR, DFR ESB, as well as supporting infrastructure and COTS products.
 - IEDSS Worker Portal has been included in the MARS-E Privacy & Security Controls assessments since 2016.
- Full Independent Third-party Assessments were performed as required in 2016 and 2019. The Security Assessment Report (SAR) was submitted each time to CMS as part of ATC Renewal packets. Full Independent Third-Party Assessment is on track to be completed in 2022.

3.5.2. System Overview

IEDSS is a transfer Deloitte NextGen solution from New Mexico, Virginia, and Montana customized for Indiana's requirements. The IEDSS Technical Requirements are based on the technology services defined within the MITA Technical Reference Model, CMS MEET, FNS Handbook 901, FNS System Integrity Review Tool (SIRT), and business requirements developed as part of the IEDSS project by the DDI vendor and the IEDSS project team. Figure 3 provides a high-level system overview of the IEDSS system components and key software.

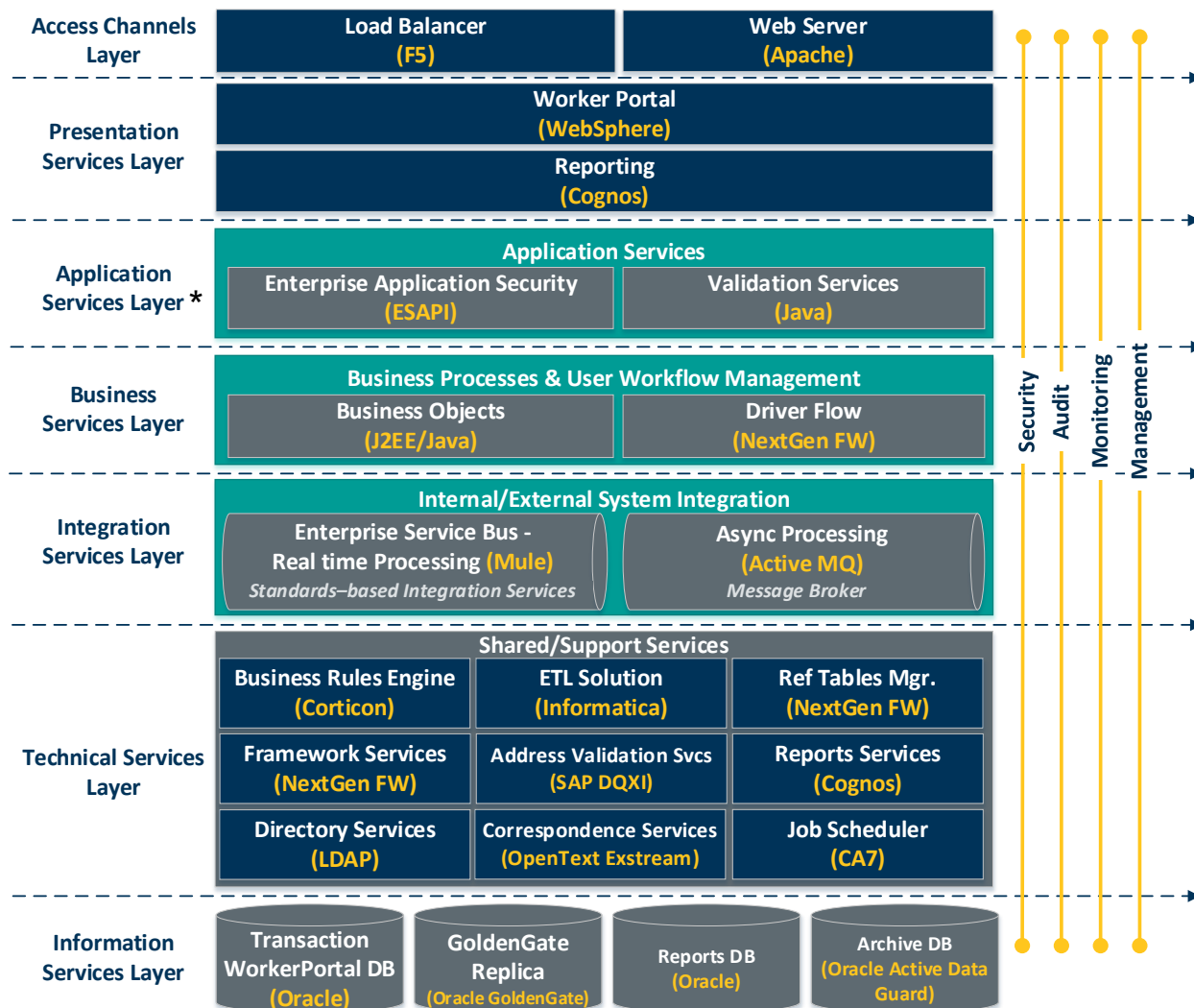


Figure 3: IEDSS Architecture

* The Application Services layer should not be confused with DFR's Application Services scope of work, which includes the components that make up the Benefits Portal, Agency Portal, IMPACT Worker Portal, Document Center, DFR Phone System, and Communication & Document Management System (CDMS).

For Federally mandated reporting and state required reporting, the FSSA Data Warehouse has access to the IEDSS database for reporting. The Oracle GoldenGate solution provides Operational Data Store tables ("mirror") within minutes. Informatica provides ETL to Teradata platform.

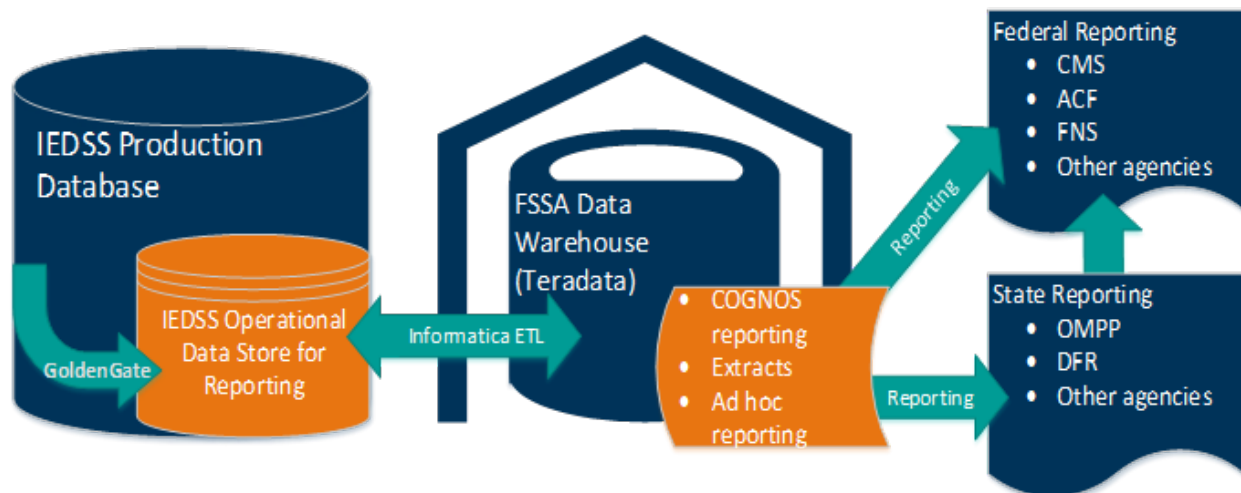


Figure 4: Data Quality / Metrics / Reporting Data / Conversion

3.5.3. Datacenter Architecture

The IOT Datacenter Architecture.pdf file in Attachment L describes the IOT datacenter architecture in which IEDSS is maintained. Note, within the figure within that file, only the Client, Agency, Federal and third-party vendor data trading partners are not hosted within the IOT datacenter.

There is one Production datacenter in Indianapolis, IN and the Disaster Recovery (DR) datacenter is in Bloomington, Indiana. The Contractor is required to support the IEDSS DR solution using the infrastructure at the Bloomington DR site.

3.5.4. IEDSS Solution Technologies and Tools

The State mandates the use of State-approved technologies for the IEDSS solution. Tab 3 of Attachment J lists the IEDSS software that will be maintained by the Contractor. The State is responsible for the licensure of State-owned components, but the Contractor is responsible for IEDSS components functioning correctly with applicable State-owned components. The Contractor is responsible for their own workstations, applicable workstation hardware/software licensure, and applicable infrastructure support. Please note:

- In addition to the list, please note that caseworkers will utilize Windows 10 workstations with patched up Microsoft Edge, Google Chrome, or Mozilla Firefox, and all have OpenText Exstream Live Editor installed. While the State is responsible for maintaining DFR workstations, the Contractor is responsible for licensure and infrastructure support for their Contractor workstations. Further, the Contractor is responsible for ensuring that IEDSS functions correctly with the platforms noted above and any updates they may provide.
- The software is listed for the server/workstations/infrastructure that the Contractor will use to provide support for IEDSS, and what should be available to end users (see Section 3.5).
- Versions that are listed may be subject to change during the time period from RFP issuance to the start of the Contract Term, depending upon the timing of patching or upgrades. Detailed listings of all servers, all installations on these servers, including baseline configuration details of all components, will be provided to the Contractor at the beginning of the Contract.
- Unless otherwise noted, server hardware and software licensure (production and non-production) for IEDSS solutions will be provided by the State.
- Workstation and Contractor hardware, software, and network licensure is the responsibility of the

Contractor, unless otherwise noted.

- Other unlisted open source software, development libraries, and associated tools exist as parts of, or as supplements to the tools listed.
- **The use of new, modern approaches and technologies that are cost effective, secure, and supportive for clients and workers is encouraged, in alignment with State, CMS MITA, and FNS objectives.** However, any new technology or changes is subject to the Change Management process (see Section 4.5).
- **Assume production and non-production environments sufficient to support the SDLC are required for all of the technologies/tools listed.**

3.5.5. IEDSS Servers

The Contractor shall support DFR and IOT with management of the servers utilized for the execution of the Contract duties. As of November 2021, there are 140 servers being managed under the current contract. Provided in Tab 4 of Attachment J is a snapshot of the breakdown by environment, type, and operating system. The total quantity and breakdown of quantities is subject to change before Contract execution and during the term of the Contract. All of this infrastructure is hosted by IOT.

Generally speaking, the incumbent vendor SDLC includes the following flow of code and configuration promotion through servers to support the Master Test Plan and SDLC: Unit (Development) -> System Integration Testing (SIT) -> Integration Testing (INT) -> User Acceptance Testing (UAT) / Performance Testing (PERF) / Training (TRN) -> Staging (STG) -> Production (PRD). Some servers may serve multiple purposes (e.g., Dev + SIT on one server or UAT + PERF on one server). Additionally, not all of IEDSS components may need to flow through this mix of servers to optimally support the SDLC, as Section 5 demonstrates for particular infrastructure and/or software updates, configurations, emergency patches, etc. Regardless, the Contractor will be responsible for ensuring that all environments are managed with clear understanding on mapping to other system non-production versus production environments, along with IEDSS/third party software version. Lastly, a number of these servers may be serving in a Disaster Recovery (DR) capacity at the Bloomington, IOT-supported, Datacenter. These in-depth details, per server, will be provided to the Contractor during Contract negotiation.

3.6. Alignment to Conditions and Standards

IEDSS complies with 42 CFR § 433.112. The Contractor must maintain such compliance during the term of the Contract. Below are requirement highlights and how they impacted testing:

- ***“...system meets system requirements, standards and conditions, and performance standards in Part 11 of the State Medicaid Manual...”***
 - All Federal and State Medicaid requirements were built into test scenarios with the system design, development, and implementation (DDI) vendor and later UAT
- ***“...system is compatible with the claims processing and information retrieval systems used in the administration of Medicare for prompt eligibility verification and for processing claims for persons eligible for both programs...”***
 - CoreMMIS integration testing and UAT, using “end to end” validation approaches were used
- ***“Use a modular, flexible approach to systems development, including the use of open interfaces and exposed application programming interfaces; the separation of business rules from core programming, available in both human and machine readable formats.”***
 - APIs were exposed via Mule ESB/DFR ESB to real-time and batch interface partners. All were validated with interface partners
- **Section 508, American Disabilities Act (ADA)**
 - These were validated in the Worker Portal – UI rendering and compatibility with “screen

- readers” and browser/OS zooming and/or contract modes
- **MARS-E 2.0 and subsequent versions**
 - Security Testing as noted in Master Test Plan (MTP): Contractor and UAT Functional testing, ongoing infrastructure vulnerability scanning, ongoing application scanning (dynamic and static)
- ***“Promote sharing, leverage, and reuse of Medicaid technologies and systems within and among States.”***
 - IEDSS was based on Deloitte NextGen solution transferred from New Mexico, Virginia, and Montana
- ***“Produce transaction data, reports, and performance information that would contribute to program evaluation, continuous improvement in business operations, and transparency and accountability.”***
 - IEDSS dashboards and linkage to FSSA Data Warehouse validated by the Contractor and UAT, with the FSSA Data Warehouse
- **FDSH/FFM Integration; MAGI determinations**
 - MAGI and non-MAGI validated (end to end concepts: application (phone, online, paper)->data collection->EDBC->Reason Codes->Notices->Redeterminations (as well as Appeals))

4. Project Management

4.1. Project Management Standards

Overall governance structure and prioritization of tasks, issue resolutions, and risk mitigations will be set and managed by the State. However, IEDSS Program and Project Management staff will have a role in managing each of these components within the scope of IEDSS, while providing status and escalation to the State as appropriate. The Contractor is expected to support the State in maintaining an efficient and effective decision governance structure by providing best practices and/or insights from previous experience maintaining and operating a solution similar in size and scope as the IEDSS solution.

From the CMS MEET and SMC OBC, the Contractor must provide the following services with Program/Project Management for DDI efforts, and maintain these concepts throughout the Contract:

- **Planning Services**
 - Vision, strategy, assistance in developing goals and objectives
 - Concept of operations
 - Enterprise functional and non-functional needs analysis
 - Continuity of operations and disaster recovery planning
 - Architectural & engineering decomposition
 - Communications planning
 - Organizational change management, identify stakeholders and owners for each module and business area, assess stakeholder and owner needs, measure change adoption, administer reinforcement mechanisms
- **Management Framework Services**
 - Enterprise design, pattern and portfolio management
 - Enterprise architecture, modelling and integration
 - Enterprise technical roadmap orchestration with sequencing and transitioning plan
 - Enterprise functional and non-functional requirements
 - MITA strategy, align to-be and Standards and Conditions for Medicaid IT goals to module integration and certification plans, validate plans against MITA Maturity Roadmap, identify

- deviations from MITA strategy, manage issues and communication with MITA business process owners
- Development life cycle
- Enterprise management of master integrated schedule, scope, change control, risk management, and quality assurance
- **Functional Implementation Services**
 - Standards selection
 - Master data management, identity, and access management
 - Document management
 - Integration services
 - Business architecture and modeling, business rules engine
 - Information architecture and modeling
- **Technical Implementation Services**
 - Environment / infrastructure
 - Network services
 - Portal, module portal
 - Enterprise service bus, adapters, meta data repository, transfer engine, process orchestration engine, dashboard, batch engine
 - Identity management
 - Platform services layer, data services layer, master data
 - Enterprise services registry
 - Standards selection
 - Security architecture and framework
 - Application Programming Interface (API) management and governance, publish and promote APIs, automate and control connections, monitor traffic, provide memory management and caching mechanisms, manage governance platform, API subscriptions, API promotion meta-data and design checkpoints and synchronize with Service-Oriented Architecture (SOA) governance and business strategy and goals
- **Module Integration**
 - Advise source selection committee, assess modules for fit within enterprise architecture (EA) and integration platform
 - Validate open APIs and standards, fit/gap assessment documentation, inform configuration-over-customization decisions throughout project life cycle
 - Develop master data conversion, migration and test plans and associated procedures and standards
 - Define test acceptance criteria and standards enforcement
 - Oversee module vendor integration and deployment activities
 - Assist in module integration as required for modules vendors without sufficient native integration capabilities
- **Certification Involvement**
 - Participate in and support certification activities with State, CMS, the OV&V vendor, and the IV&V vendor (if the State is using an IV&V vendor to support major DDI or enhancement activities) and monitor necessary modifications.

From FNS, the SNAP Review of Major Change in Program Design and Management Evaluation Systems (<https://www.fns.usda.gov/snap/fr-011916>) (also see 7 CFR 272.15 - https://www.ecfr.gov/cgi-bin/retrieveECFR?gp&SID=554a114787306539d28c8b2866266b28&r=PART&n=7y4.1.1.3.20#se7.4.272_115) and Test Plan requirements (as part of FNS Handbook 901 and 7 CFR 277.18 (https://www.ecfr.gov/cgi-bin/text-idx?SID=a6828ac000f6e75ae4679d5beecb637c&mc=true&node=pt7.4.277&rgn=div5#se7.4.277_118))

are applicable to the Contractor. The State also requires support from the Contractor on ensuring that the FNS System Integrity Review Tool (SIRT) requirements are supported. While addressing a major enhancement, the Contractor shall support the State in completing Major Change and Test Plan documentation, as applicable for the “Major Change”. While the State will own and be responsible for documentation submitted for review to FNS, the Contractor will be expected to provide content as directed by the State and also address any questions, concerns, or corrective actions that FNS indicates throughout their review or during SDLC activities.

4.2. Project Plan Components

The Contractor must develop an overall Project Management Plan (PMP) that addresses execution of the Contractor’ scope of work and approach that adheres to the guidelines established by the State, Federal requirements (CMS and FNS noted above), and include the IOT Project Review Policy, found at https://www.in.gov/iot/files/project_review_policy_20110311_final.docx. The PMP must be delivered within 30 days after the Contract begins.

The PMP shall be developed according to industry standards and best practices including the Project Management Institute’s (PMI) latest Project Management Body of Knowledge (PMBOK) and IEEE system and software processes where applicable. Once the PMP is approved by the State, the Contractor shall maintain and modify the approved PMP throughout the project by updating it to reflect the evolving schedule, priorities, and resources (i.e., it is a living document). At a minimum, the PMP shall include:

- Project Schedule Management Plan
- Project Schedule
- Project Organization and Resource and Staffing Plan. This includes Vital Positions by name, title and job function, and whether the personnel are Contractor or subcontractor employees.
- SDLC Management Plan based on a Hybrid Agile approach
- Agile Configuration Management Plan
- Issue Management Plan
- Risk Management Plan
- Communication Plan
- Quality Assurance Measures
- Descriptions of any tools that the Contractor will use to manage any component of the Project Management Plan
- MITA Maturity Improvement Plan

The PMP must be provided to the State within thirty (30) days of the Contract start date. Following required State approval of the PMP, the Contractor must review the PMP monthly to determine if any updates are required. The State or the Contractor may request changes at any time to the PMP, but the Contractor and the State must mutually agree upon any updates.

4.3. Status Updates

The Contractor shall meet with the State weekly to provide project updates (see Management Reporting in Section 4.7). The Contractor shall submit Weekly Status Reports that include updated risk logs with risk mitigation strategies, issues logs, and the latest approved Project Schedule and status updates. The Contractor shall review these reports during the weekly update meetings.

The Contractor shall also attend any ad hoc meetings requested by the State. If on-site attendance is necessary, the State will provide advanced notice. See Attachment K for staff who are required to be

available in Indianapolis for meetings. If presentation material is necessary, the Contractor shall develop the materials.

4.4. Project Quality Management

The Contractor shall employ quality management to monitor and control project quality to achieve a high level of customer satisfaction with delivered products and services. The Contractor's quality management approach shall serve several purposes:

- Defines the approach to verify that project methods, processes, templates, and tools are being used by the project team properly and are effective.
- Defines the approach to verify that deliverables are meeting project standards and quality expectations.
- Defines what additional groups outside the core project team will be supporting the project to help achieve these quality objectives.

Quality Objectives and Standards. The Contractor shall employ quality standards that measure the quality of their services and also alert the OV&V Contractor and State management to when the Contractor may be at risk of not meeting requirements and service level agreements. Examples of quality standards include measuring the number of software bugs per component, defining the most effective way to write a requirement, and measuring the length of time it takes to complete a document review. The quality objectives for this Contract include:

- Implementing mechanisms to satisfy the State's IEDSS solution expectations
- Documenting and adhering to project-wide standards
- Proactively avoiding issues by mitigating risks
- Reporting and evaluating performance measures
- Clarifying questions and concerns regarding SLA performance status

Quality Management Planning. The Contractor shall conduct the following to enable Quality Management:

- Quality Planning – Identify quality standards and measurements that are relevant to the project, and if not incorporated will result in low quality results. Determine how to satisfy each quality standard via the project schedule, resourcing and internal procedures. Develop a Quality Management Plan and continually update it throughout the Contract to incorporate lessons learned and modified standards and/or processes.
- Quality Assurance - Perform activities to verify that the project is using the proper methods, templates, standards, and guidelines, as well as practicing the right processes to produce high-quality deliverables that satisfy project requirements.
- Quality Control – Review Contract results to determine whether they meet expected standards and requirements and implement corrective actions or improvements when they do not. Produce the metrics used to monitor project status report and have Contractor leadership address delinquencies and negative trends.

Implementing the Quality Management Plan. Each Contractor team member shall be familiar with the quality processes using the methods listed below:

- Quality Assurance / Quality Management Plan Walkthrough – Upon approval of the Quality Management Plan, the Contractor will conduct a training session for all Contractor and State team members to provide an overview of the Quality Management Plan and will emphasize the importance of quality processes. Additionally, the Quality Management Plan will be included as one of the onboarding documents for new Contractor team members.

- Project Standards – An onboarding packet will be provided to each Contractor team member and will include, but is not limited to, the following standards as appropriate for their role:
 - Documentation standards
 - Document control standards
 - SDLC standards
 - Requirements standards
 - Coding standards
 - Testing standards
 - Configuration standards
 - M&O standards

Deliverable Management. The Contractor shall employ deliverable management activities to draft, review and obtain appropriate levels of State approval for Contract deliverables. Deliverables are required outputs for Contract work, such as management reports (see Section 4.7) and SDLC deliverables (see Section 5.1).

- The Contractor will submit electronic copies of all deliverables, including non-written deliverables (e.g., source code and software and network configurations) for each task or subtask. Each deliverable submitted to the State for review and approval will have a formal transmittal letter from a Contractor Project Manager.
- The Contractor is responsible for validating that Contractor staff uses the appropriate, approved templates and project tools for deliverables.
- The Contractor shall submit deliverables that are complete, meet all contract requirements, and on time per the approved Project Schedule.

The deliverable management process is detailed below:

- **Develop Deliverable Expectations Document (DED) Review** – The Contractor shall create the DED to define expectations and content for each deliverable. Note: The State may choose to waive the requirement for a DED and DED review for any specific deliverable.
- **Develop Draft Deliverable** - The Contractor shall create the draft deliverable after approval of the DED (including any applicable review criteria).
- **Conduct Deliverable Walkthrough** - The Contractor team shall conduct a formal deliverable walkthrough with appropriate State stakeholders. This review is critical in validating whether the agreed upon structure and content of the deliverable has been achieved.
- **Submit Deliverable** - The Contractor shall submit the deliverable by the approved deadline. The deliverable will comply with agreed upon standards and include the content described in the DED.
- **Review Deliverable** - The State will conduct deliverable review(s). The OV&V may also participate in the deliverable review process, and in such cases, the Contractor shall provide the OV&V with any information requested. The Deliverable Feedback Form (DFF) will be used to plan the deliverable reviews, as well as document the feedback gathered and track the follow-up required to resolve any defects.
- **Attain Deliverable Acceptance and Approval** - Each final deliverable review will result in a written notice, via the Deliverable Acceptance Form, of a decision indicating deliverable acceptance or non-acceptance.

Corrective Actions. Quality defects identified during an internal quality review or at any other point during the Contract (e.g., by the State project manager) needs to be addressed quickly and tracked to closure. **Distinction made between quality defects and enhancements will be at the State's discretion, including determination of whether this defect/enhancement work will be classified as**

M&O or enhancement activity. The State has final determination of Testing Severity and Testing Priority for each defect, and for Incident Priority for each incident.

The Contractor shall document all quality defects identified during the quality assurance or quality management processes by request types (issues, risks, action items, changes, etc.) in the Contractor's tracking tool. Additionally, the Contractor Project Manager will take responsibility for resolving any non-compliance with quality standards.

4.5. Change Management

Integrated Change Management is the process of reviewing all change requests and approving and managing changes to evaluate the impact to time, cost, and quality. Having a well-defined and robust Change Management Process is crucial to the IEDSS solution because of the multiple end user organizations involved. For all SDLC activities within the Contract scope, the following change management activities are required:

- The Contractor shall analyze, size, and provide proposal / cost estimates.
- The State will review estimates and either approve or disapprove changes based on estimates, priority, and other factors.
- The State will clarify priority and impact on existing enhancements and other change requests.
- The Contractor shall work with the State to update project documents.
- The Contractor shall work with the State to communicate status to stakeholders.
- Both the State and the Contractor shall monitor outcomes.

Any Contractor requests for changes to approved deliverables, hardware, software, processing, procedures, manuals, forms, reports, and other artifacts will follow the same Change Management process.

IEDSS solution components are expected to respond efficiently and effectively to the need for changes stemming from the ever-increasing complexity of the health care and social services environment brought about by policy changes at the local, State, and Federal level. To stimulate and support innovative responses to the demand for change, the Contractor is required to actively participate in the change evaluation process and ensure that they analyze and understand the impact of all changes regardless of the originating party.

Example CRs have been included in Section 7 below as well as Tab 6 of Attachment J for an understanding of what are enhancements versus M&O services.

4.5.1. Change Management Process

Overview: The Change Management process for IEDSS is mature and supported with electronic forms with required fields, and a Steering Committee with regular meetings and Communication Plan. The Contractor will be provided access to all of these processes and the State's Atlassian Jira tool to support their role in Change Management. The State is open to considering an alternate tool.

The State shall issue a Change Request (CR) within this Contract's scope that the Contractor shall perform. The Contractor shall respond to the CR with a Change Impact Analysis, triggered by a request from the Steering Committee. Once the Change Impact Analysis has been approved for implementation (including any modifications made during the review process), the Change Impact Analysis shall be deemed an approved CR. The Contractor shall not begin work on any CR prior to receiving this State approval.

CR Contents: The CR will include:

- Description of proposed Change, including requirements
- Justification of Change, including cost benefit analysis if requested
- CR implementation date
- Type of Release (Major, Minor, Fix – see Section 4.6)
- Resource needs
- The State’s decision as to whether the CR will utilize a fixed fee or time and materials-based pricing
- Anticipated work location(s) and non-standard work hours, if applicable
- Deadline for Contractor to provide a Change Impact Analysis
- Applicable program/funding source for the Change

Change Impact Analysis: Within fifteen (15) days (or such longer period as the Contractor and the State may mutually agree) following receipt of a CR, the Contractor shall prepare and deliver to the State and the Steering Committee a written Change Impact Analysis, in form and substance acceptable to the State. At a minimum, a Change Impact Analysis will be a written assessment and evaluation of the impact of the proposed Change on the then current scope, price, and performance of the services in accordance with the time schedule agreed between the Contractor and the State. It must include the following, at a minimum:

- Description of the proposed Change
- Justification of the proposed Change
- Whether the Change is part of a Major Release, Minor Release, or Fix Release
- Staffing plan (organization chart, staff names and titles) and cost breakdown (hours by individual multiplied by contractual rates)
- Staffing projection analysis, with supporting documentation, of the reasons the Contractor believes the fees will be materially impacted by the proposed Change
- An analysis of the impact of the proposed Change on the following (as appropriate given the nature of the proposed Change):
 - Scope of the Contract
 - Projected or anticipated savings, if any
 - Performance standards
 - Delivery dates
 - Security impacts and how they will be addressed
 - Any other matter reasonably requested by the State or reasonably considered by the Contractor to be relevant
- A list of work products or deliverables that the Contractor will submit to implement the proposed Change
- A timetable for implementation of the proposed Change
- An assessment of the added value of a proposed Change to the State and to meeting the policy objectives
- Anticipated work location(s) and non-standard work hours, if applicable
- SLAs and any performance withholds or incentives in addition to those in the Contract

CR Approval: The Contractor and the State will cooperate with each other in good faith in discussing the scope and nature of each CR and related Change Impact Analysis. The Steering Committee will meet to discuss the CR, Change Impact Analysis, and any other matters concerning the Change to determine to approve, defer, or cancel the pending CR. In the event that more than one CR is pending concurrently, the Steering Committee shall establish the priority and sequence for addressing such changes. The State will approve and execute a written CR containing a description of the change, the pricing, any anticipated

increase or decrease in workload which may be caused to comply with such change once implemented, a timeframe for implementing the change, and any modification to any of the contract documents to reflect such change as the Contractor and the State shall mutually agree.

The State reserves the right to condition the approval of any CR on the review, input, and approval of any governmental body that the State deems appropriate with respect to the CR.

4.5.2. Right to Contract with Other Service Providers

Notwithstanding any other provision of this Agreement, the State retains the right to contract with one or more service providers for any matters that would be the subject of a CR.

4.5.3. Priority of Change Requests

In the event the State reasonably determines that in-process CRs cannot be accomplished within the expected timeframes, or which would be impractical to implement at the same time due to workload constraints and other relevant factors, the priority in which the CRs shall be worked shall be determined by the State.

4.6. Releases

Changes will be put into production either through a Major Release, Minor Release, or a Fix Release.

- Major release: Major or significant code impact, code change, and enhancement.
- Minor release: Minimal impact, code change, and enhancement.
- Fix release: For emergency or hot fixes.

Each Major and Minor Release is a collection of CRs (enhancements, changes, and configuration updates) and defects fixes, with indexed reference numbers tracked by the State's ALM tool. Non-Production Release promotions to production are individual CRs or defect fixes, also tracked via indexed reference numbers from the ALM.

The ALM toolset (Rational Jazz) will serve as both documentation and configuration repository for the guidelines on how code should be migrated and base lined. Code baselines provide a foundation for testing, training and subsequent releases.

Environments. Below are the names and descriptions of the IEDSS environments:

IEDSS Environment Name	Ownership Responsibility
Development (DEV)	<ul style="list-style-type: none">• Environment Owner is Application Development Manager• Development Activities and Unit Testing owned by the Contractor's IEDSS Application Team• The Contractor's IEDSS Application Team marks components ready for system testing to support selective delivery• Build and Deployment owned by the Contractor's IEDSS Technical Team• Server, Database and Network Infrastructure owned by IOT. The tools and processes used for software configuration items are defined in the System Configuration Guide document

IEDSS Environment Name	Ownership Responsibility
System Test (SYS)	<ul style="list-style-type: none"> Environment Owner is the Contractor's Test Manager System Testing activities, defect creation, and defect prioritization owned by the Contractor's Testing Team Build and Deployment activities are the responsibility of the Contractor's Technical Team. Confirmation of the Build and Deployment activities are the responsibility of the Contractor's Application, and the Contractor's Testing Teams Server, Database and Network Infrastructure owned by IOT
Integration Test (INT)	<ul style="list-style-type: none"> Environment Owner is the Contractor's Test Manager Integration Testing activities, defect creation, and defect prioritization owned by the Contractor's Testing Team Build and Deployment activities are the responsibility of the Contractor's Technical Team. Confirmation of the Build and Deployment activities are the responsibility of the Contractor Server, Database and Network Infrastructure owned by IOT
Integration Time Travel Test (INT Time Travel)	<ul style="list-style-type: none"> Environment Owner is the Contractor's Test Manager Integration Testing activities, defect creation, and defect prioritization owned by the Contractor's Testing Team Build and Deployment activities are the responsibility of the Contractor's Technical Team. Confirmation of the Build and Deployment activities are the responsibility of the Contractor Server, Database and Network Infrastructure owned by IOT
User Acceptance Test (UAT)	<ul style="list-style-type: none"> Environment Owner is State IEDSS Test Manager UAT activities are the responsibility of State Staff with assistance from vendor partners to verify software components and integration of the systems is functioning as documented per the requirements IEDSS Build and Deployment is owned by the Contractor's team Server, Database and Network Infrastructure owned by IOT The Contractor's UAT support staff will troubleshoot UAT defects in this environment
User Acceptance Test Time Travel (UAT Time Travel)	<ul style="list-style-type: none"> Environment Owner is State IEDSS Test Manager UAT activities are the responsibility of State Staff with assistance from vendor partners to verify software components and integration of the systems is functioning as documented per the requirements IEDSS Build and Deployment is owned by the Contractor's team Server, Database and Network Infrastructure owned by IOT The Contractor's UAT support staff will troubleshoot UAT defects in this environment
Training Development (TRN-DEV)	<ul style="list-style-type: none"> Environment Owner is the DFR Training Manager IEDSS Build and Deployment is owned by the Contractor's Technical and Training Teams Server, Database and Network Infrastructure owned by IOT The Contractor's Training team will use this environment to develop training materials

IEDSS Environment Name	Ownership Responsibility
Training Production (TRN)	<ul style="list-style-type: none"> Environment Owner is DFR Training Manager IEDSS Build and Deployment is owned by the Contractor's Technical and Training Teams Server, Database and Network Infrastructure is owned by IOT The Contractor's Training team will use this environment to train the State and State contracted staff
Production Staging 1 (PRD-S)	<ul style="list-style-type: none"> Environment Owner is DST Eligibility Systems Manager IEDSS Build and Deployment is owned by the Contractor's Technical and Training Teams Server, Database and Network Infrastructure is owned by IOT
Production (PRD)	<ul style="list-style-type: none"> Environment Owner is DST Eligibility Systems Manager IEDSS Build and Deployment owned by FSSA with help from IOT The Contractor to provide guidance and support to IOT with deployments The Contractor to help troubleshoot and resolve issues encountered in production Server, Database and Network Infrastructure is owned by IOT

4.6.1. Environment Mappings

Below is a mapping of the IEDSS environments to the corresponding systems environments that IEDSS directly interfaces with:

IEDSS Environment	DFR ESB Environment	CDMS Environment (maintained by Application Services Vendor to Support IEDSS Linkage to Benefits Portal, Agency Portal, and Document Center)	Data Warehouse Environment*
Development (DEV)	Not Integrated	Not Integrated	Not Integrated
System Test (SYS)	DFR ESB QA	CDMS SYS	Not Integrated
Integration Test (INT)	DFR ESB QA	CDMS SIT	WRIDB Test
Integration Test (INT Time Travel)	DFR ESB QA	CDMS SIT	WRIDB Test
User Acceptance Test (UAT)	DFR ESB UAT	CDMS UAT	WRIDB Test
User Acceptance Test Time Travel (UAT Time Travel)	DFR ESB UAT	CDMS UAT	WRIDB Test
Training Development (TRN-DEV)	DFR ESB Training	CDMS Training	Not Integrated
Training Production (TRN-PRD)	DFR ESB Training	CDMS Training	Not Integrated
Performance Test (PERF)	N/A	CDMS UAT	Not Integrated
Production Staging 1 (PRD-S1)	DFR ESB UAT	CDMS UAT	Not Integrated
Production (PRD)	DFR ESB Production	CDMS Production	WRIDB PROD

Note: All external parties (excluding CDMS) interface with IEDSS via DFR ESB. DFR ESB environment mappings to agency systems are maintained by DFR ESB team.

*: The FSSA Data Warehouse provides reporting functionality for Federally and State required reporting. See Attachment J for interface information between IEDSS<->DFR ESB<->Data Warehouse; however, the primary linkage between the FSSA Data Warehouse and IEDSS is not via interface like the other

entities listed in the above table. This linkage is done via Production IEDSS Oracle Database->Oracle GoldenGate “Mirror” Database->Data Warehouse maintained Informatica->Data Warehouse maintained Database.

See the “Interface Tracker” in Attachment J for further details on interfaces. As noted in the tracker, the majority of interface partners (except for CDMS and the unique Data Warehouse linkage) are available to IEDSS via the DFR ESB linkage.

4.7. Management Reporting

4.7.1. Status and Performance Reports

Recurring Management Reports. The Contractor shall submit the following three (3) weekly management reports addressing the status of change requests (CRs). There can be several concurrent CRs, and a report for each active one (i.e., planning and requirements have commenced) must be made available weekly for discussion with DFR, OV&V, and other applicable stakeholders.

- **Production Release Status Report** – all CRs and defect fixes related to all aspects of IEDSS solution components (including those applicable to IEDSS interfaces). The following fields must be covered in the Production Release Status Report:

- **Project Status**
- **Listing of DFR, IOT, and FSSA sponsors**
- **IEDSS Project Manager, Track Lead, Release Manager**
- **Project Description**
- **Project Benefits**
- **Key Updates, Critical Issues, Risks and Mitigations**
 1. General Status
 2. Key Updates
- **Requirements Status (depends on the Release and timing)**
- **Red/Yellow/Green Status for Schedule, Quality, and Cost (Resource Utilization/Availability)**
- **Status by Scope Items (content depends on the Production Release)**
- **Milestone Summary**
 1. Milestone
 2. Plan Start Date
 3. Estimated/Actual Start Date
 4. Plan End Date
 5. Estimated/Actual End Date
- **Open Issues**
 1. Description
 2. Created By
 3. Date Created
 4. Resolution Target Date
 5. Date Last Updated
 6. Status
 7. Impact
 8. Assigned To
 9. Resolution/Notes
- **Initial Resource Estimates (Hours) by Resource Type and Actuals expended so far**

1. Project Management
2. Business Analysis
3. Development
4. Testing
5. Technical
6. Other

- **SLA Compliance Status (See Section 13)**
- **Testing Status (Defect and Fix Status) in alignment with FNS Test Plan requirements**

- **Monthly M&O Status Report** – Report on the status of system M&O activities, including all performance standards in Section 13.2, status of defects found or worked on during the report period, IEDSS Contractor Tier 2/3 Helpdesk incidents logged or worked on during the report period.
- **Monthly Security Status Report** - Security status for all IEDSS solution components, with updates on assessments, defect fixes, security testing, and mitigation activities for all scope.

Ad Hoc Reports. The Contractor shall develop ad hoc status reports at the request of the State, with a ten (10) business day turnaround day unless otherwise specified by the State.

4.7.2. Task and Hours Tracking

For the purposes of cost allocation across the multiple users and funding sources for this Contract, the Contractor shall track the time spent by each team member. Fields will include:

- Staff member name
- Task / Justification of Hours Expended
- Hours
- Change Request (if applicable)
- Production Release number (if applicable)
- Program (may be able to indicate this via CR / task information as denoted during initial Steering Committee direction for the funding of the CR)

By the tenth day of each month, the Contractor shall provide an electronic report of actual hours worked by position and activity by approved enhancement. After the completion of an enhancement, the Provider will provide an enhancement-specific report of actual hours worked by position and activity within fifteen (15) days of the completion of the enhancement. The State will check invoice details before the invoice is processed.

The Contractor shall develop and maintain a tool to track this information and work with the State to finalize the reporting format and content. The State will allow the Contractor to determine the best tool to generate the required content. For example, the tool may be an Excel file, or it can be a module within a time tracking/HR tool. The State may audit the Contractor's compliance with the Contract, including these Task and Hours Tracking requirements. Consequently, using and maintaining a tool for these tracking purposes can streamline audit assessment activities, if the process and system are well maintained.

4.8 Infrastructure Coordination Management

The Contractor shall be responsible for maintaining the Infrastructure Coordination Calendar. This calendar captures upgrades and patches. An example screenshot is shown below.

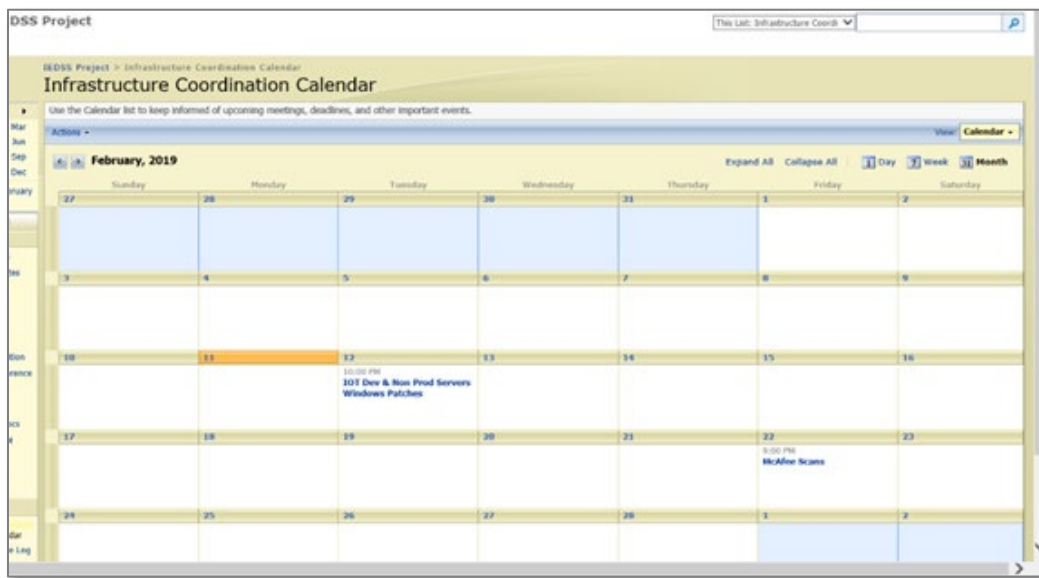


Figure 5: Infrastructure Coordination Calendar

5. Software Development Lifecycle (SDLC) Approach

The Contractor shall follow a Hybrid Agile SDLC process to maintain IEDSS solution components, while ensuring that all aspects of Federal Project Management and SDLC requirements. The Hybrid Agile SDLC process must be used to support all system-supporting scope under this Contract, including the execution of Change Request DDI activities as well as defect fixes and other M&O-related activities. The Contractor's approach must incorporate iterative methods for development and testing of software and training. The Contractor shall keep the State updated on status of all SDLC phases, with full clarity on items including but not limited to the requirements, supporting test artifacts, and build data implemented into the production environment and all pending functionality and design fully documented via Requirements Traceability Matrix (RTM) within the State's Application Lifecycle Management (ALM) tool. Note that the items (functionality requirements, test artifacts, etc.) no longer in production are also required to be available in the ALM, however, the Contractor will not have to update those items at the beginning of the Contract awarded by this RFP. Further, all design artifacts must be clearly noted in the State's SharePoint as in-production, legacy/archive design no longer in production, or pending updates for defect fixes and/or Enhancements in-progress. The State and the OV&V Contractor will monitor compliance with these standards and address consistently poor performance.

For each meeting with program areas and other stakeholders, the Contractor will be responsible for coordinating logistics, preparing the meeting agenda, documenting, and publishing meeting notes and action items.

These approaches have been in support of IEDSS solution components architected via traditional Service Oriented Architecture (SOA) or microservices. The table below contains the required minimum deliverables by SDLC phase. The Contractor may propose in their Technical Proposal alternate methodologies or enhancements to the current SDLC and architecture models if the methodologies can result in the deliverables below. Prior to using any alternative or enhanced methodologies, the Contractor must receive approval from the State. Note: The repository for all of these artifacts is the State's

maintained Microsoft SharePoint and ALM. The State maintains permissions, hosting, templates, and overall operations of these repositories and tools. The Contractor is responsible for organizing and maintaining all artifacts within SharePoint and the ALM. The Contractor is also responsible for configurations of build and deployment components within the ALM.

Maintaining Artifacts. The repository for artifacts is the State’s maintained Microsoft SharePoint and ALM. The State maintains permissions, hosting, templates, and overall operations of these repositories and tools. The Contractor is responsible for organizing and maintaining all artifacts within SharePoint and the ALM. The Contractor is also responsible for configurations of build and deployment components within the ALM.

Meetings. For each meeting with program areas and other stakeholders, the Contractor will be responsible for coordinating logistics, preparing the meeting agenda, documenting, and publishing meeting notes and action items.

OV&V Contractor Checkpoints. The OV&V Contractor will review deliverables at specific checkpoints during the SDLC process. The review at each checkpoint will consist of the following items before a sign-off can occur and the process can move forward:

- Accurate and consistent documentation of the project and SDLC artifacts
- Completion of all risk mitigations, issue resolutions, and action items
- All Testing Severity Level 1, 2, 3 defects and all Critical, High, and Medium Testing Priority fixed. Any residual defects have acceptable workarounds or compensations approved by DFR (see Section 5.3.2 for defect Testing Priority Levels)

The OV&V Contractor shall be granted access to all documentation repositories. This strategy will allow the OV&V Contractor to easily access any documentation and follow changes as they are made.

5.1. SDLC Deliverables

The table below contains the required minimum SDLC deliverables for each Release, which include aspects of CMS and FNS SDLC requirements, as documented in MEET, SMC OBC, FNS Handbook 901, FNS Major Change requirements, and FNS Test Plan requirements. These are expected for each Release, unless otherwise approved by the State.

Activity	Deliverables
Project Definition (Charter Development)	<ul style="list-style-type: none">• CR Document and CR Approval• Updated Production Release Program Timeline• Production Release Scope Document, including level of effort estimates• Project Schedule• Enhancement and defect work items from the ALM updated with Business Analyst, Developer, and Tester assignments

Activity	Deliverables
Requirements Definition and Analysis (Requirements Modeling)	<ul style="list-style-type: none"> • Updated Production Release Program Timeline • Updated Production Release Scope Document, with revised estimates • Updated Project Schedule • Requirements Document(s) / User Stories and Acceptance Criteria <ul style="list-style-type: none"> a. High level definition at the beginning of the SDLC project b. Details added as SDLC progresses c. Updates to requirements in ALM throughout • Requirements Traceability Matrix (RTM) Updates in ALM <ul style="list-style-type: none"> a. Maintain traceability throughout the Agile software development lifecycle • Form Specification(s) • User Interface Specification(s) • Include pertinent information as it applies from Americans with Disabilities Act (ADA) and Section 508-compliance requirements, as well as best practices related to these expectations • Include pertinent information as it applies from security requirements (see Section 5.2 for details) • Process Flow Document(s) • Security Impact Analysis (SIA) in each security-relevant deliverable (See Section 6.6, Security & Privacy)
Functional and Technical Definition and Analysis	<ul style="list-style-type: none"> • Functional and Technical Design Document(s) (See Attachment L, for examples). This includes any necessary user interface specifications, interface design documents, reports and forms, design documents, and process flows. • Architectural Specification(s) • Include pertinent information as it applies from Americans with Disabilities Act (ADA) and Section 508-compliance requirements, as well as best practices related to these expectations • Include pertinent information as it applies from security requirements (see Section 5.2 for details) • Updated Project Schedule • Updated Requirements Document(s), as necessary <ul style="list-style-type: none"> a. Requirements and RTM Updates in ALM, as necessary • Completed Design Review Report

Activity	Deliverables
Testing	<ul style="list-style-type: none"> • Master test plan that complies with FNS Test Plan requirements: https://www.fns.usda.gov/apd/apd-testing-items-faqs • Test plans for each testing phase, with go/no-go criteria for State approval • Include validation confirmation of all aspects of Americans with Disabilities Act (ADA) and Section 508-compliance requirements, as well as best practices related to these expectations • Documented test cases • Completion of all applicable testing cycles – Integration Testing, System Testing, End-to-End Testing, Regression Testing, Performance Testing, Security Testing, User Acceptance Testing (UAT), and Production Testing • Updated SDLC artifacts (e.g., Requirements Document(s), User Stories, Test Scenarios, Forms Specification(s), User Interface Specification(s), Business Use Case(s), Process Flow Document(s)) • Fully tested system, ready for production environment • For all security defects: a final vulnerability scan reports with all High and Moderate Testing Priority defects (as defined by MARS-E 2.0 and subsequent versions) remediated (for Moderates, compensating controls or workarounds approved by DFR in place). The report will group defects by the categorization provided in <u>NIST 800-53 Rev4</u> for the purposes of reporting compliance. See Section 5.2 and 5.3.4 for more information on vulnerability scan expectations • Security Test Plan report (See Section 5.2.)
Implementation	<ul style="list-style-type: none"> • Production Release Deployment Plan • Updated Production Release Project Schedule • Documented “Smoke Test” results • Operational production environment
Post-Implementation Support (Production Support)	<ul style="list-style-type: none"> • Defects documented in in the ALM with assigned Testing Severity and Testing Priority • “Lessons Learned” Document • Final deliverables and supporting work product documentation posted in SharePoint • New Application Scan Baseline Report, if required (See Section 5.3.4 for Security Requirements and consideration of them throughout SDLC phases. See Section 5.3.4 for Application Scan details (while conducting Application Scan is part of supporting Federal requirements, it can also be part of the testing with confirming compliance with some Security Requirements determined throughout SDLC phases))

Activity	Deliverables
Defect Management	<ul style="list-style-type: none"> • Defect records created in the ALM • Defects updated with a description of the nature and cause of the defect, as well as an assigned Testing Severity and Testing Priority, or closed out with the justification noted • Defects to be implemented within a Production Release • Defects to be implemented outside a Production Release • Preventative maintenance work items from the ALM • Change Request, if available • Defect Statistics Report • See Section 5.4 for additional information on defect management
Change Management	<ul style="list-style-type: none"> • Completed and approved Change Requests • Completed and approved Change Analyses with associated Estimating Worksheets (for IEDSS internal planning purposes) • Listing of prioritized preventative maintenance work items from the ALM • Approved Change Requests and/or preventative maintenance changes to be implemented within a Production Release • Approved Change Requests and/or preventative maintenance changes to be implemented outside a Production Release

5.2. Security Requirements by Phase

The information below is provided to give the Contractor an understanding of the security-related activities required as part of the development of deliverables in each applicable phase of the current SDLC process. For a complete listing of the Federally required security requirements as dictated by Federal and State entities, see Clause 12 of Attachment B. Note that the Contractor shall perform the following key tasks/activities during each SDLC phase:

- Requirements Definition and Analysis
 - Incorporate relevant security requirements based on FSSA Privacy and Security policies and Federal security requirements, including but not limited to current MARS-E 2.0 (and subsequent versions) standard, SSA security requirements, IRS Publication 1075 requirements, and FNS Security Requirements (see FNS Handbook 901). See Contract Attachment B, Section 12 for full list.
 - Include the Contractor's Chief Information Security Officer (CISO) as a reviewer of each of the stated deliverables where there is a security change or impact.
 - The CISO will provide the content and final approval for a section entitled "Security Impact Analysis", which is to be added to each of the security-relevant deliverables. This impact analysis will include a risk assessment of the security changes.
- Technical Definition and Analysis (Technical Design) (See Attachment L for examples)
 - Develop the technical design and architectural specifications, which must outline all security specific components that are changing, and be risk reviewed and approved by the CISO.
 - Develop or update the Security Architecture document.
 - Determine and document any baseline configuration changes. Note that all baselines are required to be updated yearly.
 - Determine and document any new and significant changes to security functions and determine additional security controls required to mitigate risks to a level acceptable to DFR. Requires approval by the Contractor CISO.

- Construction
 - Complete software development consistent with the “General Application Security Development Standard”. The updated code is checked into the code repository.
 - Run all National Institute of Standards and Technology (NIST) RA-5 security vulnerability tools beginning in this phase to ensure all flaws and vulnerabilities are resolved throughout the remaining phases, before go-live of any artifacts to production. As part of this phase, also use NIST SI-2 techniques to support identification and triage of system flaws as well as flaw remediation.
- System Integration Test
 - Develop Security Test Plan that includes IOT Security Engagement Checklist (see below) and Federal security requirements.
- User Acceptance Test
 - Execute the full Security Test Plan and provide results throughout execution to the State.
 - Vulnerability Scans
 - Execute the final set of vulnerability scans (outlined in the Security Test Plan) to confirm that no new security vulnerabilities have been introduced by the changes associated with the release.
 - Ensure that all High and Medium vulnerabilities (as defined by MARS-E 2.0 and subsequent versions) have been remediated and/or compensating controls have been applied with State approval. The State requires that all High and Medium vulnerabilities be remediated.
 - The final set of vulnerability includes Static and Dynamic vulnerability scans of the release code base, using applicable vulnerability assessment tools.
 - Vulnerability assessments are not limited to the UAT phase and may also occur during the Construction (Build and Unit Test) and SIT phases.
 - Vulnerability scan runs may be executed against the entire solution or against specific pages (and/or URLs) to ensure that any targeted vulnerabilities have been resolved and that no new vulnerabilities have been introduced.
- Change Management
 - Contractor CISO to review CRs for security impacts and a Risk Assessment must be performed.

IOT Security Engagement Checklist

The following is the shortlist of security controls that must be completed and approved before go-live of system components. IOT and the State must be engaged early in the development phases in order to have the controls applied appropriately and effectively:

- MARS-E 2.0 SI-4(2): Ensure that all servers are integrated with the threat management SIEM solution (application-focused SIEM events may also be required depending on risk profile of the change and availability of the SIEM service).
- MARS-E 2.0 SI-7, SI-7(1): Production servers integrated with the IOT-provided File Integrity Monitoring tool, as made available by IOT.
- MARS-E 2.0 CM-8, SA-22: Updated Information Security Component Inventory including servers and software, ensuring that unsupported system components are removed, and justification of risk is documented and approved by DFR.
- MARS-E 2.0 AU-2: Ensure that logs are configured and space is allocated for 90-days online storage.
- Backups are configured for all servers.
- IOT provided SSL certificates are applied to relevant services.
- MARS-E 2.0 RA-5: For major changes and/or for all new services, a penetration test is required.

- Ensure that FSSA Privacy & Security are aware of firewall rule updates that must be submitted to IOT for implementation. IOT owns the firewall appliance and all updates, but the Contractor is responsible for understanding the rules that are in place and supporting compliance with IOT firewall policies. Any exceptions to firewall rule standards must be justified with compensating controls clarified and realized.
- This list is subject to update or revision as deemed appropriate by the State. The Contractor's CISO may propose updates or revisions for State approval.

5.3. Testing

5.3.1. Overview

The objective of the overall testing effort is to verify that any IEDSS CR or enhancement performs according to approved design specifications and Federal/State requirements, along with clarifications resulting from defect resolution throughout testing phases. The State will not allow a production release to go live with Testing Severity Level 1-3 defects and Critical, High, or Medium Testing Priority defects (see Section 5.3.2 for defect Testing Severity and Priority Levels). Additionally, as will be detailed throughout the testing phases, this Testing Severity and Testing Priority scoring is used to inform entrance and exit criteria.

The Contractor shall conduct the following testing before production for any CRs and enhancements: Unit Testing, System Testing, Integration Testing, End-to-End Testing, Regression Testing, Performance Testing, Security Testing, User Acceptance Testing (UAT) support¹ and Production Testing.

Through testing efforts, the Contractor must adhere to the following:

- Test environments will be configured correctly and in alignment with anticipated functionality prior to test execution.
- Utilize effective test standards: Develop well-documented, repeatable test standards to facilitate analysis and regression testing of identified defects throughout all test phases.
- Clearly define and measure testing entry and exit criteria: Minimize the gaps and overlaps in testing by clearly defining the objectives of each test phase/cycle and measure against entry and exit criteria to determine whether those objectives are met.
- Exercise end-to-end business process lifecycles early and often: Structure testing to support execution of end-to-end business processes.
- Prioritize what will be tested and in what order: Identify the Critical, High, and/or Medium impact requirements to be tested as early as possible to provide the time needed to resolve potential issues (see Section 5.3.2 for defect Testing Priority Levels).
- Automate testing where possible: Utilize automated testing tools to increase test execution speed and accuracy within the testing phases.

5.3.2. Testing Severity and Priority Criteria

Each defect will be assigned a Testing Severity and Testing Priority level.

Testing Severity

Testing Severity is the major defect categorization used to guide defect/issue resolution. This field is required when a defect is submitted and is used to classify the impact of the defect on the application and the testing process. When reporting IEDSS defects, the following Testing Severity levels are used:

¹ The Contractor shall support the State through the State's conduction of User Acceptance Testing (UAT)

Testing Severity Level	Description	Example
1	System Failure. No further processing is possible.	Critical to solution availability, Results, Functionality, Performance, or Usability.
2	Unable to proceed with selected function or dependents.	Application Sub-system available, Key Component unavailable or functionally incorrect (Workaround is not available).
3	Restricted function Capability; however, processing can continue.	Non-critical component unavailable or functionally incorrect; incorrect calculation results in functionally critical key fields/dates (Workaround is normally available).
4	Minor cosmetic change.	Usability errors; screen or report errors that do not materially affect quality and correctness of function, intended use or results.

Testing Priority

In addition to the Testing Severity level, each defect is also assigned a Testing Priority level to help prioritize the fixes for defects using the following Testing Priority codes. The Testing Priority Codes are an indication of the importance of the function to the business.

Testing Priority Level	Description	Example
A	Critical	Defect is imperative to the system's ability to support business functions.
B	High	The defect should be fixed as soon as possible.
C	Medium	The defect should be fixed as soon as there are no more “A” (Critical) Testing Priority defects.
D	Low	The defect must be fixed before the next code drop or hand over to the next level of testing.

5.3.3. Testing Requirements

- a. Where testing requires interactions with systems other than the IEDSS solution, the test data analysis will be conducted and test data requirements will be submitted to the respective system owners. The following list provides the data acquisition/creation approach:
 - Derive test data requirements from functional and technical requirements.
 - Document test data requirements and engage the State team to confirm data needs and functional accuracy.
 - Where testing requires interactions with systems other than the IEDSS solution, communicate test data requirements to system owners and their SDLC staff, as appropriate.
- b. The test data used during the testing phase will comply with the following characteristics:
 - The test data used during the testing will be non-production data with no Protected Health Information (PHI)/ Personally Identifiable Information (PII) or other secure data. However, the data must be sufficiently representative of production data for sufficient testing. If production data presents a defect in a higher-level environment, and testing is required to analyze and/or test the defect mitigation, then masking will be done in compliance with Federal and State requirements prior to the data being loaded in this Test environment.
 - Test data received from external systems may be utilized to execute test cases when required

for testing inbound data flows and data characteristics. This transactional test data will typically be utilized to complete business flows.

- c. Build Verification Testing (Smoke Testing) is comprised of a non-exhaustive set of tests that aim to ensure that the most important functions work. The result of this testing is used to decide if a build is stable enough to proceed with further testing. The Contractor shall conduct smoke testing for each testing phase prior to the start of the testing activities and after each code release into that phase's Testing environments to confirm the environment's and component's readiness. Smoke Testing is conducted manually and with the automated tools.
- d. The following criteria will be met before a Testing phase can begin:
 - Design for scope to be tested is complete and approved by the State.
 - Development of components is completed for the scope to be tested prior to test execution.
 - Preceding testing phases are complete for the scope to be tested prior to test execution.
 - Vendor partners, as appropriate, are available for the phase's Testing.
 - The environment is configured correctly and in alignment with anticipated functionality prior to test execution. The environment has been smoke tested.
 - The schedule and scope of testing to be executed has been defined.
 - All testing tools are installed and configured for developers.
 - Access permissions have been requested and acquired for any users needing such privileges.
- e. The following criteria must be met before a Testing Phase can be considered complete:
 - Achievement of 100% Execution with 100% Passed.
 - Any defect and risks identified during Testing have been identified with mitigation strategies.
 - Defects with Testing Severity 1, 2, or 3 are resolved and associated functionality is working correctly. Defects with Testing Priority A, B, or C are resolved and associated functionality is working correctly.

5.3.4. Required Types of Testing

The Contractor is required to conduct all of the following phases of testing for each CR unless otherwise approved by the State. It is anticipated that automated testing techniques will be leveraged to the greatest extent possible to augment all aspects of the IEDSS testing program, which must include compliance with CMS and FNS SDLC requirements.

a. Unit Testing.

Unit testing is performed on each isolated unit of an IEDSS solution component prior to integrating them to validate that each unit is working as expected. Each unit test case is scheduled and executed by a developer who developed the unit and has knowledge of the component's functionality. Scenarios and cases are derived from requirement and design documentation. These test scenarios and cases created by developers are reviewed by the State for approval. Developers are encouraged to use, where optimal, automated regression Unit Testing tools and approach to augment their Unit Testing validation efforts. It is anticipated that "stubbing out" of interfaces may be a strategy employed for System Testing.

b. System Testing.

System testing is the process of validating the IEDSS solution component against requirements and design specifications. System Testing scenarios and cases will focus on validating non-functional requirements as well, including ADA/Section 508 Compliance, usability, performance, and compliance

with security regulations and expectations. It is anticipated that “stubbing out” of interfaces may be a strategy employed for System Testing.

c. Integration Testing.

Integration Testing validates that all related system and functional components maintain data integrity and can operate in coordination with other sub-systems in the same environment. The testing process confirms that all functional components are integrated successfully and provides expected results. It is anticipated that interfaces would not be “stubbed out” for this testing, unless it is unavoidable (e.g., interface partner does not have a test environment).

d. End-to-End Testing.

End-to-End Testing will validate the integration and system transaction flows in the IEDSS solution, while also factoring in interface partners and their systems as appropriate. End-to-End test scenarios and test cases will be created by the Contractor test team and reviewed by the State for approval prior to execution. Similar to Integration Testing, it is anticipated that interfaces would not be “stubbed out” for this testing.

e. Regression Testing.

The Contractor testing team will create and execute Regression Testing scenarios and cases, with the State’s approval, for IEDSS solution components along with interface partner components to confirm that functionality does not regress across components based on approved requirements and design. Additionally, the Contractor and the UAT team, as appropriate, will conduct Regression Testing of “old” test scenarios and test cases when defect fixes or CRs are tested so that no related functionality fails following defect fix or CR development efforts.

The test cases for Regression Testing will be identified during test design and execution primarily in the System Testing, Integration Testing, and UAT phases. The regression test suite will be maintained and updated after each major release to System Test Phase.

Both manual and automated Regression Testing is encouraged to streamline and support quality SDLC.

f. Performance Testing

The focus of Performance Testing includes validating: the IEDSS solution’s behavior under both normal conditions and peak load conditions, that inbound services can handle the anticipated normal conditions and peak load conditions for incoming requests, that outbound services can be generated to critical partners for anticipated normal conditions and peak load conditions, and that the batch cycles can complete within the batch window.

In addition to the exit criteria in Section 5.3.3, the IEDSS production environment will be load tested for performance to measure whether it can accomplish, at a minimum, M&O SLA performance (see Section 13.2.1 for SLAs).

Automated Performance Testing is encouraged. The State owns Rational Performance Tester (RPT) licensure that is available for the Contractor’s use, and the State would consider the use of the Contractor using their own Performance Testing application, assuming it complies with all Federal and State security and technical requirements.

g. Security Testing

Security testing is conducted using the methodologies cited by MARS-E 2.0 (and subsequent versions) and FSSA Policies. The testing will confirm that implemented security and privacy safeguards are in compliance with Federal and State security requirements as they pertain to MARS-E 2.0 (and subsequent versions), HIPAA requirements, and FSSA Policy. Please see Sections 5.2, 5.3.4.g, 6.6 and Section 11 for the full description of contractual security standards.

The entry criteria for Security Testing are:

- Design completion: System Requirements, Non-Functional Requirements, Security Requirements, Preliminary System Design, Detailed System Design, and technical artifacts are finalized and approved.
- Testing readiness
 - Test cases for Security & Privacy Control Testing are completed and are reviewed by the Contractor and State security teams.
 - Test cases for Logging & Monitoring are completed and are reviewed by the Contractor and State security teams.
 - Approach for Vulnerability Scanning is approved by the State.
 - Approach for Application Scanning is approved by the State.
- Testing tools are made available and configured.
- Test environments are made available and have been successfully Smoke Tested by the Contractor.
- Note: Enterprise-wide infrastructure vulnerability and functional security testing (e.g., servers and network) will be the responsibility of the State. The IEDSS solution-related vulnerability and security testing as well as Application Scanning will be conducted by the Contractor. Throughout the Contract, the State may conduct vulnerability assessment activities, either via State resources or via third party assessor. Regardless, they may employ vulnerability assessment activities, including vulnerability scans and Application Scans. The Contractor must support the State and/or third-party assessor in ensuring environment and application availability for these activities. The Contractor must also address the findings and defects, as applicable, generated from these activities.

The exit criteria for Security Testing are:

- Testing completion
 - Vulnerability Scanning activities have been completed.
 - Application Scanning activities have been completed.
 - Planned Test Cases for Security & Privacy Control Testing have been executed.
 - Planned Test Cases for Logging & Monitoring have been executed.
 - Vulnerability Scanning results have been shared and approved by the State.
 - Application Scanning activities have been shared and approved by the State.
 - Test results for Security & Privacy Test Cases have been shared and approved by the State.
 - Test results for Logging & Monitoring Test Cases have been shared and approved by the State.
 - Go/No-Go meeting is conducted with State and the Contractor to review the test results.
- Risk
 - Mitigation strategy has been identified for the risks identified during the security testing activities (i.e., Vulnerability Scanning, Application Scanning, Security & Privacy Controls Testing, and Logging & Monitoring).
 - Residual risk expected as employing this strategy.
- Defects

- Defects with Testing Severity 1, 2, or 3 and defects with Testing Priority A, B, or C identified during security testing (i.e., Vulnerability Scanning, Application Scanning, Security & Privacy Controls Testing, and Logging & Monitoring) are resolved.
- Note: Go/No-go meeting(s) will be conducted with the State and the Contractor to review security test results.
 - Unresolved defects with Testing Severity 1, 2, or 3 and unresolved defects with Testing Priority A, B, or C may result in a No-go decision for release.
 - The decision to migrate the secure code into a pre-production environment will be made by the State, FSSA Privacy & Security, the Contractor, and other key project stakeholders.

h. Usability and Accessibility Testing

As part of already required compliance with Website Accessibility under Title II of the American Disabilities Act (ADA), 28 C.F.R. § 35.160, 28 C.F.R. § 42.503, Section 504 of the Rehabilitation Act, Section 508 of the Rehabilitation Act, HHS CMS MEET requirements, and FNS Handbook 901 requirements (as well as “SNAP Guidance Best Practices for Online Applications”), use Web Content Accessibility Guidelines 2.1 (WCAG 2.1) or an equivalent standard in ongoing Software Development Lifecycle (SDLC) requirements, design, testing, ongoing assessment, and defect resolution of the systems that the Contractor maintains on behalf of DFR. This expectation applies to M&O scope and should also be incorporated within any enhancements that may modify components that the Contractor maintain on behalf of FSSA DFR.

The entry criteria for Usability and Accessibility Testing are:

- Design completion: System Requirements, Non-Functional Requirements, Usability Requirements, Accessibility Requirements, Preliminary System Design, Detailed System Design, and technical artifacts are finalized and approved.
- Testing readiness
 - Test cases are completed and are reviewed by the Contractor and State.
 - Test cases for Logging & Monitoring are completed and are reviewed by the Contractor and State.
 - Approach for Application Scanning is approved by State.
- Testing tools are made available and configured.
- Test environments are made available and have been successfully Smoke Tested by the Contractor.

The exit criteria for this phase are:

- Testing Completion
 - Planned test cases have 100% been executed and retested, as applicable.
 - Go/No-Go meeting is conducted with State and testing stakeholders to review results.
- Risk
 - Mitigation strategy has been identified for the risks compiled within the phase.
 - Residual risk is identified for each phase of the mitigation strategy, as applicable.
- Defects
 - All Defects with Testing Severity 1, 2, or 3 are resolved and associated functionality is working correctly. Defects with Testing Priority A, B, or C are resolved, and associated functionality is working correctly.

i. User Acceptance Testing (UAT)

The UAT phase confirms that IEDSS solution releases are production ready. The purpose of this testing is to evaluate the solution's compliance with the approved requirements and design. UAT is performed only after Testing Severity 1, 2, or 3 and Testing Priority A, B, or C defects have been resolved in lower level testing.

The Contractor shall support the State throughout all UAT tasks. The major tasks are outlined below.

Test Phase	Task	Description	Contractor Responsibility	State Responsibility
Test Analysis	Requirements Review	Identify and review requirements and CRs.	Identify applicable artifacts for State.	Review in prep for UAT.
Test Analysis	Design Documentation Review	Identify and review design documents that implement the requirements.	Identify applicable artifacts for State.	Review in prep for UAT.
Test Analysis	Traceability Review	Identify and review the requirement traceability in order to identify any potential gaps in coverage that need to be addressed during UAT.	Identify applicable artifacts for State.	Review in prep for UAT.
Test Planning	Metrics Reporting Development	Develop, document, and communicate the metrics to be reported during UAT and the mechanism for communication of those metrics.	Support State in clarifying this mechanism and reporting.	Be prepared to provide the requested metrics and reporting for UAT.
Test Design	Workflow Mapping	In conjunction with State SMEs, identify and document the high-level workflows implemented by the system, including End-to-End workflows incorporating interfaces, including those with interface partners.	Identify applicable items.	Review and meet with Contractor and State SMEs, as applicable, to work through this effort.
Test Design	Test Case/Test Script Development	Identify, prioritize, and document test case scenarios and the positive, negative, and alternate flows necessary to validate all requirements and design specifications.	Address State concerns or questions.	State is responsible.

Test Phase	Task	Description	Contractor Responsibility	State Responsibility
Test Preparation	Test Data Development	Define and create the test data required to successfully execute documented test case scenarios.	Support the State in mocking up any interface files and/or other items that the State cannot interact with directly (e.g., database table mock-ups if applicable). Support the State in determining the overarching rules for test data (e.g., conventions and standards).	Work with Contractor on the overarching rules for test data (e.g., conventions and standards). Create scenarios that include clear test data and mock-up data in the test environment, as applicable.
Test Preparation	Test Case Review	In conjunction with State SMEs, review test case scenarios to ensure that all necessary flows have been incorporated into test scripts and that all requirements are covered.	Address State concerns or questions.	State is responsible.
Test Preparation	Test Script Validation	Dry run of test scripts on UAT environment.	Address State concerns or questions.	State is responsible.
Test Execution	Test Case Execution	Execute each test case scenario and document execution results, including defects.	Address State concerns or questions.	State is responsible.
Test Execution	Execution Results and Defect Reporting	Develop, document, and communicate the results of test case execution, including defect status, through standardized reports.	Generate the reports based on the data the State has provided in their UAT efforts.	Provide the data for the reports.
Defect Resolution	Defect Management	Triage and fix defects for retest. (See Section 5.4 for details.) May repeat this Phase and Test Execution Phase as applicable.	Facilitate triage discussions with the UAT team, and fix applicable defects. Document in the ALM the results of triage and any next steps on the defect, up through State retest.	Attend and provide feedback in triage discussions to support the Contractor through defect management efforts. Retest defects and/or defect fixes as applicable.

Test Phase	Task	Description	Contractor Responsibility	State Responsibility
Test Closeout	Test Closeout	Develop, document, and communicate test closeout results upon completion of UAT.	Contractor to provide reporting based on UAT team-provided data.	Provide data to support this reporting.
Test Closeout	UAT Sign-off	Upon successful completion of UAT, provide a recommendation to the State pertaining to the IEDSS solution component's readiness for production deployment.	Contractor to provide reporting based on UAT team-provided data.	Provide data to support this reporting.

As opposed to the earlier phases of testing (e.g., System Testing and Integration Testing), Smoke Testing for this phase is handled by both the Contractor and the UAT team. This ensures that the Contractor can support the build process while UAT can signal a build failure as soon as possible for the testing that they had anticipated to undertake. Both manual and automated smoke testing is encouraged, to validate a build prior to in-depth UAT activity.

The Contractor's test plan and project schedule must allocate enough time for comprehensive UAT for all applicable functionality including the opportunity for regression UAT and retests of defect fixes.

The entry criteria for UAT are:

- Design Completion: System requirements, preliminary and detailed design documents shall be finalized and approved by the State.
- Testing Readiness
 - Integration Testing is complete; defects with Testing Severity, 1, 2, or 3 are resolved and associated functionality is working correctly. Defects with Testing Priority A, B, or C are resolved and associated functionality is working correctly.
 - Defects with Testing Severity 3 have documented workarounds approved by the State.
 - Go/No-go decision has been made by the key project stakeholders on proceeding with UAT for the scope to be tested.
 - Test cases are documented with test data aligned with the Test Cases.
- Interface Partner Readiness: Integration Testing for vendor partner systems' components is complete and interface testing is completed with functionality available for UAT.
- Testing tools are made available and configured.
- The UAT environment is available, configured, and has been successfully Smoke Tested.
- During the execution of Test Cases, the Contractor team will notify the UAT team, in writing, of any change in design and/or defects introduced.

The exit criteria for UAT are:

- Testing Completion
 - Planned test cases for UAT have 100% been executed and retested, as applicable.
 - Go/No-Go meeting is conducted with State and testing stakeholders to review UAT results.
- Risk
 - Mitigation strategy has been identified for the risks compiled within the UAT phase.
 - Residual risk is identified for each phase of the mitigation strategy, as applicable.
- Defects

- All Defects with Testing Severity 1, 2, or 3 are resolved and associated functionality is working correctly. Defects with Testing Priority A, B, or C are resolved, and associated functionality is working correctly.

j. Production Testing

The purpose of Production Testing is to Smoke Test with identified End User and SME staff as appropriate to ensure that the Production build is working as anticipated. With successful Production Testing, the build deployment into the Production environment can be signaled as appropriate for Production use.

The entry criteria include:

- A fully documented Implementation Plan approved by the State that includes rollback criteria and plan to support critical issue mitigation.
 - Scenarios and owners of Production Test Scenarios/Cases documented in Implementation Plan.
- Go vote from DFR to deploy a production build.
 - The Release Management Plan indicates all the representatives who contribute to Go recommendations for DFR.
- All lower level testing is complete with all defects with Testing Severity 1, 2, or 3 resolved and associated functionality working correctly. Defects with Testing Priority A, B, or C are resolved and associated functionality is working correctly.

The exit criteria include:

- The Implementation Plan is completed for the Production build deployment, including all the Production Testing that was scoped in the plan.
- Defects with Testing Severity 1, 2, or 3 are resolved and associated functionality is working correctly. Defects with Testing Priority A, B, or C are resolved and associated functionality is working correctly.

5.4. Defect Management

Defects are discrepancies between the documented expected system behavior and the actual system behavior encountered during testing. The discovery of a defect will result in either documentation update(s) and/or development resolution(s), and upon resolution, the Contractor, the State testing team, and/or interface partners will be engaged to verify the fixes. Defect management requirements are highlighted in this section, but the full details of defect management will be developed in the Defect Management Plan, which will be finalized with the Contractor upon project initiation. **Please see Attachment M and Section 6.3 for additional pertinent details and expectations, given the fact that defects may be determined as a result of incidents. The Contractor must make the full description of the defect available for review to relevant parties within the State's ALM, including third party reviewers with minimal to no defect background.**

When a tester finds a defect, the tester will enter the defect into the ALM and assign the Testing Severity and Testing Priority level. The lifecycle of a defect is detailed below:

1. **New** – A defect is new when it is first created.
2. **Triaged** – A defect is being analyzed by the Contractor.
3. **Assigned** – The defect is triaged and assigned to the Contractor.
4. **Development in Progress** – A valid defect is assigned to the Contractor and the developer(s) begin(s) working on it.
5. **Development Complete** - A fix for the defect is complete.

6. **Build Deployed** – A fix for the defect is complete and ready for deployment to the appropriate test environment.
7. **Ready For Test** – A defect has been deployed and is ready for the Contractor test team, the UAT team, and the interface partner team to retest, as appropriate, the defect fix to validate that the system operates per design.
8. **Closed** – A defect has been retested successfully and closed.
9. **Cancelled** - A defect that is invalid or is a duplicate can be Cancelled.

The defects can follow the following alternate paths:

1. **Withdrawn** – A defect that is invalid or duplicate can be withdrawn.
2. **Rejected Defect** – A defect with an unsuccessful fix validated by the testing team (Contractor team, UAT team, and/or interface partner) will be rejected for the Contractor to readdress the defect fix.
3. **Return to Testing** – A defect can be returned to testing team (Contractor test team and/or UAT team) if the information in the defect is not adequate and the developer(s) seek(s) more information.

Defect Management Meetings: At defect management meetings, the **Testing Priority** and **Testing Severity** of defects will be reviewed. For the defects where any clarification is required, the tester and/or SMEs (from State and the Contractor) will also be a part of the meeting. DFR leadership will be kept informed on defect status through defect reports and regular management and testing meetings.

UAT Defect Remediation Schedule: Defects identified during UAT testing must be fixed within the following timeframes:

- Testing Severity Level 1 or Testing Priority Level A defects must be fixed within one (1) business day
- Testing Severity 2 or Testing Priority Level B defects must be fixed within two (2) business days
- Testing Severity 3 or Testing Priority Level C defects must be fixed within one (1) week, unless otherwise approved by the State
- The State and the Contractor can agree upon criteria for resolution time frames for Testing Severity Level 4 and Testing Priority Level D defects

Post Go-Live Defect Escalation: The escalation timeframe for defects post go-live by Testing Severity and Testing Priority is listed below:

Defect Type	Post Go Live Escalation Time Frame
Testing Severity Level 1 or Testing Priority Level A	One (1) Hour
Testing Severity Level 2 or Testing Priority Level B	One (1) Day
Testing Severity Level 3 or Testing Priority Level C	Three (3) Days
Testing Severity Level 4 or Testing Priority Level D	One (1) Week

Defect Logging Guidelines: Defects should be resolved in the most expeditious manner. They should be well-written and minimize the need for clarifications requested by the State Test Lead and other State team members, interface partners, and Federal partners. Where possible, the tester should include screenshots of the error, videos of the test process that resulted in the subject defect, or similar information that will allow the State to make a full and complete assessment of the defect and thereby design and develop a complete fix.

The content should have the following information:

- A descriptive name (e.g., “Unable to open account”)
- A full description of the defect (e.g., “When creating a new account, error message 101 is returned when submitting the record”)
- Clear steps to reproduce the defect / a breakdown of the test steps leading to the detection of the defect
- Test Case name and number
- Test Script name and number
- Expected Result
- Actual Result
- Screen shot(s) when applicable
- Screen URL(s) when applicable
- SQL query statement(s) when applicable

In the “Steps to Reproduce”, anyone with basic knowledge of the system should have enough detail to adequately reproduce the defect.

5.5. Release Promotion Process

The ALM is used to control the build and deployment process. The Contractor, FSSA, and IOT use the RTC tool to trigger builds and deployments. Builds and deployments can be run on specific dates and times as identified by Contractor Testing Team, State Test Team, FSSA, or on predefined intervals, on specific environments. Builds can be set to run only if there are any new changes to build, or manually run with a specific subset of new changes. The Contractor controls and coordinates the installation schedule in Non-Production environments, as well as the corresponding shut down and restart of services. Production environment release schedules are determined by the IEDSS Application/Operations Team in conjunction with FSSA. FSSA’s approval is required for any production activities. All production maintenance and deployments are done with the assistance of IOT and are subject to their maintenance windows.

The below flow diagram represents release activities for deployment to a target environment in execution sequence:

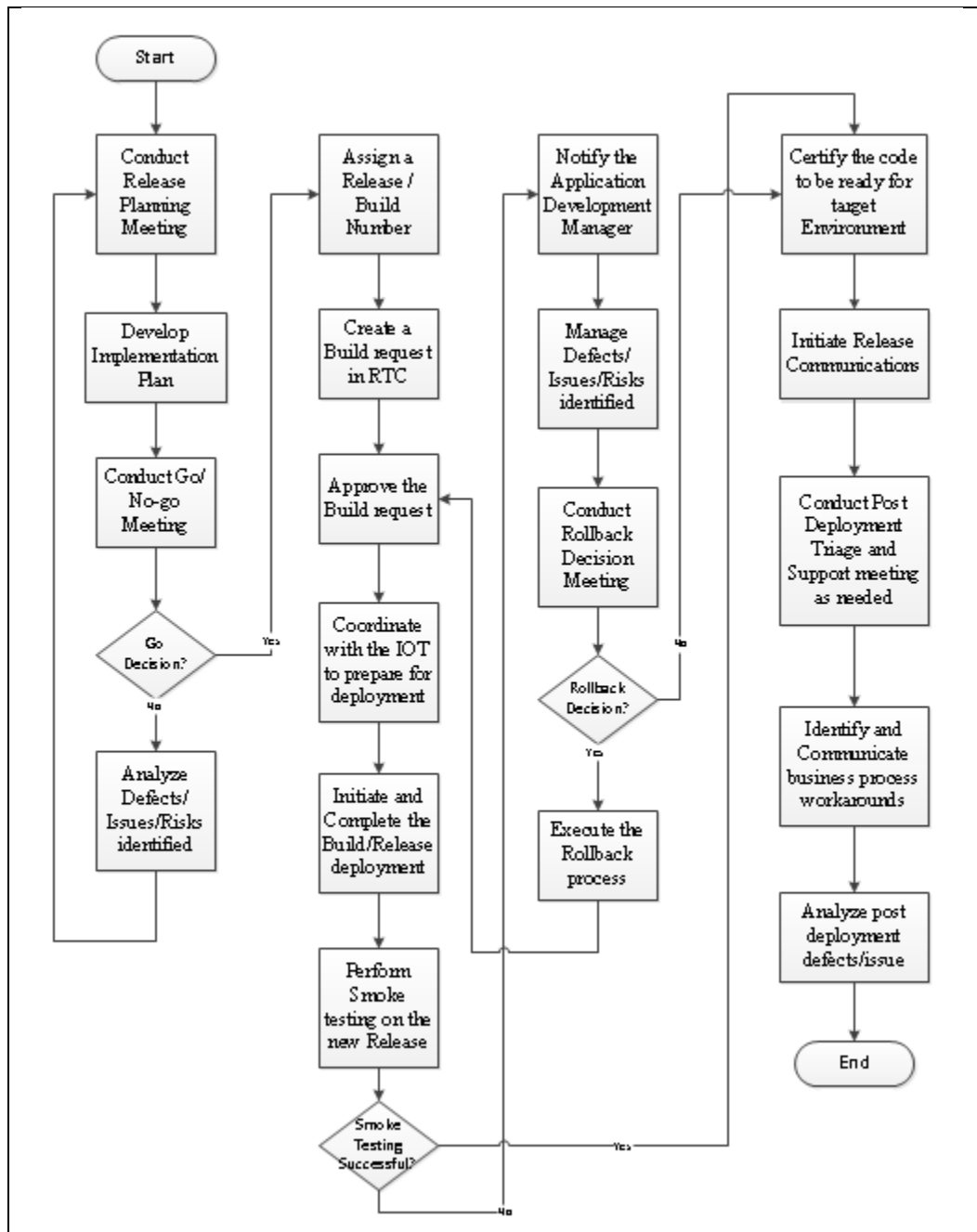


Figure 6: Release Activity Flow

Below is a diagram that depicts a high-level example of the IEDSS release promotion process (reminder: incidents and defects are tracked by environment, and resolution of any of these may require updates in the DEV environment prior to higher environment promotion.):

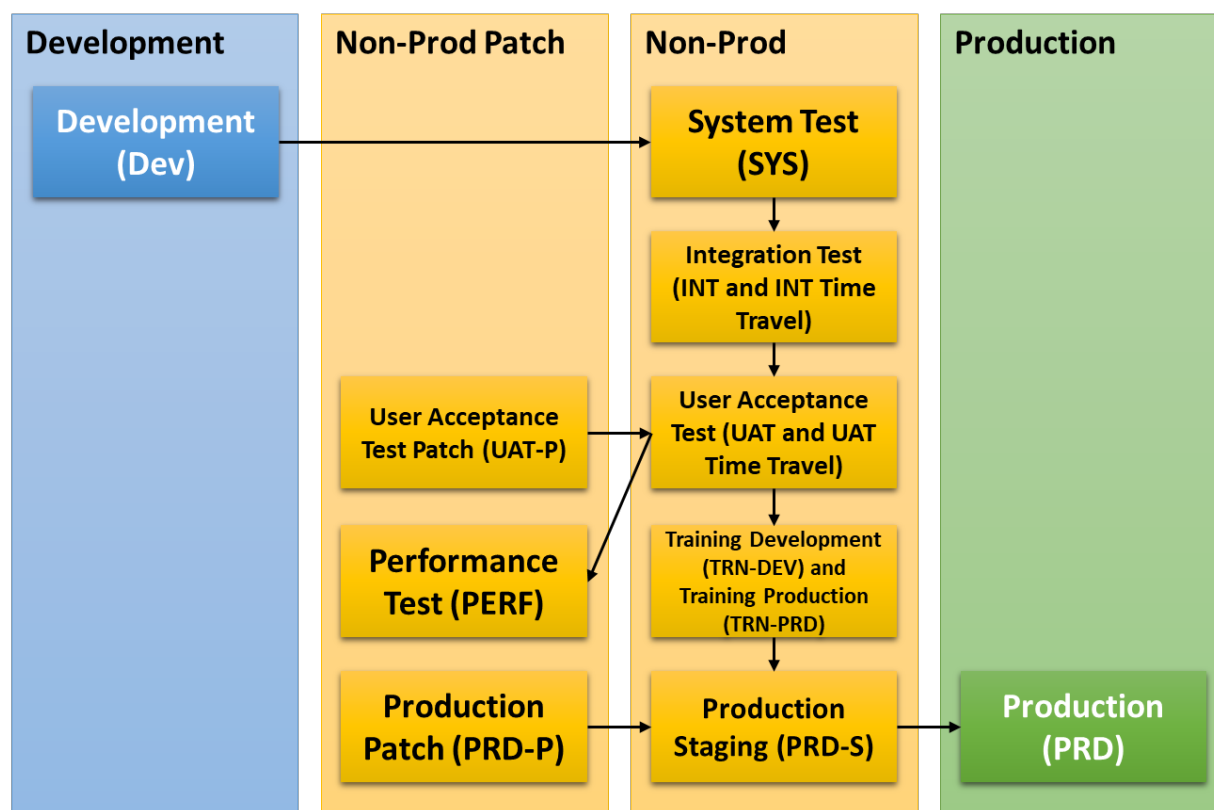


Figure 7: Release Promotion Diagram

Additional Release Management Notes:

- **Environment “ownership”:** The State’s ALM was configured by the current Contractor to support build promotion and management across all IEDSS non-production and production environments. Further, IEDSS has a number of roles (see Attachment L) that can be assigned in all environments, with different roles possible in each environment, per State ID (e.g., An SEM in production could be an SEC in TRN-PRD). Authorized individuals who “own” an environment can assign roles to State-issued credentials. Further, authorized individuals have role-based access to the ALM for promoting new releases into the environments they own. Lastly, authorized individuals are consulted on approval for data fixes in the environments they own, executed via secure database administration tested in lower environments and only promoted after approval. The Contractor shall ensure that the desired data is maintained in each of the environments, per owner approval. Production data is only in the PRD, PRD-P, and PRD-S environments at this time, while masked and/or mocked up data is used in all other environments. Unmasked production PII/PHI/FTI data is not used for testing.
- **Non-production environment owned by Contractor:** DEV, PERF, SYS, INT, INT Time Travel
- **Non-production environment owned by DFR:** PRD-P, PRD-S, UAT, UAT Time Travel, TRN-DEV, TRN-PRD
- **Time Travel environments (UAT and INT):** These environments are used to update the system time for particular temporal event testing. To clarify, the entire environment has a system clock that can be updated, in coordination with the owner who coordinates the testing in those environments as

well. Example: The clock could be updated to test that redetermination notices are generated automatically, as planned, twelve (12) months after initial determination.

- **Training Development versus Training Production:** This development environment is used by the DFR Training team to generate test materials and formulate training scenarios. This production environment is used by trainers and trainees for facilitating classes and exercises for users.
- **Production environment owned by DFR.**

5.6. SDLC Artifact Management

The Contractor is expected to maintain existing artifacts for Program/Project Management, Requirements and Technical Definition and Analysis, Design, Construction, Testing, other SDLC processes, and the IEDSS Contractor Tier 2/3 Helpdesk within the State's ALM and State SharePoint. Additionally, the Contractor must update these artifacts and generate new artifacts, as applicable, throughout the SDLC process. The State will be fully responsible for the ALM tool supporting IEDSS, as well as the document repository for these purposes (see Section 6.2.2 on the ALM and Microsoft SharePoint for the document repository).

5.7. SDLC Quality Management

While conducting SDLC processes, the Contractor must ensure that it has an ongoing SDLC Quality Management process. This will take the form of information sharing, regular meetings to review quality data feedback, lessons learned with action plans developed following each MR, and the establishment of common continual improvement goals and objectives. As a part of SDLC Quality Management responsibilities, the Contractor shall:

- a. Develop quality assurance (QA) functions to regularly monitor performance and compliance of each business process managed by the Contractor.
 - i. QA should be conducted against all SDLC phases.
- b. Work with the OV&V vendor on quality assurance as directed by the State.
- c. Develop a Quality Management Plan (to be approved by the State) that focuses on being proactive and preventing problems rather than allowing problems to occur, and on ensuring that work products and deliverables meet business objectives, end-user expectations, and defined requirements. The Quality Management Plan must support both DDI and M&O activities in ensuring that all Federal requirements are supported throughout the execution of CRs and maintenance.
- d. Provide information about the impact of a solution component deficiency, propose an action plan, and describe any appropriate workaround to appropriate State stakeholders.
- e. Provide a well-researched and clearly explained root-cause analysis for any issue including, but not limited to, a description of the problem, action plan to be taken, and measures that will be taken to prevent such a problem in the future. The written root-cause analysis shall be provided within seven (7) calendar days of the resolution of the situation addressed by the root-cause analysis. Document this information within the ALM where the defect or defects related to the incident are logged.
- f. Include information about QA status and improvements in MR reporting.
- g. Report results of any State- or Federal- required audit within thirty (30) calendar days of the audit, providing the Contractor's detailed response including any actions to be taken by the Contractor to effectively correct any negative findings.
- h. Implement Corrective Action Plans (CAPs) as needed to correct quality concerns.

- i. Complete all necessary corrective measures within ninety (90) calendar days of receipt of the audit findings or on a schedule agreed to by the State.
- j. Provide a report within ninety (90) calendar days of receipt of the audit or on a schedule agreed to by the State detailing the corrective measures undertaken to respond to audit findings.

6. M&O Services

This section covers the various M&O services the Contractor shall provide for the IEDSS solution through this Contract.

- The Contractor shall apply a Hybrid Agile SDLC approach in executing their M&O Services, where SDLC is applicable.
- It is important to the State that services to clients and workers are not interrupted by changes to the IEDSS solution. As such, the Contractor shall ensure that clients, workers, and other IEDSS solution end users are not adversely impacted by M&O efforts such as implementation of system change requests. Note: Upon request, the State or Federal partners will be granted access to the IEDSS solution and contract-related cost records of the Contractor and subcontractors.
- **Of particular note is Section 6.2.1 below, clarifying that, at no additional cost, the Contractor shall be expected to maintain, as part of M&O services (and not enhancement services), all IEDSS solution COTS products within two (2) releases of the current, vendor published release unless a more recent release is necessary to mitigate a critical, high, or moderate vulnerabilities.**

Note: The State is open to the Contractor proposing adjustments to business/technical processes and tools to increase efficiency and effectiveness of their services. For each adjustment recommendation, the Contractor shall submit a proposal describing the adjustment, the impact on services and service levels, and how the State's overall costs will be reduced.

6.1. Architecture Services

The Contractor shall use best practices for system architecture services while complying with applicable Federal requirements, including MITA. The Contractor must support the State in maintaining the MITA maturity status for the IEDSS solution. As enhancements, including DDI efforts, progress throughout the term of the Contract, the Contractor is expected to provide recommendations and support MITA maturity improvements.

As part of compliance with MEET and SMC OBC, the Contractor must maintain logical, physical, and conceptual data models as well as database design and architecture artifacts, with server diagrams indicating IPs, baseline configurations of servers/software, and other required technical artifacts. Additionally, they shall update these artifacts and generate new architecture artifacts, as applicable, throughout the SDLC process, and in compliance with Federal and State requirements and requests. High level architecture diagrams are included in Attachment L along with software and server components in Tabs 3 and 4 of Attachment J.

For each of the IEDSS solution technologies and tools cited, the State will need to consider alternatives throughout the term of the agreement due to version support ending, more cost-effective solutions, more readily federal-compliant technologies, etc. It is expected that the Contractor will support the State in conducting alternative analyses with each of the IEDSS solution technologies and tools.

6.2. Software/Hardware Management

While IOT is responsible for managing server hosting, DFR, as the owner of E&E and E&T systems, is expected to maintain an understanding of the IEDSS solution components and how they use the underlying infrastructure. Because of this framework, the Contractor must support DFR by maintaining a detailed listing of all hardware and software supporting IEDSS solution components. This detailed listing includes all IEDSS solution components they support. It must include the components' types, versions, descriptions of what they provide, their interrelationship to other software/hardware components, and other related information. This information will be critical for the Contractor to have as a basis for Configuration Management, Change Management, Architecture, BCP/DR planning, Security & Privacy (Section 6.6) and Incident Management (Section 6.3.3).

See Section 5 for details on these expectations within the SDLC.

The Contractor is expected to maintain existing Software/Hardware Management artifacts. Additionally, they must update these artifacts and generate new artifacts, as applicable, throughout the term of the contract. See Section 5.6 for SDLC Artifact Management.

The State will own all purchased hardware and software. Leases, agreements, and contracts for all hardware, software, network connections, network lines, and facilities will be transferable to the State at the conclusion of the contract.

6.2.1. Software/Hardware Maintenance

Numerous vendor products are employed to build, maintain, enhance, and operate the Worker Portal application including, by way of example only, Oracle Java, IBM WebSphere, various Java libraries, Mule ESB, OpenText ExStream, and Oracle Exadata, collectively referred to as Commercial-Off-The-Shelf or "COTS" products.

As part of M&O, at no additional cost, the Contractor agrees to maintain all COTS products within two (2) releases of the current, vendor published release unless a more recent release is necessary to mitigate a critical or high or moderate vulnerability as identified by:

- MS-ISAC (Multi-State Information Sharing & Analysis Center);
- The vendor for the COTS product;
- The National Vulnerability Database (National Institute of Standards and Technology) as defined by the applicable CVE or CVSS scores;
- Application code vulnerability scores similar to CVE or CVSS, but particular to the code scanning tools employed; or
- Similar authoritative sources (e.g., Symantec, FireEye, Proofpoint, etc.).

The Contractor agrees to test and implement vendor release updates, including security updates and patches (whether or not security updates or patches are identified as a release) designed to resolve critical and high and moderate vulnerabilities expeditiously and within the timeframes mandated by the MARS-E RA-5 and SI-2 controls (noting that critical and high have the same meaning under these controls), as may be modified from time-to-time by CMS either through updates to the MARS-E controls or the publication of supporting guidance.

To the extent that the Contractor cannot legitimately meet these specified timelines, the Contractor will apply appropriate compensating controls to mitigate the associated risk to an acceptable level and prepare

a reasonable timeline to complete the application of the update/patch; both the compensating controls and timeline must be presented to and approved by the State.

As part of M&O, the Contractor agrees to maintain the Worker Portal application and supporting COTS products in support of timely patching of supporting operating systems (e.g., Windows, Linux) such that operating system patches employed are within one patch cycle (typically monthly); IOT is responsible for the application of operating system patches and the Contractor will be responsible to coordinate with IOT to the extent necessary of identifying patch necessity, patch testing, implementation timing, and validation of production patching success.

As part of M&O, the Contractor agrees to maintain the IEDSS Worker Portal application and supporting COTS products in support of timely operating system upgrades such that operating systems employed are within one (1) upgrade release of the latest release supported by IOT, unless otherwise approved by the State; provided however, if the current operating system release employed is within twelve (12) months of end-of-life as identified by the operating system vendor, the Contractor will undertake the efforts necessary to employ the most current release of the operating system in advance of the end-of-life date.

As part of M&O, the Contractor agrees to maintain the security settings and profiles of the Worker Portal application and supporting COTS products such that the security settings and profiles are up-to-date and consistent with current industry best practices, not deprecated or in danger of near-term deprecation, do not represent a substantive security risk, are compliant with the requirements of MARS-E, and as otherwise reasonably required by the State. For example, these would include Group Policy Object (GPO) settings required to maintain security and interoperability, communication protocols, cipher suites, encryption levels, certificate usage, service account management, and administrative account management.

Any Enhancements that introduce new COTS platforms will be incorporated into M&O upon successful implementation, with the expectations cited in this Section considered applicable to these new platforms.

6.2.2. Infrastructure Management

The IEDSS Infrastructure consists of the facilities, equipment, software and network connections. The combination of this infrastructure must fully support the IEDSS and interface as well as integrate with the required current information systems. Equipment housed in the main State Data Center located in Indianapolis and the general disaster recovery-related Data Center located in Bloomington must be purchased through and maintained by IOT.

The State will provide access to and support for the Contractor in the following areas:

1. **State Network Connectivity** – The State will provide connectivity for the IEDSS and the rest of the State network assets. The Contractor will be responsible for connectivity from their chosen facility to the State.
2. **Data Center Equipment** – The State will supply equipment within the State Data Center and Disaster Recovery Data Center to house IEDSS equipment. This equipment will include, but not be limited to, the necessary servers, networking, utility software, and database management.
3. **Internet Connectivity** – The State will provide Internet connectivity through a Secure VLAN to the portions of the system housed at the State Data Center. This network traffic will not be allowed through the firewall protecting the State's trusted network.

It is important to note that the Contractor should provide the necessary workstations, firewalls, switches and routers to connect to the State's trusted network from their facility.

The Contractor shall work with IOT to manage overall server strategy, maintenance, and monitoring for the IEDSS solution. While IOT manages the infrastructure, including all the servers and tools to monitor them, they will make available CPU, memory, hard drive utilization, outage information, and security incident information to DFR and the Contractor to monitor or address, as applicable. The Contractor may use DFR's Splunk instance for application monitoring, based on these inputs from IOT as well as logging generated by IEDSS custom code and its third-party applications (e.g., WebSphere and Oracle). Further, this instance of Splunk is also used for SIEM purposes, including security incident escalations as required by Federal and State requirements.

As part of the M&O infrastructure management responsibilities, the Contractor must work with DFR and IOT on:

- Maintaining infrastructure architecture and tool sets (the State is responsible for licensure on servers) for all applicable non-production and production users.
- Supporting current and forecasted utilization "counting" of licensure in non-production and production environments.
- Providing all necessary support to DFR and IOT in technology refreshes, patches, and version updates for both hardware and software to maintain first and third party support.

While DFR and IOT manage the server software licensure agreements, the Contractor supports the State in ensuring that DFR maintains licensure agreements with applicable parties. The Contractor must plan and execute tasks required to ensure IEDSS solution components stay relevant and useable. This support includes resolution of functional issues, application of patches, preventative maintenance, planning/execution of upgrades, and regular performance monitoring and performance reporting. The Contractor shall conduct relevant SDLC procedures as necessary. At least on an annual basis, the Contractor shall communicate to the State any available information on the product roadmap, planned upgrades, and enhancements, and seek State input when necessary.

IOT is responsible for maintaining the hardware and network infrastructure, including the operating system. They also provide Network Operation Center (NOC) and Security Operation Center (SOC) software support for monitoring. However, the Contractor will be responsible for working with IOT on ensuring operating system and software patches are applied with no regression impact to IEDSS. Further, the Contractor is responsible for the following tasks:

- Configure automated notifications and alerts, consisting of emails, to monitor application outages and threshold violations
- Maintain and create additional SPLUNK dashboards and reports for application availability, Page/Transaction response times, SLA dashboards and application exceptions
- Monitor Splunk dashboards:
 - Transaction response Time
 - Concurrent users on JVM
 - Thread counts on JVM
 - JVM Heap memory
 - Response time
 - Concurrent users
 - Unique login users
 - Peak users
 - Application availability
 - Cases processed
 - Wrap-up eligibility submissions
 - Total and average transactions on monthly, weekly and daily basis
 - Peak number of transactions in a month

- Peak number of users on a day
- SIEM
 - Security reporting based on out-of-the-box Splunk functionality and custom reporting/incident escalations based on custom configurations and correlations of IEDSS data
- Create incidents/defects for any issues identified as part of monitoring
- Maintain and configure all aspects of the Splunk SIEM monitoring platform for IEDSS
- Collaborate with IOT and DFR during the process of making changes to the server configuration
- Collaborate with IOT and DFR to troubleshoot infrastructure related issues
- Facilitate regular meetings with the State to identify the upcoming infrastructure impacting system availability
- Facilitate meeting with State to discuss the middleware patches and upgrades
- Facilitate meeting with State to discuss the capacity planning
- Troubleshoot and create incidents/defects for application slowness, application issue pertaining to infrastructure and build failures
- Perform regular updates to SAP address validation package
- Provide recommendation to support State's IAM solution
- Work closely with the State to review the hardware and software inventory on a quarterly basis and identify the potential patches and upgrades which will be implemented per MARS-E 2.0 (and subsequent versions) and MEET/SMC OBC requirements

6.2.3. Application Lifecycle Management (ALM)

The State has ALM solutions with IBM Rational Jazz, Atlassian Jira, and various Open-Source tools. While the State maintains these platforms, overall configuration, and role-based access approval, the Contractor is expected to maintain code, requirements, design artifacts, testing artifacts, and build management/configuration within these tools.

The incumbent IEDSS vendor is expected to, prior to current contract expiration, provide the most recent and up-to-date versions of requirements, design artifacts, architecture diagrams, business process models (BPMs), security diagrams, build processes/configurations, infrastructure listings/diagrams, and other SDLC artifacts.

6.2.4. Database Support

The Contractor must provide Database Analyst (DBA) support with extensive knowledge in multiple database technologies and best practices (see Tab 3 of Attachment J for the different database technologies being used). See Section 5 above for details on these expectations within the SDLC. The Contractor is expected to maintain existing database-associated artifacts. Additionally, they must update these artifacts and generate new artifacts, as applicable, throughout the SDLC process. See Section 5.6.

6.2.4.1. Database – Conceptual Data Model (CDM)

The CDM provides a mechanism to bridge the gap between SMEs and IT architects and designers. The model depicts the major business information objects (subjects/entities) in their relationships to each other using business terminology. The CDM has the following associated data: Entities, Relationships, Definitions, Domains, Related Standards, and Entity-Relationship Diagrams. As a part of database support, the Contractor shall manage the conceptual data model, standards, entities, relationships, definitions, domains, and entity-relationship diagrams.

Details on CMS CDM requirements are provided under MITA and MEET/SMC OBC.

6.2.4.2. Database – Logical Data Model (LDM)

The LDM provides policy and procedure for the establishment and maintenance of the following: physical data model, the business model, and the reengineering of business processes. The LDM has the following associated data: Entities, Relationships, Definitions, Domains, Related Standards, and Entity-Relationship Diagrams. The Contractor shall manage the LDM, including the following responsibilities:

- a. Manage the logical and physical data model, standards, entities, relationships, definitions, domains, and entity-relationship diagrams.
- b. Manage the established business model standards.

Details on CMS LDM requirements are provided under MITA and MEET/SMC OBC.

6.2.4.3. Database – Data Standards

The data standards provide a syntactic and semantic understanding of the State’s data and information. As a part of data standards, the Contractor shall:

- a. Manage the metadata development and maintenance approach, metadata, and standards.
- b. Manage the data standards (specify how data should be formatted or structured).
- c. Manage the structure data standards. The structure data standards and vocabulary data standards include the following: Title, Category, Objective, Source, Type, Version, Status, Applicability, References, relationships to other standards, and Key Terms.
- d. Manage the vocabulary data standards (i.e., specify the meaning of the data and its use).
- e. Publish and maintain the metadata standards, data standards, structure data standards, and vocabulary standards.

The Contractor is expected to maintain existing database-associated artifacts. Additionally, they must update these artifacts and generate new artifacts, as applicable, throughout the SDLC process.

Details on CMS requirements for Data Standards are provided under MITA and MEET/SMC OBC.

6.2.5. Application Monitoring

The Contractor must monitor all IEDSS solution components to ensure that they are available per State requirements and in alignment with meeting and exceeding applicable SLAs (Section 13). DFR uses Splunk 7.2 to conduct application monitoring and will grant the Contractor access to the tool for this Contract. While IOT monitors infrastructure components that they host and can make information available to the Contractor from the mechanisms they use to monitor (e.g., Security Operations Center (SOC) and Network Operations Center (NOC) tools that monitor CPU, memory, hard drive utilization, malware issues, Data Loss Prevention (DLP), network traffic, and server logs), the Contractor is responsible for monitoring all IEDSS solution components. This monitoring supports troubleshooting, security incident management (see Section 6.24, Section 6.3, and Contract Attachment B, Section 12), and IEDSS Contractor Tier 2/3 Helpdesk Support (see below). Additionally, information from Application Monitoring demonstrates areas of risk where the Contractor must make recommendations on possible architecture or software/hardware adjustments that could minimize operational risk.

See Section 5 above for details on these expectations within the SDLC.

The Contractor is expected to maintain existing Application Monitoring artifacts. Additionally, they must

update these artifacts and generate new artifacts, as applicable, throughout the SDLC process.

Batch Processing

Batch is indicated throughout the tracks, including Back Office and Interfaces. However, they are also pertinent to all tracks (e.g., Mass Change), Correspondence batches, etc. The Contractor will be responsible for the following:

- Create and maintain Batch Schedule
 - Create annual batch calendar
 - Setup batch schedule
 - Update batch schedule based on maintenance and operations changes
- Lead and manage IEDSS batch coordination across all interface partners (DFR ESB (the ESB), IOT, CDMS, Postmasters, DXC, SSDW, EBT, SSA, CMS, etc.)
 - Communicate and confirm with partners on batch files (incoming and outgoing)
 - Coordinate and resolve batch files related issues (delays and corruption)
 - Coordinate with partners (DFR ESB) to enable/disable ports
 - Execute release deployment activities
 - Maintain batch tracker, schedule internal Visio tracker, CA Workload Automation CA 7 schedule master (i.e., CA 7 is the IOT-maintained batch scheduler) and communicate to partners
- Lead and manage batch cycle execution with IOT
 - Communicate with IOT on batch execution
 - Resolve batch failures, triage and log incidents
 - Coordinate with functional teams to resolve issues
 - Monitor batch execution cycle
 - Manage batch cycle to accommodate batch cycle (data fix and Stop&Go)
 - Communicate exception results to DFR and functional teams
- Monitor batch execution
 - Forecast and verify batch schedule
 - Execute special request for inclusion/exclusion of jobs in batch cycle
 - Communicate, coordinate and adjust batch cycle for any planned/unplanned outages
 - Escalate issues based on severity of the batch job
- Lead and manage special batch execution cycles (COLA, FPIL updates)
 - Coordinate special batch cycles schedule
 - Execute special batch cycle
 - Coordinate and communicate with DFR and functional teams on batch exceptions
- Setup, manage batch environments and execution
- Setup CA 7 and Juicebox (current tool used for mocking batches in non-production) on each environment that needs batch capabilities
 - Production environment utilizes CA 7 schedule to execute batch cycle.
 - Non-Production environments utilizes both CA 7 and Juicebox (ad hoc runs) to execute batch cycle.

Additional information regarding IOT versus Contractor responsibilities:

- **Responsibility for managing the installation of the Scheduling Software (configuration, patching, upgrades):** IOT (the State) maintains the CA-7 batch scheduler application itself, including the infrastructure. The Contractor is responsible for supporting regression testing IOT in the event that IOT does a platform upgrade (i.e., IOT does the upgrade; Contractor ensures that their scheduling functions correctly with the upgraded platform).
- **Responsibility for accessing the Scheduling Software for the creation and management of**

schedules: IOT facilitates the access to CA-7; however, the Contractor can work within that framework to configure the schedule. Within the IEDSS codebase itself, it will call CA-7 to facilitate batch interface processing, with applicable return codes processed by the IEDSS application itself (success versus exception handling).

- **Number of schedules requiring management, beyond those in Attachment J:** The information in Attachment J in its current state does provide the totality of that information. Note that the Contractor may have non-production batch scheduling in place to support their SDLC. IOT allows CA 7 for this non-production use as well.

The State is responsible for reviewing and approving the batch schedule as it is updated. They will facilitate communications and changes to batch cycle as needed with interface partners. They will facilitate communication of other agencies' maintenance activities, as applicable. They will also review and work with the Contractor to determine how to handle batch job failures and exceptions that impact the business.

6.3. Incident Management and Helpdesk Support

6.3.1. Ticket Routing Overview

The Contractor must support the triage, routing, and resolution, as applicable, for all IEDSS Contractor Tier 2/3 Helpdesk tickets. Short-term increases in the volume of tickets directed to the Contractor are expected with new releases that change the interface or functionality. As part of their planning and staffing strategy, the Contractor must be prepared to handle these increases effectively.

- Tickets are submitted by DFR Central Office Staff, DST Central Office Staff, E&E workers, IMPACT workers, OALP workers, OMPP workers, partner systems workers, partner agency workers (e.g., Department of Child Services, Auditor of State), and IOT.
- Tickets are routed by either IOT or DFR's helpdesk, working on behalf of IOT. These two entities are the Tier 1 team for the helpdesk tickets. The tickets can originate from phone calls or via website.
- They are routed to appropriate staff to resolve IEDSS solution issues such as IOT helpdesk and/or IOT helpdesk designee to resolve (infrastructure issues), Policy Answer Line (PAL) to resolve (casework policy issues or IEDSS policy issues), or the Contractor to resolve IEDSS-specific tickets (i.e., those pertaining to one of the IEDSS components) that they are unable to address.
- While Helpdesk support from the Contractor is required to be 24x7, the likelihood of individuals requiring support after regular business/system hours (i.e., 7:00 AM to 7:00 PM EST, Monday through Friday) is highly unlikely. To clarify:
 - No workers use the eligibility systems after hours; it is likely that only batch/interface incidents/tickets and/or infrastructure issues would be applicable. Typically, the number of incidents/tickets routed to the Contractor or created by the Contractor is low, with on-call technical staff able to address the items (e.g., batch, interface, and technical supports).
 - Workers may use the IEDSS Worker Portal on Saturdays or Sundays; however, the Local Offices will be closed at that time. The incidents/tickets possible may be between 7:00 AM to 7:00 PM EST; however, they will most likely be significantly lower than the typical business day (~5% of incidents/tickets).

6.3.2. Incident Management

The Contractor shall apply ITIL methodologies to handle incident and problem management. The current processes are captured in Attachment M Respondents must review the document closely and ensure

understanding of their responsibilities in the IEDSS incident management process and its interrelationship with the defect management process (see Section 5.4 above).

The Contractor shall properly plan and conduct services to minimize the occurrence of incidents and/or problems with the IEDSS solution components and service delivery. The Contractor shall triage and resolve all incidents routed to them. If incidents and/or problems arise, the Contractor shall work with the State to resolve issues in a timely manner based on the Incident Priority levels of the State. Please note that the DFR helpdesk vendor sets the Incident Priority level for each incident. However, the State has final determination of the Incident Priority level for each incident.

If the incident is a defect, the IEDSS Contractor Tier 2/3 Helpdesk staff shall assist the user to the best of their ability to route to defect management (see Section 5.4), and support the Contractor defect management staff as needed. Note that the State has final determination of Testing Severity and Testing Priority for each defect.

As a part of incident management, the Contractor shall:

- a. Provide IEDSS Contractor Tier 2/3 Helpdesk Management services for tickets sent to the appropriate Contractor or partner staff. Provide the subject matter expertise for all levels of support. Provide appropriate, accurate, courteous, efficient, timely and proactive responses to inquiries. Service requests can be submitted via email or phone.
- b. Provide on-site qualified incident support from 7:00 AM to 7:00 PM Eastern Time, Monday through Friday, except for State holidays. Incident support shall adhere to the timeframes listed in Section 6.3 based upon the request's function type and Incident Priority code for problems that cannot be resolved via telephone.
- c. Provide after-hours support (defined as from 7:01 PM to 6:59 AM Eastern Time Mondays to Fridays, as well as full day (24 hours a day) weekends and State holidays) will be provided via phone and email. Required response times for incidents reported outside of normal business hours will be determined based on the Incident Priority of the incident (see Section 6.3). See comments in Section 6.3.1 above for clarity on the risk of incidents/tickets being opened during the night and/or weekends.
- d. Acknowledge tickets routed to the Contractor by DFR's service desk vendor promptly as part of the triage function (see Section 6.3.3). Coordinate responses by following IEDSS Contractor Tier 2/3 Helpdesk triage and escalation workflows that address proper handling of requests.
- e. Respond to and resolve all tickets by the required response time and resolution times listed in Section 6.3.3.
- f. Provide adequate training and access to information to Contractor staff to facilitate timely and accurate responses to inquiries.
- g. If any incidents are identified as defects, the Contractor shall follow the defect management processes described in Section 5.4.

6.3.3. Incident Prioritization, Triage, and Resolution Timeframes

Prioritization. Incidents are created from tickets and one incident can be linked to multiple tickets if they pertain to the same issue. All incidents will be tracked through DFR's helpdesk vendor, with the

following Incident Priority levels:

Incident Priority Level	Incident Description
1	A critical in-scope system function is unavailable or severely degraded, causing a significant impact on the processing operations of end users.
2	A system function that is not critical to processing operations is unavailable or severely degraded, with no reasonable alternative or bypass available to a Service Recipient.
3	A system is degraded or is unable to be fully used by Service Recipient personnel.
4	A problem causes a minor inconvenience for Service Recipient personnel but does not prevent system usage.

Triage. The Contractor shall perform a triage function for all inquiries received at the dedicated e-mail address and phone line(s). For those inquiries that are determined to be outside of the scope for the Contractor and/or should be handled by State staff, forward to the designated State staff within one (1) business day. Initial triage encompasses the following responsibilities:

- The Contractor's acknowledgement of the incident being appropriately directed to the IEDSS Resolver group within the DFR helpdesk
- The Contractor's confirmation of the Incident Priority level set by the DFR helpdesk
- The Contractor's initiation of resolution activities
- The Contractor's update of the DFR helpdesk system with applicable status.

Initial triage timeframes are provided below.

Incident Priority Level	Initial Triage Timeframes
1	Within 30 minutes
2	Within one (1) hour
3	Within two (2) hours
4	Within four (4) hours

Resolution. Prompt resolution is important to DFR. Agency portal password resets are resolved on the initial call. For all other calls, the Contractor will adhere to the following incident resolution times based on Incident Priority levels:

Incident Priority Level	Incident Resolution Timeframe (measured from when the ticket is routed to the Contractor or when the Contractor discovers the incident (note: the Contractor shall enter the ticket into the system for any incidents they discover for tracking purposes))
1	Two (2) hours
2	24 hours; escalate to Incident Priority Level 1 after 24 hours
3	Three (3) Business Days; escalate to Incident Priority Level 2 after Three (3) Business Day
4	Five (5) Business Days; escalate to Incident Priority Level 3 after Five (5) Business Days

For incidents related to tickets from IOT or the DFR service desk vendor, the incidents will be tracked in IOT's incident tracking tool (for infrastructure-related incidents) or DFR's incident tracking tool (for

application-related incidents).

6.4. Access Management

The Contractor shall assist in the definition of user roles and security configurations, specifically the creation of new roles and monitoring of user access rights in relation to internal requirements. The Contractor shall manage credentials for non-production environments and security profiles for users authorized by the State, including other contractors, to have access to IEDSS solution components and service operations. The Contractor shall maintain the role-based security functionality within IEDSS for production and non-production environments. To clarify access:

- IEDSS non-production and production access
 - IOT-maintained Microsoft Azure Active Directory (AD) (the State's LDAP) is used to issue credentials to workers (i.e., *.in.gov IDs).
 - IOT exposes this LDAP to IEDSS
 - IEDSS consumes the IOT LDAP for single sign-on functionality. DFR Central Office staff and/or their designees establish a role within IEDSS (see Attachment L's "Security Matrix" for the current roles that can be assigned within IEDSS). Consequently, users navigate to the IEDSS URL and type their State ID and State password for access. To then access the IEDSS Worker Portal (and CDMS which presents the documents to IEDSS), the user must type their State credentials (user ID / password) into the IEDSS Worker Portal website login screen and have a valid and active role within the system.
 - The Contractor can map users to roles currently in lower level SDLC environments (e.g., development, system testing, performance, and integration environments). Only DFR and its designees may map users to roles in higher level environments (e.g., UAT and production).
 - IEDSS is on the State's Intranet; therefore, access is only possible when on location at DFR offices with valid network credentials. VPN is also available, with valid State credentials required for access.
- Contract access to the State network and IEDSS ALM, server/infrastructure, SharePoint, etc. access
 - The Contractor must use State of Indiana-issued credentials to conduct IEDSS support cited in the Contract. The State-issued email is used for correspondence with the State and with its IEDSS partners (e.g., interface partners, other agency users, and other related entities). Further, the State-issued ID is used for access to the State network and all systems owned by the State.
 - The State of Indiana-issued ID is supported via the IOT-maintained Microsoft Azure AD LDAP.
 - These IDs are created after submitting particular Contractor users' Personally Identifiable Information (PII) to DFR, who in turn submit this information securely to the Indiana State Personnel Department (SPD) for issuance of a State of Indiana "PeopleSoft ID (PSID)". In the event that SPD can provide a PSID, then IOT will create the MS Azure AD credentials, with the PSID as a dependency (if the PSID becomes inactive, then the MS Azure AD credentials become invalid).
 - To ensure that State credentials remain active, users will be required to complete State-issued regular trainings (e.g., security). The Training portal will be made available to users following the issuance of State credentials.
 - **The Contractor must provide accurate and timely user PII to DFR to receive State credentials. It may take several days**

for the user to receive their credentials. This process is especially important during the initial Transition phase of the Contract (see Section 10 for additional details).

- ALM access and SharePoint access is provided by having a State-issued credential assigned to valid roles in each platform, upon request by an authorized representative from the Contractor to DFR or their designee.
- Access to IEDSS servers/infrastructure is done following the creation of valid State credentials, and for direct server/SFTP access, an elevated account with different State-issued credentials may be issued by IOT as well. The best practice employed by IOT and DFR is typically to provide AD group permissions to infrastructure. Requests for this access is done via request with justification to DFR and FSSA Account Control from an authorized representative from the Contractor.
- Contact information for DFR and FSSA Account Control for access management will be provided following Contract award.

6.5. Business and Operations Reporting

The Contractor shall be required to support reporting as needed for their respective scope and maintain existing reporting artifacts. Additionally, they must update these artifacts and generate new artifacts, as applicable, throughout the SDLC process.

While regular reporting and data delivery to FSSA's Enterprise Data Warehouse (EDW) must be supported, the Contractor must also respond to reporting requests from both State and Federal partners (FNS, CMS, ACF, SSA, and IRS). These requests may come from regular operational, policy, and quality analysis; however, they will also come from legislative inquiries, public queries, State Board of Accounts audits, other State agency audits, FNS Program Access Reviews (<https://www.fns.usda.gov/snap/integrity/access-review-states>), FNS Management Reviews, CMS Payment Error Rate Measurement (PERM) reviews, other CMS audits, ACF inquiries, FNS/CMS program and/or E&E certification needs, and security audits (SSA, IRS, and CMS). While a number of these requests are supported by regular reporting, many require ad hoc information and data to be provided against particular criteria (e.g., populations, demographics, task management, timeliness, backlog, quality control, quality assurance, and program/operations/policy effectiveness).

There are three different types of IEDSS business and operations reporting needs that will support State and Federal entities:

- a. **Real Time.** The Enterprise Data Warehouse (EDW) pulls real time data from GoldenGate mirrored tables within the IEDSS database via Informatica ETL. The Contractor must ensure that these tables are accurate and functional, while being available to EDW for data questions and concerns. The EDW uses Cognos for rendering their reports. These reports (several hundred) are available to DFR and its partners.
- b. **Data Extracts.** Data extracts from IEDSS solution components are provided via Informatica to the State's EDW. The Contractor shall maintain the data dictionary, the business and technical requirements pertinent to the data provided, and any modifications to this data or applicable business/technical requirements. The EDW uses Cognos for rendering reporting based on extracts. These reports (several hundred) are available to DFR and its partners.
- c. **IEDSS-Created Reports.** These are reports needed for the Worker Portal that will be created

and maintained by the Contractor's reports team. They will be made available in the Worker Portal, via Cognos, or in the EDW-maintained Cognos (note: FSSA DST manages the EDW that has Informatica-direct access to the GoldenGate replicated version of the IEDSS database. Moreover, IEDSS posts reports it generates into the EDW-maintained Cognos environment as well). There are approximately ~80 reports and ~5 dashboards within IEDSS itself at this time. Dashboards are especially critical for monitoring tasks and their current status, with no more than 15 minutes lag time on refresh.

As part of the reporting responsibilities, the Contractor shall:

- a. Maintain existing reports and data extracts for State and Federal partners.
- b. Develop, test, implement, and manage new recurring reports in a timely and accurate way in accordance with the SDLC. Develop ad hoc reports when requested.
- c. Adhere to State, Federal, or business area-defined format and distribution methodology.
- d. Ensure that report requests are documented and validate that the delivered report meets the requester's requirements for content, format, quality, and timeliness.
- e. Notify the requester when report timeliness or quality standards cannot be met.
- f. Store production reports based on State's existing protocol.
- g. Provide historic reports and extracts to the EDW in accordance with State, Federal, and business area retention schedules.
- h. Revise existing measures, reports, and extracts when requested.
- i. Maintain detailed documentation for reporting/extract logic and design.

Data Analytics

IEDSS solution components have analytic capabilities that allow for quantitative and qualitative data analysis for DFR. As part of data analytics responsibilities, the Contractor shall:

- a. Manage the development and maintenance of the data analytic capabilities currently facilitated within IEDSS solution components.
- b. Maintain analytic capabilities that include, but are not limited to the following: data summarization, data comparison, forecasting, trending, and statistical analysis.
- c. Conduct modeling and analysis activities to manipulate and review what-if scenarios, identify impact of potential changes, and analyze potential program additions, modification, or deletions for fiscal impact.
- d. Manage required program monitoring, provide quality and management reports per business area need, and support mechanisms that will track activity and effectiveness at all levels of monitoring.

Data Presentation

The Contractor shall support Data Presentation, which includes the following responsibilities:

- a. Maintain the methodology for the development and maintenance of the data visualization and presentation capabilities.
- b. Support data presentation that includes but is not limited to: dashboarding and the ability to support a variety of formats and output options, such as Word, Excel, HTML, or PDF.

Recurring Reports

Per existing requirements and design, several recurring reports are made available to the business (See Tab 5 of Attachment J for list of these 60+ reports).

Ad Hoc Reports

Deadlines for ad hoc reports shall be determined by the State according to a scale of urgency. Ad hoc reports will be categorized as part of the Contractor's standard M&O responsibilities covered under the

monthly fixed fee , and not a change request/enhancement.

- Type 1: 24 business hours turnaround time
- Type 2: Two (2) business days turnaround time
- Type 3: Five (5) business days turnaround time

6.6. Security & Privacy

The State of Indiana requires that all vendors comply with all current and future HIPAA privacy rules, applicable privacy controls under Contract Attachment B Section 12; Minimum Acceptable Risk Standards for Exchanges MARS-E Version 2.0 (and all subsequent versions); Internal Revenue Service (IRS) Publication 1075; FISMA, FIPS and NIST standards privacy and security standards; as well as other State and Federal laws and regulations as they relate to protecting the privacy of and security over citizen information in the Contractor's safekeeping. Please see Section 11 for more requirements on compliance with standards and regulatory requirements. Additional security and privacy-related responsibilities are provided below.

- Security Monitoring. The Contractor shall conduct security monitoring activities to ensure full compliance with MARS-E 2.0 and its subsequent versions (e.g., 2.2 currently required by CMS in late 2022 and 3.0 is anticipated to include NIST 800-53 Rev. 5 controls). To facilitate this, the Contractor must develop and implement a Security Monitoring function to control physical and logical security (centrally and remotely), access, and auditing. A Security Monitoring Plan must be developed that includes, but is not limited to:
 - Mechanisms for the implementation, monitoring, and maintaining of physical and logical security controls
 - Logging of all security events
 - Mechanisms for taking corrective action for security violations
 - Periodic testing of security plans
 - Reporting on security violations/deviations from the plan
- Federal Compliance Status Reporting. The Contractor shall support the State with meeting MARS-E 2.0 (and subsequent versions) requirements related to Federal compliance status reporting including, but not limited to, quarterly Plan of Action and Milestones (POA&M) meetings, annual System Security Plan (SSP) updates, and supporting third party assessors by making artifacts, data, SDLC resources for interview, and other related information available.
- Security Impact Analysis (SIA). The Contractor will conduct SIAs in compliance with CM-4 of NIST 800-53 (Rev. 4). This activity includes CM-4(1) (Separate Test Environments) and CM-4(2) (Verification of Security Functions).

6.7. Training

As a part of the training responsibilities of this contract for all scope, the Contractor shall provide:

- **Solution Usage Training:** While the Contractor is not responsible for creating training artifacts or delivering training content of this type, they will be expected to answer or clarify design or system questions that may arise as the State conducts training activities. Update SDLC artifacts such as user documentation and design documents to reflect CRs. Provide clarity to the training team on CR impacts.
- **SDLC and PM Processes Training:** Provide training on the Contractor's SDLC and PM

methodologies for State and partner staff who become involved in the SDLC process facilitated by the Contractor. A significant focus of this training will be how State leadership and State subject matter experts (SMEs) are involved throughout each phase of SDLC efforts.

- At no cost to the State, the Contractor is expected to facilitate and support training of their own staff to ensure that they are up-to-date on SDLC best practices, technology best practices, and other related training available for current or proposed technologies and processes under IEDSS solution components.
- **Security Training:** Provide required security training for the Contractor's staff (see Section 11 and Contract Attachment B, Section 12).
- **Note: It is anticipated that the Contractor will provide the above Training no later than the during the initial Transition period of the Contract (see Section 10 for details). The SDLC Training provided to DFR and its partners by the Contractor will be critical to the success of UAT and production release management throughout the M&O term.**

6.8. Business Continuity and Disaster Recovery

The Contractor is required to comply with and maintain the existing Business Continuity Plan (BCP) and Disaster Recovery Plan (DRP) and support DFR and IOT in updating these plans, as applicable, based on evolution of data, infrastructure/architecture, and tools. MARS-E 2.0 and subsequent versions, SSA Security Requirements, and IRS Publication 1075 requirements all cite DRP and BCP compliance expectations. The State has maintained compliance with all of these requirements, including testing expectations, for the IEDSS solution. See <https://secure.iot.in.gov/iot/2336.htm> for additional IOT details and requirements DFR and the Contractor must support. The Contractor is expected to continue supporting the State with this compliance. The current DRP and BCP will be shared with the Contractor following Contract award.

6.8.1. Business Continuity

The BCP must provide adequate backup and recovery for all operations, both manual and automated, including all functions required to meet the backup and recovery standards: Recovery Time Objective (RTO) and Recovery Point Objective (RPO). At a minimum, the BCP shall document the following:

Overview	<ul style="list-style-type: none"> ● Identify all critical information areas ● LAN/WAN ● Telecommunication ● Applications and data ● Identify potential disruptive events ● Staff duties ● Manmade events
Scope and Plan Initiation	<ul style="list-style-type: none"> ● Describe operations (Contractor, State) ● Create detailed account of work ● List resources ● Define management practices ● Define roles and responsibilities ● BCP Committee ● Senior Management
Business Impact Analysis (BIA)	<ul style="list-style-type: none"> ● Address three primary goals: <ul style="list-style-type: none"> ● Criticality prioritization ● Downtime estimation (maximum tolerable downtime) not to exceed thirty

	<p>(30) calendar days in the event of a catastrophic or natural disaster; not to exceed ten (10) calendar days in the event of other disasters caused by such things including but not limited to criminal acts, human error, malfunctioning equipment or electrical supply</p> <ul style="list-style-type: none"> • Resource requirements • BIA Results • Assessment materials gathering • Vulnerability assessment • Quantitative loss criteria • Qualitative loss criteria • Information Analysis • Results and recommendation
BCP Development	<ul style="list-style-type: none"> • Recovery Plan • Continuity Strategy

The Contractor shall support ongoing testing and validation of the BCP at a minimum, annually. See MARS-E 2.0 and subsequent versions, SSA Security Requirements, and IRS Publication 1075 requirements for additional requirement expectations.

Current State BCP artifacts will be presented to the Contractor at the beginning of the Contract term.

6.8.2. Disaster Recovery

The Contractor shall support ongoing testing and validation of the DRP. The State will not acknowledge that recoverability exists until the plan is tested and it is able to verify the accuracy of the plan. The DRP must present:

- Statement of actions taken before, during, and after a disruptive event
- Procedures required to respond to an emergency, providing back-up operations during a disaster

At a minimum, the DRP must include the following:

Overview	Goals and Objectives
Data Processing Continuity	<p>Describe the consideration and ultimate selection of the following backup systems and facilities:</p> <ul style="list-style-type: none"> • Reciprocal (mutual aid agreements) • Subscription services • Hot site • Warm site • Cold site • Mobile site • Multiple centers • Transaction redundancy • Electronic vaulting • Remote journaling • Database shadowing • Backup and maintenance schedule

Testing	Describe the consideration and ultimate selection of the following: <ul style="list-style-type: none"> • Testing checklist: how the Contractor will distribute the DRP for review • Structured walkthrough: how they will walk all business managers through the test plan review • Simulation: all involved people conduct practice sessions • Parallel: primary processing does not stop • Full interruption: cease normal operations
Recovery Procedures	<ul style="list-style-type: none"> • Describe Recovery Team duties • Implement the recovery procedures in a disaster • Assure critical functions operating at backup site • Retrieve materials from offsite storage • Install critical systems and applications • Describe Salvage Team duties separate from recovery team • Return primary site to normal operating conditions • Clear and repair primary processing facility • Describe Normal Operations Team, returning production from disaster recovery to primary • Address other recovery issues • External groups • Employee relations • Fraud and crime • Financial disbursement

The Contractor must conduct a disaster recovery exercise once a year to confirm disaster recovery functionality and document the results with an action plan for correcting issues found during the disaster recovery exercise. See MARS-E 2.0 and subsequent versions, SSA Security Requirements, and IRS Publication 1075 requirements for additional requirement expectations.

Current State DR artifacts will be presented to the Contractor at the beginning of the Contract term.

7. Enhancements

The Contractor shall provide enhancement services throughout the Contract term. Enhancements may be required for any of the components under M&O or a new IEDSS solution component. It is important to the State that services to clients and workers are not interrupted by changes to the IEDSS solution. As such, the Contractor shall ensure that clients, workers, and other IEDSS solution end users are not adversely impacted by any enhancement efforts. Enhancements must be implemented in compliance with CMS, FNS, and ACF requirements, including CMS and FNS PM and SDLC expectations. **Further, significant enhancements may require Major Change, Master Test Plan, and SIRT updates to be provided to FNS for their approval prior to production implementation. For CMS, they may require updated authorization boundary and SSP/POA&M MARS-E updates to be submitted for their approval prior to production implementation as well as certification documentation (<https://www.medicaid.gov/medicaid/data-systems/outcomes-based-certification/index.html>) to be submitted and approved as well.** CMS MARS-E 2.0 and subsequent versions clarifies in control CM-3 that “Significant change” is defined in NIST Special Publication 800-37 Rev. 1, Guide for Applying the Risk Management Framework to Federal Information Systems. In the event that a “Significant Change” is planned, it must be submitted to CMS with MARS-E SSP/POA&M updates, subject to approval prior to implementation.

Enhancements will be managed via the Change Management Process (See Section 4.5). All SDLC activities will be considered enhancements. The number of Contractor enhancement staff and type of enhancement services the Contractor provides at any given time will depend on the State's enhancement needs and rollout schedule. The Contractor shall proactively work with the State in status meetings and through other notification opportunities to identify upcoming enhancement needs so that the Contractor shall be prepared to take on the additional work. Any staffing constraints should be discussed with the State as soon as the Contractor is notified about the enhancement need.

For Significant/Major changes (as defined by FNS and CMS), federal prior approval is required before deployment approval to production is granted. A master test plan must be completed that the contractor must comply with and support prior to significant/major changes are implemented. In the event that Federal agencies do not approve Major Change, Master Test Plan, SIRT, SSP/POA&M, and any other applicable Significant/Major Change content necessary prior to implementation, the Contractor must mitigate all deficiencies applicable to the scope they provide as part of the Significant/Major Change. Only when federal agencies approve all required content necessary prior to a Significant/Major Change implementation will the State accept and approve any applicable Enhancement deliverables.

- Enhancements Pool. The Contractor shall provide a capped Enhancements Pool of 60,000 hours a year (estimated 5,000 hours per month). The State is not required to use to completion the hours and dollars allocated for the Enhancements Pool for each contract year. Please see Section 9 for more information on routine changes that shall not draw from the Enhancements Pool. Changes that are needed to fix an enhancement after it is implemented and that are brought to the Contractor during the Software Warranty period will not count towards the Enhancements Pool. If the State utilizes less than 60,000 hours of Enhancements work in a given contract year, there will be no impact to staffing on M&O work or to assigned Vital Positions.
- Enhancements Pricing. Enhancement pricing will either follow the fixed fee deliverables-based approach or the time and materials-based approach based on Contractual hourly rates. The State will determine the method to use for each enhancement through the Change Management Process. Regardless of the pricing approach, all enhancements will be charged to the Enhancements Pool and will decrease the capped Enhancements Pool hours. If services are provided in exchange for fixed or not-to-exceed compensation, the Contractor is solely responsible for any costs in excess of the specified compensation.

The maximum hours invoiced for an individual shall not exceed 45 hours a week, regardless of the number of hours worked by the individual to meet service levels and complete deliverables on time.

- Anticipated Enhancements. The State may provide, as part of initial Contract negotiation, a listing of enhancements that the Contractor could begin to support, within the Terms & Conditions of the Contract and this RFP.

Tab 6, "Sample CRs", on Attachment J has further details on these six (6) enhancement examples provided below. These are purely examples and are not anticipated scope to be realized for the Contractor. These six (6) examples and responses will provide the State information for determining the Contractor's understanding of how to realize Federal and State expectations for enhancements that become incorporated into M&O services following their implementation. Please use Attachment F, Section 7. to provide mock, high level impact analyses against these example enhancements, coupled with Attachment D, "Example CR Pricing", for listing estimate FTE impacts. In addition to these impact analyses, provide implementation details on how you would

execute design, development, testing, and implementation with DFR staff, their designees, interface partners, and other pertinent stakeholders. Include a rough/mock schedule and clarify how Federal and State requirements would be supported throughout the implementation. Include a high-level requirements/design artifact that supports each Enhancement.

Six (6) Examples of Enhancements for Attachment D and F (Note: These are examples only below and not requested as part of this RFP.):

1. Implement telephonic signature for SNAP
 - a. This functionality is NOT part of the current IEDSS solution
2. Implement new Medicaid Category for supporting a new waiver population, where the waiver determination status is interfaced to IEDSS from another FSSA division. Assume that the waiver permits a new financial threshold for resources. Further, assume that 3-month retro-eligibility from the eligibility determination month is possible.
 - a. This program would be new to the State and is NOT part of the current IEDSS solution.
 - b. Ensure that end to end testing is supported with the FSSA agency interfacing waiver status to DFR, CoreMMIS, and MCE systems.
 - c. Ensure that conversion into this new category is supported, based on a date identified by OMPP.
 - d. Ensure that no regression with other Medicaid categories within the overall hierarchy occurs with IEDSS and/or its partners.
3. Conduct alternative analysis and recommend replacement for automatic correspondence creation engine (currently OpenText ExStream) and manual correspondence tools/functionality (currently OpenText ExStream Live Editor) in IEDSS. After recommendation from Contractor is chosen by the State, implement the solution.
 - a. Business rules are already in place to generate the proper content and information into automatically created notices and correspondence as well as certain information in manual correspondence that workers update, as applicable. Changing the correspondence technology would mean new design, specifications, and architecture considerations. End to end regression and performance testing with interface partners (e.g., Application Services CDMS/DPS and the physical mail vendor) and users would be required.
4. Change the Enterprise Service Bus (ESB) platform and support end-to-end RESTful and/or JSON architecture for all interfaces
 - a. There are currently almost 200 inbound/interfaces between DFR and its interface partners (real-time and batch). These interfaces are in various formats, including SOAP and RESTful, with some JSON approaches to processing. Currently, the Mule ESB interfaces directly to DFR systems, with SOAP to DFR ESB for external interfaces. DFR ESB in turn uses SOAP/RESTful format for interface partners on DFR's behalf. This Enhancement would replace the Mule ESB and DFR ESB (currently Microsoft BizTalk) with a new ESB technology. Additional work would be anticipated to support requirements, design, and testing, including design and testing (against the "new" design and to mitigate regression risk) with all interface partners. Performance and Security Testing would also be required.
 - b. The activity to support this transition would include working with each Federal interface partner, State agency interface partner, and other DFR systems to agree upon updated design for every interface, develop in accordance with that design, coordinate integration and end-to-end testing, provide required documentation updates to Federal Interface partners, and coordinate production implementation.
 - c. Note: Assume that this update is deemed by FNS as a Major Change, and CMS considers it a significant change to the MARS-E authorization boundary. Consequently, the State will require support in supporting those requirements for this particular CR.

5. CMS Federal Data Services Hub (FDSH) update of Account Transfer to process additional fields inbound to the State. CMS is rolling this functionality out nationwide for states to consume these additional fields.
 - a. CMS and other Federal partners may roll out updates to their interfaces with the State expected to support the newer Business Service Description (BSD), technical design, and testing with CMS, along with proof of passed scenarios and updated data model information provided as part of MEET compliance. CMS anticipates that “reuse” between states for interfaces to the FDSH is leveraged as much as possible to mitigate enhancement costs incurred by states. The State would be available for conversation with other states to confirm what components of a solution for this enhancement could be reused as an accelerator to accommodating this CR.
 - b. Provide updated testing status with CMS<->DFR scenarios and their successful results. Note: CMS requires states to complete integration testing with them on interface update implementations. They maintain a running log of all testing scenarios executed and their results over time.
6. Implement *new* bi-directional interface between IEDSS and an Indiana state agency
 - a. All of the SDLC efforts to agree upon requirements and design as well as facilitate development, testing, and implementation with DFR and the partner agency. This new interface would create a new financial eligibility factor that would need to be counted towards client resources in Medicaid, SNAP, and TANF.

In contrast to the example CRs listed above, the following are examples of M&O services that would NOT be considered Enhancements:

1. Fix defects associated with SNAP application processing, and all SDLC (requirements confirmation, design, development/configuration, testing, and implementation) efforts to implement these fixes
 - a. The SNAP application processing functionality has been fully defined in requirements and design expectations
2. Fix defects related to HIP EDBC processing, and all SDLC (requirements confirmation, design, development/configuration, testing, and implementation) efforts to implement these fixes
 - a. HIP EDBC processing functionality has been fully defined in requirements and design expectations
3. Update WebSphere within IEDSS from version 8.X to version 10.X, and all SDLC (requirements confirmation, design, development/configuration, testing, and implementation) efforts to implement this update
 - a. Per Section 6.2.1, this particular update would be done as part of M&O
4. Patch Oracle Database, and all SDLC (requirements confirmation, design, development/configuration, testing, and implementation) efforts to implement this patch
 - a. Per Section 6.2.1, this particular update would be done as part of M&O
5. Upgrade Oracle Java from 8.X to 9.X, and all SDLC (requirements confirmation, design, development/configuration, testing, and implementation) efforts to implement this upgrade
 - a. Per Section 6.2.1, this particular update would be done as part of M&O
6. Upgrade Oracle 19c to Oracle 20c, and all SDLC (requirements confirmation, design, development/configuration, testing, and implementation) efforts to implement these fixes
 - a. Per Section 6.2.1, this particular update would be done as part of M&O

8. Maintenance of Decommissioned Legacy System (ICES Archival Platform)

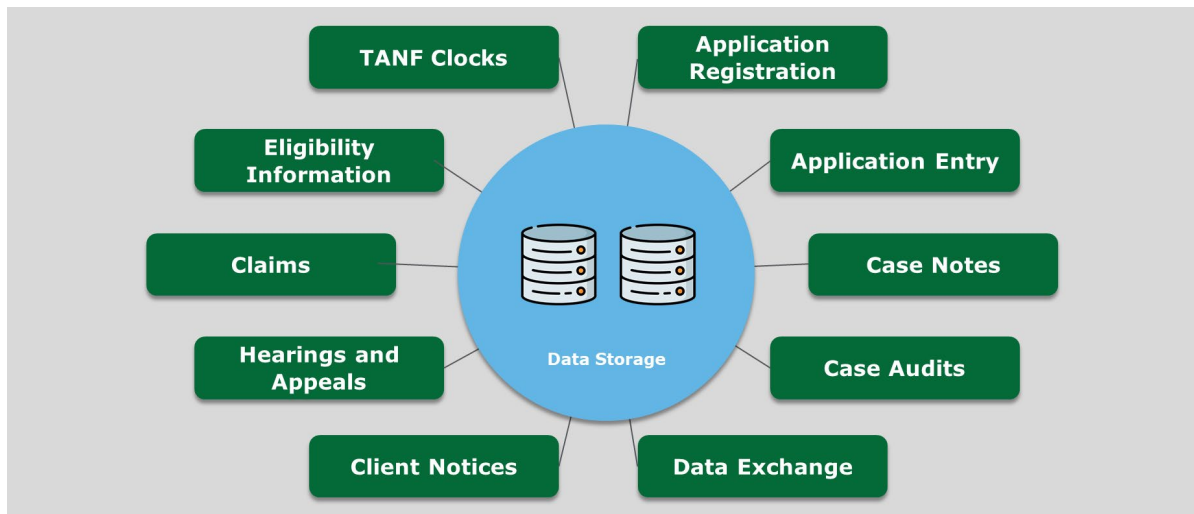
With the rollout of IEDSS, the following legacy systems were decommissioned:

ICES Worker Portal (Data was retained in the ICES Archival Platform)	Mainframe, IMS, COBOL with some Java. Hosted by State. This platform, since the early 1990s, was the system of record for Medicaid, SNAP, and TANF eligibility for the State of IN prior to IEDSS.
Family Assistance and Care through Technology Services (FACTS) Worker Portal	IBM Cúram-based, Java customized portal, interfaced to ICES and CDMS/Document Center. Maintained by an Application Services Contractor until decommissioned in 2020. Hosted by State.
FACTS OHA (OHA is now SPD OALP) Worker Portal	IBM Cúram-based, Java customized portal, interfaced to ICES and CDMS/Document Center. Maintained by an Application Services Contractor until decommissioned in 2020. Hosted by State.
Staff Management and Resource Tracking (SMART) Worker Portal	.NET customized. Hosted by State. This platform organized worker tasks from the FACTS and ICES solutions for E&E operations while also providing Quality Assurance (QA) support.

At the time of this RFP posting, these systems and their components were all decommissioned by December 31, 2020.

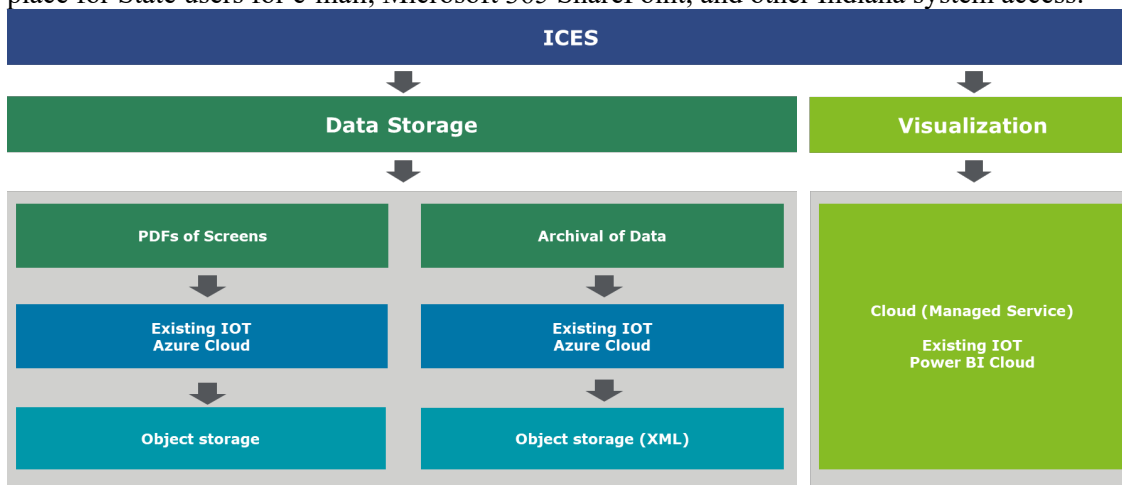
While FACTS and SMART were critical to eligibility determination until 2020, the eligibility system of record was solely within ICES and CDMS/Document Center. Consequently, the Contractor must maintain only the ICES Archival Platform throughout the Contract term, with the Application Services vendor maintaining the CDMS/Document Center. FACTS and SMART were decommissioned with no ongoing retention necessary, but the retention requirements for ICES data have a term longer than the maximum term of this Contract. The State anticipates this shall require minimal support and include services such as patches and maintaining necessary user access. The data included does not “change” and is based on the ICES platform preventing any further updates at the conclusion of the IEDSS rollout. Consequently, all of the data in the ICES Archival Platform is read-only with no updates possible (other than audit logging to track the data accessed by users and any access edits (e.g., user activation or deactivation and what data has been extracted)).

The ICES Archival Platform, at a high level, retained all the necessary data to support Federal and State retention requirements, while also providing visualization and clarity for business, policy, and other pertinent State users who may need to access historical information. This particular platform has not been envisioned to grow over a limited set of users (< 200 users who access infrequently) throughout its tenure as IEDSS, the FSSA Data Warehouse, and other eligibility systems are the primary sources of eligibility information. Several components of ICES data were archived:

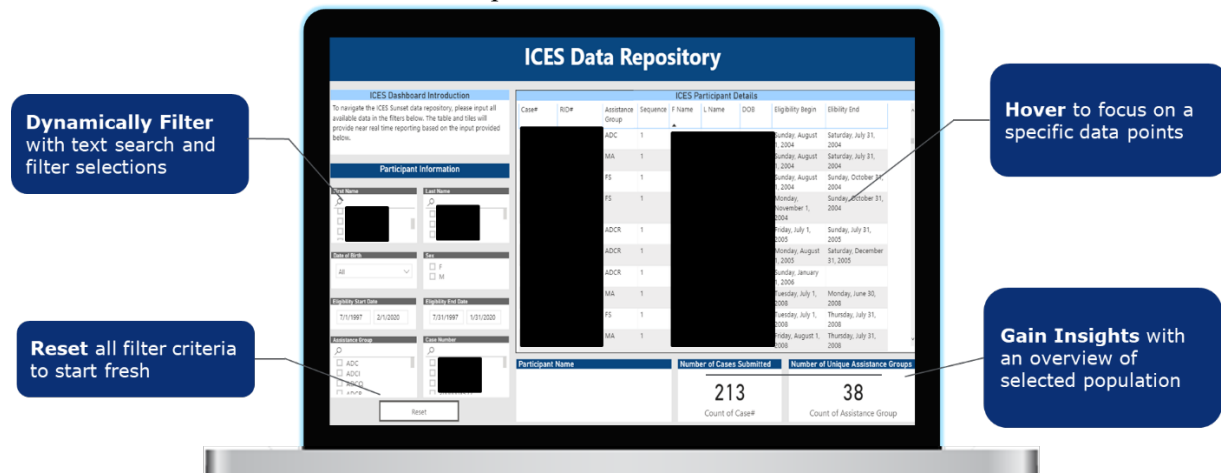


Note: This graphic is not an exhaustive list of all data which will be archived in the ICES portal

This data was archived and made available to user via the existing IOT managed Azure and Power BI cloud platforms with access driven by Single Sign-on with the Azure Active Directory (AD) already in place for State users for e-mail, Microsoft 365 SharePoint, and other Indiana system access:



Data is accessed from archival storage by using a tailored dashboard that contains prebuilt interactive Power BI queries to identify historical participant data quickly and effectively. These queries can be customized as needed in the future. Sample screen:



The main technical components of this solution include:

Service type	Region	Description
Storage Accounts	Central US	Block Blob Storage, General Purpose V2, LRS Redundancy, Hot Access Tier, 0 x 1 PB, 1 x 100 TB Capacity - 3 year reserved, 100,000 Write operations, 100,000 List and Create Container Operations, 100,000 Read operations, 100,000 Archive High Priority Read, 1 Other operations. 1,000 GB Data Retrieval, 1,000 GB Archive High Priority Retrieval, 1,000 GB Data Write
Azure Functions	Central US	Consumption tier, 256 MB memory, 100,000 milliseconds execution time, 100,000 executions/month
PowerBI Pro	SaaS	10 Licenses
PowerBI Premium	SaaS	1 P1 Node

The licensure and relationship with Microsoft for Government Cloud, secure Azure storage is all maintained by the State. The Contractor is responsible for maintaining all aspects of the application and data layers of this solution, including ongoing compliance with security requirements as cited throughout this RFP and in Clause 12 of the Contract in Attachment B.

9. Software Warranty

The State requires a 90-day warranty for all modifications and enhancements made to IEDSS solution components. The Contractor shall fix at no additional cost to the State (1) any post-production defects discovered during the 90-day warranty period and (2) any defects discovered during the 90-day warranty period that arise in a previously working component due to the rollout of a new change or enhancement. The hours required for the fixes will not count against the Enhancements Pool hours. Fit functionality in relation to user requests and agreed to specifications will be tracked by the State. Action may be taken to address consistently poor performance.

No Cost Impact: Routine Changes and Software Warranty

Routine changes made in the ordinary course of the Contractor's provision of M&O services defined within the scopes of the Contract shall be made at no additional cost to the State. Examples of routine changes that are included in the routine M&O of the IEDSS solutions that will be performed at no additional cost to the State are:

- Activities necessary for IEDSS solution components to (a) function in compliance with Federal and State laws and administrative rules, the State Plan, State waivers, State policies, and the operating manuals in effect at the time of proposal submission and (b) to correct deficiencies found after implementation of modifications. The State expects IEDSS to maintain continual Federal and State regulation compliance
- Activities necessary to comply with new industry standards and operating rules associated with those standards
- Changes to operating procedures, schedules, and equipment configurations
- Activities necessary for the solution to meet the contractual performance requirements
- Activities necessary to ensure that data, tables, programs, and documentation are current and that errors are found and corrected
- Data maintenance activities for updates to tables, including database support activities
- Changes to scripts or solution parameters concerning the frequency, number, sorting, and media of reports

All CRs are considered either covered under the Software Warranty (See Section 7) or are no-cost maintenance CRs unless the State approves additional compensation through the Change Management process. Determination of such status including Contractor dispute of status shall not delay the implementation of the CR.

10. Transition and Turnover

Initial Transition = First six (6) months of Contract

Prior to taking over the scope noted in this RFP, the Contractor shall work with the State to develop and manage plans for transferring services from the incumbent vendor over an Initial Transition Period (January 1, 2023 to June 30, 2023). As a part of the Initial Transition Period, the incumbent vendor will develop and commence implementation a State-approved Turnover Plan. As part of the incumbent vendor's Turnover Plan, they will leave behind all solution documentation (requirements, design, BPMs, UI specs, form specs, technical specifications, technical configurations, SDLC artifacts, architecture documents, test artifacts, security artifacts, database information (conceptual, physical, and logical data models), project management documentation, architecture documents, and security reporting) for the IEDSS solution on the State's instance of SharePoint as well as requirements, configuration, build configuration, and other related information within the State's maintained ALM. **Further, it will be clarified what in-progress M&O and Enhancement activities will be applicable during the Transition Period and later, during the Contract term for the agreement awarded by this RFP.** During the Transition period, it is anticipated that some Enhancements may be in early design and/or conception phase, with M&O activities ongoing for incident management, defect management, batch management, security management (e.g., vulnerability patching, POA&M, and security testing), and usability/ADA/Section 508/accessibility testing and resolution.

The incumbent vendor further is to provide internal logs and balancing procedures used during their contract to ensure compliance with operational requirements and other documentation including, but not limited to, user, provider, and operations manuals, and documentation of any interfaces developed to support business activities between the incumbent vendor and other parties.

The Contractor will complete the following deliverables during the Initial Transition Period (to be priced in Attachment D), subject to the change management process if deliverables change in content or timing within the Initial Transition Period. **Note that while the State expects all of the activities below to be executed, at a minimum, DFR would consider the Contractor's recommended movement of these activities throughout the six (6) Initial Transition months if the Contractor can justify why that adjustment would be optimal.** The Contractor will invoice the State for the monthly cost only when the associated deliverables for that month are approved by the State. While the activities below are cited as deliverables, it is anticipated that the Contractor will undertake a number of sub-activities to accomplish the milestones implied by the deliverables listed.

Month	Deliverables
1	<ul style="list-style-type: none">Initial Transition Plan finalized, subject to State approval, including resources (quantity, type, and role) who will be available for all six (6) months of the Initial Transition. Indicate what State and incumbent would make available to Contractor for Transition. Further, indicate the activities to be executed in each of the Initial Transition months.<ul style="list-style-type: none">Items such as the Draft Initial Transition Plan expectations, timeline, activities listing, resources, etc. will be provided by Contractor in their initial response to this RFP),Evidence of participation in all training provided by the incumbent vendor in IEDSS operations and proceduresConfirmation of working read-only access to all aspects of the infrastructure and ALM, including State-issued credential process understood and realized for initial Contractor usersBegin shadowing the incumbent vendor and State on all aspects of Project Management,

	<p>SDLC, and other IEDSS supporting phases. This shadowing includes the monitoring of Helpdesk tickets that are routed to IEDSS and/or opened with IOT by IEDSS/workers</p> <ul style="list-style-type: none"> • Creation of ongoing Transition meetings with the incumbent vendor, DFR, and IOT • If applicable, work with the incumbent vendor on the timing of any change of employment of incumbent vendor staff.
2	<ul style="list-style-type: none"> • Clarify points of contact for all aspects of IEDSS support that DFR and its partners will use going forward • Begin incumbent Contractor “reverse shadowing” activities for supporting the Contractor awarded this RFP and the State as this new Contractor takes on additional IEDSS responsibilities
3	<ul style="list-style-type: none"> • Documented Project Management Plan, in compliance with State and Federal requirements, subject to State approval
4	<ul style="list-style-type: none"> • Documented Hybrid Agile SDLC, in compliance with State and Federal requirements, subject to State approval • SDLC Training Plan finalized for training DFR and its partners who will be involved in requirements/design, testing, implementation, and other SDLC monitoring and/or supporting activities
5	<ul style="list-style-type: none"> • Execution of SDLC Training Plan • Completion of all training provided by the incumbent vendor in IEDSS operations and procedures • Completion of shadowing of the incumbent vendor staff in the promotion of releases to production, as well as maintenance of the production and non-production environments • Confirmation of full administrative, edit access for appropriate staff
6	<ul style="list-style-type: none"> • Complete Execution of SDLC Training Plan • Role of promotion of releases to production, as well as maintenance of the production and non-production environments, fully transferred to Contractor

End of Contract Turnover = Last eight (8) months of Contract

The State seeks to ensure that program stakeholders experience no adverse impact from the transfer of scope to either the State or to another contractor (hereafter labeled the “successor contractor”) when the Contract is complete or terminated early. These services this contract must be continued without interruption, and the Contractor must support the State and any successor contractor in transition efforts during the Contract term. In addition to the requirements in Contract Attachment B Contract clause 13 (Continuity of Services), the following end of Contract Turnover requirements apply:

- Eight (8) months prior to the end of the base Contract period, the Contractor must develop and implement a State-approved Turnover Plan covering the possible Turnover of the IEDSS solution or operational activities to either the State or a successor contractor. The Turnover Plan must be a comprehensive document detailing the proposed schedule and activities associated with the Turnover tasks. Further, the Turnover Plan must clarify what in-progress M&O and Enhancement activities will be applicable during the Turnover and how to transition those items to the State and the new Contract. Following State approval of the Turnover Plan, the Contractor can commence implementation of said plan. The Turnover Plan must be a comprehensive document detailing the proposed schedule and activities associated with the turnover tasks. The plan shall describe the Contractor's approach and schedule for transfer of all SDLC artifacts and documentation created, maintained, and updated throughout the Contract term on the State SharePoint site and/or ALM and for supporting activities to successfully transition to the successor contractor. Turnover task requirements and approximate timeframes are provided in the sections below. The dates and data requirements in the following sections are illustrative only and do not limit or restrict the State's ability to require additional information from the Contractor or modify the Turnover

schedule as necessary.

- The Contractor shall appoint, with State approval, a Turnover Manager who will manage and coordinate all Turnover activities (see Attachment K for Deputy Project Manager who can do this work). The Contractor shall submit their manager's qualifications as part of their Turnover Plan. The Contractor shall not reduce operational staffing levels during the turnover period without prior approval by the State.
 - The Contractor shall provide to the State, or its agent, within fifteen (15) business days of request all updated data and reference files, scripts, and all other documentation and records as required by the State or its agent.
- Six (6) months prior to the end of the base Contract period, or any extension thereof, the Contractor must ensure that all solution and project management documentation (requirements, design, BPMs, user interface (UI) specs, form specs, technical specifications, technical configurations, SDLC artifacts, architecture documents, test artifacts, security artifacts, database information (conceptual, physical, and logical data models) and project management documentation) for the IEDSS solution are stored on the State's instance of SharePoint as well as requirements, configuration, build configuration, test artifacts, and other related information within the State's maintained ALM. Clarity must be provided on whether each artifact is historical or currently applicable. The Contractor must also provide for all artifacts an indication of whether they are currently in production, non-production, pending implementation, and/or no longer in production. This requirement applies for both the items within the scope of M&O as well as any in-progress SDLC artifacts and solution components.
 - The Contractor further is to provide:
 - A copy of all IEDSS solution components or database(s) used. Please see Ownership of Documents and Materials clause in Contract for requirements regarding ownership of work products;
 - Location of logs and infrastructure configuration details for load balancing used during the contract to ensure compliance with operational requirements; and
 - Other documentation including, but not limited to, user, provider, and operations manuals, and documentation of any interfaces developed to support business activities between the Contractor and other parties.
 - The Contractor shall work with the State and the successor contractor on major and minor releases throughout the final six (6) months of the Contract.
 - Throughout the final six (6) months of the Contract, the Contractor must train State staff and the successor contractor, in the operations and procedures performed by Contractor staff. Such training must be completed at least two (2) months prior to the end of the Contract. The Contractor must be available for answering any questions or concerns cited by the successor contractor or the State during this six (6) month timeframe.
 - The Contractor will provide read-only access to all aspects of the infrastructure and ALM starting six (6) months from the end of the Contract.
 - For the first four (4) months of this period, the Contractor will be responsible for promotion of releases to production, as well as maintenance of the production and non-production environments. The State and the successor contractor will be supported by the Contractor in allowing them to shadow all aspects of these releases.
 - For the final two (2) months of this period, the successor contractor will be responsible for promotion of releases to production, as well as maintenance of the production and non-production environments. The Contractor will be expected to shadow the successor contractor in all aspects of the non-production and production releases at this time to ensure that no interruption in IEDSS services occurs.

- The Contractor will ensure that full administrative, edit access is provided to appropriate staff under the successor contractor.
 - The Contractor will be transitioned to read-only access in all aspects of the infrastructure and ALM in the final two (2) months of the agreement.
- By the end date of the Contract, the Contractor must turn over all State property to the State, and Contractor's access to all State infrastructure and facilities will be terminated.
 - If the optional Contract terms are exercised during Turnover activities, these Turnover activities shall shift to the next year. If the Turnover is halted due to the State exercising an optional term extension, invoices will not include Turnover Manager costs after the State's date to halt Turnover activities until those activities resume (with the State's approval) in the following year.

Additional Turnover staff (e.g., Turnover Manager) costs shall be covered by the M&O fees.

11. Compliance with Standards & Regulatory Requirements

The State of Indiana requires that all vendors comply with all current and future HIPAA privacy rules, applicable privacy controls under Minimum Acceptable Risk Standards for Exchanges MARS-E Version 2.0 (and all subsequent versions); Internal Revenue Service (IRS) Publication 1075; FISMA, FIPS and NIST standards privacy and security standards; as well as other State and Federal laws and regulations as they relate to protecting the privacy of and security over citizen information in the Contractor's safekeeping. This includes completion of all necessary background checks according to IRS Publication 1075 before joining the IEDSS Project. The amount of time necessary for background checks is an important consideration for onboarding staff and must be considered for planning purposes.

Additionally, the Contractor shall comply with relevant security and privacy policies and requirements, including but not limited to the following:

- a. Policies and requirements in Contract Attachment B, Section 12
- b. FSSA Application Security Policies and Standards (<http://www.in.gov/fssa/4979.htm>)
- c. 45 CFR § 155.260
- d. 42 CFR § 433.112
- e. Medicaid Eligibility and Enrollment Toolkit (MEET) and Streamlined Modular Certification (SMC) Outcomes-Based Certification (OBC)
- f. Website Accessibility under Title II of the American Disabilities Act (ADA), 28 C.F.R. § 35.160, 28 C.F.R. § 42.503, Section 504 of the Rehabilitation Act, Section 508 of the Rehabilitation Act, HHS CMS MEET requirements for usability/accessibility, and FNS Handbook 901 requirements for usability/accessibility (as well as "SNAP Guidance Best Practices for Online Applications")
 - a. As part of supporting these Federal expectations, use Web Content Accessibility Guidelines 2.1 (WCAG 2.1) or an equivalent standard in ongoing SDLC requirements, design, testing, ongoing assessment, and defect resolution of the IEDSS solution. This expectation applies to M&O scope and should also be incorporated within any enhancements.
- g. Future FNS and CMS certification requirements, including CMS SMC Outcomes-Based Certification (OBC)
- h. Social Security Administration (SSA) requirements
- i. Balanced Budget Act (BBA) of 1997 Subtitle H
- j. Medicaid Managed Care rules, 42 CFR 438
- k. State of Indiana Code (IC) Title 4

- l. The Open Web Application Security Project (OWASP), including Application Security Verification Standard 3.0
(<https://www.owasp.org/images/6/67/OWASPAApplicationSecurityVerificationStandard3.0.pdf>)
- m. FSSA Security Assessment Policy
(http://www.in.gov/fssa/files/FSSA_Security_Assessment_Policy.pdf)
- n. IOT Policies, Procedures, and Standards (<http://www.in.gov/iot/2394.htm>) including the IOT Information Security Framework
(http://www.in.gov/iot/files/Information_Security_Framework.pdf)
- o. State of Indiana security requirements found in IC 4-1-6
- p. Applicable safeguard requirements for:
 - SNAP information under 7 CFR §272.1(c) and within the [Food and Nutrition Service \(FNS\) handbook 901](#) (including Chapter 9, Systems Security)
 - TANF information under 45 CFR §205.50 and IC 12-14-1.
 - Medicaid information under 42 CFR Subpart F and IC 12-15-27
 - Vocational rehabilitation information under 34 CFR §361.38
- q. FSSA's security standards found at: <http://www.in.gov/fssa/4979.htm>
- r. HHSS IT Access Control Standard and MARS-E 2.0 (and subsequent versions) requirements for unique user identification (UUI). UUI access and security roles are assigned by FSSA Account Control in conjunction with IOT security administrators
- s. IOT's Information Resources Use Agreement (IRUA) found at:
<https://www.in.gov/iot/IRUA.htm>
- t. IOT standards regarding encryption of all communications (FIPS 140-2). Encrypt all data stores to the FIPS 140-2 standard

For a complete list of contractual expectations, see Contract Attachment B, Section 12.

With regards to privacy and security standards, in addition to compliance with the above policies and requirements, the Contractor shall:

- a. Uphold the State's privacy guarantees as documented in Indiana Code 5-14-3:
<http://www.in.gov/legislative/ic/code/title5/ar14/ch3.html>.
- b. Implement administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of the PHI and PII that the Contractor creates, receives, maintains, or transmits on behalf of the State of Indiana.
- c. Mitigate, to the extent practicable, any harmful effect that is known to the Contractor of PHI and PII obtained under this contract in a manner not provided for by this Contract or by applicable law of which the Contractor becomes aware,
- d. Ensure that any subcontractors or agents to whom the Contractor provides PHI or PII received from, or created or received by the Contractor, and subcontractors or agents on behalf of the State, agree to the same restrictions, conditions, and obligations applicable to such parties regarding PHI and PII.
- e. Report to the State any security and/or privacy incident of which the Contractor becomes aware. Please see Section 6.3 for additional details.
- f. Train all staff on the privacy rules and requirements. (The Contractor shall develop and provide to its staff applicable training with the successful completion of such training on no less than an annual basis; in addition, Contractor staff will need to undergo specific State-provided privacy and security training upon first hire and then on no less than an annual basis.)
- g. Use available Security Architecture assets in constructing IEDSS solutions.
- h. Perform access authentication against the IOT-managed Active Directory (LDAP) service for all access (user and service accounts).

- i. Establish the IEDSS solution components' access control (authorization) in compliance with MARS-E 2.0 (and subsequent versions). The IEDSS solution components' access control must be based on unique roles (role-based security) defined for that user.
- j. Apply all security patches to the software and hardware it controls on a timely basis. Ensure that all hardware have relevant anti-virus and anti-spyware software to ensure a safe operating environment.
- k. Ensure operating system and IEDSS solution component audit logs are generated in accordance with MARS-E 2.0 (and subsequent versions) (reference AU controls); audit logs must be retained online for no less than 90 days and retained in accessible archive storage for no less than 10 years. In addition, Contractor will facilitate audit log integration with the State's SIEM solution for event correlation, analysis, and alert functions.
- l. Support the Federal automated data processing requirements, such as 42 U.S. Code § 654a - automated data processing. The Contractor will also support and comply with new FSSA and IOT initiatives and directives regarding new or enhanced security measures. IOT has instituted the concept of three-tier Protected Zones, to isolate applications, data, and presentation services within the State network, including IEDSS solution components. These security measures necessitate enhanced access controls requiring two-factor authentication, the employment of VPNs, and stringent firewall protections with "default deny" configurations, which may have an impact on system administration and operational use procedures.
- m. Work with IOT, DFR, and FSSA Privacy & Security to secure all non-production and production environments (e.g., development, integration testing, performance testing, user acceptance testing, production staging, and production) according to all required security standards. As a matter of policy, production data cannot be used for testing unless such data is masked to the extent that any improper use or disclosure of such data would not constitute a breach under Federal and State laws and regulations. Further, the Contractor's design of the IEDSS solution must address the MARS-E 2.0 (and subsequent versions) and FSSA policy requirements for data minimization.

Also see Section 5.2 for additional Security support requirements.

12. Staffing

12.1. General Staffing Requirements

The Contractor is expected to use individual staff to cover multiple M&O services and enhancement efforts to the greatest extent possible, while not sacrificing quality of service, including SLAs. These services are not anticipated to be provided in “silos”, and efficiencies in staffing are expected.

The Contractor shall develop and adhere to an approved Staffing Plan that addresses their resource plans during the entire Contract term. Specifically, the Staffing Plan shall include the following:

- a. Number, type, and categories or staff proposed
- b. Staff qualifications
- c. Staff work location
- d. Plan for new or reassigned staff that includes recruitment of new staff and staff transition

The number of resources allocated to the M&O work will be fixed, barring a Contract change by the State that would cause the number to surge or shrink. The number of resources dedicated to Enhancements will fluctuate – surge or shrink – depending upon the volume, nature, and complexity of Enhancements work.

During the Contract term, the State reserves the right to require replacement of any Contractor or subcontractor employee found unacceptable to the State. Reasons for unacceptability include, but are not limited to, the inability of the individual to carry out work assignments or unsatisfactory job performance as determined by the State. The individual must be removed within two (2) weeks of the request for removal, or sooner if requested by the State, and be replaced within thirty (30) calendar days after the position is vacant, unless a longer period is approved by the State.

As a part of the staffing responsibilities, the Contractor shall:

- a. Update the Staffing Plan annually for approval by the State.
- b. Identify and immediately dismiss any employee with a background unacceptable to the State.
- c. Identify, report, and resolve performance issues for its entire project staff including but not limited to employees and subcontractors.
- d. Ensure all Contractor project staff shall work locally from within the greater Indianapolis area, unless otherwise approved by the State. At no time shall Contractor project staff work from outside of the United States on any Contract-related work. Per MARS-E, SA-9(5), applicable to the resulting agreement, it is required that the State obtains the authorization of the CMS CIO for the outsourcing of services outside the continental US with sufficient justification and compensation for risk, based on the US-foreign country reciprocal laws, the foreign country’s laws itself, and concerns regarding the transmission of Federal and/or DFR-owned data through foreign Internet Providers’ infrastructure. See <https://www.cms.gov/CCIIO/Resources/Regulations-and-Guidance/Downloads/3-MARS-E-v2-0-Catalog-of-Security-and-Privacy-Controls-11102015.pdf> for details.

See Attachment K for additional details regarding the staffing of this Contract, including expectations and qualifications of Vital Positions and other personnel.

12.2. Vital Positions

Vital Positions are held by Contractor staff members deemed by the State as being both instrumental and essential to the Contractor’s satisfactory performance of all contract requirements. The following general

provisions apply to Vital Positions:

- a. Employed full-time and have their primary workplace location within the greater Indianapolis area (see Section 12.5).
- b. Staffed by one and only one specific individual at any given point in time. That is, it is not permissible to have multiple Contractor staff perform one Vital Position's responsibilities unless approved by the State.
- c. Vital Positions are subject to approval by the State. As part of their Staffing Plan, the Contractor shall have named backup personnel for the Vital Positions (in the event of a prolonged illness or unexpected absence/departure) who can be take over the vacated role within two (2) weeks of the Vital Position holder's absence or departure. The Contractor shall receive State approval before replacing any Vital Positions or backup Vital Positions. The Contractor may not make any temporary or permanent changes to Vital Positions or backup Vital Positions without at least four (4) weeks prior notice to the State and the State's prior written approval unless the replacement is due to termination, death, or resignation. The Contractor shall replace Vital Positions with personnel of equal or greater ability and qualifications, subject to approval by the State, regardless of the reason for replacement.
- d. The Vital Positions and responsibilities listed in Attachment K are considered essential.
 - a. The general responsibilities and minimum qualifications cover the State's minimum expectations. To accommodate differences in organizational structures or if a Respondent believes that an alternative organizational design could improve service levels or decrease costs, the State will consider suggestions for alternative alignment of duties. Changes to the positions and responsibilities will only be allowed with written permission from the State.
 - b. For the contract, Vital Positions are indicated on Attachment K, with a "Y" in the "Located in the greater Indianapolis area and available for meetings during Indiana business hours, Monday - Friday" column. These personnel will be required to attend any meetings Monday through Friday, 8:00AM to 5:00PM (with the exception of official State holidays) when requested by the State.

12.3. Other Personnel Requirements

The State requires that the Contractor maintain other essential personnel who assist and support the Vital Positions. Duties of other essential personnel will largely be left to the determination of the Contractor, as the Contractor is best situated to make this determination.

12.4. Subcontractors

The Contractor shall be fully responsible for managing all subcontractors used to execute the services of the Contract. The subcontractor(s)'s compliance with all requirements, terms, and conditions of this Contract shall be the responsibility of the Contractor.

12.5. Facilities and Parking

The Contractor's facilities shall be located in the Greater Indianapolis area for the duration of the Contract. The Contractor shall be fully responsible for the costs of their facilities (including but not limited to leasing costs, parking fees, and utilities) and these costs will not be reimbursed by the State.

12.6. Technology and Other Supplies

12.6.1. Hardware, Software, Accessories, and Peripherals

With the two exceptions listed in the next paragraph, the Contractor shall supply all hardware, software, accessories, and peripherals for their staff (including any subcontractor staff) that will be necessary to complete the requirements of the Contract. The Contractor shall not invoice the State for these costs. The Contractor is responsible for ensuring use and management of all hardware, software, accessories, and peripherals are compliant with IOT policies, FSSA policies, applicable Indiana policies, and MARS-E 2.0 (and subsequent versions) /HIPAA requirements (for example, in terms of encryption, audit logging, audit processes, and antivirus protection). See Attachment B, Section 12 for all confidentiality, security, and privacy of personal information requirements to which the Contractor must adhere.

The only exceptions will be:

- OpenText ExStream workstation software, used for manual correspondence generation in IEDSS, will be provided by the State. Additionally, the State is maintaining all required server software and hardware.
- Virtual Private Network (VPN) access to the State network. This expense will be covered by the State.
 - The Contractor shall connect to the State over the Internet via a site-to-site VPN connection, which will be provided and managed by the State.
 - The Contractor shall manage network infrastructure at the site and support the site's network connecting to the State's VPN.
 - Host access will be based upon access-lists in the VPN appliance maintained by the State.
- The Contractor is free to provision, manage, and control any device at the site, but within IOT and FSSA policies. See Attachment B, Section 12 for all the confidentiality, security, and privacy of personal information requirements to which the Contractor must adhere.

12.6.2. Office Supplies

The Contractor shall be fully responsible for providing all office supplies to their employees (and subcontractor employees) for the necessary completion of the requirements of this Contract. This includes but is not limited to office furniture, paper, and envelopes. The Contractor shall not invoice the State for these costs.

12.6.3. Multifunctional Printers

Multifunctional Printer Configured for Document Center SDLC: The State shall provide the Contractor with access to a multifunctional printer (MFP) device that is customized in alignment with the MFPs in use in the field (i.e., DFR operations offices, such as Local Offices and Regional Change Centers) and in Document Center operations. This MFP is customized further for SDLC purposes by allowing documents to be directed to any non-production environment. In other words, developers and/or testers can scan documents and then direct them to the desired environment.

The State shall only provide one device, with the location at the State's discretion. If the Contractor requires more, each additional device must be justified and will require written State approval.

General Use MFPs: Any other MFPs, regular printers, scanners, and similar devices required by the Contractor for general purposes shall be the full responsibility of the Contractor. The State will not reimburse the Contractor for any of these devices.

12.7. Background Checks

Background Check Standards. The Contractor shall complete criminal background checks, at no cost to the State, and provide the results to the State for review.

DFR reserves the right to consider the arrest and conviction record of any proposed Contractor staff. Arrests and convictions discovered during the background check process that have not been sealed or expunged by judicial action may be cause for the State to exercise any available remedies or corrective actions under the terms of the Contract. Any applicant that has applied for a position that has been found to have either been coded in the State personnel system as ineligible for employment due to a previous code of "Not Eligible for Rehire" (NEFR) as a former employee of the State of Indiana or any code that denotes removal from a previous contract assignment due to performance/disciplinary concerns, falsification of a State of Indiana application, or has been found to have had convictions that are deemed to be related to the position applied for, will be removed from the assignment at the request and discretion of the DFR as well as from consideration from the position applied for.

The DFR reserves the right to consider any conviction, including but not limited to the falsification of documents, forgery, fraud, check deception, or theft related to the work completed within the DFR. This list is not all inclusive and DFR reserves the right to consider other factors, including but not limited to recidivism of the applicant.

Background Check Documentation.

- As a condition of employment and for purposes of determining a person's qualifications for employment, the Contractor shall, at their own expense: undertake a criminal history record background check for all Contractor and subcontractor personnel assigned to work on the contract. For all Contractor and subcontractor personnel assigned to work on the contract on Day 1 of the Contract, the fingerprints required to complete the criminal history record background check shall be submitted by the 90th day of the Contract.
- All Contractor staff must be in good standing with the State and not fall in the "Not Eligible for Rehire" (NEFR) category or in any comparable category code given to Contractor staff which relates to poor work performance, disciplinary concerns or violation of DFR standard policies or practices. Contractor is charged with verification of eligibility of rehire status with the State of Indiana prior to assignment to DFR.
- The Contractor shall submit to the Indiana State Police Bureau of Identification (SBI) an "application" fingerprint card, a request for criminal history record information form, and the appropriate fee for all Contractor and subcontractor personnel it may assign to work on the contract.
- The Contractor shall not permit any newly hired, re-hired, or transferred personnel to work on this contract until the SBI has furnished the results of the criminal history record background check to the Contractor and the Contractor has verified that the resulting report has no convictions that represent a nexus to the duties assigned to contractor staff.
- The criminal background check shall encompass the following areas:
 - i. Convictions of any State or Federal crimes shall be considered if they are deemed to demonstrate a nexus to the work duties assigned to the Contractor staff
 - ii. Referenced under: IC 10-13-3-33.5; IC 4-13-2-14.7; IC 4-15-22-10; IC 4-15-22-30; IC 12-24-3-2; IC 22-5-1.7; IRS Pub. 1075; HEA1079-2017; Arrests & Convictions Policy
 - iii. Exclusions by the US Office of Inspector General
- The Contractor shall be required to retain the results of an individual's criminal history background check as long as that person is assigned to the Contract. If a currently assigned individual is promoted to a role having increased responsibility, the Contractor shall, at its own expense, perform a new

background check. The results of the criminal history background check shall be made available to DFR upon request. If a conviction has been found in the subsequent background check to be related to the new role of increased responsibility, then the Contractor employee shall be removed from the assignment.

- If the Contractor has had a State Police background, criminal, and fingerprinting check performed for the employee that meets the exact criteria specified above, the check may be accepted by DFR at the State's sole discretion. Any such reference checks must have been done within six months of the contract start date.
- The Contractor is fully responsible for the conduct of its employees and its subcontractor's employees. If there is any need for intervention by DFR or other State personnel because of behavior, security breaches, or general misconduct, the Contractor shall immediately remove the employee from the contract work and replace this employee on a permanent basis. Further occurrences may result in the termination of the contract.
- Contractor staff applying for employment with DFR who have been found to have not successfully completed the background check due to convictions determined to have a nexus to the applied for position or due to the confirmed falsification of the application, shall be removed from the assignment immediately.
- Civil or administrative judgments that may adversely affect the employee's integrity (a professional license, etc.) may cause, at the discretion of the Contractor and/or DFR, removal from the assignment.
- Contractor shall require that its employees are responsible for reporting to their supervisor any arrests or convictions within five (5) calendar days from the date of the arrest or conviction. Contractor shall ensure the enforcement and administration of this provision and shall notify the State, via email to the DFR Executive Office email address at DFRExecOffice.DFR@fssa.in.gov, within two (2) business days of being made aware of such arrest(s) and/or conviction(s).
- Contractor staff may not work in the direct line of supervision of a relative who is employed by the State. "Relative" means any of the following: a spouse, parent or stepparent, child or stepchild, brother, sister, stepbrother or stepsister, niece or nephew, aunt or uncle, and daughter-in-law or son-in-law. An adopted child of an individual is treated the same as a natural child of the individual. "Brother" and "sister" include a brother or sister by the half blood. Contractor will require contractor staff to report to Contractor if they work in the direct line of supervision of a relative who is employed by the State.

13. Service Level Agreements

13.1. Service Levels Overview

Failure by the Contractor to meet Service Level Agreements (SLAs) may cause the State to incur economic damages and losses, including but not limited to:

- Federal penalties
- Lost Federal match funding if certain implementation deadlines are missed
- Staff productivity losses due to downtime/poor response times
- Costs incurred due to any overtime necessitated
- Applicant time lost if interface is partially or completely down
- Impact on other State systems due to downtime or other processing issues
- Negative project impact and/or risk of negative audit findings due to lack of proper documentation or improper procedures
- Impact to timeline/budget due to unavailability of key staff resources and/or adequate resources on site

As such, compensation to the Contractor will be tied to the SLAs below. The Contractor will provide periodic (monthly and quarterly) updates on their performance in relation to the SLAs. FSSA will hold the Contractor accountable to these SLAs and failure to meet SLAs on a consistent basis could have a significant impact on compensation levels to the Contractor (please see Performance-Based Withholds in Section 13.2.1 and Section 13.3.2).

The Contractor is fully accountable for meeting SLAs during the entirety of the Contract term. However, for the Initial Transition Period (1/1/2023 - 6/30/2023) only, the State will consider an SLA waiver request for with written justification for the Contractor's inability to support a specific SLA.

13.2. Maintenance and Operations Service Levels

The following service levels for M&O services shall be reported monthly to the State in a written report, per Section 4.7.1 and in claims submitted. Validation of the SLAs will be conducted by the State and/or the OV&V Contractor, and the Contractor must provide any supporting documentation requested as part of validation activities. The Contractor shall provide full transparency via the State SharePoint site and/or ALM to access all materials and associated work products, including but not limited to staff time reports, staff status reports, staff calendars, agendas, meeting notes, charters, and request trackers.

13.2.1. M&O Thresholds for Compliance

The table below provides the SLA thresholds that define compliance and are the basis for determination of loss of the performance-based withhold of the monthly M&O fee.

SLA#	Key Service Level Agreement	Threshold for Compliance (Reported Monthly)
1	<p>System Uptime. Maintain IEDSS solution components' system uptime against a 24-hours per day, 7 days per week operating schedule, excluding scheduled maintenance time.</p> <p>Note: Any maintenance exceptions should be either for a standing window (such as 2:00 A.M. to 4:00 A.M. on Sundays) or have written pre-approval from the State.</p>	99.99% uptime other than scheduled maintenance time.
2	<p>IEDSS Contractor Tier 2/3 Helpdesk Resolution Timeliness. Resolve opened IEDSS Contractor Tier 2/3 Helpdesk tickets in the required timeframes outlined in Section 6.3.3 to the satisfaction of the State.</p>	<p>99% of opened tickets resolved on time.</p> <p>100% of opened tickets resolved within 60 calendar days</p>
3	<p>Recurring Reports Accuracy/Timeliness. Produce recurring reports (defined as the Weekly Status Reports described in Section 4.3, Recurring Management Reports described in Section 4.5.1) in accordance with approved requirements accurately and on time (defined as due dates in the Project Schedule).</p> <p>(Any unapproved deviation from timeliness and accuracy standards will be corrected on a schedule based on critical nature of the deviation as determined by the State.)</p>	100% of reports are accurate and delivered on time.
4	<p>Work Product Compliance. Ensure work products comply with all standards identified in the Contract. (Any unapproved deviation from standards will be corrected within ten (10) calendar days of detection by the Contractor or State). This expectation includes all Project Management (PM), SDLC artifacts, and M&O/Enhancement deliverables including system user documentation, requirements, design, test artifacts, system coding, and platform configurations.</p>	100% compliance, unless otherwise approved by the State.

SLA#	Key Service Level Agreement	Threshold for Compliance (Reported Monthly)
5	<p>Security Incident Notification Timeliness. Security Incidents shall be made known to the FSSA Privacy & Security Office and appointed DFR team (noted in the Project Management Plan) within one (1) hour of when the Contractor discovers the Security Incident.</p> <p>See Section 12 of Attachment B for the definitions of “Security Incident”, “discovered”, and “discovery”. Please note that though the requirement in Section 12 indicates the Contractor is required to notify the FSSA Privacy & Security Office within one (1) business day of the Security Incident discovery, DFR specifically requires the Contractor to notify DFR within one (1) hour of discovery through this SLA.</p>	100% compliance, as measured by time elapsed from Security Incident discovery.
6	<p>Privacy and Security Compliance. IEDSS solution and Contractor are compliant with key Federal laws and regulations (e.g., ADA, OSHA, HHS CMS Medicaid, USDA FNS SNAP, HHS ACF TANF, etc.), Indiana Law, MARS-E 2.0 (and subsequent versions), and HIPAA requirements for privacy and security in all activities.</p> <p>Please see Section 12 of Attachment B for the definition of “breach” and additional relevant information.</p>	<p>No incidents of non-compliance.</p> <p>(Any incidents of non-compliance discovered by or reported to the State shall be cured by the Contractor within 30 calendar days upon notice by the State; satisfactory failure to cure would subject the Contractor to the Withhold established below and repeated failures to cure would be cause for termination of the agreement.)</p>
7	<p>Tracking and Resolution of nightly batch procedure failures that occur during any scheduled production batch process with timely notification to the State and its designees. As part of the move to production process for a scheduled nightly batch program, the designated State staff must be emailed regarding the nightly batch failure and the actions taken to correct the problem by 8:00AM Eastern Time or earlier the next business day following the occurrence.</p>	99.5% of emails must be received on time.

SLA#	Key Service Level Agreement	Threshold for Compliance (Reported Monthly)
8	Tracking and resolution of online system or scheduled batch procedure failures that occur during the normal business day. As part of the move to production process for an online or scheduled batch program, the designated State shall be emailed within one (1) business hour upon discovery of an application program failure during the production online day. Contractor must send an email to the appropriate distribution list within four (4) business hours of the discovery of a production application failure during the “production online day” with the actions taken for correcting the failing application program. “Production online day” is from 7:00 AM to 8:00 PM Eastern Time, Monday through Friday, 7:00AM to 7:00PM Eastern Time on Saturday, and 8:00AM to 4:00PM on Sunday unless specified in the PMP, or there are mass updates that interfere with scheduling.	100% of emails must be received on time.
9	IEDSS Contractor Tier 2/3 Helpdesk Ticket Cancellation Processing Accuracy. The purpose of this metric is to confirm the accurate processing of the Contractor’s ticket cancellations (including when the cancellation was miscategorized, when the cancellation was not justified, or when the user reports desertification either through user reporting or Operational Verification and Validation (OV&V) follow-up with the user). The OV&V vendor will conduct a quality check on a random sampling of cancelled tickets on a monthly basis. If an error is identified by the OV&V vendor and the error is confirmed by the State as an error (that is, both parties agree that the ticket should not have been cancelled but rather should have been resolved) then the OV&V vendor will log it as a deficiency in meeting the standard for the month.	100% of cancelled tickets must be accurately processed, as determined by the OV&V vendor’s sampling or review of user feedback received
10	Legacy System Components Availability. Maintain legacy IEDSS components system uptime against a 24-hours per day, 7 days per week operating schedule, excluding scheduled maintenance time.	99.99% uptime other than scheduled maintenance time.
11	Online Response Time. The transactions measurement used in this SLA will be the monthly average of the daily transactions, utilizing all the transaction snapshots taken within the given month. Daily snapshots will be taken throughout the month. Response Time is measured between the web/application server request and response.	99% of transactions completed in less than fifteen (15) seconds; 95% of transactions completed in less than eight (8) seconds; 90% of transactions completed in less than five (5) seconds.

SLA#	Key Service Level Agreement	Threshold for Compliance (Reported Monthly)
12	Incident Initial Triage Timeliness. Conduct initial triage in compliance with the required timeframes (see Section 6.3.3).	99% of incidents received are fully triaged within the required timeframes
13	Code Retention Procedures. Up to date and accurate application base source code/configuration, executable modules, and database logical/conceptual/physical data models must be available for compliance audits by both State and Federal authorities. This content may be requested by the DFR Director and/or their designee and must be submitted within five (5) business days of the request.	100% of materials submitted in response to requests are accurate, up to date, and timely (within five (5) business days).

13.2.2. M&O Withhold Amount and Conditions

During each month of the Contract, the State will withhold 10% of that month's fees as listed in the contract. The State will evaluate service level noncompliance monthly. If two (2) or more M&O service levels as defined in Section 13.2.1. are not reached for any given month, the performance withhold amount for that month will be at risk for forfeit unless all metrics are met in the next two (2) consecutive months. At the State's request, the Contractor shall perform a Corrective Action Plan (CAP) that outlines how the Contractor plans to correct poor performance.

If two or more instances of failure to meet M&O SLAs (as detailed in above) are reported in two (2) consecutive months, the Contractor must prepare and submit a root-cause analysis and remediation plan to the State, the form and scope of which shall be agreed to by the parties.

13.2.3. Other Service Levels

The service levels in the table below are established in the Contract but are not included in the determination of whether the 10% performance withhold mentioned above will be released for any given month. Instead, in cases of non-compliance with regards to the service levels in the table below, the Contractor shall perform a Corrective Action Plan (CAP) at the State's request that outlines how the Contractor shall correct poor performance. The State may also require the Contractor to prepare and submit a root-cause analysis and remediation plan to the State, the form and scope of which shall be agreed to by the parties. If there are multiple instances of non-compliance, the State reserves the right to pursue additional corrective actions or contract termination.

SLA#	Key Service Level Agreement
14	Forward all communications received that should be handled by State staff or interface partner staff (as applicable) within one (1) business day of receipt
15	Notify the sender that communications have been forwarded to the State or interface partner staff (as applicable) within one (1) business day of receipt
16	Propose a replacement of key staff positions within thirty (30) calendar days of vacancy
17	Provide monthly management reports within ten (10) calendar days of the end of the month being reported
18	Submit status meeting agenda at least one (1) business day prior to meeting
19	Provide status meeting minutes in specified format within ten (10) business days of the meeting

SLA#	Key Service Level Agreement
20	Provide Service Level Agreement status reports in specified format at least one (1) business day prior to each meeting
21	Provide annual summary reports in specified format
22	Produce accurate documentation within ten (10) days of required change
23	Notify the State of any issues with any user or system interface within one (1) hour of detection of the issue
24	Code Retention Procedures. For retention of application base source code, executable modules, and the databases critical for compliance audits by both State and Federal authorities may be verified upon written request by the State and must be submitted within five (5) business days of the request. The standards for verifying procedures will be agreed upon between the State and Contractor as set forth.
25	Availability of emergency on-call technical staff. Contractor must have staff available for emergencies, twenty-four hours per day, seven days per week, three hundred sixty-five days per year (24x7x365) in support of the IEDSS replacement solution. Contractor will be required to respond to the emergency based upon the notification and communication escalation procedures defined in the PMP.

13.3. SDLC Service Levels

13.3.1. SDLC Thresholds for Compliance

The following are service levels for SDLC activities (e.g., defect fixes and enhancements). These will be reported monthly to the State in the monthly M&O Status Report, per Section 4.7.1.

SLA#	Key Service Level Agreement	SLA Threshold for Compliance
26	Enhancement Estimates Timeliness. Provide enhancement cost and time estimates within one (1) week from request submission.	95% compliance
27	Enhancement Completion Timeliness. Complete requested enhancements within estimated timeframes approved by the State.	100% compliance
28	Defect Correction Timeliness. Correct defects found during User Acceptance Testing per the timeframes according to the timelines in Section 5.3.4, under UAT Defect Remediation Schedule. The Contractor shall receive State approval on which defect Testing Severity Level 4 defects are allowed to be uncorrected before production. See Section 5.3.2 for the Defect Testing Severity level definitions.	Correct 100% of Testing Severity Level 1, 2, and 3 defects and 95% of Testing Severity Level 4 defects) per the timeframes agreed upon with the State

Additionally, the Contractor shall complete requested enhancements within the State-approved budget. The Contractor shall be responsible for any expenditures over the State-approved budget if no changes in scope were made.

13.3.2. SDLC Performance-Based Withhold

During each month of the Contract, the State will withhold 10% of that month's invoiced SDLC fees (that is, non-M&O fees). The State will evaluate SDLC-related service levels monthly for noncompliance. If two (2) or more service levels as defined in Section 13.2.1 are not reached for any given month, the performance withhold amount for that month will be at risk for forfeit unless all metrics are met in the next two consecutive months. At the State's request, the Contractor shall perform a Corrective Action Plan (CAP) that outlines how the Contractor shall correct poor performance.

If two (2) or more instances of failure to meet an SLA (as detailed in above) are reported in two (2) consecutive months, Contractor must prepare and submit a root-cause analysis and remediation plan to the State, the form and scope of which shall be agreed to by the parties.

13.4. User Requests/Defects/Incidents Reporting

The Contractor will report the number of items (user requests, defects, and incidents) resolved and remaining open items in a given monthly period, the amount of time each item has been open, and the amount of time originally estimated for each item's resolution. Please see Section 5.4, 6.3, and Attachment M for additional information on incident and defect management.



RFP 22-70230 – IEDSS System Maintenance and Operations

Attachment F: Technical Proposal

Respondent:

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Instructions:

Request for Proposal (RFP) 22-70230 is a solicitation by the State of Indiana in which organizations are invited to compete for a contract amongst other respondents in a formal evaluation process. Please be aware that the evaluation of your organization's proposal will be completed by a team of State of Indiana employees and your organization's score will be reflective of that evaluation. The evaluation of a proposal can only be based upon the information provided by the Respondent in its proposal submission. Therefore, a competitive proposal will thoroughly answer the questions listed. The Respondent is expected to provide the complete details of its proposed operations, processes, and staffing for the scope of work detailed in the RFP document and supplemental attachments.

Please review the requirements in Attachment C, Scope of Work, carefully. Please describe your relevant experience and explain how you propose to perform the work. For all areas in which subcontractors will be performing a portion of the work, clearly describe their roles and responsibilities, related qualifications and experience, and how you will maintain oversight of the subcontractors' activities.

Respondents must organize their proposal in the exact order of questions provided in this document followed by their answers. While text boxes have been provided below, the Respondent may respond in the format of their choosing provided their response maintains the order proposed in this template. Diagrams, certificates, graphics and other exhibits should be referenced within the relevant answer field and included as legible attachments. **A Technical Proposal is a requirement for proposal submission. Failure to submit this form would impact your proposal's responsiveness.**

Please limit your Technical Proposal to a total of 275 pages, excluding the draft Project Schedule, sample forms and reports, resumes, and the high-level impact analyses for the six sample Enhancement CRs.

1. Minimum Requirements (RFP Section 1.4.2)

For each minimum requirement listed in items in RFP Section 1.4, please clearly explain how the Respondent meets the requirement. The minimum requirements are:

- a. Provided maintenance and operations (M&O) services for a large system for at least one (1) client within the last five (5) years. "Large" is defined in this instance as a system that supports at least 1,500 users who are processing data for at least 1 million client records throughout a year and have the corresponding technical components to handle this capacity for intake, processing, batches/interfaces, and reporting. (Note: client records include records for current recipients, previous recipients, and historically denied applicants).
- b. Worked on a systems implementation or an M&O project for a city, county, state, or federal health or human services agency, or a project funded by a federal health or human services agency within the last five (5) years.

For each project described, please be clear about the client, your role on the project, whether you were the prime contractor or subcontractor, and time period the relevant work took place that meets the requirement. If you were a subcontractor, explain if you served primarily in a staff augmentation role or if you had a substantial role leading and executing delivery of a portion of the scope of work? If the latter, for what services did you lead and execute the delivery?

2. Background and Experience

Describe your company and proposed project staff's background and experience and how it will benefit the State in this Contract. Include the following information, at a minimum:

- a. Provide a list of organizations for which you have delivered similar services of a similar in size, scope, and technical components.
 - i. Describe how that experience is relevant to the services in this RFP.
 - ii. Describe any problems and failures that you encountered in delivering your services, how these were resolved, and what were the lessons learned.
- b. Describe your relevant experience with city, county, state, and federal health and human services agencies, especially system DDI and M&O efforts.
- c. For each of the following, provide a clear, separate description of your experience in meeting compliance:
 - i. Medicaid Eligibility and Enrollment Toolkit (MEET)
 - ii. Streamlined Modular Certification (SMC) Outcomes-Based Certification (OBC)
 - iii. Medicaid Information Technology Architecture (MITA) 3.0 and requirements of 42 CFR § 433.112
 - iv. Minimum Acceptable Risk Standards for Exchanges (MARS-E) 2.0 and subsequent versions, IRS Publication 1075, and SSA Security Requirements
 - v. ACF TANF requirements
 - vi. FNS Handbook 901 and FNS Major Change requirements
 - vii. FNS Test Plan requirements and System Integrity Review Tool (SIRT) requirements
 - viii. SNAP and TANF Employment & Training (E&T) requirements
- d. Corrective actions
 - a. Disclose any publicly reported formal corrective actions, security breaches, and lawsuits that your company has experienced under previous contracts in the last 10 years. For each lawsuit, include the court and the court issued case number.
 - b. Disclose any non-publicly reported formal corrective actions, security breaches, and lawsuits that your company has experienced under previous contracts in the last 10 years. For each lawsuit, include the court and the court issued case number.
- e. Describe your company's experience with the technologies described in Tab 3 of Attachment J.

Based on your experience, detail any eligibility system and SDLC/IT Management industry best practices with respect to the scope of this RFP that you would like to share for the State's consideration.

3. IEDSS Solution Overview and Management (Attachment C, Section 3)

Describe your understanding of the State's vision and needs for the IEDSS M&O scope of work. Be sure to address the elements of Attachment C, Section 1 and Section 3.1 to 3.6.

- a. Describe your understanding of the State's current IEDSS platform and architecture, and its support for casework and clients in Indiana.
- b. Describe your approach to managing and staffing the scope cited for each track.
- c. Describe your experience with handling similar scope as what is cited in each track.

- d. Describe what you would require from the State with regards to resources for supporting each track and the overall IEDSS solution.
- e. Describe how you will support the State in managing the IEDSS solution for the number and type of users cited.
- f. Describe your experience and background with each of the IEDSS solution technologies and tools cited.
- g. For each of the IEDSS solution technologies and tools cited, the State will need to consider alternatives throughout the term of the agreement due to version support ending, more cost-effective solutions, more readily federal-compliant technologies, etc. Describe your experience in conducting alternative analyses with each of the IEDSS solution technologies and tools. Confirm your willingness and ability to transition to State-approved alternatives throughout the term of the agreement.
- h. Describe your background managing and supporting systems of similar magnitude and complexity.

4. Project Management (Attachment C, Section 4)

Explain how you propose to execute Attachment C, Section 4 in its entirety, including but not limited to the specific elements highlighted below:

- a. Describe your Project Management approach in adherence with the requirements of Section 4.1, including federal project management requirements.
- b. Describe your Project Plan as outlined in Section 4.2. Include a proposed draft Project Schedule based on the information in the RFP.
- c. Describe your plan to provide the State Status Updates as outlined in Section 4.3.
- d. Describe your plan to perform the Project Quality Management responsibilities outlined in Section 4.4.
- e. Describe your company's plan to conduct the Change Management Process activities outlined in Section 4.5.
- f. Describe your company's plan to execute releases according to the requirements outlined in Section 4.6.
- g. Describe your Management Reporting in adherence with the requirements of Section 4.7. Explain how the Respondent will track and report hours spent by each team member.
- h. Confirm your understanding acceptance of the requirements in Section 4.8.

5. Software Development Lifecycle (SDLC) Approach (Attachment C, Section 5)

Explain how you propose to execute Attachment C, Section 5 in its entirety, including but not limited to the specific elements highlighted below:

- a. Confirm your adherence with all stated SDLC requirements of Section 5, including federal project management requirements.
- b. Describe your proposed SDLC process and expectations of State staff and resources. Explain how you will employ Agile methodologies in your Hybrid Agile SDLC process. Explain any alternate methodologies or enhancements to the SDLC and architecture models described in Attachment C.
- c. Confirm your agreement to provide the SDLC deliverables described in Section 5.1 as required.
- d. Provide your approach to SDLC management. Explain how you would transition the system and State IEDSS team to Agile methodologies for prototyping, rapid quality delivery, and other best practices and the timeframe for the transition activities.
- e. Confirm that you will comply with all security requirements in Section 5.2
- f. Describe your proposed testing approach.
 - o Approach to each testing cycle
 - o How automation will play a role
 - o Approach to defect resolution and within the contractual time frames
 - o Proposed defect tracking tool

- Your experience with security testing using the methodologies cited by MARS-E 2.0 and subsequent versions, IRS Publication 1075, and SSA Security Requirements
- Provide a sample Master Test Plan for a release that indicate the level of detail and quality the States should expect from you during this Contract. The sample Master Test Plan should be compliant with FNS and CMS testing requirements.
- Provide your approach on supporting UAT efforts
- g. Provide your approach to the release management process for major, minor, and any other applicable releases into non-production and production environments.
- h. Provide your approach to SDLC Artifact Management.
- i. Provide your approach to SDLC Quality Management, including how you will support the State's UAT team and how you will confirm quality prior to production releases.
- j. Provide examples of sample requirements document(s) that indicate the level of detail and quality the States should expect from you during this Contract.

6. M&O Services (Attachment C, Section 6)

For each of the following M&O services described in Attachment C, Section 6, describe your experience and your proposed approach to fulfilling the responsibilities as described in the RFP. Additional questions have been included for of the listed services.

- a. Architect Services. Include your approach to understanding and maintaining the current architecture while using industry best practices in compliance with federal requirements to enhance IEDSS architecture throughout the term of the agreement.
- b. Software/Hardware Management, including infrastructure management, ALM, database support, application monitoring, and batch processing.
- c. Software/Hardware Maintenance, including the Contractor's understanding of what constitutes M&O, no additional cost, work versus Enhancements, in alignment with RFP expectations. Include information on how platforms would be tracked throughout the Contract term and "future proofed" in alignment with the RFP.
- d. Incident Management and IEDSS Contractor Tier 2/3 Helpdesk Support. Include how you would ensure incident resolution within the contractual time frames.
- e. Business and Operations Reporting
- f. Security & Privacy. Include your experience conducting Security Impact Analyses (SIAs) in accordance with federal requirements.
- g. Training. Describe your company's plan to perform the training responsibilities (for your team as well as for the State IEDSS team) outlined in Section 6.7, specifically including the following elements: System Usage Training, SDLC and PM Training, and Security Training. Provide a proposed Training Plan that meets the needs of the State.
- h. Business Continuity and Disaster Recovery, in alignment with State and Federal requirements.

7. Enhancements (Attachment C, Section 7)

- a. Explain your understanding of the enhancements activities in Attachment C, Section 7.
- b. Describe your approach to the requirements for the Enhancement Pools and Enhancements Pricing.
- c. Tab 6 of Attachment J includes list of six (6) example enhancement CRs, including a breakdown on those that are considered Enhancements (and thus subject to Enhancement pricing). For each enhancement:
 - i. Please provide mock, high level impact analyses against these example enhancements, along with number of hours for each Core Team position and Additional Position listed in Attachment D, “Example CR Pricing”. DO NOT PROVIDE COST INFORMATION IN THE TECHNICAL PROPOSAL. The FTE counts must match the number of hours entered in the “Example CR Pricing” tab.
 - ii. Describe your proposed execution approach for each CR, including how you will ensure compliance with State and Federal requirements
 - iii. Describe your experience and qualifications in executing the work required for each enhancement.
 - iv. Provide the implementation steps that you would execute (along with the timing of those steps) for Project Management and SDLC in compliance with federal Project Management and SDLC requirements. Explain how you will ensure sufficient testing and QA support was provided per the Master Test Plan, and how you will support UAT in their determination of production readiness.
 - v. Create a high-level requirements/design artifact.
 - vi. Explain how you would transition the scope of the CR to M&O support.
 - vii. In the event that FNS does not approve of a Major Change due to PM and SDLC deficiencies, how would you support the State in addressing Federal concerns and garnering approval.
 - viii. In the event that CMS does not approve of a Significant Change due to PM and SDLC deficiencies, how would you support the State in addressing Federal concerns and garnering approval.

8. Maintenance of Decommissioned Legacy Systems (Attachment C, Section 8)

Explain how you propose to maintain the decommissioned legacy systems listed in Section 8 of Attachment C.

9. Software Warranty (Attachment C, Section 9)

- a. Confirm your acceptance of the Software Warranty requirements in Attachment C, Section 9.
 - b. Explain your understanding of the No Cost Impact: Routine Changes and Software Warranty requirements.
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10. Transition and Turnover (Attachment C, Section 10)

- a. Describe your company's plan to perform the transition and turnover responsibilities outlined in Attachment C, Section 10 of Attachment C, specifically including the Initial Transition and the End of Contract Turnover. If certain enhancements and M&O activities are expected to be in-progress at the end of the Initial Transition Period, explain:
 - i. How you will support the in-progress enhancements and M&O activities (e.g., patching according to IOT monthly schedule, batch scheduling, security POA&M) and ensure a seamless transition
 - ii. What you will need from the incumbent vendor as part of transition activities
 - iii. How you will ensure there is no gap in service
 - iv. What assumptions you have about the incumbent and State's roles and responsibilities in the Initial Transition Period.
- b. Include a proposed Initial Transition Plan with your proposal. Provide a detailed timeline for all Initial Transition activities, including the proposed start and end date for each activity. Include as part of the activities any data requests for the State and incumbent vendor, system access requests, transition meetings, shadowing activities, reverse shadowing activities, and gradual change in ownership for specific M&O tasks and system access (read, changes, admin).
- c. Describe how you will identify and/or recruit the necessary qualified staff as part of the Initial Transition, and the timing on recruiting, training, and onboarding activities.
 - o Please confirm that you have factored into your Initial Transition Plan risk mitigations for delays in identifying or recruiting qualified personnel to fill each position and in conducting the necessary knowledge transfer from the current contract to the new contract awarded through this RFP.
- d. Include a proposed Turnover Plan with your proposal. Provide a detailed timeline for all Turnover activities, including the proposed start and end date for each activity. Include as part of the activities any requirements of the State and successor contractor, turnover meetings, shadowing activities, reverse shadowing activities, and gradual change in ownership for specific M&O tasks and system access (read, changes, admin).

11. Compliance with Standards & Regulatory Requirements (Attachment C, Section 11)

- a. Describe your company's plan to adhere to the standards and regulatory requirements outlined in Sections 11 of Attachment C.
- b. Confirm that the Respondent complies and will support the State in complying with the requirements and standards as written in Section 11.
- c. Explain how above compliance can be verified during the Contract.

12. Staffing (Attachment C, Section 12)

- a. Confirm your acceptance of the requirements in Attachment C Section 12.
- b. Describe your overall staffing plan to fulfill the roles and responsibilities outlined in Section 12. List the positions you will staff on each of the following areas and explain how they will be conducting the required support: Architecture, Program/Project Management, Business Analysis, Development, Testing, Technical, and Security.

- i. For each proposed individual in a Vital and Non-Vital, please confirm that they will be working from the Greater Indianapolis area. If they are working from outside of the Greater Indianapolis area, please state the location from which they will work.
- c. Include an organizational chart for the proposed project team, including the role of any subcontractors. Please include an organizational chart for the Initial Transition Period including indication of how it will change through those first six (6) months of the contract.
- d. Add confirmation that you will only use staff who meet the minimum requirements in Attachment K.
- e. Explain how you will maximize retention of staff, including any subcontractor staff.
- f. Provide resumes for all Vital Positions identified in Attachment K.
- g. For each Vital Position, explain how the individual proposed by the Respondent meets the requirements for in Attachment K. Clearly indicate by which company each proposed individual is employed (Respondent or subcontractor; if it is a subcontractor, please name the subcontractor).
- h. Are you consistently assigning the same set of individuals to work on Enhancements?
- i. Please confirm that the Enhancements team staffing levels will be ramped up or down based on actual State enhancements needs and that the enhancement staff FTEs are not being billed full time if they are not part of an approved enhancement CR
- j. Please explain how you plan to handle Enhancements resource needs as they surge and shrink throughout the Contract term.
- k. Complete Attachment K and submit it with your proposal.
- l. Subcontractors
 - o Describe the role of any subcontractors you will utilize for this Contract.
 - o Provide the percentage of staff supplied by the Prime Contractor and each subcontractor for delivery of M&O activities. Similarly, the percentage of staff supplied by the Prime Contractor and each subcontractor for delivery of enhancement services. (*For example, "For M&O services, we will provide X% of the staff, Subcontractor A will provide Y% of the staff, and Subcontractor B will provide Z% of the staff".*)
 - o Indicate your prior experience with each subcontractor.
 - o Describe their experience and expertise as it relates to supporting the Contract scope.

13. Service Level Agreements (Attachment C, Section 13)

- a. Confirm your acceptance of the requirements in Attachment C Section 13.1 as written.
- b. Describe your process for identifying, prioritizing, and communicating problems that are contributing to a failure to maintain Service Levels.
- c. Confirm your acceptance of the M&O performance-based withhold requirements in Section 13.2 as written.
- d. Describe your approach to meeting the Service Level compliance thresholds listed in Section 13.2 as written.
- e. For each enumerated service level agreement in Section 13.2.1, explain how the data for the service level will be collected and reported (i.e., data sources and process) and how you propose to meet or exceed the thresholds for compliance. Include a snapshot of a similar report from a past project, if available, to demonstrate your reporting experience and capabilities for each service level. Sensitive information can be redacted.
- f. Confirm your acceptance of the SDLC performance-based withhold requirements in Section 13.3 as written.
- g. Describe your approach to meeting the Service Level compliance thresholds listed in Section 13.3 as written.
- h. For each enumerated service level agreement in Section 13.3.1, explain how the data for the service level will be collected and reported (i.e., data sources and process) and how you propose to meet or exceed the thresholds for compliance. Include a snapshot of a similar report from a past project, if available, to demonstrate your reporting experience and capabilities for each service level. Sensitive information can be redacted.
- i. Confirm your acceptance of the reporting requirements in Section 13.4.

14. Drivers for Annual Cost Adjustments (If Applicable)

The Cost Proposal template provides the option for the Respondent to increase or decrease their annual M&O fee from year to year. If you proposed a change in fees in any year in your Cost Proposal, please clearly describe in the response to this question the drivers for the change in detail for each affected year. For example, if your fee was reduced from Year 1 to Year 2 due to an anticipated staffing adjustment, please explain the change to staffing levels mix and/or FTE count. Do not include your monthly or annual fees in the response to this question; only percentages of each change described are allowed.

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**RFP# 22-70230 BUSINESS PROPOSAL
ATTACHMENT E**

Instructions: Please provide answers in the shaded areas to all questions. Reference all attachments in the shaded area.

Business Proposal

- 2.3.1 General** - Please introduce or summarize any information the Respondent deems relevant or important to the State's successful acquisition of the products and/or services requested in this RFP.

- 2.3.2 Respondent's Company Structure** - Please include in this section the legal form of the Respondent's business organization, the state in which formed (accompanied by a certificate of authority), the types of business ventures in which the organization is involved, and a chart of the organization. If the organization includes more than one (1) product division, the division responsible for the development and marketing of the requested products and/or services in the United States must be described in more detail than other components of the organization. Please enter your response below and indicate if any attachments are included.

- 2.3.3 Company Financial Information** - This section must include documents to demonstrate the Respondent's financial stability. Examples of acceptable documents include: most recent Dunn & Bradstreet Business Report (preferred) or audited financial statements for the two (2) most recently completed fiscal years. If neither of these can be provided, explain why and include an income statement and balance sheet, for each of the two most recently completed fiscal years.

If the documents being provided by the Respondent are those of a parent or holding company, additional information should be provided for the entity/organization directly responding to this RFP. That additional information should explain the business relationship between the entities and demonstrate the financial stability of the entity/organization which is directly responding to this RFP.

- 2.3.4 Integrity of Company Structure and Financial Reporting** - This section must include a statement indicating that the CEO and/or CFO, of the responding entity/organization, has taken personal responsibility for the thoroughness and correctness of any/all financial information supplied with this proposal. The particular areas of interest to the State in considering corporate responsibility include the following items: separation of audit functions from corporate boards and board members, if any, the manner in which the organization assures board integrity, and the separation of audit functions and consulting services. The State will consider the

information offered in this section to determine the responsibility of the Respondent under IC 5-22-16-1(d).

2.3.5 Contract Terms/Clauses - Please provide the requested information in RFP Section 2.3.5.

2.3.6 References - The State requests three (3) references for this RFP for projects of a similar size, technical component scope, and complexity as IEDSS that the Respondent (not the subcontractors) worked on. At least one reference should be a city, county, state, or federal health and human services agency or be for a project funded by a federal health or human services agency within the last five (5) years. If the Respondent's role in the reference project was as a subcontractor, please be sure the Respondent was accountable for a major portion of the delivery of contracted services (e.g., not simply providing staffing with minimal accountability, or providing software licensure as a passthrough).

Reference information is captured on Attachment H. The Respondent should complete the reference information portion of the Attachment H which includes the name, address, and telephone number of the client facility and the name, title, and phone/fax numbers of a person who may be contacted for further information if the State elects to do so. The rest of Attachment H should be completed by the reference and **emailed DIRECTLY** to the State. The State should receive 1 copy of Attachment H from each reference. Attachment H should be submitted to idoareferences@idoa.in.gov. Attachment H should be submitted by the due date listed in Section 1.24 of the RFP. Additionally, please provide the customer information for each reference in the chart below.

Customer 1	
Legal Name of Company or Governmental Entity	
Company Mailing Address	
Company City, State, Zip	
Company Website Address	
Contact Person	
Contact Title	
Company Telephone Number	
Company Fax Number	
Contact E-mail	
Industry of Company	
Customer 2	
Legal Name of Company or Governmental Entity	
Company Mailing Address	

Company City, State, Zip	
Company Website Address	
Contact Person	
Contact Title	
Company Telephone Number	
Company Fax Number	
Contact E-mail	
Industry of Company	
Customer 3	
Legal Name of Company or Governmental Entity	
Company Mailing Address	
Company City, State, Zip	
Company Website Address	
Contact Person	
Contact Title	
Company Telephone Number	
Company Fax Number	
Contact E-mail	
Industry of Company	

2.3.7 Registration to do Business - Selected out-of-state Respondents providing the products and/or services required by this RFP must be registered to do business within the State by the Indiana Secretary of State and the Indiana Department of Administration, Procurement Division. The address contact information for this office may be found in Section 1.18 of the RFP. This process must be concluded prior to contract negotiations with the State. It is the successful Respondent's responsibility to complete the required registration with the Secretary of State. Please indicate the status of registration, if applicable. Please clearly state if you are registered and if not provide an explanation.

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2.3.8 Authorizing Document - Respondent personnel signing the Transmittal Letter of the proposal must be legally authorized by the organization to commit the organization contractually. This section shall contain proof of such authority. A copy of corporate bylaws or a corporate resolution adopted by the board of directors indicating this authority will fulfill this requirement. Please enter your response below and indicate if any attachments are included.

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2.3.9 Subcontractors - The Respondent is responsible for the performance of any obligations that may result from this RFP, and shall not be relieved by the non-performance of any subcontractor. Any Respondent's proposal must identify all subcontractors and describe the contractual relationship between the Respondent and each subcontractor. Either a copy of the executed subcontract or a letter of agreement

over the official signature of the firms involved must accompany each proposal.

Any subcontracts entered into by the Respondent must be in compliance with all State statutes, and will be subject to the provisions thereof. For each portion of the proposed products and services to be provided by a subcontractor, the technical proposal must include the identification of the functions to be provided by the subcontractor and the subcontractor's related qualifications and experience. The combined qualifications and experience of the Respondent and any or all subcontractors will be considered in the State's evaluation. The Respondent must furnish information to the State as to the amount of the subcontract, the qualifications of the subcontractor for guaranteeing performance, and any other data that may be required by the State. All subcontracts held by the Respondent must be made available upon request for inspection and examination by appropriate State officials, and such relationships must meet with the approval of the State.

The Respondent must list any subcontractor's name, address, and the state in which formed that are proposed to be used in providing the required products and/or services. The subcontractor's responsibilities under the proposal, anticipated dollar amount for subcontract, form of organization, and an indication from the subcontractor of a willingness to carry out these responsibilities are to be included for each subcontractor. This assurance in no way relieves the Respondent of any responsibilities in responding to this RFP or in completing the commitments documented in the proposal. The Respondent must indicate which, if any, subcontractors qualify as a Minority Business Enterprises or Women's Business Enterprises under IC 4-13-16.5-1. See Section 1.21 and Attachment A for Minority and Women's Business Enterprises information. Please enter your response below and indicate if any attachments are included.

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2.3.10 Reserved - No response needed

2.3.11 General Information - Each Respondent must enter your company's general information including contact information.

Business Information	
Legal Name of Company	
Contact Name	
Contact Title	
Contact E-mail Address	
Company Mailing Address	
Company City, State, Zip	
Company Telephone Number	
Company Fax Number	
Company Website Address	
Federal Tax Identification Number (FTIN)	
Number of Employees (company)	

Years of Experience	
Number of U.S. Offices	
Year Indiana Office Established (if applicable)	
Parent Company (if applicable)	
Revenues (\$MM, previous year)	
Revenues (\$MM, 2 years prior)	
% Of Revenue from Indiana customers	

- a. Does your Company have a formal business continuity and disaster recovery plan? Please provide a yes/no response. If no, please provide an explanation of any alternative solution your company has to offer. If yes, please note and include as an attachment.

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- b. What is your company's technology and process for securing any State information that is maintained within your company?

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2.3.12 Experience Serving State Governments - Please provide a brief description of your company's experience in serving state governments and/or quasi-governmental accounts.

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2.3.13 Experience Serving Similar Clients - Please describe your company's experience in serving customers of a similar size to the State with similar scope. Please provide specific clients and detailed examples, including the timeframe for the delivery of the scope of services, your company's responsibilities, and whether your company was a prime contractor or subcontractor.

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**IEDSS Systems Maintenance and Operations
Attachment D - Cost Proposal**

RFP 22-70230

State of Indiana

IEDSS Systems Maintenance and Operations, RFP 22-70230
Attachment D - Cost Proposal
Summary

Respondent Name:

INSTRUCTIONS: Enter your firm's name at the top of the page. There is no other response necessary on this worksheet.

Cost Summary	Base Contract Costs				Optional Extensions			Total
Component	Initial Transition (1/1/23-6/30/23)	Year 1 (7/1/23-6/30/24)	Year 2 (7/1/24-6/30/25)	Year 3 (7/1/25-6/30/26)	Year 4 (Optional) (7/1/26-6/30/27)	Year 5 (Optional) (7/1/27-6/30/28)	Year 6 (Optional) (7/1/28-6/30/29)	
Initial Transition Period (6 months)	\$ -							\$ -
Maintenance and Operations		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Enhancements		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Total	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

TOTAL BID AMOUNT (3 Year Total - use this total for Attachment A)

\$ -

Percentage reduction in monthly invoiced fees (M&O and enhancements) if all Contractor staff is allowed or required by the State to work remotely for the month

0.00%

IEDSS Systems Maintenance and Operations, RFP 22-70230

Attachment D - Cost Proposal

Initial Transition Period

Respondent Name:

0

INSTRUCTIONS: Please fill in only the cells shaded yellow. Blue cells will populate automatically.

Enter the monthly cost for each month of the Initial Transition Period. This fee can be invoiced **only once all the associated deliverables (see Section 10 of Attachment C) for that month are reviewed and approved by the State**. The deliverables are subject to the change management process if deliverables change in content or timing within the Initial Transition Period

	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6
Monthly Transition Cost for Associated Deliverables (see Section 10 of Attachment C)						

Total Initial Transition Period Cost \$

-

Maintenance and Operations (M&O) Costs

INSTRUCTIONS: Please fill in only the cells shaded yellow. Blue cells will populate automatically.

1. The description of each position is included in Attachment K. If the Respondent plans to propose more positions beyond the Core Team listed, enter them in Column B in the Additional Positions section.
2. In the # of FTE's column, enter the number of FTEs for each position that the Respondent plans to include on their proposed team for Year 1.
3. Enter the hourly rate for each position by time period for the listed Positions. The Calculated M&O Year 1 Cost at the rightmost column will be automatically calculated. The total will be carried over to the Maintenance and Operations tab.

[illegible][illegible]

IEDSS Systems Maintenance and Operations, RFP 22-70230
Attachment D - Cost Proposal
Maintenance and Operations (M&O) Costs

INSTRUCTIONS: Please fill in only the cells shaded yellow. Blue cells will populate automatically. Enter your proposed Years 2-6 Annual Costs in cells C11 to C15. The Year 1 Annual Cost will be automatically populated based on your input into the Staffing tab.

Note:

1. M&O costs on this tab must also include maintenance of decommissioned legacy system components (namely the ICES Archival Platform).
2. For invoicing purposes, monthly fees are calculated in column D by dividing the Annual Costs for the time period shown by 12 months.
3. The M&O fees are fixed fees for providing the services in the RFP scope and in adherence with the stated service levels in Attachment C. They are not tied to specific staffing levels. If the Contractor needs to utilize additional staff for any given month (e.g., due to temporary increase in incidents) or can reduce their staffing levels due to efficiencies in their processes for any given month, the Contractor shall still invoice their M&O fixed fee.
4. Describe in your response to Question 14 of the Technical Proposal the reason why the costs from one year to the next changed.

Annual Cost	Annual Cost	Monthly Cost	% Change From Prior Year
Year 1 Annual Cost	\$ -	\$ -	
Year 2 Annual Cost		\$ -	
Year 3 Annual Cost		\$ -	
Year 4 Annual Cost (Optional)		\$ -	
Year 5 Annual Cost (Optional)		\$ -	
Year 6 Annual Cost (Optional)		\$ -	

IEDSS Systems Maintenance and Operations, RFP 22-70230
Attachment D - Cost Proposal
Enhancements Costs

Respondent Name: 0

INSTRUCTIONS: Respondents do not need to enter any information on this sheet. The hourly blended rate will be calculated based on the Core Team rates. These blended rates will be multiplied by the State's estimated pool of hours by time period to calculate the total enhancement costs. Any additional hardware or software purchase costs will be addressed when the need arises.

The invoiced amounts will reflect actual hours. Each individual's invoiced hours shall not exceed 45 hours a week, regardless of the number of hours worked to meet service levels and complete deliverables on time.

Position	Year 1	Year 2	Year 3	Year 4 (Optional)	Year 5 (Optional)	Year 6 (Optional)
Core Team Average Rate (for evaluation purposes)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Estimated Hours	60,000	60,000	60,000	60,000	60,000	60,000
Total Enhancement Costs	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

IEDSS Systems Maintenance and Operations, RFP 22-70230
Attachment D - Cost Proposal
Remote Work Discount

Respondent Name:

INSTRUCTIONS: In the space below, enter the percentage reduction in monthly invoiced fees related to working remotely.

Percentage reduction in monthly invoiced fees (M&O and enhancements) if all Contractor staff is

IEDSS Systems Maintenance and Operations, RFP 22-70230
Attachment D - Cost Proposal
Sample CR Pricing

Respondent Name: 0

INSTRUCTIONS: See question 7c of the Technical Proposal Template. Please replicate your proposed staffing hours as entered in your Technical Proposal for each example and the costs will automatically be calculated using your **Year 1** hourly rates from the "Maintenance and Operations" tab. **Attachment C, Section 7** has details on State and Federal expectations for all of these CR examples.

CR Example 1 - 1. Implement telephonic signature for SNAP

[illegible]

CR Example 2 - 2. Implement new Medicaid Category for supporting a new waiver population

[illegible]

[illegible][illegible]