



STATE OF HAWAII  
DEPARTMENT OF HUMAN SERVICES

## **REQUEST FOR PROPOSAL**

**RFP NO. DHS-RFP-17-01**

SEALED OFFERS FOR

**SYSTEMS MODERNIZATION INDEPENDENT VERIFICATION AND VALIDATION**

WILL BE RECEIVED UP TO 3:00 P.M. HAWAII STANDARD TIME (HST) ON

**December 28, 2016**

IN THE OFFICE OF INFORMATION TECHNOLOGY (OIT)

1390 MILLER STREET, ROOM 104

HONOLULU, HAWAII 96813

October 25, 2016

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## 1.0 General Information

### 1.1 Introduction

This Request for Proposals (RFP) is issued by the State of Hawaii (State) Department of Human Services (DHS) for firm fixed price (FFP) Proposals from Vendors to provide Independent Verification and Validation (IV&V) for its ongoing systems modernization efforts within the DHS Enterprise Program to meet both State and Federal requirements. DHS intends to award one (1) multi-term Contract, with an initial term of 48 months, resulting from this RFP. Vendors are encouraged to review the documents available in the Procurement Library for a comprehensive understanding the DHS Enterprise Program's vision and goals.

DHS implemented the State's Medicaid Eligibility and feed for Enrollment (E&E) Solution, also known as the Kauhale On-Line Eligibility Assistance (KOLEA) system, in support of the Affordable Care Act (ACA) to meet the Med-QUEST Division's (MQD) eligibility needs. This Solution was architected to include technology components, referred to as the DHS Enterprise Platform that will be leveraged by other Divisions within DHS.

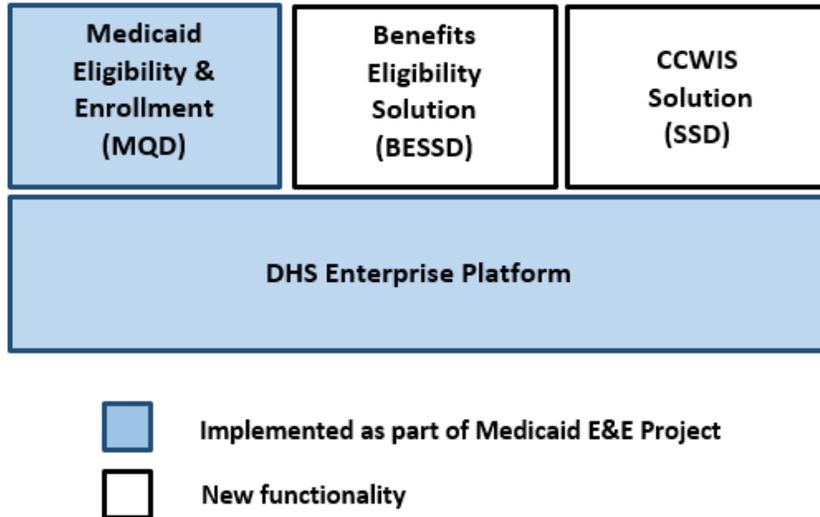
DHS completed a detailed planning process to define its business and technology strategy. This process resulted in the following key decisions:

- DHS will pursue an Agency of One strategy which requires increased coordination among Divisions (MQD, Benefit, Employment and Support Services Division (BESSD) and Social Services Division (SSD)). The IT systems need to support this business vision, placing new demands/requirements on the systems.
- BESSD and SSD will replace their existing legacy systems with modern solutions, leveraging the components which have been implemented as part of the Medicaid E&E Solution.
- The capabilities of the Medicaid E&E Solution that can be shared between the Divisions will serve as the foundation of the DHS Enterprise Platform.

Although DHS is confident the approach outlined above is the most effective way to support its Agency of One vision and realize the anticipated benefits (see Sections 3.3.1 and 3.4.1), it recognizes this approach adds complexity to the execution – DHS must balance meeting the unique demands of each business unit while identifying opportunities to share between Divisions wherever feasible – including technology (business services, technology services and infrastructure) and support operations.

To address these challenges, DHS plans to establish a **DHS Enterprise Program** to coordinate the various IT efforts and to establish a **DHS Enterprise Platform**, which include the components and services of the Medicaid E&E Solution that will be shared among MQD, BESSD and SSD. Figure 1 provides a conceptual view of the solutions within the DHS Enterprise Program.

Figure 1. Conceptual View of the Solutions within the DHS Enterprise Program

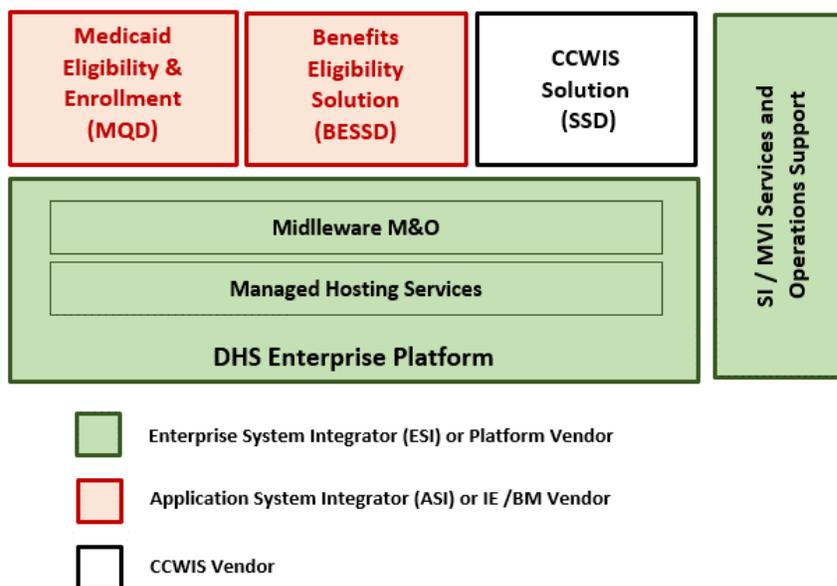


DHS has established a procurement strategy that balances the needs outlined above. DHS has identified three (3) scopes of work requiring procurement for vendors to bid on to implement and/or support the core functionality. A conceptual view of the vendors' responsibilities is provided in Figure 2. Note: The following scopes of work are not being procured through this RFP. However, the IV&V services requested in this RFP are for oversight activities of the first two (2) engagements led by the Application System Integrator (ASI) or Integrated Eligibility (IE) / Benefits Management (BM) Vendor and the DHS-SSD CCWIS Vendor. At a high level, the scopes of work include:

- The **ASI or IE / BM Vendor** will provide the following services as part of the **Benefits Eligibility Solution Engagement**:
  - ❑ Provide maintenance and operations M&O for the elements of the current Medicaid E&E Solution that are business focused including the configurations and customizations
  - ❑ Provide DDI services to enhance the eligibility functionality (implemented as part of the Medicaid E&E Solution) to support BESSD's business needs and enhance the Medicaid capabilities (**Benefits Eligibility Solution Project**) leveraging the DHS Enterprise Platform wherever possible
  - ❑ Once the DDI project is complete, provide M&O for the Benefits Eligibility Solution while continuing to support the Medicaid E&E Solution (**Benefits Eligibility Solution M&O**)
- The **CCWIS Vendor** will provide the following services as part of the **CCWIS Engagement**:
  - ❑ Provide DDI services to build the functionality to support SSD's (Child Welfare Services and Adult Protective Services) business needs leveraging the DHS Enterprise Platform wherever possible (**DHS-SSD CCWIS Project**)
  - ❑ Once the DDI project is complete, provide M&O for the Comprehensive Child Welfare Information System (CCWIS) compliant with 45 CFR Part 1355.50 to 1355.59, i.e., M&O for the CCWIS Solution (**CCWIS M&O**)

- The **Enterprise System Integrator (ESI) or Platform Vendor** will support and enhance the elements of the DHS Enterprise Platform that will be shared among MQD, BESSD and SSD (already implemented as part of the Medicaid E&E Solution). Overall, it is referred to as the **Enterprise Platform Services Engagement** and includes:
  - Providing infrastructure hosting services
  - Providing technical support for M&O on shared middleware
  - Assisting in DHS in performing operations support
  - Systems Integrator / Multi-Vendor Integration (SI / MVI) activities which includes coordinating the activities of the multiple DDI and M&O activities to ensure the appropriate level of sharing is occurring between the efforts and managing end-to-end performance

**Figure 2. Conceptual View of Vendor Responsibilities**



DHS, through this RFP, is seeking to contract with a Vendor to provide IV&V services for the Benefits Eligibility Solution Engagement and CCWIS Engagement. DHS shall administer any Contract that results from this RFP and associated services, and perform the RFP and proposal evaluation process. Note: To avoid a conflict of interest the vendor must be an independent body that is technically, managerially, and financially independent of the development vendors. As such, the vendor involved in the development of planning documents, APDs, APD-Us, RFP documents, etc. would not be eligible to bid on the IV&V RFP.

This procurement is conducted using a competitive sealed proposal process pursuant to Hawaii Revised Statutes (HRS) §103D and Hawaii Administrative Rules (HAR) Title 3, Subtitle 11, Chapter 122, Subchapter 6, and other applicable laws, statutes and rules, the provisions of which are incorporated by reference, and made a part of this RFP in accordance with the terms of this RFP document.

## 1.2 State Point of Contact and Vendor Point of Contact

The single DHS Point of Contact (POC) for all Vendor communications related to this RFP and the delivery point for all responses and correspondence is:

Tracey Laride  
Queen Liliuokalani Building  
Department of Human Services  
1390 Miller Street, Room 104  
Honolulu, HI 96813  
Telephone: (808) 586-5156  
Fax: (808) 586-5147  
E-mail: DHS\_OIT\_PSS\_Mailbox@dhs.hawaii.gov

DHS may designate one or more members of DHS as a successor or successors to the individual named above.

All Vendor communications, responses and/or correspondences must be in writing.

During the RFP process Vendors (which is inclusive of an actual or prospective bidder, offeror, or Award Winning Vendor) shall contact the DHS POC for matters regarding the RFP except to the extent directed otherwise by the DHS POC or as set forth herein. In that case, the Vendor shall contact the State governmental unit or employee designated by and for the purposes directed by the DHS POC. Contact with any other State personnel or attempts by Vendors to contact any other State personnel in regards to this RFP could result in the rejection of their Proposal.

Each Vendor shall designate its own employee to serve as its point of contact (Vendor POC) to communicate on its behalf with the DHS POC throughout the procurement. There shall be only one individual serving as the Vendor POC at any time. The Vendor may change its Vendor POC to another employee upon providing reasonable notice to the DHS POC.

## 1.3 Interpretive Conventions and Definitions

Whenever the terms “must,” “shall,” “will” or “is required” are used in this RFP in conjunction with a specification or performance requirement, the specification or requirement is mandatory. Failure to address or meet any mandatory requirement in a Proposal by the Vendor may be cause for DHS’ rejection of the Vendor’s Proposal.

Whenever the terms “can,” “may,” or “should” are used in this RFP in conjunction with a specification or performance requirement, the specification or performance requirement is a desirable, but not mandatory, requirement. Accordingly, a Vendor’s failure to address or provide any desirable items will not be the cause for rejection of the Proposal, but will likely result in a less favorable evaluation.

Throughout this RFP, the terms:

- Solutions that are part of the DHS Enterprise Program:
  - “Medicaid E&E Solution” refers to the Solution that has been implemented in support of the State’s Medicaid program. The Medicaid E&E Solution is also commonly referred to as the Kauhale On-Line Eligibility Assistance (KOLEA) system.
  - “Benefits Eligibility Solution” refers to the Solution that provides the integrated eligibility and benefits management set of capabilities that will support the BESSD programs.
  - “CCWIS compliant with 45 CFR Part 1355.50 to 1355.59” refers to the Solution that provides and supports the entire life of the case for child welfare services, as well as supporting the programmatic needs of adult protective services, which are administered by SSD.
  - “DHS Enterprise Platform” refers to the architectural standards and common shared components and services that will be leveraged across DHS, as appropriate, which the ESI (Platform Vendor) will be responsible to maintain.
    - Note: The IV&V Vendor will not be responsible for direct oversight of the DHS Enterprise Platform or the ESI (Platform Vendor). However, the IV&V Vendor will be expected to consider and identify any risks or issues to the project as they are related to or dependent on the Platform.
- Vendors that will be providing services to the DHS Enterprise Program:
  - “Vendor” or “IV&V Vendor” refers to the Vendor that will perform the IV&V services that are being sought through this RFP.
  - “Application System Integrator (ASI) Vendor” refers to the vendor that will perform the DDI activities to enhance the Medicaid E&E Solution and implement the Benefits Eligibility Solution.
  - “CCWIS Vendor” refers to the vendor that will perform the DDI activities to implement the CCWIS.
  - “Application DDI Vendor” refers to the vendors developing applications on the DHS Enterprise Platform in support of DHS’ Divisions (e.g. MQD, BESSD and SSD). These include both the ASI Vendor and CCWIS Vendor.
  - “Enterprise System Integrator (ESI) or Platform Vendor” refers to the vendor responsible for hosting and ongoing Maintenance and Operations (M&O) of the DHS Enterprise Platform. The ESI is also responsible for systems integrator (SI) / multi-vendor integration (MVI) services.
- Engagements that are part of the DHS Enterprise Program:
  - “IV&V Engagement” or “IV&V Scope of Work” or “Engagement” refers to the effort requested in this RFP.

- ❑ “Benefits Eligibility Solution Engagement” refers to the DDI of the BES, enhancement of the Medicaid E&E Solution and M&O of the Medicaid E&E and BES Solutions.
  - “Benefits Eligibility Solution Project” specifically refers to the DDI activities for the Solutions.
  - “Benefits Eligibility Solution M&O” specifically refers to the ongoing M&O of the Solutions.
- ❑ “CCWIS Engagement” refers to the DDI and M&O of the CCWIS Solution.
  - “CCWIS Project” specifically refers to the DDI activities for the CCWIS Solution.
  - “CCWIS M&O” specifically refers to the ongoing M&O of the CCWIS Solution.

Additional terms and acronyms used in the RFP are defined in the Glossary section of this RFP.

## 1.4 Procurement Schedule

### 1.4.1 Schedule of Due Dates and Deadlines

The schedule in Table 1 below represents DHS’ best estimate of the schedule for this procurement. All times indicated are in Hawaii Standard Time (HST). If a component of this schedule, such as "Proposals Due (Date / Time)" is delayed, the rest of the schedule will likely be shifted commensurately. Any change to the RFP Schedule and Significant Dates shall be reflected and issued in an addendum. Note: The Contract Start Date for the IV&V Engagement is dependent on the contract start date of the first Application DDI Vendor (ASI Vendor). Dates will be adjusted if the initial Benefits Eligibility Solution Project start date is delayed. The approximate schedule is as follows:

**Table 1. RFP Schedule and Significant Dates**

PROCUREMENT SCHEDULE	
Release of the RFP	October 25, 2016
Mandatory Vendor Registration Due	November 10, 2016
Questions Due	November 15, 2016
State’s Responses to Vendor Questions	December 2, 2016
Letter of Intent to Submit a Proposal Due	December 14, 2016
Proposals Due (3:00 p.m. HST)	December 28, 2016
Vendor Oral Presentations (DHS optional, anticipated)	January 17, 2017
Notice of Award (anticipated)	January 31, 2017
Contract Start Date (anticipated)	March 31, 2017

### 1.4.2 Notice of Additions to or Rescheduling of Due Dates and Deadlines

If any date in Table 1 is not provided at the time of the release of the RFP, or if any date set forth in Table 1 is rescheduled by DHS, DHS will issue a notice of the date or the rescheduled date by an addendum. Such notice constitutes an addendum to the RFP. If a component of this schedule, such as "Proposals Due (Date / Time)" is delayed, DHS shall endeavor to have the subsequent rescheduled dates extended by the same number of days in the original schedule. DHS reserves the right to establish new or rescheduled dates as it deems appropriate.

## 1.5 Procurement Library

This RFP includes a Procurement Library that contains supporting documentation or links to State or Federal websites to assist Vendors in understanding the context of DHS’ DDI efforts and the required IV&V services sought by this procurement. This Library will be distributed by the DHS POC to all registered Vendors (see Section 2.1.1). These documents shall be considered part of this procurement and each should be reviewed by Vendors for applicability as noted in this section and throughout the RFP.

The documents in the Library are structured under four (4) categories/folders. A Procurement Library index is also included to help Vendors navigate and identify key documentation to support their Proposal development process. This index also contains URL links to various documents that pertain to this RFP. The four (4) categories/folders include:

**Table 2. Procurement Library Documents**

Folder Name	Description
01 – DHS Business Documents	The documents in this folder provide general background information of DHS and information specific to BESSD’s program and services.
02 – BESEP RFP Documents	The documents in this folder are the relevant BES Project DDI RFP documents issued to the vendor community.
03 – DHS Technical Documents	The documents in this folder provide DHS’ general system design/architecture for the DHS Enterprise Platform.
04 – Medicaid EE Solution Technical Documents	The documents in this folder provide information specific to the technical aspects of the Medicaid E&E Solution (formerly called KOLEA). This includes, but is not limited to: Solution Reference Architecture; Solution Architecture Diagrams; State Hub and Enterprise Content Management Infrastructure Blueprint Document; and System Security and Privacy Plan.  The components and services initially developed for the Medicaid E&E Solution will be migrated to serve as the foundation of the DHS Enterprise Platform.

## 1.6 State of Hawaii Overview

Hawaii is home to approximately 1.4 million residents. Approximately 10.8% of Hawaii residents (or roughly 147,000 people) are below the Federal Poverty Line (FPL). Per the 2010 census, the population for each island is as follows:

**Table 3. Population of Hawaii by Island**

Island	Population (As Of 2010)
Hawaii	185,079
Maui	144,444
Oahu	953,207
Kauai	66,921
Molokai	7,345
Lanai	3,135
Niihau	170

### 1.6.1 Government of Hawaii

Hawaii's government is organized into three (3) branches: Executive, Legislative and Judicial. A governor, elected every four (4) years, heads the executive branch that oversees seventeen (17) executive departments. In general, the State government provides services that are State-wide in nature and require a uniformity of standards and regulations, such as education, transportation networks, public health, human services, and public works.

Local government consists of four (4) counties: City and County of Honolulu, Hawaii County, Maui County, and Kauai County. Each principal county has an elected council and a mayor. The counties collect property taxes and user fees to support road maintenance, community activities, refuse collection, police, ambulance, and fire protection services.

## 1.7 Department of Human Services Overview

DHS is comprised of four (4) Divisions with about twenty-two hundred (2,200) positions in 88 separate locations and an annual operating budget of approximately \$2.7 billion. Each of its Divisions provides different kinds of assistance.

- The Med-QUEST Division (MQD) provides Medicaid, Child Health Insurance Program (CHIP) health coverage, and State funded medical assistance programs, primarily through managed care plans, to low-income families, children and individuals.
- The Benefit, Employment and Support Services Division (BESSD) provides Supplemental Nutrition Assistance (SNAP, formerly known as Food Stamps), financial assistance, employment support, dependency diversion and prevention services and child care licensing.
- The Social Services Division (SSD) provides child welfare services that include child protective services, permanency placement and case management. SSD is also responsible for adult protective services. SSD focuses on addressing safety and risk issues of children and adults in need of protection; family strengthening services (FSS); prevention services; and licensing long-term care homes and community-based providers.
- The Division of Vocational Rehabilitation (DVR) provides rehabilitation needs of persons with disabilities to secure employment and to lead full and productive lives.

The DHS Office of the Director has primary responsibility for overall leadership, oversight and operations of DHS. The Director is appointed by the Governor, confirmed by the Senate and assisted by a Deputy Director. The Director's office staff responds to public and media inquiries and maintains the DHS website (<http://humanservices.hawaii.gov/>).

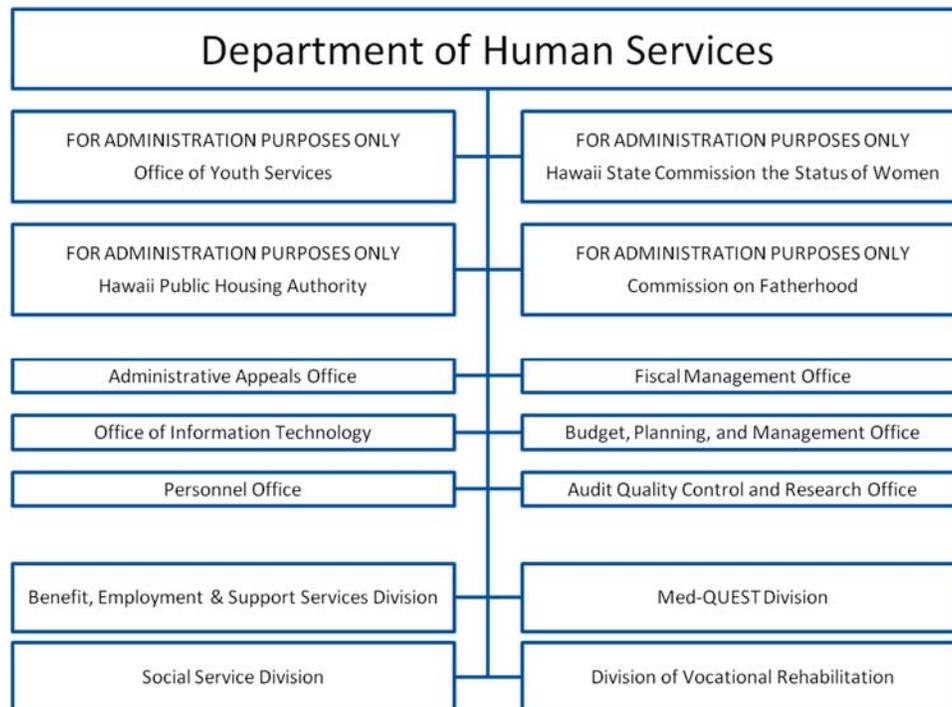
Five (5) staff offices support DHS administration, operating divisions and attached agencies:

- The Administrative Appeals Office (AAO) currently provides administrative due process hearings in contested cases for the Department. The AAO contracts with private practice attorneys through appointment by the Director of DHS under HRS §346-12, to conduct hearings. In Fiscal Year (FY) 2014, the AAO received 1,657 administrative hearing requests and referrals and issued more than 945 administrative hearing decisions. The AAO also serves as the rules coordinator for the Department and reviews administrative proceedings for the adoption, modification, or repeal of Department rules.
- Two (2) offices provide research, quality assurance, program and financial evaluation and assessment capabilities that enable DHS to oversee its programs and make appropriate decisions concerning those programs— The Budget, Planning and

Management Office (BPMO) and the Audit, Quality Control and Research Office (AQCRO). The BPMO supports the Budget Staff, Planning Staff and the Program and Management Evaluation Staff. The AQCRO supports the Financial Evaluation Staff, Quality Control Staff and the Research Staff.

- The Fiscal Management Office (FMO) provides staff assistance and advisory services for the administrative functions of fiscal management. The FMO formulates policies and procedures and administers the Department's central accounting functions, funds management, client and vendor payment, employee payroll, inventory management, contracting, purchasing, records management, office space allocation and central mail distribution functions. The FMO also provides consultative and technical advisory services in these functional areas.
- The Office of Information Technology (OIT) is responsible for the overall administration, planning, direction, management, development, implementation and maintenance of all Information Technology (IT) and Information Systems processing for the Department Statewide. OIT provides project planning and management, business application systems development and maintenance, systems software and hardware management, telecommunications and network management and support and technical training. OIT operates the Data Center including computing facilities management, data control and technical help desk functions located in the Queen Liliuokalani Building basement. OIT also oversees the administration of the dedicated DHS Mainframe System Complex and its hardware peripherals located at the Department of Accounting and General Services (DAGS) Information and Communication Services Division (ICSD). This is separate from the State's mainframe system. Additionally, this office directs and coordinates all IT matters within and between DHS and other State and county agencies, federal agencies and commercial hardware and software vendors including private consultants.
- The Personnel Office (PERS) oversees the personnel programs of the Department, including recruitment, examination and placement, position description, classification and pricing analysis, labor relations, civil rights, employee safety and relations, employee training and development, personnel transactions and maintenance of personnel records.

Figure 3. DHS Organizational Structure



## 1.8 DHS Med-QUEST Division Overview

In Hawaii, DHS is the single State designated Medicaid agency. Organizationally, within DHS, MQD administers and conducts the day-to-day functions for all medical assistance programs, the Medicaid program being the largest. MQD also administers the Children’s Health Insurance Program (CHIP) as a Medicaid expansion program. Consistent with federal requirements, MQD maintains the State Plan and State Plan Amendments, and administers the State’s approved 1115 demonstration waiver for managed care known as Hawaii QUEST Integration (QI) for individuals and families, including those individuals who are aged, blind or disabled. In September 2015, MQD covered approximately 320,000 individuals and has a budget of approximately \$1.8 billion for benefits and administration of the Medicaid program.

MQD provides health coverage through several Medicaid programs under Title XIX of the Social Security Act (Act) as well as CHIP under Title XXI of the Act, providing low-income populations access to medical care. Most eligible individuals receive their benefits through contracted managed care health plans. This coverage is known as Quest Integration (QI). The health coverage also includes the Medicaid Fee-For-Service (FFS) program for certain individuals such as those only receiving emergency medical services and for certain services such as dental services in which certain beneficiaries receive their dental coverage under FFS.

MQD also administers other smaller programs that include the Federal and State Breast and Cervical Cancer Treatment and Prevention (BCCTP) Programs, and Medicaid Savings programs for Medicare beneficiaries who are above the Medicaid income and resource thresholds, as well as State-funded medical assistance programs such as the aged, blind and disabled program for individuals who would otherwise be eligible for Medicaid except for failing to meet the U.S. citizenship or immigration status requirements. For these non-citizens, the Premium Assistance Program is a State-funded program in which the State pays for the individual’s premium share. Individuals must have household income less than 100% of the FPL, be eligible for Advance Premium Tax Credits, and enrolled in a silver plan through

healthcare.gov. By providing payment for medical, dental, and other medically necessary healthcare services, these programs collectively enable low-income adults and children to maintain and improve their health. Finally, MQD also administers the State’s Death Payments program.

The State of Hawaii was an early adopter of the federal Patient Protection and Affordable Care Act (ACA) enacted in 2010. On October 1, 2013, MQD successfully launched its new Medicaid Eligibility and feed for Enrollment (E&E) Solution, called KOLEA, using the Modified Adjusted Gross Income (MAGI) methodology to determine an applicant’s income. The Medicaid E&E Solution advanced the State’s Medicaid system by allowing applicants to apply online in addition to submitting paper applications.

Since the implementation of MAGI methodology and ACA provisions, an unprecedented 81,866 applications were received. Of that total, 70,556 were new applications and 50,139 were approved as eligible for Medicaid benefits. The remaining applications were annual redeterminations and applicants determined ineligible for Medicaid coverage.

At the close of FY 2015, MQD was providing healthcare coverage to 332,197 eligible residents Statewide. DHS expects a steady approximate growth rate of 2% for Medicaid enrollment for the near future, and the ASI Vendor should use this extrapolation in its Proposal. Table 4 provides the number of Medicaid recipients between FY 2012 and FY 2015.

**Table 4. Medicaid Recipient Growth Between FY 2012 and FY 2015**

Enrollment	June 2012	June 2013	June 2014	June 2015	1-Year % Increase	3-Year % Increase
Oahu	177,258	179,227	199,062	201,668	1%	12%
Kauai	16,337	16,072	18,255	19,661	7%	17%
Hawaii	60,925	62,145	69,081	69,975	1%	13%
Maui	29,473	30,951	34,896	36,597	5%	20%
Molokai	3,213	3,305	3,462	3,521	2%	9%
Lanai	696	723	754	775	3%	10%
<b>Statewide</b>	<b>287,902</b>	<b>292,423</b>	<b>325,510</b>	<b>332,197</b>	<b>2%</b>	<b>13%</b>

### 1.8.1 MQD Organizational Structure

MQD has seven (7) office locations. The administration office in Kapolei, on the island of Oahu, houses the Division Administrator, Assistant Administrator and the various support offices that include the Program, Policy and Development Office, Health Coverage Services Branch, Training Office, Finance Office, and Customer Service Branch. MQD has separate eligibility offices located in Honolulu, Kapolei, West Hawaii, East Hawaii, Maui and Kauai. There are approximately 200 employees of which 130 are eligibility workers, supervisors and clerical support staff. Eligibility workers at each office receive and process applications for assistance, manage reports in household changes, and conduct annual redeterminations.

## 1.8.2 Program Information

### 1.8.2.1 *QUEST Integration*

Effective January 1, 2015, MQD combined the QUEST and QUEST Expanded Access (QExA) programs into one program called QUEST Integration (QI). QI serves eligible individuals of all ages. Eligible individuals receive service coordination, outreach, improved access, and enhanced quality healthcare services coordinated by health plans through a managed care delivery system. The plan expands program services to include long-term care services, including both institutional and home and community-based services.

Under Title XIX, the eligibility income range for adults and for children between age 6 and 19 years old is up to 133% of the FPL. For children between age 1 and 6 years, the income range for eligibility is up to 138% of the FPL. For newborns and children under 1 year of age, the income range for eligibility is up to 191% of the FPL. Under Title XXI, children under 313% FPL are eligible for CHIP. In addition, Hawaii was the first State in the nation to expand Medicaid coverage to youth up to age 26 who have aged out of foster care in Hawaii, which has high rates of underemployment and homelessness.

Prior to combining the QUEST and QExA programs, QUEST enrollment was 237,370 at the end of FY 2013, an increase of 3,152 over the FY 2012 enrollment of 234,218 enrollees. Following the ACA, enrollment at the end of FY 2014 reached 273,558 enrollees, a 15.3% increase over the previous year. QExA enrollment was 44,967 at the end of FY 2012. By the end of FY 2013, that number increased to 45,992 enrollees. As of FY 2014, there were 50,332 enrollees in the QExA program.

Benefits under QI include, but are not limited to:

- Inpatient hospital care – medical, surgical, and rehabilitation care, inpatient psychiatric and detox, maternity and sub-acute
- Outpatient hospital care – emergency room, ambulatory surgical centers and outpatient psychiatric
- Prescription drugs (generic unless unavailable), maintenance prescription drugs, prenatal vitamins, and birth control pills for adults
- Laboratory, radiology, and diagnostic
- Biological and medical supplies including medical equipment and appliances
- Physician services

### 1.8.2.2 *Children's Health Insurance Program*

The Children's Health Insurance Program (CHIP) was created to help states expand health coverage to more children whose parents may be working, but do not earn enough to pay for private health coverage for their children. In Hawaii, CHIP was implemented as a Medicaid expansion program. Eligible children receive coverage through the QI program.

To qualify for free health coverage, children must be uninsured, under age 19, and have family incomes not exceeding 313% of the FPL. In 2013, the monthly income limit was \$5,618 for a three-person household; \$6,773 for a four-person household. In 2014, the monthly income was \$5,937 for a three-person household; \$7,155 for a four-person household. There is no asset test for this program.

Federal funds in FY 2014 covered 66.25% of CHIP. Enrollment in CHIP was 27,340 in FY 2012; 28,890 in 2013; and 28,722 in FY 2014.

### **1.8.2.3 Fee-For-Service**

The Fee-For-Service (FFS) option is for individuals who have special circumstances or for the coverage of certain benefits. For example, individuals who are expected to be eligible with a spend-down of assets for less than 3 months, or are awaiting an organ transplant, may be enrolled in the FFS program. Benefits provided by the Department of Health (DOH) Adult Mental Health Division and Child and Adolescent Mental Health Division, and school-based services, including developmentally disabled/intellectually disabled waiver services, early intervention services, and behavioral health services are paid through the FFS program.

Dental benefits are provided to all Medicaid recipients on a FFS basis. Individuals under 21 years of age have full dental benefits; adults receive only emergency dental care.

### **1.8.2.4 Breast and Cervical Cancer Treatment and Prevention Program**

Medicaid coverage is available to individuals under age 65 with cancer or pre-cancerous conditions of the breast and cervix as allowed by Public Law 106-354. These individuals must be screened and diagnosed by a physician who is approved by the Hawaii Breast and Cervical Cancer Control Program of DOH. In addition, the individual cannot have third party medical coverage that would pay for their treatment, and their gross family income cannot exceed 250% of the FPL. Determining eligibility for beneficiaries of this program does not include an asset test. In FY 2012, a total of 24 individuals received coverage; 26 received coverage in FY 2013; and 18 individuals received coverage in FY 2014.

In 2001, Hawaii also provided a State funded look-alike program for women who are legally admitted immigrants, but barred from any federally-funded medical assistance program. These women include citizens of the Marshall Islands, the Federated States of Micronesia, and Palau. This program was established by the Hawaii Legislature under Act 278. In FY 2012, 3 individuals received coverage; in FY 2013, 4 individuals received coverage; and in FY 2014, 7 individuals received services under the State-funded program.

### **1.8.2.5 Death Payments Program**

The Death Payments Program provides partial funeral expense payments to qualified applicants. Any person may apply on behalf of the deceased. Applicants need to apply for funeral benefits with MQD before making the funeral arrangements. Total program expenditures in FY 2014 was \$231,650.

## **1.8.3 Provisions of Assistance**

### **1.8.3.1 Access to Hawaii Medical Assistance**

Hawaii uses the Centers for Medicare and Medicaid Services (CMS) approved single streamlined application form for all medical assistance programs. All interested individuals are urged to apply, and DHS places eligible persons in the appropriate program. There are basic eligibility requirements and income and asset limits, which differ by "coverage groups": children, pregnant women, families, the elderly, the blind, and disabled. Basic eligibility generally requires the applicant to be a U.S. citizen or "qualified alien" as defined under immigration law, be a Hawaii resident not residing in a public institution, and provide a valid Social Security Number (SSN). Financial eligibility requires the applicant to stay within income and asset limits as applicable to the various coverage groups. Consistent with the ACA, pregnant women,

individuals under age 19 years, parents/caretakers/relatives and low-income adults are not subject to an asset limit. Those who meet criteria for being aged, blind or disabled are subject to asset limits.

MQD coordinates with other health insurers to ensure that its medical assistance beneficiaries who have other health insurance coverage exhaust those benefits before MQD benefits are provided. In the case of Medicare Savings Plans, beneficiaries must be enrolled in Medicare. MQD also recovers medical expenses when its beneficiaries are injured in motor vehicle accidents, employment-related accidents, or when medical assistance beneficiaries recover damages from malpractice suits, product liability suits, and other lawsuits. Under certain conditions, a claim may also be filed against the estate of a deceased medical assistance beneficiary for funeral, burial, or medical expenses.

### **1.8.3.2 Application Processing Timeframes**

The date a complete application is received by DHS is considered the date for a determination of medical assistance. In the case of emergency medical services, an application is processed within two (2) business days. In general circumstances, a disposition of eligibility or ineligibility is made within ninety (90) days for an applicant applying for medical assistance on the basis of disability including applications for long-term care, or within forty-five (45) days for all other applicants.

### **1.8.3.3 Redeterminations**

An annual redetermination of an individual or household is completed by DHS once every twelve (12) months. However, between annual redeterminations of eligibility, an individual or household must report any changes in circumstance that may affect eligibility within ten (10) days of the change.

## **1.9 DHS Benefit, Employment and Support Services Division Overview**

BESSD is the largest division in DHS and has approximately 678 employees and 43 offices. Staff and administrators provide a continuum of services through ten (10) programs that serve different populations, aimed at providing clients with monthly benefits to assist them with such essentials as food, shelter and child care, as well as employment support and work training and dependency diversion and prevention. The programs administered by the Division include:

- Temporary Assistance for Needy Families (TANF) and Temporary Assistance for Other Needy Families (TAONF)
- General Assistance (GA)
- Aid to the Aged, Blind and Disabled (AABD)
- Supplemental Nutrition Assistance Program (SNAP) – formerly known as the Food Stamp Program
- Low Income Home Energy Assistance Program (LIHEAP)
- Homeless Programs (HP)
- First-To-Work (FTW)
- Employment and Training (E&T)
- Child Care Programs

■ Refugee and Repatriate Programs

Often, Clients receive assistance from multiple programs. With the exception of the HP, and parts of Child Care and LIHEAP, all of the programs have been integrated into one process for applying and determining eligibility, and all benefits are paid onto one Electronic Benefit Transfer (EBT) card for each Client. In 2014, BESSD received approximately 72,500 integrated applications and in 2013 BESSD received approximately 71,000 integrated applications. DHS expects a steady approximate growth rate of 2.5% for all programs caseload and applications for the near future, and the Vendor should use this extrapolation in its Proposal.

Table 5 provides the number of eligible Clients served, as well as the volume of interactions with Clients.

**Table 5. Key DHS Statistics**

Metric	Volume
Number of Registered Hawaii Automated Welfare Information (HAWI) system Users (End of 2014; Includes Med-QUEST Users) ‡	1,384
Number of SNAP Applications‡	72,653
Total SNAP Caseload (2014)	193,565
Total TANF, TAONF Caseload (11/2014) ‡	6,823
Number of TANF, TAONF Applications (12/2013-11/2014) ‡	12,555
Total AABD Caseload (11/2014) ‡	802
Number of AABD Applications (12/2013-11/2014) ‡	1,642
Total GA Caseload (11/2014) ‡	5,745
Number of GA Applications (12/2013-11/2014) ‡	19,081
FTW (2013 monthly average) ‡	6,591 individuals
E&T (2013 annual total) ‡	6,038 individuals
LIHEAP (2013 annual total) ‡	9,529 families
Approximate Number of Contacts and Phone Calls Received Per Month ‡	6,000
Number of Documents Scanned Per Scanner Per Day ‡	75
Number of Scanners in Use ◇	31

‡ Source: DHS operational data

◇ Scanner models include (qty: 31) Xerox Documate 5445; and (qty: 7) HP Scanjet 5000

**1.9.1 BESSD Organizational Structure**

Program supervisors, administrators and other management personnel work out of either DHS or BESSD office spaces, both of which are located in Honolulu. Eligibility workers at 43 offices Statewide manage eligibility determinations and case management for SNAP and programs with cash benefits. Employment planning and case management for work program activities (e.g., FTW, E&T) are handled by employment specialists in 23 offices Statewide. Of the 23 work program offices, 10 are State offices and 13 are private agencies with which DHS has a contractual relationship to provide work program services.

All BESSD offices house clerical staff that process paper applications and other documents received in hard copy that are submitted by applicants.

## **1.9.2 Program Information**

### ***1.9.2.1 Temporary Assistance for Needy Families and Temporary Assistance for Other Needy Families***

Temporary Assistance for Needy Families (TANF) and Temporary Assistance for Other Needy Families (TAONF) are the time-limited welfare reform programs for adults with children. These programs are designed to protect those who cannot work and to require those who are able to work to do so. Unlike the old welfare program, which fostered dependence and low self-esteem, the TANF and TAONF programs require work and promote self-reliance, responsibility and family stability.

The following statements were used as guiding principles in the design of the welfare reform program:

- Welfare is temporary and not a way of life
- Parents, not the government, are responsible for the support and maintenance of their children
- Parents that are able to work, must work
- Families must be financially better off by going to work than staying on welfare

Both TANF and TAONF offer a package of strong incentives and penalties, child care support for working parents and restructured welfare benefits so that it “pays to work.” Households that include an adult who is not exempt are allowed to receive TANF or TAONF cash benefits for a maximum of five (5) years in their lifetime.

TANF and TAONF provide monthly cash benefits to families for food, clothing, shelter and other essentials. To qualify for this assistance, a family must include children under the age of 19 and earn a total gross income under 185% of the 2006 FPL. For a household of three (3) persons, this means the monthly gross income must be less than \$2,941 and the net income must be under \$610 if the household includes an employable adult. For households where all adults are disabled, care is required for a disabled household member, or there is a child younger than six (6) months of age, the net income must be under \$763 per month. TANF is a Federal program and all members of the household must be U.S. citizens while TAONF is a State-run and State-funded program providing benefits to households with a non-citizen residing in the household. Effective April 18, 2013, assets are disregarded under the TANF and TAONF programs.

In October 2008, BESSD implemented a new eligibility requirement where applicants are referred to the FTW program (see later section in this RFP) and expected to fulfill a compliance period prior to approval of benefits. The purpose is to meet the work participation rates and other program requirements mandated by the Federal government.

### ***1.9.2.2 General Assistance***

The General Assistance (GA) program provides cash benefits for food, clothing, shelter and other essentials to adults ages 18 through 64, without minor dependents, who are temporarily disabled and who do not qualify for Social Security. To be eligible, the adult must have little or no income, not qualify for a federal category of assistance and be certified by a DHS medical board to be unable to engage in any substantial employment of at least thirty (30) hours per week for a period of at least sixty (60) days.

The GA program is funded by a block grant appropriated by the State Legislature each year. To stay within the block-grant appropriation, adjustments to the monthly benefit amount may be

made throughout the year based on the number of individuals who are participating in the program. Currently, the monthly benefit is \$348 a month (effective April 2014) for an individual and may not exceed this amount by statute. Assets may not exceed \$2,000 for a single person and \$3,000 for a couple to maintain eligibility.

The goal of the GA program is to provide temporary economic assistance to those eligible for financial support, to ensure they receive at least a minimally adequate standard of living.

### ***1.9.2.3 Aid to the Aged, Blind and Disabled***

The Aid to the Aged, Blind and Disabled program provides cash benefits for food, clothing, shelter and other essentials to adults who are elderly (65 years of age or older) and/or who meet the Social Security Administration (SSA) definition of disabled. To qualify, individuals must have countable income that is below 62.5% of the 1993 FPL and may not have resources in excess of \$2,000 for a single person and \$3,000 for a couple. The goal is to ensure that clients receive at least a minimally adequate standard of living.

### ***1.9.2.4 Supplemental Nutrition Assistance Program***

The Supplemental Nutrition Assistance Program (SNAP), formerly known as the Food Stamp Program, is a Federal program funded through the U.S. Department of Agriculture (USDA). It is administered at the Federal level through its Food and Nutrition Service (FNS). State agencies administer the program at the state and local levels, including determination of eligibility and monthly allotments.

SNAP provides crucial food and nutritional support to qualifying low-income and needy households and those making the transition from welfare to self-sufficiency. In FY 2012, SNAP helped put food on the table for an estimated 90,000 Hawaii families each month. SNAP clients access their benefits with an EBT card, which they use like a debit card.

Households must meet specific eligibility requirements and provide proof of their statements about household circumstances. U.S. citizens and some aliens who are admitted for permanent residency may qualify. Federal poverty guidelines are established by the Office of Management and Budget and are updated annually by the Department of Human Services.

### ***1.9.2.5 Low Income Home Energy Assistance Program***

The Low Income Home Energy Assistance Program (LIHEAP) assists households with their utility bill (electric or gas) in two (2) ways:

The Energy Crisis Intervention program assists with up to \$200 to restore power to the residence of a household whose electricity or gas has been shut off or is about to be terminated.

The Energy Credit program provides households who are not in crisis with a one-time payment that will be deposited directly into their utility accounts.

To be eligible for the program an application must be submitted with all individuals (related or unrelated) living at the residence. Verification of Social Security numbers for all household members, identification for all adults, income, assets and utility bills must be submitted when determining eligibility for the program. Applications for the Energy Crisis Intervention program are taken throughout the year, while Energy Credit applications are taken annually in June.

### **1.9.2.6 Homeless Programs**

The Homeless Programs Office (HPO) provides homeless individuals and families with shelter and supportive services, empowers the homeless to attain permanent housing, and implements homeless prevention programs.

### **1.9.2.7 First-To-Work**

Hawaii chose to use a labor-attachment model to assist TANF recipients in becoming employed. The program is entitled First-to-Work (FTW). TANF recipients determined work eligible are referred to the FTW Program. Within this program there are components that are designed to assist recipients in becoming employed very quickly in either full or part-time employment. The FTW program conducts an in-depth employability assessment that results in an Employment Plan (EP) and a Support Services Plan (SSP). The EP and the SSP are signed, written agreements between the Client and the Department that outline the employment or training activities to be performed by the Client and the service to be provided by the Department.

### **1.9.2.8 Employment and Training**

The Employment and Training (E&T) program is a statewide work program designed to assist able-bodied adults to become attached to the workforce. E&T serves SNAP recipients and puts emphasis on:

- Employment
- Work experience
- Training
- On-the-job training
- Limited job search activities

E&T also provides supportive services in the form of a participant reimbursement to cover work-related expenses and child care.

The goal of the E&T program is to assist able-bodied persons receiving SNAP benefits to obtain employment and to become self-sufficient.

### **1.9.2.9 Child Care Programs**

The Child Care Programs are a Statewide service that offers child care licensing and child care payment assistance to needy families. Under the licensing program, the primary goal is to ensure the safety, health and well-being of children in licensed care facilities. Under the payment assistance program, financially needy families can apply for child care assistance if they work or attend training to become self-sufficient.

The goal of the Child Care Programs is to assist able-bodied persons receiving cash assistance to obtain employment and to become self-sufficient.

### **1.9.2.10 Refugee and Repatriate Programs**

The Repatriate Program provides benefits to American citizens who become destitute in a foreign country and arrive in Hawaii with no family or formal support. The Refugee Program provides assistance for individuals who qualify as a refugee.

### **1.9.3 Program Uniformity**

The programs listed above operate using uniform policies on all islands (counties). All of the Department's regulations are promulgated in accordance with the Hawaii Administrative Procedures Act (Chapter 91, HRS), which provides the public with an opportunity for notice, review and comment.

Approved regulations are distributed to all BESSD staff responsible for program operations via the HAR manual. Policy clarifications and emergency bulletins are also distributed to all affected BESSD staff Statewide on an as needed basis.

### **1.9.4 Provisions of Assistance**

#### ***1.9.4.1 Access to Benefits and Services***

Households wishing to participate in BESSD benefits programs must complete and submit an application, be interviewed by an employee designated by the Department and have certain information verified.

#### ***1.9.4.2 Residence Requirements***

Applicants / recipients must be Hawaii residents, but there is no set period of time a person must be living in the State to establish residency. Hawaii treats new families moving to the State the same as families already residing in the State.

#### ***1.9.4.3 Application Processing Timeframes***

The Department must make a decision on applications within a specified timeframe. The timeframe begins with the receipt of an application containing, at a minimum, the Client's name, address and signature. The period ends when financial assistance benefits are authorized or when a notice is mailed to the Client household that financial assistance has been denied or discontinued.

#### ***1.9.4.4 Re-Determination***

For all programs except for LIHEAP, a review of all eligibility requirements is required periodically. Depending on the program, households must complete their redeterminations every six (6), twelve (12), or twenty-four (24) months. Additionally, the Department receives information about changes in the household's circumstance that may affect the amount of cash benefit or make the household ineligible.

## **1.10 DHS Social Services Division Overview**

SSD is comprised of the Child Welfare Services Branch (CWSB) and Adult Protective and Community Services Branch (APCSB). SSD provides protection from abuse and neglect for children and vulnerable adults. SSD programs also provide safe living arrangements with the goal of reducing abuse, neglect and maltreatment. SSD operates out of 15 office locations and serves four (4) counties across the islands: Honolulu County (Island of Oahu), Maui County (Islands of Maui, Molokai, and Lanai), Kauai County (Islands of Kauai, Niihau) and Hawaii County (Hawaii Island, also known as the Big Island).

DHS expects a steady approximate year-over-year growth rate of 10-12% for SSD caseloads (CWSB and APCSB). The Vendor should use these assumptions in its Proposal.

## 1.10.1 Branch Information

### 1.10.1.1 Adult Protective and Community Services Branch

The APCSB provides protective services for vulnerable adults and home and community-based services to prevent premature institutionalization of clients. Adult Protective Services (APS) is a mandated service of APCSB, in accordance with HRS, Chapter 346, Part X and HAR 17-1421, that provides crisis intervention, without regard to income, including investigation and emergency services for vulnerable adults who are reported to be abused, neglected or financially exploited by others or seriously endangered due to self-neglect. APCSB includes a current workforce of 77 employees, which includes 25 social workers and 5 registered nurses.

- APCSB administers an array of programs and services to protect vulnerable adults from abuse, neglect, and exploitation, and to ensure their health, welfare, and safety in the community.
- APCSB administers programs to ensure that vulnerable adults maintain their independence in a safe and healthy manner, as long as possible. Support programs include the Senior Companion, Foster Grandparent, and Respite Companion Programs.
- In FY 2014, the APCSB investigated 1,014 vulnerable adult reports of suspected abuse or neglect. Seventy-nine percent (79%) or 801 of the reports involved individuals age 60 and older. Sixteen percent (16%) or 168 of the investigated reports were confirmed for abuse, neglect, or financial exploitation. Subsequent re-abuse within a 12-month period occurred in 4.1% of the confirmed reports. Further details on type of adult abuse and demographics are provided in the following Tables.

**Table 6. Type of Adult Abuse (SFY 14)**

	FREQUENCY	PERCENT (%)
Caregiver Neglect	354	27.4
Financial Exploitation	300	23.4
Self-Neglect	286	22.1
Psychological Abuse	153	11.9
Physical Abuse	169	13.1
Sex Abuse	28	2.1
<b>TOTAL</b>	<b>1,290</b>	<b>100.0</b>

**Table 7. Adult Abuse by Age and Gender (SFY 14)**

AGE GROUP	MALE	FEMALE	TOTAL
Unknown	5	9	14
18-59	92	98	190
60+	334	476	810
<b>TOTAL</b>	<b>431</b>	<b>583</b>	<b>1,014</b>

Table 8 provides details on APCSB reports from FY 2009 through FY 2014.

**Table 8. APCSB Report Statistics (FY 09 – FY 14)**

	FY 09 ACTUAL	FY 10 ACTUAL	FY 11 ACTUAL	FY 12 ACTUAL	FY 13 ACTUAL	FY 14 ACTUAL
Reports investigated	630	1,065	1,160	1,048	1,046	1,014
Confirmed abuse or neglect	96	170	99	197	189	168
% Confirmed	15.2%	16.0%	8.5%	18.8%	18.1%	16.6%
Re-abuse within 12 month period	4.1%	8.2%	6%	6%	3.6%	4.1%

### 1.10.1.2 Child Welfare Services Branch

The Child Welfare Services Branch (CWSB) is a State-administered and operated child welfare agency that provides Child Welfare Services (CWS) and is mandated by law to ensure the safety, permanency, and well-being of children (Federal Child Abuse Prevention and Treatment Act (CAPTA) as Amended by Public Law 111-320, the CAPTA Reauthorization Act of 2010 and HRS Chapter 587A (the Child Protective Act). CWS investigates and ensures safety and provides supportive services to children and their families. Statewide services include child protection, family strengthening and empowerment, foster care, adoption, transitional services for young people in foster care, and licensing for resource family homes, child care institutions, and child placement organizations. CWS includes a current workforce of 505 employees, approximately half (45%) of which are social workers.

- Child Welfare Services Caseload

- CWS caseloads encompass a wide range of clients and services including investigation, assessment, case management, foster care, and permanency services. The CWSB also offers continuing financial support to sustain adoptions, guardianships and higher education endeavors for youth formerly in foster care.
- In FY 2014, the average Statewide caseload for CWS was approximately 17 cases per social worker, compared to an average of 18 cases per worker in FY 2013 and 19 cases per worker in 2012. This decrease may be attributed to: 1) SSD’s gradual recovery from the FY 2010 reduction-in-force and 2) the continuing decline in the number of children entering the child welfare system.
- During SFY 2014, CWS Intake assigned a total of 5,490 cases for follow-up. Of that total, 2,127 (39%) cases were assigned to CWS for investigation, another 1,633 (30%) were assigned to VCM, and 1,730 (31%) were referred to FSS. Table 9 provides details on the percentage of assessments assigned to CWS, VCM, and FSS from FY 2008 through FY 2014.

**Table 9. % of Assessments Assigned to CWS, VCM and FSS (FY 08 – FY 14)**

	FY 08	FY 09	FY 10	FY 11	FY 12	FY 13	FY 14
Child Welfare Services	55%	55%	57%	40%	41%	45%	39%
Voluntary Case Management	16%	18%	19%	22%	26%	22%	30%
Family Strengthening Services	29%	27%	24%	38%	33%	33%	31%

■ Foster Care

- A total of 1,019 children entered the Hawaii foster care system in FY 2014, a 42% decrease since FY 2004. The decrease is attributed to DHS' investment in voluntary diversion and family strengthening services that help families provide a safe home for their children, promote positive parenting skills, and prevent child abuse and neglect and out-of-home placements.
- The CWSB has partnered with *EPIC 'Ohana, Inc.* (EPIC) to engage fathers and families to fully participate in their CWS cases, and more broadly, to fully participate in their children's lives. The collaborative emphasis on family connections promotes the location, recruitment and development of family connections and placement resources with extended family. These efforts also help ensure a child's permanency by increasing the identification of connections and placement/support resources within their own family.

■ Resource Caregivers

- DHS is committed to supporting a child's family connections. National data indicate that when children and youth cannot remain safely in their family homes, placement with relatives provides the next best outcome. Through continuing CWS emphasis on finding family connections and establishing partnerships with community stakeholders like 'Ohana Conferencing and EPIC 'Ohana, children in foster care have 1) increased connections with their birth and extended families, and 2) increased placement with relatives.
- DHS continues to contract for services with Hui Ho'omaluu (a collaboration of Partners in Development Foundation, Catholic Charities of Hawaii, and Family Programs Hawaii) to integrate recruitment, training, home studies, and support services for foster children and resource families. The focus on Statewide recruitment of Native Hawaiian resource families has successfully increased the availability of Native Hawaiian resource families to approximately 44% of the total resource family pool.
- The continued emphasis on family and family connections has positively increased the percentage of children placed with relative resource caregivers. In 2008, approximately 46% of children in foster care are placed with relatives; 54% with non-relatives. In SFY 2014, approximately 55% of the children in foster care were placed with relatives. Hawaii leads the nation in the percentage of foster children placed with relatives. Table 10 provides details on relative versus non-relative placement from FY 2008 through FY 2014.

**Table 10. CWS Relative versus Non-Relative Placement (FY 08 – FY 14)**

Monthly Average Number of Children in:	FY 08	FY 09	FY 10	FY 11	FY 12	FY 13	FY 14
Relative Placement	769	676	644	551	532	526	522
Non-Relative Placement	909	735	623	505	499	475	434
<b>Percent</b>							
Relative Placement	46%	48%	51%	52%	52%	53%	55%
Non-Relative Placement	54%	52%	49%	48%	48%	47%	45%

- Higher Education Board Allowance
  - The higher education board allowance program served 335 students in FY 2014. This program provides former foster youth a monthly stipend while they pursue post-secondary education at an accredited institution of higher education – either academic or vocational. The stipend is equivalent to the foster care board rate, and youth ages 18 through 26 may receive up to 60 months (five years) of benefits. Table 11 provides details on higher education board allowance recipients from FY 2008 through FY 2014.
  - DHS collaborates with the University of Hawai'i Community College system and the Hawai'i Youth Opportunities Initiative to establish programs that provide additional educational services and support for youth formerly in foster care. Outcomes include enhancing the educational experience and increasing success.

**Table 11. CWS Higher Education Board Allowance Recipients**

Monthly Average Number of Children in:	FY 08	FY 09	FY 10	FY 11	FY 12	FY 13	FY 14
New Students	112	109	138	149	158	157	124
Returning Students	132	175	204	240	258	290	211
Total Students per FY	244	284	342	389	416	447	335
Unduplicated Program Participants to Date	767	876	1,015	1,164	1,322	1,479	1,603

#### **1.10.1.2.1 Sex and Labor Trafficking**

DHS introduced and championed legislation that protects child victims of sex and labor trafficking within the scope of the Child Protective Act HRS 350-1. The legislation will heighten awareness and support for child victims of sexual exploitation or labor trafficking and promote prevention, early identification, intervention, and services to address the needs of trafficked children.

#### **1.10.1.2.2 Title IV-E Waiver Demonstration Project**

Hawai'i was one of eight states approved by the U.S. Department of Health and Human Services (HHS) Administration for Children & Families (ACF) to implement a Title IV-E Waiver Demonstration Project in Federal FY 2013. This project allows Hawai'i to develop and implement interventions to ensure the safety of children, and reduce the number of children and youth entering and staying in foster care. The planned outcome is to reduce trauma associated with removals and improve child well-being.

The proposed demonstration focuses on two (2) specific groups of children and youth. First, SSD will be implementing an enhanced crisis response system for *short stayers* (those entering care for less than 30 days). Second, a new array of interventions will begin with children who have been in foster care for 90 days or longer, with the intent of reducing their length of stay in foster care. The services are designed to prevent future long stays and as such, this group is referred to as *long stayers*. Existing services will continue for all children and youth in care.

### **1.10.1.2.3 Voluntary Care to Age 21 – Imua Kakou**

In response to legislative amendments to HRS 346, CWS collaborated with foster youth and young adults, the Family Court, DHS partners, community agencies, and other stakeholders to design the Voluntary Care to 21 Program. Youth involved with the development of this program named it Imua Kākou, Hawaiian for “moving forward together.”

The ACF and The Jim Casey Youth Opportunity Initiative have provided assistance for the program’s initial design. Extension of foster care services to age 21 offers young adults a safety net of supportive services and financial benefits during their critical transition to adulthood, including extension of foster care payments, continued oversight by a case worker for additional support, counseling services, continued health care coverage, housing options, training in independent living skills, employment or job skills, and additional time to finish high school and pursue vocational or secondary education. The program is supported by Federal Title IV-E and State general funds.

### **1.10.2 Program Integrity**

DHS identifies situations in which there are questions of suspected fraud, waste and/or abuse such as, but not limited to, a recipient receiving financial assistance to which the individual is not entitled. The suspected fraud, waste or abuse may be the result of willful misrepresentation of the individual’s circumstances or intentional concealment of information from the Department.

Within BESSD, the Investigations Office (INVO) investigates suspected cases and refers cases, as appropriate, to law enforcement officials.

## **2.0 General Instructions and Proposal Requirements**

### **2.1 Pre-Proposal Instructions**

#### **2.1.1 Mandatory Vendor Registration**

All Vendors are required to register to participate in this procurement by the date and time listed in this RFP. Proposals submitted from a non-registered company will not be considered. The Vendor registration notification must be sent by email to the DHS POC, Tracey Laride, at the email address, [DHS\\_OIT\\_PSS\\_Mailbox@dhs.hawaii.gov](mailto:DHS_OIT_PSS_Mailbox@dhs.hawaii.gov) before the date set forth in the schedule contained in this RFP. The email must use the subject line "RFP Vendor Registration".

Communications regarding addenda or other important information will be sent to the identified Vendor POC in the registration, as well as posted to the procurement website.

#### **2.1.2 Written Questions and Responses**

If the Vendor believes that any provision of the RFP is unclear, potentially defective or would prevent it from providing a complete and thorough Proposal, it shall submit questions using Response Template O-2. The Written Questions Response Template must be submitted via email to the DHS POC, Tracey Laride, at the email address, [DHS\\_OIT\\_PSS\\_Mailbox@dhs.hawaii.gov](mailto:DHS_OIT_PSS_Mailbox@dhs.hawaii.gov) before the date set forth in the schedule contained in this RFP. The email must use the subject line "RFP Vendor Questions".

Each question must identify the page, section number, paragraph and line or sentence of such provision(s) of the RFP to which the question applies, the specific language in question, as well as the question itself. The questions must be submitted in easily editable format (e.g. Microsoft Excel; not PDF). DHS will make every effort to respond by the date stated in the schedule.

Responses to questions shall be made in the form of one or more Addenda. If modifications to the RFP are necessary, additional Addenda will be issued.

#### **2.1.3 Letter of Intent to Submit a Proposal**

Vendors interested in submitting a Proposal should submit a non-binding Letter of Intent (LOI) to Submit a Proposal by email to the DHS POC, Tracey Laride, at the email address, [DHS\\_OIT\\_PSS\\_Mailbox@dhs.hawaii.gov](mailto:DHS_OIT_PSS_Mailbox@dhs.hawaii.gov) before the date set forth in the schedule contained in this RFP, and any amendments to it. The email must use the subject line "RFP Vendor LOI". The LOI should use the Response Template O-1 and must abide by the instructions contained within that Template.

### **2.2 Proposal Instructions**

#### **2.2.1 Proposal Preparation Costs**

Any and all costs incurred by the Vendor in preparing or submitting a Proposal shall be the Vendor's sole responsibility whether or not any award results from this RFP. DHS shall not reimburse such costs.

### **2.2.2 Multiple Responses**

Each Vendor may only submit one (1) Proposal as a Prime Vendor. If the Vendor submits more than one (1) Proposal as a Prime Vendor, DHS will reject all Proposals submitted by the Vendor. This requirement does not limit a Vendor's ability to collaborate with one or more other Vendors as a subcontractor on one or more additional Proposals. That is, the Vendor may submit one proposal as the Prime and may submit multiple proposals as a subcontractor.

### **2.2.3 Required Review**

Before submitting a Proposal, the Vendor must thoroughly and carefully examine this RFP, any attachments, addenda, and other relevant documents, to ensure the Vendor understands the requirements of the RFP. The Vendor must also become familiar with State, local, and Federal laws, statutes, ordinances, rules, and regulations that may in any manner affect cost, progress, or performance of the work required.

If the Vendor identifies any defects in this RFP or its associated documents, or if the Vendor needs to ask clarifying questions about this RFP or its associated documents, the Vendor should submit notice in writing to DHS (see Section 2.1.2) ahead of the deadline for written questions (see Schedule of Due Dates and Deadlines in Section 1.4.1). This will allow the issuance of any necessary corrections and/or amendments to the RFP by addendum, and mitigate reliance of a defective solicitation and exposure of Proposal(s) upon which award could not be made.

### **2.2.4 Subcontractors**

If selected, the Vendor is fully responsible for all work performed under the Contract. In the event of a Proposal submitted jointly by more than one organization, one organization must be designated as the Prime Vendor. All other participants shall be designated as subcontractors. DHS requires the Prime Vendor to complete a minimum of 60% of the work, as defined in this procurement.

All subcontracted work, and subcontractors performing that work, must be identified in the Vendor's Proposal. The Vendor may however, only enter into written subcontract(s) for performance of these functions under the Contract upon the approval of DHS and after the signing of the Contract. Subcontracts must be approved in writing by DHS prior to the effective date of any subcontract. No subcontract that the Vendor enters into with respect to performance of this Contract shall in any way relieve the Vendor of any responsibility for performance of duties. Failure to comply with the terms of this section is at the sole risk of the Prime Vendor, and in such case, the State will in no way be held responsible that arise from that failure.

The Vendor shall give DHS immediate notice by certified mail of any action or suit filed and prompt notice of any claim made against the Vendor by any subcontractor or vendor that in the opinion of the Vendor may result in litigation related in any way to the Contract with DHS.

## 2.2.5 Proposal Submission Instructions

### 2.2.5.1 Proposal Submission Details

The Vendor must submit six (6) hard copies and one (1) soft copy of the Proposal, which is inclusive of two (2) separate packages: Technical Proposal and Cost Proposal (see Section 2.3.2 for details). One (1) hard copy of the Proposal must be clearly identified on the cover and packaging as the Proposal ORIGINAL and must contain a “wet” original signature in blue or black ink by the person authorizing submission on behalf of the Vendor. The soft copy (e.g., searchable pdf) may be submitted on CDs, DVDs and/or USB storage devices. The Vendor should make reasonable attempts to ensure that the soft copy media is “locked” to avoid unintentional changes to the submission.

All Cost Proposals (both hard copies and soft copies) must be submitted separately from the Technical Proposals, and must be sealed, as described later in this RFP. Submission of all portions of the Proposal must be received at the address below before the date and time listed in this RFP.

All Proposals must be delivered during regular State business hours Monday through Friday 8:00 a.m. to 4:00 p.m. HST, except Federal, State and local holidays. Any Proposal partially or fully received after the submission date and time will be rejected and returned unopened to the Vendor at the Vendor’s expense, regardless of whether the Proposal was mailed or hand-delivered. Any Proposal emailed or faxed will be rejected.

Proposals shall be delivered or received by the date and time specified to:

Queen Liliuokalani Building  
Department of Human Services  
1390 Miller Street, Room 104  
Honolulu, HI 96813  
Attention: Tracey Laride

In packaging the Proposal, the outside cover of the package containing the Proposal shall be marked and/or labeled:

PROPOSAL for DHS-RFP-17-01  
[Vendor’s Name]  
[Vendor’s Primary Address]  
[Vendor’s Phone Number]

Proposals will be received, time stamped and receipt verified by a procurement official on or after the date and time specified in this RFP.

### **2.2.5.2 Delivery Methods**

In all cases, it is the Vendor's responsibility to ensure that the DHS POC, or her designee, physically receives all copies of the Proposal at the address listed prior to the Proposal due date and time. DHS will not make concessions for delivery or transportation services.

**U.S. MAIL:** Vendors are cautioned that it is their responsibility to originate the mailing of Proposals in sufficient time to ensure Proposals are received prior to the due date and time.

**EXPRESS DELIVERY:** If Proposals are being sent via an express delivery service, the Vendor must ensure that the RFP designation is clearly shown on the outside of the delivery envelope or box, and that the delivery is made to the DHS POC prior to the due date and time.

**HAND DELIVERY:** Hand carried Proposals shall be delivered to the DHS POC or her designee prior to the due date and time.

**ELECTRONIC:** Electronic Proposals will not be accepted.

**FAXED PROPOSALS:** Faxed Proposals will not be accepted.

### **2.2.5.3 Additional Copies of Proposals**

Additional copies of the Proposal may be requested for contracting purposes. The purchasing agency will notify the Vendor of the winning Proposal when additional Proposal copies are needed.

## **2.3 Instructions for RFP Response / Proposal Content**

### **2.3.1 Proposal Objectives**

The RFP document and the Mandatory Response Templates provide a structured approach for DHS to detail its needs for IV&V services, and a structured way for Vendors to respond to those needs. It is critical that Vendors respond in a manner consistent with this structure to ensure that DHS can evaluate all responses in an objective manner. Should the Vendor wish to submit additional materials to clarify its response to specific questions in the Response Templates, they should be submitted as appendices to the Proposal and referenced in the appropriate section of the Proposal.

All Proposals will be evaluated in an objective and structured manner designed to provide the highest scores to those Proposals that provide the best value to DHS. The highest consideration will be given to those Proposals that meet and exceed the stated business needs, provide a comprehensive plan for IV&V services, limit risk for DHS, and provide a competitive cost over the Contract term.

### **2.3.2 Proposal Format and Contents – Mandatory Templates**

It is mandatory that the Proposal be in the order and format of the Mandatory Response Templates, and that all Mandatory Response Templates be completed. Proposals that do not closely follow the format and structure of the Mandatory Response Templates may have a significant negative impact on their score due to the impact of the Proposal evaluation process. It is the Vendor's responsibility to ensure its Proposal is submitted in a manner that enables DHS to easily locate all response descriptions and exhibits for each requirement of this RFP. Proposals that do not closely follow the format and structure of the Mandatory Response Templates may impact the evaluation process, if, for example, the evaluation committee cannot easily locate the information in response to the corresponding section.

Unless otherwise specified, hard copies of Proposals should use the formats that are offered in the Response Templates on 8-1/2" x 11" white bond paper (double-sided preferred) with no less than 1/2" margins and eleven (11) point font. Exceptions may be made in the case of pictures, images or tables where relevant, however this use should be limited as much as possible. Hard copies of Proposals are to be assembled in loose-leaf, three-hole punch binders with appropriate tabs for each section. Do not provide Proposals in glue-bound binders or use binding methods that make the binder difficult to remove. The Vendor shall put its company name and page/volume number in the header or footer of each page of every document submitted.

Proposals in response to this RFP must be divided into two (2) appropriately labeled and sealed packages marked Technical Proposal and Cost Proposal. All proposal submissions must be clearly labeled with the RFP number.

The contents of each package must be as follows; all sections must be completed and included for a Proposal to be considered responsive:

- Package 1 – Technical Proposal
  - Technical Proposal addressing all requirements specified in the RFP using the response forms provided in Response Templates T-1 through T-9 and O-1.
  - Responses should be in the order and structure presented in this RFP and the associated Response Templates.
- Package 2 — Cost Proposal
  - Cost Proposal provided using the form supplied in Response Template C-1.

### **2.3.2.1 Package 1 – Technical Proposal**

This portion of the Proposal must include the sections that correspond to the Response Templates listed in Table 12. These sections must abide by the instructions contained within each Response Template.

**Table 12. Proposal Sections and Response Template Overviews**

Section / Template	Name	Description
T-1	Cover Letter and Executive Summary	<p>This section of the Vendor's Technical Proposal must include a cover letter and executive summary stating the Vendor's intention and willingness to enter into a Contract with DHS on the basis of the submitted Proposal.</p> <p>The Vendor's response must include a transmittal (cover) letter, table of contents, executive summary, Vendor contact information and locations, and demonstration of the fulfillment of the Minimum Mandatory Qualifications.</p> <p>Offer Form OF-1 in the Response Template T-1 is required to be completed using Vendor's exact legal name as registered with the Department of Commerce and Consumer Affairs, if applicable, in the appropriate space. Failure to do so may delay proper execution of the Contract.</p> <p>The Vendor's authorized signature on the Response Template T-1 marked "ORIGINAL" shall be a wet original signature in black or blue ink, which shall be required before an award, if any, can be made.</p>
T-2	Vendor Experience	<p>This section of the Vendor's Technical Proposal must include details of the Vendor's Experience.</p> <p>The Vendor's Technical Proposal must include Vendor organization overview; corporate background; Vendor's understanding of the Human Services domain; Vendor's experience in the public sector; Vendor's IV&amp;V experience; certifications and other required forms. If the Proposal includes the use of subcontractor(s), provide IV&amp;V services completed by the subcontractor(s) in the last five (5) years.</p>
T-3	Vendor References	<p>This section of the Vendor's Technical Proposal must include Vendor's References.</p> <p>The Vendor's Technical Proposal must include at least three (3) references from IV&amp;V services performed within the last five (5) years that demonstrate the Vendor's ability to perform the Scope of Work (SOW) described in the RFP. If the Proposal includes the use of subcontractor(s), provide three (3) references for each. DHS has a strong preference for references that demonstrate where the Prime and subcontractor(s) have worked together in the past.</p>
T-4	Vendor Project Organization and Staffing	<p>This section of the Vendor's Technical Proposal must include a narrative of the Vendor's proposed Organization and Project Staffing approach.</p> <p>The Vendor's Technical Proposal must include the proposed approach to: organization plan; organization chart; key staff; subcontractor(s); staff contingency plan; staff management plan; staff retention; and the Vendor's approach to working with the Project staff.</p>

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Section / Template	Name	Description
T-5	Staff Experience	<p>This section of the Vendor's Technical Proposal must include a narrative of the Vendor's Staff Experience.</p> <p>The Vendor's Technical Proposal must include the proposed approach to: roles and responsibilities; summary of skill sets; total years of experience in the proposed role; qualifications; and resumes.</p> <p>If a subcontractor is included, the Vendor's Technical Proposal must include a summary of the proposed staff (prime and subcontractor) experience in working together on projects.</p>
T-6	Requirements	<p>This section of the Vendor's Technical Proposal must include a response to the Requirements.</p> <p>The objective of the Requirements response is to provide the DHS Project team with a method to evaluate the degree to which each Vendor's approach satisfies the IV&amp;V services requirements.</p>
T-7	High-Level IV&V Plan	<p>This section of the Vendor's Technical Proposal must include a narrative of the Vendor's proposed High-Level IV&amp;V Plan. The Vendor is required to provide a narrative overview of how its proposed services will meet DHS' requirements.</p> <p>This section also captures the Vendor's Work Breakdown Structure (WBS) which will be used to create a consistent and coherent management plan. It will demonstrate that the Vendor has a thorough understanding for the SOW and what must be done to satisfy the IV&amp;V services requirements.</p> <p>The Plan must include detail sufficient to give DHS an understanding of how the Vendor will use its knowledge and approach to:</p> <ul style="list-style-type: none"> <li>■ Manage the Work;</li> <li>■ Guide Work execution;</li> <li>■ Document planning assumptions and decisions;</li> <li>■ Facilitate communication among stakeholders; and</li> <li>■ Define key management review of content, scope, and schedule.</li> </ul>
T-8	State of Hawaii Proposal and Contracting Forms	<p>This section of the Vendor's Technical Proposal includes Proposal and Contracting forms broken down into three (3) sections; instructions are stated at the beginning of each section.</p> <p>Section 1 includes Forms to be Returned with the Proposal where the Vendor must identify and provide an explanation for any information in its Proposal that it considers to be confidential and proprietary. Section 2 includes Forms Required to Execute Contract, provided for reference <u>only</u>, that will be required if the selected Vendor is awarded the Contract; they are <u>not</u> required to be returned with the Proposal. Section 3 includes Attachment as Part of the Contract, provided for reference <u>only</u>, which will be attached to the Contract if the selected Vendor is awarded the Contract.</p>

Section / Template	Name	Description
T-9	RFP Response Checklist	This section of the Vendor's Technical Proposal must include the completed checklist verifying that all the RFP response requirements have been completed.
O-1	Letter of Intent	This section of the Vendor's Technical Proposal must include a copy of the non-binding Letter of Intent that was submitted.

### 2.3.2.2 Package 2 – Cost Proposal

This portion of the Proposal must include Template C-1 as described below. This must abide by the instructions contained within the Response Template.

Section / Template	Name	Description
C-1	Cost Workbook	Details the costs associated with the Proposal, including any assumptions that may affect them.

The Cost Proposal, both hard copies and soft copy, must include a response through the mandatory use and submission of Template C-1 Cost Workbook. Vendors must complete the Template as instructed and place it in one (1) or more SEPARATE and SEALED packages, clearly marked as the Cost Proposal with the Vendor's name, the RFP number, and the RFP submission date. No cost information can be contained in the Technical Proposal submission, unless explicitly requested. Only cost information provided in the Cost Proposal will be considered.

The Vendor must base its Cost Proposal on the SOW described in Section 4.0 and associated sections of this RFP and Response Templates. The Cost Proposal must clearly state any business, economic, legal, programmatic, or practical assumptions that underlie the Cost Proposal. DHS reserves the right to accept or reject any assumptions. All assumptions not expressly identified and incorporated into the Contract resulting from this RFP are deemed rejected by DHS. The Vendor will be liable for any costs incurred by DHS for IV&V services not specifically stated in the Proposal, or clearly detailed in a stated assumption.

The Vendor's Proposal for IV&V services must include all costs in the Cost Proposal. Total Costs are required by DHS for evaluation and budget purposes, while additional detail of costs is required for DHS' understanding of the costs. Costs must be based on the terms and conditions of the RFP, including DHS' General Conditions (provided in the Procurement Library) and Mandatory Requirements of the RFP (not the Vendor's exceptions to the terms and conditions). The Vendor is required to state all other assumptions upon which its pricing is being determined in the Template C-1. Cost assumptions must not conflict with the RFP terms and conditions including DHS' General Conditions or Mandatory Requirements of this RFP.

Vendors are required to provide costs for all IV&V services requirements as described in the RFP and Response Templates. The Proposal cost must be FFP with payments based on deliverables, commensurate with the level of effort required for each deliverable. During Vendor Oral Presentations and subsequent discussions, the Vendor may explain any assumptions or exceptions to the Terms and Conditions. Following Oral Presentations and discussions, DHS may choose to accommodate none, some or all of the exceptions via a Best and Final Offer (BAFO) request.

DHS recognizes that it may need additional expertise to support IV&V activities. As part of the Contract, the Vendor and DHS may establish task-based change orders for services to support specific Engagement tasks once they are identified. The Vendor must honor the fixed Hourly Labor Rates as stated in the Cost Proposal to DHS for Vendor personnel resources (Subject Matter Experts), which DHS will use to determine costs for task-based change orders if necessary.

The Vendor is responsible for entering cost data in the format prescribed by the Response Template C-1 Cost Workbook. Formulas have been inserted in the appropriate cells of the Response Template to automatically calculate summary numbers, and shall not be altered. Further instructions for entering cost data are included in the Response Template. It is the sole responsibility of the Vendor to ensure that all mathematical calculations are correct and that the total costs reflect the total Proposal cost.

Completion of all portions of the Cost Workbook is mandatory. Applicable purchase, delivery, tax, services, safety, license, travel, per diem, Vendor's staff training, Project facility, and any other expenses associated with the delivery of the proposed items must be included in the Vendor's costs and fixed hourly rates.

## **2.4 Additional Instructions**

### **2.4.1 Proposal Forms**

The Vendor shall respond to and include all items specified in this RFP and any subsequent addendum.

Pricing shall be submitted on Response Template C-1. The price shall be the all-inclusive cost, including the General Excise Tax (GET), to the State. No other costs will be honored. Any unit prices shall be inclusive.

### **2.4.2 Issuance of RFP and State's Right to Modify, Cancel, Suspend and/or Terminate the RFP and any Contracts**

Without limiting any other provision of the RFP (including any exhibits, attachments, appendices, Response Templates, and the RFP as amended by any addenda), DHS has the right at any time for its convenience and without cause to modify, alter, amend, change, cancel, suspend or terminate the RFP, including, without limitation, the right to cancel and withdraw the RFP prior to acceptance of Proposals or prior to the award of a Contract for some or all of the requested services, or in connection with any termination or change in funding. Any modifications or alterations to the RFP will be written in an addendum, posted as an attachment to the original posting on the State Procurement Office (SPO) website.

### **2.4.3 Modifications Prior to Submittal Deadline or Withdrawal of Proposals**

The Vendor may modify or withdraw its Proposal before the Proposal due date and time. Any change, addition, deletion of attachment(s) or data entry of a Proposal may be made prior to the deadline for submittal of Proposals. No modifications, additions or deletions may be made after the Proposal due date and time.

#### **2.4.4 Proprietary/Confidential Information**

All Proposals shall become part of the contract files and available for public inspection except for those sections that a Vendor had requested in writing nondisclosure of information such as trade secrets or proprietary material or information. Such requests for nondisclosure shall accompany the Proposal with justification to support the confidentiality claim (see Template T-8, Section 1.1 Confidential and Proprietary Information Form).

Vendors must identify confidential sections in the designated areas of the Response Templates. Such sections shall accompany the Proposal and shall be readily separable from the Proposal in order to facilitate eventual public inspection of the non-confidential portion of the Proposal. The confidential information shall be marked "Proprietary" or "Confidential" and shall be easily identified by indicating its section and/or page number(s) in the Proposal's table of contents.

Pursuant to HAR §3-122-58, if a person requests to inspect the portions of a Vendor's Proposal designated as confidential, the inspection shall be subject to written determination by the Attorney General for confidentiality in accordance with HRS §92F. If it is determined that the material designated as confidential is subject to disclosure, the material shall be open to public inspection unless the Vendor appeals pursuant to HRS §92F-42(1).

### 3.0 Background Information

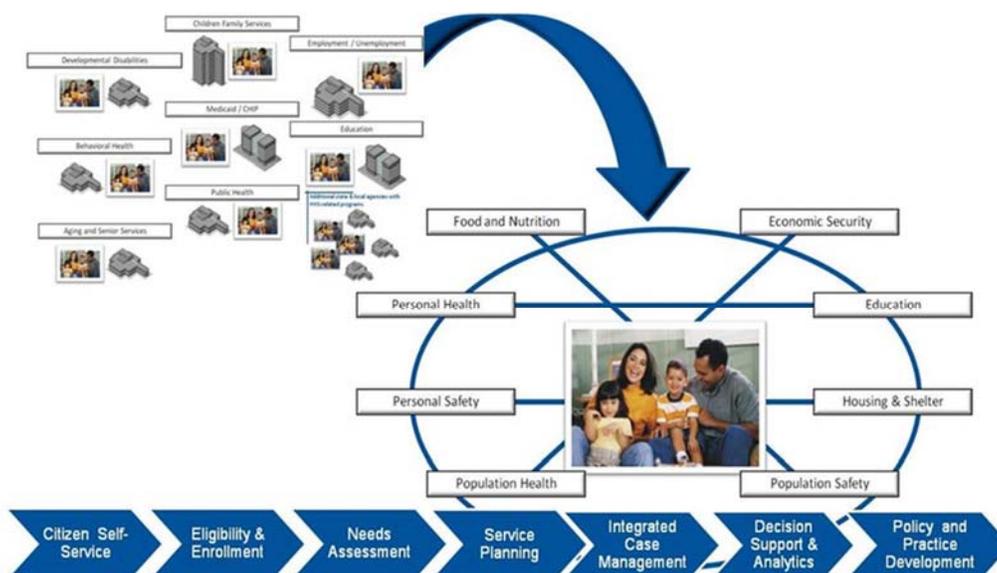
Historically, each DHS program has delivered against the Department’s mission by providing benefits to the clients it serves independent of each other. Some programs are more aligned with each other such as financial and medical assistance, but in many instances, service delivery is performed without each Division being aware of all the services clients are receiving from other programs. To enhance the delivery of Human Services, DHS is moving from an agency-centered approach focused on discrete outputs to a person/family-centric approach focused on delivering services to achieve various outcomes.

Achieving the vision means adopting a different way of approaching DHS’ organizational structure and model of practice, modifying policies that constrain the ability to access and share data, and introducing a new way to think about DHS information technology (IT) as well as other changes.

Figure 4 shows the evolving approach from the current state to the target state. The shift is anticipated to provide the following results:

- Context Oriented Services
- Accessible – “No Wrong Door”
- Mutual Respect and Trust
- Focus on Prevention, Wellness, Development and Self Sufficiency
- Comprehensive and Coordinated Array of Services and Formal and Informal (Social) Supports
- Outcome (Value-based) and Return on Investment Focused
- Anticipatory and Responsive
- Cuts Across Public and Private Providers, Services and Supports
- Strengthens Individual’s Capacity to Build Mediating Structures – Not Solely Government Dependent

**Figure 4. DHS’ Vision - Moving to Person/Family-Centered Model of Practice**



This model of practice shift also enables DHS to achieve its vision for an Agency of One, which provides for an integrated and coordinated set of effective services to improve access, outcomes, cost and quality to its clients. As shown by research and evidence-based practices for the delivery of health and human services, better outcomes at lower costs through consumer empowerment can be achieved by:

- Improving the client's experience — robust consumer self-service and ability to leverage the information provided so it can be used by multiple social services programs to improve the continuity and congruency of the full continuum of healthcare and human services programs for those served.
- Improving the delivery of benefits, services and care DHS provides — visibility to and coordination of all the services being provided to the person/family, DHS can more effectively and efficiently provide access and address the person's/family's needs, avoiding duplication and conflicts in delivery of services and ensuring the highest level of collaboration in providing the State's healthcare and human services.
- Improving program execution — access to cross-program reports and analytics to identify the causal relationships to improve the effectiveness of the services provided and provide trend-based analysis, predictive reports and performance analytics to assess potential changes in existing services or as a result of the implementation of new services.

DHS has been implementing the technology required to support the vision of the Agency of One since 2013 when DHS commenced development of the Medicaid E&E Solution under the ACA and OMB Circular A-87 to support Medicaid Expansion and healthcare eligibility based on MAGI. The Medicaid E&E Solution is live.

In late 2013, DHS started the planning activities required to build out the DHS Enterprise Platform to support other DHS programs. Through this process DHS:

- Established the DHS Enterprise Program
- Established the Program's Governance Structure
- Defined the functional scope of each project

Additional background information is captured in the RFPs available in the Procurement Library.

### 3.1 DHS Enterprise Program

As noted above, the implementation of the Medicaid E&E Solution was the first phase of implementing DHS' vision for an integrated approach to the planning, delivery and accountability of the Department's healthcare and human services programs.

Part of the planning that has been performed since 2013 was to evaluate how to structure the overall modernization effort moving forward, leveraging the State and Federal investments in the Medicaid E&E Solution which provided the foundation for the DHS Enterprise Platform. This resulted in two (2) major concepts:

- **DHS Enterprise Program (Program):** Managing the effort as a program (rather than as independent projects) will result in the required level of coordination among the different Divisions as the business processes, data and technology will be shared among Divisions.

- **DHS Enterprise Platform (Platform):** The common components and services that will be shared by multiple Divisions within DHS. The Medicaid E&E project established the initial foundation for these components. The DHS Enterprise Program moves this foundation to full completion which includes enhancing these common shared components and services to ensure they can be shared by multiple Divisions/programs.

### 3.1.1 DHS Enterprise Program Roadmap

Under the Program, DHS developed a go-forward roadmap which includes both procuring DDI services and ongoing M&O for the existing Medicaid E&E Solution. As the incumbent vendor's contract is expiring, DHS has taken the opportunity to better align the responsibilities among its partner vendors. This roadmap includes contracting with three (3) separate vendors with the following high level scope:

- **ESI or Platform Vendor -** Provides the shared technology and services required for multiple Application DDI Vendors (e.g. ASI Vendor, CCWIS Vendor) to implement (and support) functionality leveraging the DHS Enterprise Platform. This includes Managed Hosting Services, Enterprise Platform Middleware Software M&O, Operational Support Services and SI / MVI Services.
- **ASI or ASI Vendor -** Responsible for the DDI of the Benefits Eligibility Solution, enhancing the currently implemented Medicaid E&E Solution (BES Project) and providing support for the combined Solutions.
- **CCWIS Vendor –** Responsible for the DDI of the CCWIS Solution to meet the needs of child welfare services and adult protective services (CCWIS Project) and providing support for the Solution.

There will be two (2) major DDI efforts, the BES Project and the CCWIS Project. A summary of the scope of these projects and implementation tasks are captured in Sections 3.3 and 3.4 respectively.

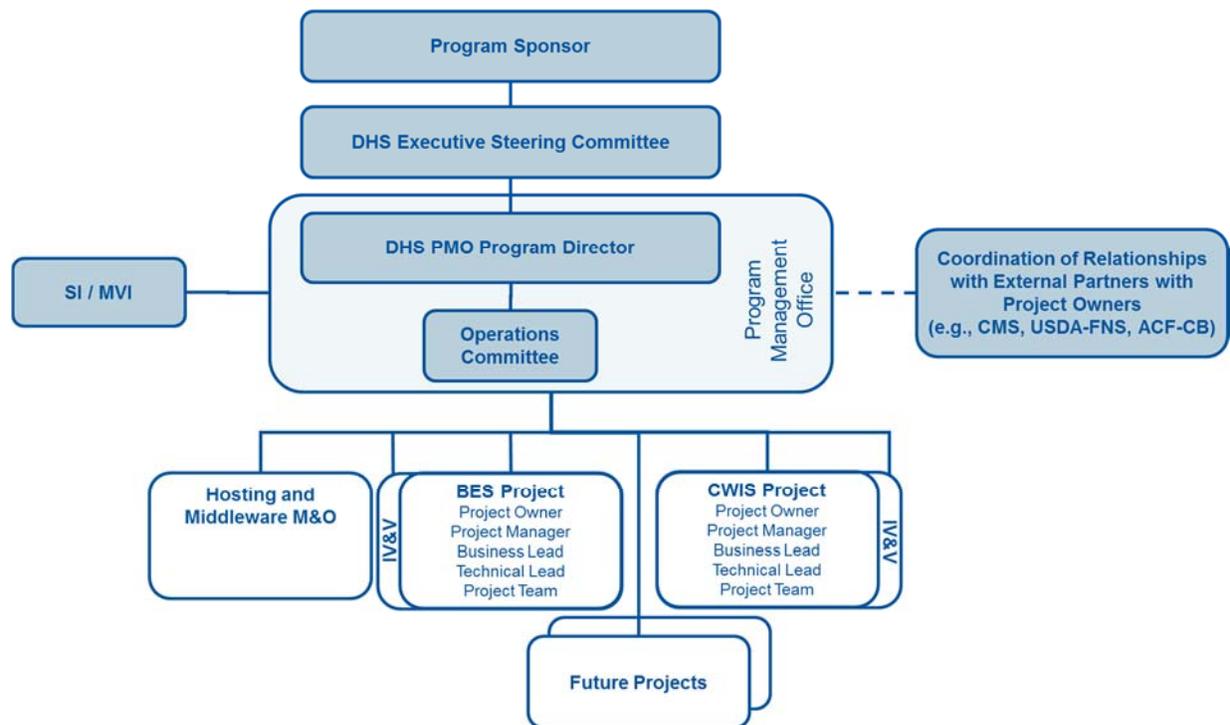
### 3.1.2 DHS Enterprise Program Approach and Organization

DHS recognizes the complexities of managing multiple projects, each leveraging shared components and services that are part of the DHS Enterprise Platform. As such, DHS has established a governance structure and Program Management Office (PMO) to coordinate all DHS Enterprise Program activities. This will provide effective management of interdependencies while allowing project teams to be responsible for implementing and maintaining the Solutions. The Program also allows DHS leadership to maintain a focus on the business benefits of greater integration rather than the traditional silo or program-centric focus on only one program's needs.

Additionally, there will be dependencies between the different projects being completed concurrently. For example, work will be performed on the DHS Enterprise Platform while the functionality for the Benefits Eligibility Solution is being built. Effective governance through the DHS Enterprise Program will help to ensure that integration and dependencies in this multi-project environment are effectively coordinated.

Figure 5 and supporting descriptions define the roles and responsibilities for the different governance bodies.

Figure 5. DHS Enterprise Program Governance Structure



The key bodies involved in governing the Program include:

**Program Sponsor:** The Program Sponsor is the DHS Director.

**Executive Steering Committee:** The ESC is comprised of DHS executives and representatives from DHS, facilitated by an appointed chairperson who is part of the committee. The ESC has been formally chartered and convenes regularly to provide the required strategic direction to projects and to support the DHS PMO Program Director. This committee performs the following functions:

- Strategic oversight and guidance for projects.
- Review and resolve project issues not resolved at lower levels and provide advice and insight into project management issues.
- Review and resolve change management issues not resolved by the Project or Program Management Teams. This primarily includes change management issues relating to scope, cost and schedule that exceed certain pre-determined thresholds.
- Review and support the resolution of contract management issues not resolved by the Contract Administrator.
- Approve projects and any major changes to the project parameters (scope, schedule and budget).

**Program Management Office:** The PMO reports into the ESC and is comprised of various resources based on the coordinated needs of the DHS Enterprise Program. The PMO is staffed to support current activities, including a Program Director, Program Manager and Project Managers assigned to the different projects. The Program Director leads the PMO and is responsible for establishing and executing the PMO processes and identifying the required resources to perform the PMO responsibilities. Additionally, the PMO includes the Operations Committee that provides guidance to the Program Director and makes decisions on Program items. The ESI who will provide SI/ MVI services reports directly to the PMO.

**Program Director:** The DHS Enterprise Program Director is responsible for coordinating all cross-project activities. This includes establishing project management standards and coordinating the execution of project management processes including items such as establishing a program schedule (identifying dependencies, tracking progress), program risks and issues management and resolving any cross-project issues.

In addition, the Program Director focuses on developing virtual cross project teams with representatives from each project to ensure consistency across the projects such as:

- Functional Team – Establishes “look and feel” standards; coordinates functional requirements validation sessions
- Technical Team – Addresses technical standards and ensures the projects conform to the Program’s standards where appropriate; ensures items are shared where appropriate; and ensures upgrades are coordinated
- Communications and Change Management – Ensures a consistent message is sent to internal and external stakeholders
- Federal Relations Team – Ensures the appropriate documentation is coordinated and provided to all Federal representatives as expected

### **3.1.3 Systems Integrator / Multi-Vendor Integration Role**

During the development of the new Solutions, it is envisioned that multiple vendors will be developing concurrently during the enhancement of the DHS Enterprise Platform by the ESI. As a result, the ESI will also be responsible for managing the multi-vendor coordination for delivery of end-to-end IT services. This will be referred to as Systems Integration (SI) / Multi-Vendor Integration (MVI).

The SI / MVI principles, standards, role and capabilities will focus on the following activities to achieve transparent service integration:

- Define and manage the technology governance process to ensure all enhancements (both to the DHS Enterprise Platform and solutions leveraging the DHS Enterprise Platform) align with DHS’ architectural principles and maximize component/service reuse
- Provide independent SOA Services certification and approvals for deployment into Production environment
- Coordinate all M&O and implementation activities
- Oversee E2E performance monitoring, reporting and tuning to ensure alignment of all vendor solution performance and service levels to DHS’ business key performance indicators, and manage vendors against the OLAs and communicate vendor performance
- Establish and maintain performance measures, and proactively challenge vendors and demand to improve processes, services, technologies and staff

- Implement and manage the execution against the SOWs, ensure collaboration between and across providers, continuously align services and metrics with business objectives, and maintain service delivery plans and processes
- Ensure inter-provider management of service handoffs, including those for change management or service request processing
- Promote operational-level relationship coordination to ensure a collaborative working approach by all vendors
- Ensure service delivery coordination to minimize operational issues
- Manage the Help Desk which will be the single point of contact for all internal users with questions/issues
- Establish coding and documentation standards and monitor compliance

Table 13 provides an overview of the SI / MVI activities, tasks and deliverables that DHS' ESI is expected to fulfill.

**Table 13. SI / MVI Role and Responsibilities**

	Description
<b>Service Integration and Coordination</b>	<ul style="list-style-type: none"> <li>■ Design, document and implement policies and processes for developing and maintaining a service catalogue and managing the Platform service assets</li> <li>■ Establish guidelines and procedures for service reuse including when service reuse is required, how to request permission to use a service</li> <li>■ Design, develop and implement governance structure, rules of engagement (templates etc.) and policies for defining and sharing services including design reviews to ensure maximum reuse and policies for consumers to obtain permission to access services</li> <li>■ Review architecture/designs to ensure maximum reuse of services</li> <li>■ Maintain a catalogue of services which includes all services on the platform</li> <li>■ Identify and maintain what services and system testing is required before deploying a service enhancement</li> </ul>
<b>Coordination of Development Activities</b>	<ul style="list-style-type: none"> <li>■ Document policies to support multiple vendors developing concurrently including environment management, concurrent development policies, code management policies</li> <li>■ Review integration between vendor components</li> <li>■ Develop defined approach to ensure effective coordination of development efforts of mutual interest between vendors (e.g., portal designs) where either the existing or new vendor(s) could potentially perform the work at DHS' discretion</li> </ul>
<b>Architecture and Data Development and Management Services</b>	<ul style="list-style-type: none"> <li>■ Development, Documentation, and Management of the processes and procedures for: <ul style="list-style-type: none"> <li><input type="checkbox"/> Overall Architectural Review and Assistance</li> <li><input type="checkbox"/> Solution Architecture Assistance</li> <li><input type="checkbox"/> Interfaces and Batch Operations Architecture</li> <li><input type="checkbox"/> Security Architecture (e.g. Encryption, SSL Certificates, etc.)</li> <li><input type="checkbox"/> Coding Standards and Assistance</li> </ul> </li> </ul>

	Description
<b>Testing Services</b>	<ul style="list-style-type: none"> <li>Coordinate all DHS Enterprise Platform testing, including all end-to-end performance testing</li> </ul>
<b>Master Production Schedule</b>	<ul style="list-style-type: none"> <li>Define, document and implement master schedule management process</li> <li>Establish master schedule including all development projects and production enhancements/defect fixes and track all major coordination points such as project dependencies and all releases</li> <li>Track dependencies and escalate to PMO if trade-off are required</li> <li>Coordinate scheduling of releases to different environments</li> </ul>
<b>Standards and Documentation Support</b>	<ul style="list-style-type: none"> <li>Develop, document and implement documentation and coding standards</li> <li>Enhance document and code repository to support multiple vendors; establish usage guidelines</li> <li>Communicate standards to development teams and verify standards are followed</li> </ul>
<b>Service Level Management</b>	<ul style="list-style-type: none"> <li>Define and Implement methods for monitoring Service Level Requirements which govern the relationships between internal and external service providers (vendors), including provisioning, time to respond to requests etc.</li> </ul>

### 3.2 Current Medicaid E&E Environment – The Foundation for the DHS Enterprise Platform

DHS has invested significant resources in a contemporary system, the Medicaid E&E Solution, to support Medicaid eligibility and enrollment, leveraging the available enhanced Federal Financial Participation under the ACA. This system has been implemented by MQD with the vision of expanding the system to support multiple DHS public benefits and social service programs, and support DHS’ vision through the use of shared common components and services. The reusable and shareable components of the Medicaid E&E Solution serve as the foundation of the DHS Enterprise Platform.

The Medicaid E&E Solution was implemented using multiple Commercial Off-The-Shelf (COTS) application components and infrastructure technologies including Siebel Customer Relationship Management Public Sector, Oracle Policy Automation (OPA), Oracle Fusion Middleware (OFM), Oracle WebLogic, Siebel Universal Customer Master (UCM), and Oracle Business Intelligence Enterprise Edition (OBIEE). (Note that the Medicaid E&E Solution will be enhanced by replacing OBIEE with the IBM supported Cognos Business Intelligence module.

The architecture that has been established for the foundation of the Medicaid E&E Solution incorporates various IT industry and public sector best practices and adheres to State, DHS and Federal architecture standards. The foundation for the architecture is the SOA infrastructure and framework that leverages proven methodologies and established technical leaders in the IT marketplace.

The Medicaid E&E Solution project has completed the following activities, deliverables and capabilities which are available to be leveraged as part of the response to this RFP for the development of the DHS Enterprise Platform –

- Configuration and deployment of the core technology infrastructure components

- Development of the required eligibility determination, benefit management, and related functionality for all healthcare programs
- Establishment of a hosting environment for all technology components and infrastructure
- Provision of certain shared technical and business services (e.g. State Hub for data and application integration, Enterprise Content Management, etc.)
- An assessment of the current state and readiness of the Medicaid E&E Solution components and services to become the DHS Enterprise Platform (see Procurement Library)

Table 14 provides a list of currently deployed software and related version information on the DHS Enterprise Platform. A detailed discussion of the components of the Platform can be found in the Benefits Eligibility Solution RFP (see Procurement Library).

**Table 14. Software Deployed on the Medicaid E&E Solution**

Software Name	Current Version	Short Description
WebLogic Proxy Plugins	10.3.4	Proxies requests from a Web server to WebLogic server instances in a cluster
WebLogic Standard Edition	10.3.4	Unified application server suite
Oracle Policy Automation	10.4.1	Business rules engine
Oracle Service Bus	11.1.1.5	Connects, mediates and manages interactions between heterogeneous services, legacy applications and packaged applications
SOA Suite	11.1.1.5	Transforms complex applications integration into agile and re-usable service
Web Tier	11.1.1.6	Web server for users
Oracle Virtual Directory	11.1.1.7	Central User Repository
Oracle Identity Manager Remote Manager	11.1.2.1	User Self Service Remote
Oracle Identity Manager	11.1.2.1	Tools for Identity Management (Development, Management, Integration and Deployment)
OIM Siebel Connector	11.1.1.5	Authentication for Siebel
Oracle Access Manager (Access Server)	11.1.2.1	Access Management - Server Access
Oracle Access Manager (Web Gate - Siebel)	11.1.2.1	Access Management - Web Gate - Siebel
Oracle Access Manager (Web Gate - FMW/Liferay)	11.1.2.1	Access Management - Web Gate - FMW/Liferay
Oracle Adaptive Access Manager	11.1.2.1	Self-service registration, password reset and one time password
BI Publisher	11.1.1.7	Used for notices
Siebel Public Sector	8.2.2.2	Case Management tool

Secure Enterprise Search	11.1.2.2	Secure access to data sources - web sites, file servers, content management systems, business intelligence systems and databases
Oracle Traffic Director	11.1.1.6	Provides high performance load-balancing reverse proxy and HTTP 1.1 caching for the Exalogic platform
Oracle Database	11.2.0.3	Database for storing the data
Oracle Database Client	11.2.0.3	Client used to connect to the Oracle Database
Oracle Business Intelligence Enterprise Edition	11.1.1.7	Ad-hoc Queries, Dashboards, Reporting and Publishing, Online Analytical Processing
Informatica PowerConnect and PowerConnect Adapters	9.1	ELT, Data Transformations, Data Enrichment
Oracle Service Registry	11.1.1.6	Governance (Service Registry, Metadata Management, SOA Assets, Service Repository)
Oracle Enterprise Repository	11.1.1.6	Governance (Service Registry, Metadata Management, SOA Assets, Service Repository)
User Productivity Kit	11.1	Collaborative content development platform
Oracle Enterprise Gateway	11.1.2.1	Integration with Oracle Service Bus and Oracle Web Services Manager
Audit Vault	12.1	Data Security (Information needed for data audit)
Enterprise Manager	12.1.0.2	Manage Exadata and Exalogic
Liferay Portal Enterprise (in WebLogic Container)	6.1	External user self-service portal
Jrockit	28.2.5	JVM used for profiling, monitoring and diagnosis for Java applications
Sun JDK1.6_29+	1.6_29	Support Jrockit

### 3.3 Benefits Eligibility Solution Engagement Overview

As noted above, DHS has established the DHS Enterprise Platform through the implementation of the Medicaid E&E Solution. The next major DDI effort, the BES Project, will migrate support for BESSD onto the Platform. Below are the anticipated business benefits, the high level scope and the anticipated approach and deliverables which provide a summary of the effort. Additional details regarding the BES Project are provided in the Procurement Library.

#### 3.3.1 Project Objectives and Expected Outcomes/Benefits

DHS anticipates significant business benefits to be realized by implementing the Benefits Eligibility Solution and enhancing the Medicaid E&E Solution. These include:

- **Avoid Maintenance and Operations Costs of the Current Legacy Systems** – As part of this Project the HAWI, HARI, ePathOS and ECF systems will be retired resulting in avoiding the associated M&O costs.

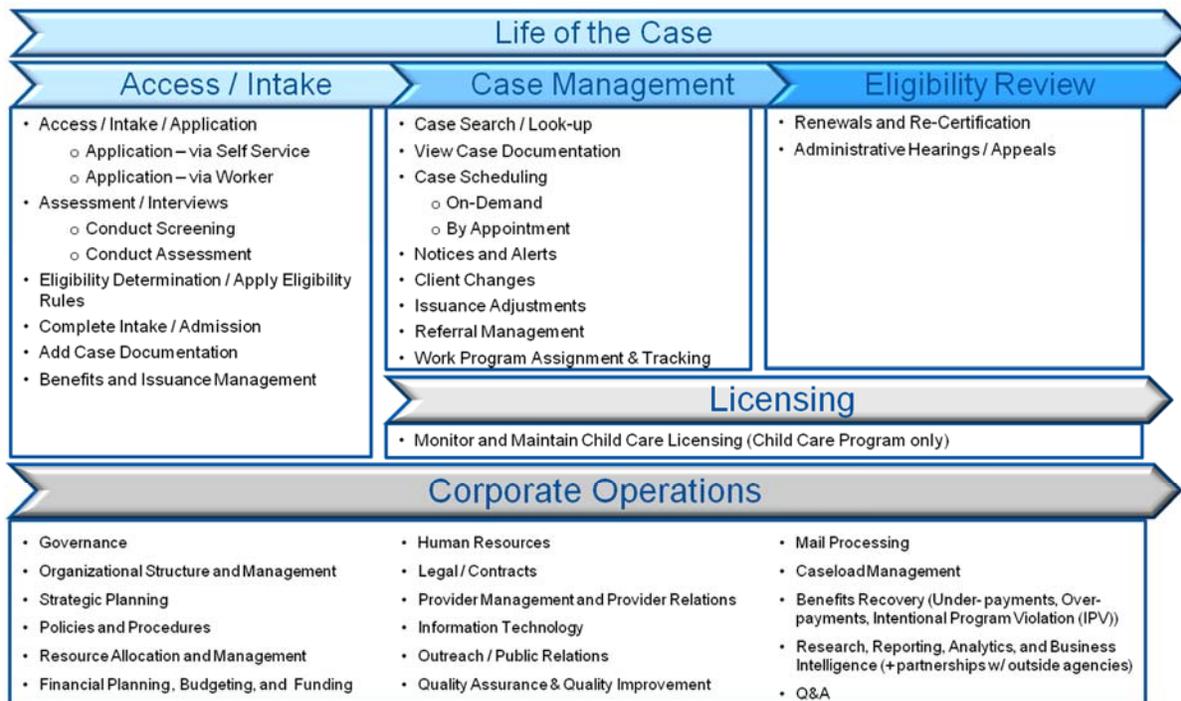
- **Improve Field Staff Efficiency** – BESSD anticipates the new Benefits Eligibility Solution will have a significant impact on the efficiency of its Eligibility Workers, Clerical Staff and Supervisors by decreasing the workload (e.g. enabling self-service), having one integrated solution with a simpler User Interface and automating tasks currently performed manually.
- **Reduce Mailing Costs** – By enabling electronic communications, BESSD can decrease the volume of paper documents it needs to process and mail to Clients.
- **Improve Client Satisfaction** – Improve Client interactions by enabling self-service for BESSD, leveraging data and documents submitted to other Divisions and enhancing BESSD and MQD operations.
- **Increase Compliance with Federal and State Guidelines** – Shorten turn-around time by improving visibility into Statewide backlog to enable better sharing of workload Statewide, ability to prioritize workload and ability to forecast workload.
- **Improve Quality Control and Program Integrity** – The Benefits Eligibility Solution will reduce eligibility determination errors for BESSD through policy and rule driven decision support and increased data sharing. Additionally, the enhancement of the Medicaid E&E Solution capabilities will increase the efficiency and timeliness of the Payment Error Rate Measurement audit process by MQD. The Solutions will also include enhanced security controls and monitoring capabilities.
- **Increase System Flexibility, Agility and Scalability** – The current HAWI and HARI systems are built on decades old technology. It is expected to become increasingly difficult to find staff to modify and maintain the systems. Additionally, these systems do not leverage modern technologies that would increase system flexibility and allow for changes to be implemented more rapidly.
- **Improve Service Access to Potential Clients/Beneficiaries** – The Solutions will allow BESSD and MQD to provide easy access to additional clients/beneficiaries by improving integration with other programs, enabling automated referrals between the programs and enabling self-service.
- **Data Quality Improvements** – By implementing a more user-friendly interface which validates the data upon entry, provides data safeguards and provides user with reference information as the data is entered, higher quality data will be entered into the Benefits Eligibility Solution. This will result in high quality results through the life of the case.
- **Value Enhancement Through a Practice Driven System** – Since HAWI was implemented, BESSD's practice has evolved but it has been constrained by the technology. BESSD has implemented ancillary systems to address some of the needs but its practice is still constrained by its technology. Through the Business Process Analysis (BPA) report, BESSD defined its to-be model of practice without technology constraints (e.g., real-time interfaces, enabling self-service). The flexibility of the Benefits Eligibility Solution will allow the practice to drive the technology rather than the practice adapting to the technology.

- **Improve Access and Sharing of Data** – There are significant benefits to sharing data between the different assistance programs. Not only will sharing of data lead to better administration of programs (e.g., improve quality and automate request for Title IV-E information), but it will also lead to better administration of Clients/Beneficiaries (e.g., sharing of address changes, changes to income) and allow for analysis of data across programs which lead to successful and/or unsuccessful outcomes.
- **Improve Employee Satisfaction** – BESSD users are frustrated with the usability of the current legacy systems — it is cumbersome and labor-intensive to use. BESSD staff have expressed their desire to focus on providing services to their Clients rather than spending time entering data into the legacy system. The new Solution will provide a modern user interface and other technologies which will increase employee satisfaction (e.g., enabling on-line training).
- **Improve Service Delivery Coordination** – The Solutions will provide electronic secure messaging capabilities, allowing internal and external stakeholders to communicate and effectively coordinate service delivery to Clients/Beneficiaries. The increased coordination will improve access, outcomes, quality and cost of services.
- **Leverage DHS Enterprise Platform Investments** – The State and Federal governments have made significant investments in the DHS Enterprise Platform that will support DHS in achieving its envisioned requirements and outcomes for the replacement of legacy systems cost effectively, and will support the overall DHS vision for integrated program and services delivery.

### 3.3.2 Benefits Eligibility Solution Project Scope

The ASI Vendor will be responsible for the DDI of new functionality that will enhance the delivery of Medicaid benefits, upgrading Oracle Siebel to OpenView for the Medicaid E&E Solution, as well as the DDI of all the requirements to support the BESSD programs. The technology support for BESSD business functions that will be implemented and deployed by the ASI Vendor provide services for a Client through their entire relationship with DHS. Varying by program, this includes access and intake of the Client, case management while receiving benefits, periodic eligibility review, and supporting operations for each portion of that lifecycle, though not all programs will utilize all features of the Benefits Eligibility Solution. A conceptualization of this is shown in Figure 6.

Figure 6. BESSD Key Business Functions



The Benefits Eligibility Solution Engagement is chartered to replace the HAWI, HARI, ePathOS and ECF systems with one integrated application, the Benefits Eligibility Solution that leverages the common shared technical components and services of the DHS Enterprise Platform. The replacement Benefits Eligibility Solution must additionally provide contemporary functionality and usability, and be built on modern system architectures. The legacy applications provide the end-user functionality to support integrated eligibility and benefits management for the following programs within BESSD:

- Temporary Assistance for Needy Families (TANF) and Temporary Assistance for Other Needy Families (TAONF)
- General Assistance (GA)
- Aid to the Aged, Blind, and Disabled (AABD)
- Supplemental Nutrition Assistance Program (SNAP)
- Low Income Home Energy Assistance Program (LIHEAP)
- Multiple smaller programs (e.g., Refugee and Repatriate programs and issuing court ordered benefits)

Some of the functionality and technology that will be implemented as part of the Benefits Eligibility Solution Project will support multiple Divisions within DHS as part of DHS Enterprise Platform. These areas include:

- Appeals Management (note: this Appeals process will be Department-wide)
- Quality Control and Program Integrity
- Cost Allocation (Random Moment Time Sampling (RMTS))
- Alerts and Notifications

- Asset Verification
- Dashboards and Mobile Reporting

It is important to note that the Benefits Eligibility Solution Project excludes end-user and case management support for the FTW, E&T, and Child Care programs. However, the Benefits Eligibility Solution Project does include these programs in the integrated eligibility process and support for the back-end process (e.g. tracking of and issuing benefits, collecting overpayments).

### **3.3.3 Benefits Eligibility Solution Approach and Deliverables**

The tasks requested of the ASI Vendor, and the associated deliverables, are summarized below. Additional details of these can be found in the Benefits Eligibility Solution RFP located in the Procurement Library.

#### **3.3.3.1 Implementation Approach**

##### **Task 1: Manage the Project**

DHS has established a PMO to coordinate the projects building on the DHS Enterprise Platform. The PMO allows flexibility within each project to ensure individualized successes, but maintains a core set of standards; the ASI Vendor's project management methodology, artifacts and tools must conform to these.

During Project Initiation activities, the ASI Vendor's Project Manager / Project Management Team will develop a Project Management Plan (PMP) and associated tools and artifacts that will establish how the Project will be managed. DHS' Project Manager and Project team will be involved during the development of these deliverables to ensure they are built to meet the needs of DHS and are aligned to Project success, and must be approved by the DHS Project team.

The proposed project management methodology must comply with the Project Management Institute (PMI) standards or equivalent, and this must be used throughout the contract period. The deliverables, which make up the PMP, as well as the associated tools and artifacts, must comply with at least the following Project Management Body of Knowledge (PMBOK) knowledge areas (or the equivalent):

- Project Integration Management
- Project Scope Management
- Project Time Management
- Project Cost Management
- Project Quality Management
- Project Human Resource Management
- Project Communications Management
- Project Risk Management
- Project Procurement Management
- Stakeholder Management

DHS sees quality as critical to the success of the Project and expects that the ASI Vendor will provide a focus on quality throughout the Project. DHS will review all deliverables and expects the awarded IV&V Vendor to help ensure the ASI Vendor focuses on quality processes and deliverables throughout the Project.

Throughout the Project, the ASI Vendor must execute the processes outlined in the PMP.

### **Task 2: Manage the Environments**

The ASI Vendor will not provision the production environments. The ASI Vendor will provide specifications for the environments that will be validated by DHS (including the required components of the DHS Enterprise Platform) and they will be performed by the ESI.

If there are any additional commercial off-the-shelf (COTS) software that are included as part of the ASI Vendor's proposal that are not shared, the ASI Vendor will be required to provision and provide support for the software in the environments.

Currently, environments have been implemented in support of the Medicaid E&E Solution to which the Platform Vendor will add to rather than build new environments. These environments include:

- Development
- Testing
- Pre-Production / User Acceptance Testing (UAT)
- Production
- Disaster Recovery
- Training

The expectation is that the ASI Vendor will build and test the Benefits Eligibility Solution and enhance and test the Medicaid E&E Solution, and only promote its Solutions to the Pre-Production environment after completing testing. Once promoted to the Pre-Production environment, the functionality currently in production will be regression tested and UAT will be performed on the ASI Vendor's code.

### **Task 3: Develop the Solution Design, Development & Customization Requirements**

DHS is not prescribing a specific methodology (e.g. Waterfall, Agile) to managing the Benefits Eligibility Solution Project so the ASI Vendor can propose a methodology which best matches the project's needs. However, does envision adopting certain best practices such as:

- a. Not waiting until development is complete before testing – DHS anticipates testing completed functionality while developing other functionality
- b. Leveraging automated testing tools to support regression testing and help ensure functionality built/tested early on does not break with latter releases
- c. Including user validation/usability testing as an integral part of the development methodology and iterate on the user interface design
- d. Co-locating DHS functional staff for the duration of the project to resolve ambiguous items real-time, usability, policy decisions/changes and ongoing testing
- e. Continually/frequently consolidating code to support ongoing testing
- f. Leveraging application life-cycle management tool.

#### **Task 4: Convert and Manage Data**

The ASI Vendor is expected to lead the data conversion effort and migrate all associated documents/images from the BESSD legacy systems to the DHS Enterprise Platform and provide any tools required to minimize manual effort. This includes integrating/interfacing the data from BESSD legacy systems with the data in the Medicaid E&E Solution so the DHS Enterprise Platform has one unique identifier for each client. This includes both data specific to the client (e.g., addresses) and the documents/images associated with that individual.

#### **Task 5: Test the System**

With multiple vendors (e.g., ASI Vendor, ESI Vendor, CCWIS Vendor) working on the DHS Enterprise Platform, multiple Application DDI Vendors will also perform testing. DHS expects the ASI Vendor to perform all testing through UAT (e.g. unit, link/string and integration testing). The ASI Vendor will also be responsible for leading the effort, documenting the test scripts, recording the results, re-running test scripts that fail and logging and fixing all defects identified. These will be performed in the Development and Testing environments.

DHS expects the ASI Vendor to promote changes to the Pre-Production environment only after completing its testing phase. Once promoted to the Pre-Production environment, the functionality currently in production will go through regression testing and performance testing, and UAT will be performed on the new changes. The ESI will coordinate all testing on the pre-production environment. Once the ASI Vendor has passed integration testing and is confident the changes are “production ready,” it will provide the test scripts, automated regression test scripts and any other related documentation to the ESI. The ESI will coordinate UAT testing and regression testing, and execute performance testing.

Per 7 CFR 277.18, a complete test plan must be provided to FNS prior to the start of the testing phase. Results of the UAT must also be submitted to FNS before the Benefits Eligibility Solution is piloted in a production environment. Furthermore, testing and obtaining attestation on any connections with the Federal Data Services Hub must be completed, as required, per CMS.

#### **Task 6: Manage Organizational Change, Training and Knowledge Transfer**

The ASI Vendor will lead and work collaboratively with DHS staff to build out the resources to prepare the organization for the new Solution. DHS has established baseline guiding principles for this effort, including:

- Use a task-based training approach founded on a thorough user-centered task analysis
- Use a variety of integrated training methods to address diverse learning styles and provide experiential, performance-based training
- Integrate training methods and strategies throughout the Project life cycle, to include pre-training support, classroom training, and post-training support
- The primary medium for Solution training must be hands-on interaction with a working version of the Solution
- Just-in-Time Approach to training — All field office users will receive hands on training on the Solution immediately prior to the Solution being implemented
- Training must be designed in a way that conveys the value and benefits of the Solution, in alignment with the user’s model of practice, and its integration into their day-to-day work
- All trainees must demonstrate the capability to use the Solution effectively at the completion of the training to perform his/her responsibilities

- User friendly training materials must be provided to trainees that can be referenced at a later date without additional context required
- A methodical approach to planning training activities is required. A detailed Training Plan must be developed.

The ASI Vendor will develop training materials, in collaboration with DHS, in appropriate formats based on the needs of the different audiences. The materials are expected to leverage digital or multi-media to the largest extent possible. A combination of training techniques is expected to be employed, including:

- Individual one-on-one training sessions
- System Demonstrations
- Instructor-Led Classroom Teaching
- Instructor-Led Virtual Training
- Computer and Web-based training
- On-the-Job Training
- User Guides

Although the ASI Vendor will be providing M&O support after the Solution is live, DHS expects some of its staff (e.g. super users, support staff, trainers) to receive training / knowledge transfer above and beyond the end-user trainings.

Technical training and knowledge transfer for technical staff is expected to commence as soon as possible in the project schedule, with ongoing, advanced and refresher training throughout the contract period.

#### **Task 7: Roll-out the System and Go-Live**

The ASI Vendor will recommend a release strategy, which will be approved by DHS. Options include:

- Build and Release by program (e.g., SNAP, TANF) which will require temporary interfaces so Eligibility Workers can continue performing one interview for all programs
- Build and Release by functionality (e.g., build and release the Eligibility Worker front end, followed by the back-end functionality)
- Build and Release foundational functionality (e.g., release functionality required to migrate onto the new Solution followed by requirements which enhance the capabilities)
- Hybrid

DHS prefers to retire HAWI early in the project to avoid running two (2) systems in parallel.

#### **Task 8: Warranty the System**

DHS expects functionality to be warrantied for 1 year after the DDI effort is completed and signed off by the DHS. The management and release of the warranty fixes can be integrated with other M&O activities, however from a financial perspective all costs associated with fixing the defects will be covered by the DDI portion of the budget. Effort spent on warranty fixes should not be counted as maintenance and operations.

### 3.3.3.2 Implementation Deliverables

The Benefits Eligibility Solution Project scope includes the entire implementation from initiating the project through successful hand-off to M&O a predetermined amount of time after the Benefits Eligibility Solution is fully deployed. DHS expects the ASI Vendor to produce deliverables throughout the project to show continued success. Based on the nature of the deliverable, these deliverables are categorized as:

- Recurring deliverables (produced on a recurring basis throughout the project)
- Once for the entire project
- Once for the initial release and updated for subsequent releases
- Separate deliverables produced for each release

At a minimum, the following deliverables (or equivalent) are expected to be created by the ASI Vendor during the Benefits Eligibility Solution Project.

**Table 15. List of Implementation Deliverables from the ASI Vendor**

Task	#	Deliverable	Frequency
Task 1 – Manage the Project	BI-1	Project Kick-off Presentation	Once
	BI-2	Project Status Report	Recurring (weekly)
	BI-3	Project Orientation Training Materials	Once
	BI-4	Project Management Plan	Once for the initial release and updated for subsequent releases
	BI-5	Project Schedule	Initial releases, subsequent releases, and monthly updates
	BI-6	System DDI Plan	Once
	BI-7	Completed Phase and Project Close-Out Check-List	Once per release
Task 2 - Manage the Environments	BI-8	Technology Environments Specifications	Once for the initial release and updated for subsequent releases
Task 3 – Develop the Solution Design, Development & Customization Requirements	BI-9	Updated and Validated Business Process Analysis Document and Requirements Traceability Matrices	Once for the initial release and updated for subsequent releases
	BI-10	Functional and System Design Document	Once for the initial release and updated for subsequent releases
	BI-11	Data Integration and Interface Design Document	Once for the initial release and updated for subsequent releases
	BI-12	System Architecture	Initial and as needed
	BI-13	Security Plan	Initial, update as needed and at least annually
	BI-14	Technical Design Document	Once for the initial release and updated for subsequent releases

Task	#	Deliverable	Frequency
	BI-15	Fully Configured and Developed System	Once per release
Task 4 - Convert and Manage Data	BI-16	Data Conversion Plan	Once for the initial release and updated for subsequent releases
	BI-17	Validated Results of Data Conversion	Once per release
Task 5 – Test the System	BI-18	Testing Strategy	Once
	BI-19	Testing Plan	Once per release
	BI-20	Test Scenarios, Test Cases and Test Scripts	Once per release
	BI-21	Updated and Completed Detailed Functional and Technical Requirements Traceability Matrix	Once for the initial release and updated for subsequent releases
	BI-22	Testing Report	Once per release
Task 6 - Manage Organizational Change, Training and Knowledge Transfer	BI-23	Stakeholder Analysis Report	Once
	BI-24	Organizational Change Management and Stakeholder Communications Plan	Once for the initial release and updated for subsequent releases
	BI-25	Training and Knowledge Transfer Plan	Once for the initial release and updated for subsequent releases
	BI-26	Training Course Catalog	Once per release
	BI-27	Training Manuals, End-User Guides and Materials	Once per release
	BI-28	Documented Evidence of Successful End-User Learning	Once per release
Task 7 - Roll-out the System and Go-Live	BI-29	Roll Out Plan	Once per release
	BI-30	Documented Successful Completion of System Pilot	Once
	BI-31	Deployment Plan	Once
	BI-32	Formal System Acceptance	Once per release
Task 8 - Warranty the System	BI-33	Completion of all Warranty Activities Report	Once per release

### 3.3.3.3 Maintenance and Operations Approach

Following are a summary of the Tasks that the ASI Vendor will be contracted to perform during M&O. Although the expectation is that the IV&V Vendor will focus on the DDI projects, this background information is provided as IV&V services are also required to assess Tasks 1, 2 and 5 and are within the scope of this RFP. The other Tasks are listed here to provide the Vendor with an understanding of the full scope of the ASI Vendor’s contract.

#### **Task 1: Medicaid E&E Transition Planning**

The Medicaid E&E Solution M&O Transition Plan task includes all activities required to effectively and seamlessly migrate M&O activities of the Medicaid E&E Solution from the incumbent vendor to the ASI Vendor’s M&O team. This Task is expected to start approximately 6 months before the end of the incumbent vendor’s contract.

### **Task 2: Medicaid E&E Transition Services**

The ASI Vendor must execute the tasks and activities outlined in the Medicaid E&E Solution M&O Transition Plan – the activities required to seamlessly transition M&O services to the contracted ASI Vendor.

During the transition period, the ASI Vendor must track progress closely and accurately report progress to DHS. Prior to transitioning any Medicaid E&E Solution M&O activities, the ASI Vendor must demonstrate that it is able to assume the responsibility for that activity. A formal go / no-go decision will be made by DHS prior to transitioning the service.

### **Task 3: Provide M&O Services, Report Status and Assure Quality**

*Support of this Task is not within the scope of this IV&V RFP. It is included for consistency only.*

For the duration of the M&O period, the ASI Vendor will perform the M&O activities in accordance with the Service-Level Agreements (SLAs).

### **Task 4: Implement Enhancements and Changes**

*Support of this Task is not within the scope of this IV&V RFP. It is included for consistency only.*

During M&O, it is anticipated that minor functional changes, modifications and maintenance service requirements will be identified. The ASI Vendor will be responsible for executing on these requirements.

### **Task 5: Benefits Eligibility Solution M&O Migration**

The Benefits Eligibility Solution M&O Migration task includes all activities required to effectively migrate the management of the Benefits Eligibility Solution from DDI to ongoing M&O. This Task is expected to start 6 months prior to the start of M&O, in parallel with DDI activities. As M&O activities for the Medicaid E&E Solution will already be occurring, this Task is focused on training and staffing rather than process development.

### **Task 6: Turn-Over M&O Services**

*Support of this Task is not within the scope of this IV&V RFP. It is included for consistency only.*

Upon completion of the M&O period, or as decided by DHS, DHS may migrate the responsibilities for M&O services to in-house staff or to an alternate vendor. The ASI Vendor will provide the support required to smoothly transition responsibilities to the new party.

#### **3.3.3.4 Maintenance and Operations Deliverables**

At a minimum, the following deliverables (or equivalent) are expected to be created by the ASI Vendor during the M&O period. The IV&V Vendor is responsible for support of Tasks 1, 2 and 5 only – the plans and establishment of M&O.

**Table 16. List of Maintenance and Operations Deliverables from the ASI Vendor**

Task	#	Deliverable	Frequency
Task 1 – Medicaid E&E Transition Planning	BM-1	Medicaid E&E Solution M&O Transition Plan	Once
Task 2 – Medicaid E&E Transition Services	BM-2	Transition Status Report	Weekly during transition period
	BM-3	Medicaid E&E Solution Design Assessment	Once
	BM-4	Medicaid E&E M&O Plan	Once
	BM-5	Completed Medicaid E&E Readiness Checklist	Once
Task 3 – Provide M&O Services, Report Status and Assure Quality	BM-6	Monthly Status Report and Service Level Agreement Reporting	Monthly
Task 4 – Implement Enhancements and Changes	BM-7	BES Enhancement/Changes Requirements and Costs	Once per release
	BM-8	Completed BES Enhancement/Changes Release Check-List	Once per release
Task 5 – BES M&O Migration	BM-9	BES M&O Migration Plan	Once per BES release
	BM-10	Updated Operations Plan	Once per BES release
	BM-11	Completed BES Migration Checklist	Once per BES release
Task 6 – Turn-Over M&O Services	BM-12	M&O Turn-Over Plan	Updated as needed or requested by DHS
	BM-13	M&O Turn-Over Assessment Report	Monthly during turn-over activities

Further details on the implementation and M&O services/tasks are included in the Benefits Eligibility Solution and Enterprise Platform Services RFP. DHS anticipates other work products will be produced during the Engagement, however these will not be subject to the formal approval process. These deliverables are defined in the Benefits Eligibility Solution Engagement SOW.

### **3.4 Comprehensive Child Welfare Information System Engagement Overview**

As part of the DHS Enterprise Program, DHS is planning a project to implement a modern and CCWIS Solution, leveraging the DHS Enterprise Platform. Below are the anticipated business benefits, the high level scope and the anticipated approach and deliverables which provide a summary of the effort.

### 3.4.1 Project Objectives and Expected Outcomes/Benefits

DHS anticipates significant benefits to be achieved by implementing the CCWIS Solution. These include:

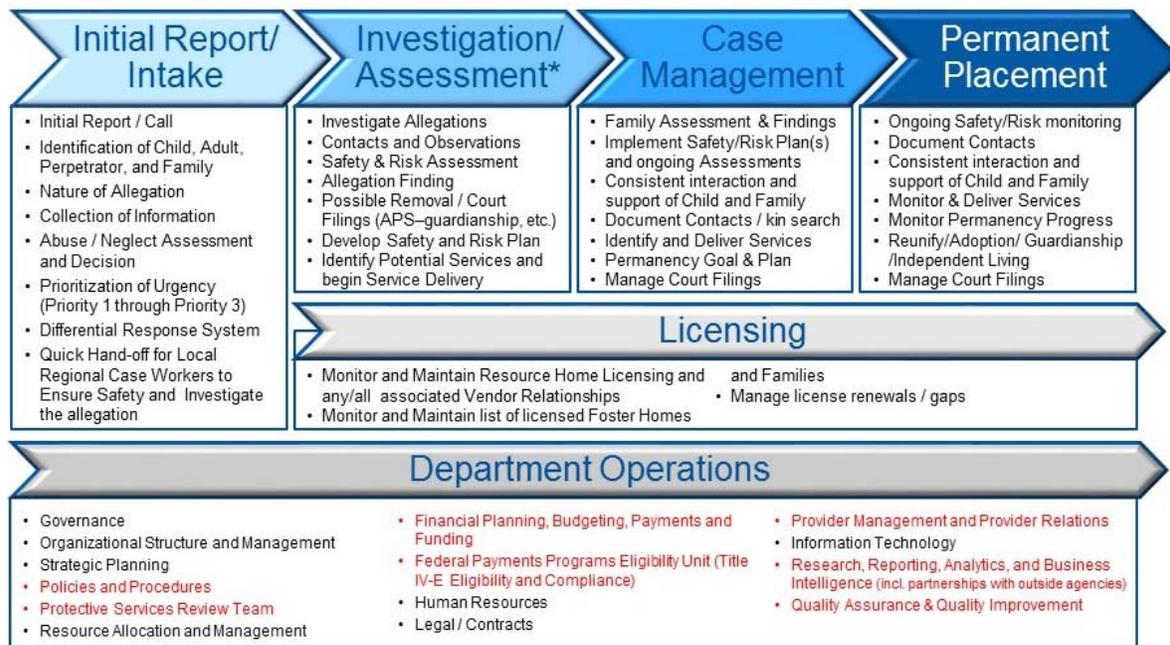
- **Reduce the Number of Children Initially Entering Foster Care** – Improve the use of Safety and Risk Assessment tools through the capability to provide access to appropriate information and tools that will consistently support policy and practice standards throughout the State and better matching of family’s needs to available services and realize a reduction in higher level of placements through more intensive home-based services and supports to maintain child in lower level placements (family placements).
- **Reduce the Number of Re-Entries to Foster Care within 12 Months of Reunification** – Improve child Safety, Permanency and Well-Being by reducing movement of children, increasing the number of qualified, licensed resource homes / caregivers (leveraging forecasting and tracking of special needs, trends, etc.), and improving matching of child and licensed resource homes / caregivers within the child’s community as much as possible, minimizing disruption from school movement and strengthening child’s ties to the community, school, friends, family, etc.
- **Improve Hotline/Intake Productivity** – By supporting a 24x7x365 real-time Hotline, the enhancement of emergency response for rapid dispatch of a CWS Assessment Worker or Crisis Response Team in case of high safety risks and emergencies, and workflow capabilities for case handoff and assignment from Intake to Assessment to Permanency, including the elimination of manual, paper-based handoffs.
- **Improve Assessment Worker Productivity in Conducting and Documenting Assessments** – SSD anticipates the new System will have a significant impact on the efficiency of the Assessment Workers, both for CWS and APS, by having one integrated solution with a simpler user interface and standardized safety and risk assessment tools for Intake and Assessment, leveraged and monitored throughout the life of the Case.
- **Improve Permanency Productivity** – Improving 360-degree view of the child and family, and the SSD's family engagement and model of practice through CCWIS case management capabilities that are family-centered, strength-based and outcome-based for both the child and family.
- **Improve Title IV-E Eligibility Determinations (both initial and redetermination)** – By providing consistent and accurate data management and reporting to maximize federal revenues, including identifying appropriate financial programs through which funds must pass (eligibility determinations and redeterminations) and supporting an internal and external audit trail of all cases sufficient to meet State and Federal requirements for reviews conducted under authority of Title IV-B, Title IV-E, and other relevant program areas.
- **Increase Compliance with Federal and State Guidelines** – Provide support for tracking and maintaining records (including State annual reports, Adoption and Foster Care Analysis and Reporting System (AFCARS), National Child Abuse and Neglect Data System (NCANDS), CFSR, National Youth in Transition Database (NYTD), IV-B Caseworker Visits, Social Services Block Grant (SSBG), Annual Progress and Services Report (APSR), etc.).
- **Increase System Flexibility, Agility, Scalability and Data Quality** – Provide one-time client data entry to ensure data integrity consistent with State and Federal requirements, allow access from any System module, and maintain accurate Client and accounting records by eliminating manual, paper processes and multiple systems (CPSS and SHAKA) and eliminating time spent on data corrections.

- **Improve Access and Sharing of Data** – There are significant benefits to sharing data among the different assistance programs. Improved look-up and query and search capabilities to access data from previous cases, external systems (e.g., Hawai'i Automated Welfare Information (HAWI) or future replacement system, State and National Sex Offender databases, Criminal Justice databases, etc.) to strengthen a 360-degree view of the child and family, and the SSD's family engagement and strength-based model of practice
- **Improve Employee Satisfaction and Retention** – Users are frustrated with the usability of the current systems — they are cumbersome and labor-intensive to use. SSD staff have expressed their desire to focus on providing services to their Clients rather than spending time entering data into the legacy system. The new System will provide a modern user interface and other technologies that will increase employee satisfaction.
- **Leverage DHS Enterprise Platform Investments** – The State and Federal governments have made significant investments in the DHS Enterprise Platform that will support DHS and SSD in achieving its envisioned requirements and outcomes for the replacement of legacy systems cost effectively, and will support the overall DHS vision for integrated program and services delivery.

### 3.4.2 CCWIS Project Scope

DHS will deploy the functionality needed to support the business functions for SSD (CWSB and APCSB), utilizing the shared common components and services already deployed on the DHS Enterprise Platform. The business functions provide services for a client through his/her entire relationship with DHS. Varying by Branch, this includes the Hotline / Intake processing of an allegation (e.g. abuse, neglect, and financial exploitation), an investigation and assessment of the allegation, case management and permanency planning, Title IV-E eligibility determinations, licensing of resources homes / families and supporting operations throughout the life of a case. A conceptualization of this is show in Figure 7.

Figure 7. SSD Key Business Functions



\*APCSB follows a similar model to CWS, but ends activities after Investigation/Assessment phase

The CCWIS Engagement is chartered to replace the Child Protective Services System (CPSS) and State of Hawaii Automated Keiki Assistance (SHAKA) system with one integrated application, the CCWIS Solution. The replacement Solution must additionally provide contemporary functionality and usability, and be built on modern system architectures. The legacy applications, CPSS and SHAKA, currently provide the end-user functionality to support SSD.

### 3.4.3 CCWIS Project Approach and Deliverables

The tasks requested of the CCWIS Vendor, and the associated deliverables, are summarized below. Note: The CCWIS regulation was published on June 2, 2016 and is effective August 1, 2016. The tasks listed here are based on current understanding of the CCWIS rules and are subject to change based upon the actual CCWIS RFP requirements, finalized contract and /or federal CCWIS guidance. The Vendor should propose a strategy to include a plan and a task list that are easily adjustable in order to accommodate additional processes and guidance the ACF will issue relating to how the systems are evaluated as well as IV&V requirements.

#### 3.4.3.1 Implementation Approach

##### Task 1: Manage the Project

As mentioned previously, DHS has established a PMO to coordinate the projects building on the DHS Enterprise Platform. The PMO allows flexibility within each project to ensure individualized successes, but maintains a core set of standards; the CCWIS Vendor’s project management methodology, artifacts and tools must conform to these.

During Project Initiation activities, the CCWIS Vendor's Project Manager / Project Management Team will develop a PMP and associated tools and artifacts that will establish how the CCWIS Project will be managed. DHS' Project Manager and Project team will be involved during the development of these deliverables to ensure they are built to meet the needs of DHS and are aligned to project success, and must be approved by the DHS Project team.

The proposed project management methodology must comply with the PMI standards or equivalent, and this must be used throughout the contract period. The deliverables, which make up the PMP, as well as the associated tools and artifacts, must comply with at least the following PMBOK knowledge areas (or the equivalent):

- Project Integration Management
- Project Scope Management
- Project Time Management
- Project Cost Management
- Project Quality Management
- Project Human Resource Management
- Project Communications Management
- Project Risk Management
- Project Procurement Management
- Stakeholder Management

DHS sees quality as critical to the success of the CCWIS Project and expects that the CCWIS Vendor will provide a focus on quality throughout the project. DHS will review all deliverables and expects the awarded IV&V Vendor to help ensure the CCWIS Vendor focuses on quality processes and deliverables throughout the Project.

Throughout the project, the CCWIS Vendor must execute the processes outlined in the PMP.

### **Task 2: Manage the Environments**

The CCWIS Vendor will not provision the production environments. The CCWIS Vendor will provide specifications for the environments that will be validated by DHS (including the required components of the DHS Enterprise Platform) and they will be performed by the ESI.

If there are any additional COTS software that are included as part of the CCWIS Vendor's proposal that are not shared, the CCWIS Vendor will be required to provision and provide support for the software in the environments.

Currently, environments have been implemented in support of the Medicaid E&E Solution to which the ESI will add to rather than build new environments. These environments include:

- Development
- Testing
- Pre-Production / User Acceptance Testing (UAT)
- Production
- Disaster Recovery
- Training

The expectation is that the CCWIS Vendor will build and test the CCWIS Solution, and only promote its Solution to the Pre-Production environment after completing testing. Once promoted to the Pre-Production environment, the functionality currently in production will be regression tested and UAT will be performed on the CCWIS Vendor's code.

### **Task 3: Develop the Solution Design, Development & Customization Requirements**

DHS is not prescribing a specific methodology (e.g. Waterfall, Agile) to managing the CCWIS Project so the CCWIS Vendor can propose a methodology which best matches the project's needs. However, DHS does not envision a pure waterfall methodology (with one phase and a big bang go-live) and does envision adopting certain best practices such as:

- a. Breaking the project into smaller releases
- b. Not waiting until development is complete before testing – DHS anticipates testing completed functionality while developing other functionality
- c. Leveraging automated testing tools to support regression testing and help ensure functionality built/tested early on does not break with latter releases
- d. Including user validation/usability testing as an integral part of the development methodology and iterate on the user interface design
- e. Co-locating DHS functional staff for the duration of the project to resolve ambiguous items real-time, usability, policy decisions/changes and ongoing testing
- f. Continually/frequently consolidating code to support ongoing testing
- g. Leveraging application life-cycle management tool

### **Task 4: Convert and Manage Data**

The CCWIS Vendor is expected to provide an approach to converting data and migrating all associated documents/images from the legacy systems to the DHS Enterprise Platform and provide any tools required to minimize manual effort.

### **Task 5: Test the System**

With multiple Application DDI Vendors working on the DHS Enterprise Platform, multiple Application DDI Vendors will also perform testing. DHS expects the CCWIS Vendor to perform all testing through UAT (e.g. unit, link/string and integration testing). The CCWIS Vendor will also be responsible for leading the effort, documenting the test scripts, recording the results, re-running test scripts that fail and logging and fixing all defects identified. These will be performed in the Development and Testing environments.

DHS expects the CCWIS Vendor to promote changes to the Pre-Production environment only after completing its testing phase. Once promoted to the Pre-Production environment, the functionality currently in production will go through regression testing and performance testing, and UAT will be performed on the new changes. The ESI will coordinate all testing on the pre-production environment. Once the CCWIS Vendor has passed integration testing and is confident the changes are "production ready," it will provide the test scripts, automated regression test scripts and any other related documentation to the ESI. The ESI will coordinate UAT testing and regression testing, and execute performance testing.

### **Task 6: Manage Organizational Change, Training and Knowledge Transfer**

The CCWIS Vendor will lead and work collaboratively with DHS staff to build out the resources to prepare the organization for the CCWIS Solution. DHS has established baseline guiding principles for this effort, including:

- Use a task-based training approach founded on a thorough user-centered task analysis
- Use a variety of integrated training methods to address diverse learning styles and provide experiential, performance-based training
- Integrate training methods and strategies throughout the project life cycle, to include pre-training support, classroom training, and post-training support
- The primary medium for Solution training must be hands-on interaction with a working version of the CCWIS Solution
- Just-in-Time Approach to training — All field office users will receive hands on training on the Solution immediately prior to the Solution being implemented
- Training must be designed in a way that conveys the value and benefits of the CCWIS Solution, alignment to the user's model of practice, and its integration into their day-to-day work
- All trainees must demonstrate the capability to use the CCWIS Solution effectively at the completion of the training to perform his/her responsibilities
- User friendly training materials must be provided to trainees that can be referenced at a later date without additional context required
- A methodical approach to planning training activities is required. A detailed Training Plan must be developed.

The CCWIS Vendor will develop training materials in appropriate formats based on the needs of the different audiences. The materials are expected to leverage digital or multi-media to the largest extent possible. A combination of training techniques is expected to be employed, including:

- Individual one-on-one training sessions
- System Demonstrations
- Instructor-Led Classroom Teaching
- Instructor-Led Virtual Training
- Computer and Web-based training
- On-the-Job Training
- User Guides

Although the CCWIS Vendor will be providing M&O support after the Solution is live, DHS expects some of its staff (e.g. super users, support staff, trainers) to receive training / knowledge transfer above and beyond the end-user trainings.

Technical training and knowledge transfer for technical staff is expected to commence as soon as possible in the project schedule, with ongoing, advanced and refresher training throughout the contract period.

### **Task 7: Roll-out the System and Go-Live**

DHS wants to split the CCWIS Project into multiple smaller releases to decrease the project risk and realize some of the benefits earlier, though also recognizes this could result in additional work being performed. The CCWIS Vendor will recommend a release strategy, which will be approved by DHS. Options include:

- Build and Release by functionality (e.g., build and release the Intake and Investigation followed by Case Management and backend functions)
- Build and Release foundational functionality (e.g. release functionality required to migrate onto the new Solution followed by requirements which enhance the capabilities)
- Hybrid

DHS expects the CCWIS Solution to be rolled-out to end users gradually and avoid a “big-bang” roll-out if possible.

### **Task 8: Federal Review**

The CCWIS Vendor is expected to support DHS in the completion of the State CCWIS Review Instrument. The CCWIS Vendor must work with DHS to structure and maintain the Self-Assessment throughout the development process to ensure there is on-going assessment of compliance with CCWIS requirements as functionality is deployed.

### **Task 9: Warranty the System**

DHS expects functionality to be warrantied for 1 year after the DDI effort is completed and signed off by the DHS. The management and release of the warranty fixes can be integrated with other M&O activities, however from a financial perspective all costs associated with fixing the defects will be covered by the DDI portion of the budget. Effort spent on warranty fixes should not be counted as maintenance and operations.

### **Task 10: Image and Index Paper Documents (DHS Optional)**

DHS may require the CCWIS Vendor to scan and index all active case documents that are currently stored as paper documents and load them into the CCWIS Solution.

### ***3.4.3.2 Implementation Deliverables***

The CCWIS Project scope includes the entire implementation from initiating the project through successful hand-off to M&O a predetermined amount of time after the CCWIS Solution is fully deployed. DHS expects the CCWIS Vendor to produce deliverables throughout the project to show continued success by the CCWIS Vendor. Based on the nature of the deliverable, these deliverables are categorized as:

- Recurring deliverables (produced on a recurring basis throughout the project)
- Once for the entire project
- Once for the initial release and updated for subsequent releases
- Separate deliverables produced for each release

At a minimum, the following deliverables (or equivalent) are expected to be created by the CCWIS Vendor during the CCWIS Project.

**Table 17. List of Implementation Deliverables from the CCWIS Vendor**

Task	#	Deliverable	Frequency
Task 1 – Manage the Project	SI-1	Project Kick-off Presentation	Once
	SI-2	Project Status Report	Recurring (weekly)
	SI-3	Project Orientation Training Materials	Once
	SI-4	Project Management Plan	Once for the initial release and updated for subsequent releases
	SI-5	Project Schedule	Once for the initial release and updated for subsequent releases
	SI-6	System DDI Plan	Once
	SI-7	Completed Phase and Project Close-Out Check-List	Once per release
Task 2 - Manage the Environments	SI-8	Technology Environments Specifications	Once for the initial release and updated for subsequent releases
Task 3 – Develop the Solution Design, Development & Customization Requirements	SI-9	Updated and Validated Business Process Analysis Document and Requirements Traceability Matrices	Once for the initial release and updated for subsequent releases
	SI-10	Functional and System Design Document	Once for the initial release and updated for subsequent releases
	SI-11	Data Integration and Interface Design Document	Once for the initial release and updated for subsequent releases
	SI-12	System Architecture	Once
	SI-13	Security Plan	Once
	SI-14	Technical Design Document	Once for the initial release and updated for subsequent releases
	SI-15	Fully Configured and Developed System	Once per release
Task 4 - Convert and Manage Data	SI-16	Data Conversion Plan	Once for the initial release and updated for subsequent releases
	SI-17	Validated Results of Data Conversion Testing	Once per release
Task 5 – Test the System	SI-18	Testing Strategy	Once
	SI-19	Testing Plan	Once per release
	SI-20	Test Scenarios, Test Cases and Test Scripts	Once per release
	SI-21	Updated and Completed Detailed Functional and Technical Requirements Traceability Matrix	Once for the initial release and updated for subsequent releases
	SI-22	Testing Report	Once per release
	SI-23	Stakeholder Analysis Report	Once

Task	#	Deliverable	Frequency
Task 6 - Manage Organizational Change, Training and Knowledge Transfer	SI-24	Organizational Change Management and Stakeholder Communications Plan	Once for the initial release and updated for subsequent releases
	SI-25	Training and Knowledge Transfer Plan	Once for the initial release and updated for subsequent releases
	SI-26	Training Course Catalog	Once per release
	SI-27	Training Manuals, End-User Guides and Materials	Once per release
	SI-28	Documented Evidence of Successful End-User Learning	Once per release
Task 7 - Roll-out the System and Go-Live	SI-29	Roll Out Plan	Once per release
	SI-30	Documented Successful Completion of System Pilot	Once
	SI-31	Deployment Plan	Once
	SI-32	Formal System Acceptance	Once per release
Task 8 – Federal Review	SI-33	CCWIS Review Instrument	Once
Task 9 - Warranty the System	SI-34	Completion of all Warranty Activities Report	Once per release
Task 10 – Image and Index Paper Documents (DHS Optional)	SI-35	Document Imaging Plan (DHS Optional)	Once
	SI-36	Completion of Document Imaging (DHS Optional)	Once

### **3.4.3.3 Maintenance and Operations Approach**

Following are a summary of the Tasks the CCWIS Vendor will be contracted to perform. Although the expectation is that the IV&V Vendor will focus on the DDI projects, this background information is provided as IV&V services are also required to assess Task 1 and is within the scope of this RFP. The other Tasks are listed here to provide the Vendor with an understanding of the full scope of the CCWIS Vendor’s contract.

#### **Task 1: CCWIS M&O Migration**

The CCWIS M&O Migration task includes all activities required to effectively migrate the management of the Solution from DDI to ongoing M&O. This Task is expected to start 6 months prior to the start of M&O, in parallel with DDI activities and is focused on training, staffing and developing operational processes.

#### **Task 2: Provide M&O Services, Report Status and Assure Quality**

*Support of this Task is not within the scope of this IV&V RFP. It is included for consistency only.*

For the duration of the M&O period, the CCWIS Vendor will perform the M&O activities in accordance with the SLAs.

**Task 3: Implement Enhancements and Changes**

*Support of this Task is not within the scope of this IV&V RFP. It is included for consistency only.*

During M&O, it is anticipated that minor functional changes, modifications and maintenance service requirements will be identified. The CCWIS Vendor will be responsible for executing on these requirements.

**Task 4: Turn-Over M&O Services**

*Support of this Task is not within the scope of this IV&V RFP. It is included for consistency only.*

Upon completion of the M&O period, or as decided by DHS, DHS may migrate the responsibilities for M&O services to in-house staff or to an alternate vendor. The CCWIS Vendor will provide the support required to smoothly transition responsibilities to the new party.

**3.4.3.4 Maintenance and Operations Deliverables**

At a minimum, the following deliverables (or equivalent) are expected to be created by the CCWIS Vendor during the M&O period. The IV&V Vendor is responsible for support of Task 1 – CCWIS M&O Migration.

**Table 18. List of Maintenance and Operations Deliverables from the CCWIS Vendor**

Task	#	Deliverable	Frequency
Task 1 – CCWIS M&O Migration	SM-1	CCWIS M&O Migration Plan	Once per release
	SM-2	CCWIS M&O Plan	Once per release
	SM-3	Completed CCWIS Migration Checklist	Once per release
Task 2 – Provide M&O Services, Report Status and Assure Quality	SM-4	Monthly Status Report and Service Level Agreement Reporting	Monthly
Task 3 – Implement Enhancements and Changes	SM-5	CCWIS Enhancement/Changes Requirements and Costs	Once per release
	SM-6	Completed CCWIS Enhancement/Changes Release Check-List	Once per release
Task 4 – Turn-Over M&O Services	SM-7	M&O Turn-Over Plan	Updated as needed or requested by DHS
	SM-8	M&O Turn-Over Assessment Report	Monthly during turn-over activities

## 4.0 IV&V Engagement

Through this procurement, DHS is acquiring the services of an IV&V Vendor to perform objective assessments of the design, development/configuration and implementation of DHS' Systems Modernization Projects. DHS understands the importance of an independent third party which can provide insight to project and system risks and issues, as well as support in the identification of mitigation strategies to lessen or remove the impact of the identified risks / issues. In addition, DHS values the IV&V effort as a mechanism to report project progress to its Federal funding partners.

The requested IV&V services must be understood by all stakeholders to be inextricably tied to the DDI efforts described in Sections 3.3 and 3.4, and will be primarily driven by the scope, schedule and resources of these efforts. All stakeholders must agree to work within the constraints and changes to that effort, and will adapt as needed to that portion of the overall project.

### 4.1 Scope Overview

DHS, as part of the DHS Enterprise Program, is in the process of contracting with vendors to provide the following services:

- M&O of the DHS Enterprise Platform
- DDI of the BES Solution and ongoing M&O services for the current Medicaid E&E Solution and BES Solution (after it goes live)
- DDI of the CCWIS Solution and ongoing M&O services (after it goes live)

Given these initiatives, DHS has identified three (3) high risk areas where IV&V services are required:

- Transition of M&O from DHS' incumbent vendor to the ESI Vendor and ASI Vendor (Note: This is an optional service, however Vendors must include cost detail for which DHS may choose to include in the Contract)
- BES DDI project
- CCWIS DDI project

While the Vendor is not responsible for oversight of the DHS Enterprise Platform or other Program projects, the Vendor must have an understanding of and must monitor and evaluate the impacts of the DHS Enterprise Platform and any other coordinating projects as they pertain to the scope of this RFP.

The IV&V Vendor, working within, but independent of, the DHS Enterprise Program, will be responsible for:

- Evaluating efforts performed by the projects (processes, methods, activities) for consistency with Federal requirements and industry best practices and standards
- Reviewing or validating the work effort performed and deliverables produced by the Application DDI Vendors as well as that of DHS to ensure alignment with project requirements
- Anticipating project risks, monitoring project issues and risks, and recommending potential risk mitigation strategies and issue resolutions throughout the project's life cycle

- Developing and providing independent project oversight reports to DHS, the Application DDI Vendors, State of Hawaii Office of Enterprise Technology Services (ETS) and DHS' Federal partners

## 4.2 IV&V Objectives and Goals

DHS understands the benefits of IV&V and has defined the following objectives and goals for the IV&V effort:

- Implement IV&V for the Benefits Eligibility Solution Project and the CCWIS Project within a coordinated IV&V approach established to assure the DHS Enterprise Program objectives are achieved and standards are followed.
- Provide independent, objective guidance and expertise to identify risks and issues, and provide recommended mitigation strategies for implementation risks.
- Benefit from lessons learned from other implementation and redesign experiences to limit re-work and reduce subsequent costs of re-work.

## 4.3 Integrated Timeline/Schedule

DHS anticipates the Benefits Eligibility Solution Project to be approximately 2 ½ years and the CCWIS Project to be approximately 3 ½ years. Table 19 outlines the estimated dates of the Projects.

**Table 19. Proposed Integrated Projects Schedule**

Task Name	Start Date	End Date	Duration (Calendar Days)
<b>Benefits Eligibility Solution Project*</b>	<b>2/1/2017</b>	<b>7/19/2019</b>	<b>898</b>
Initiation and Planning	2/1/2017	3/6/2017	33
Requirements	3/7/2017	6/5/2017	90
System Design	6/6/2017	9/5/2017	91
System Development	9/6/2017	2/7/2018	154
Testing	2/8/2018	7/9/2018	151
Federal Review	7/10/2018	8/21/2018	42
Statewide Rollout (including Pilot)	8/22/2018	1/21/2019	152
Legacy System Retirement	1/22/2019	7/19/2019	178
<b>Benefits Eligibility Solution M&amp;O</b>	<b>2/1/2017</b>	<b>12/31/2020</b>	<b>1,429</b>
Medicaid E&E Solution Transition	2/1/2017	7/31/2017	180
Provide Medicaid E&E Support	8/1/2017	12/31/2019	882
Benefits Eligibility Solution Support Planning	5/21/2018	8/22/2018	93
Provide Benefits Eligibility Solution Support	7/24/2018	12/31/2020	891
<b>CCWIS Project**</b>	<b>5/7/2017</b>	<b>11/1/2020</b>	<b>1,274</b>
Initiation and Planning	5/7/2017	5/28/2017	21

Task Name	Start Date	End Date	Duration (Calendar Days)
Detailed Design	5/29/2017	11/26/2017	181
<b>Release 1</b>	<b>11/27/2017</b>	<b>7/28/2019</b>	<b>608</b>
System Development	11/27/2017	4/29/2018	153
Testing	11/27/2017	8/5/2018	251
System Deployment	5/7/2018	7/28/2019	447
<b>Release 2</b>	<b>6/25/2018</b>	<b>10/6/2019</b>	<b>468</b>
System Development	6/25/2018	12/17/2018	175
Testing	11/6/2018	8/12/2019	279
System Deployment	12/18/2018	10/6/2019	292
<b>Release 3</b>	<b>7/2/2019</b>	<b>10/11/2020</b>	<b>467</b>
System Development	7/14/2019	12/14/2019	153
Testing	11/3/2019	4/11/2020	160
System Deployment	1/12/2020	10/11/2020	273
<b>Project Closure and Lessons Learned</b>	<b>10/12/2020</b>	<b>11/1/2020</b>	<b>20</b>
<b>CCWIS M&amp;O</b>	<b>4/2/2019</b>	<b>4/3/2023</b>	<b>1,462</b>

\* The dates provided in this table are estimates only. The ASI Vendor is expected to recommend a release schedule to be pre-approved by the DHS.

\*\* DHS anticipates the CCWIS Project to be performed in three (3) separate releases. This will likely be modified based on CCWIS Vendors proposed schedule and release strategy.

The starting date for the IV&V Engagement assumes that the first Application DDI Vendor (ASI Vendor) has been awarded the contract in a time frame that allows the Benefits Eligibility Solution Project to start as planned. Dates will be adjusted if the initial Benefits Eligibility Solution Project start date is delayed.

DHS is expecting the Application DDI Vendors to recommend a release schedule that will take into consideration the complexity of the system involving multiple benefits programs; integration with multiple software systems; usage of legacy mainframe software and ADABAS hierarchical database. DHS also expects the Application DDI Vendors to provide a roll-out plan that will include a pilot pursuant to 7 CFR 277.18. Dates will be adjusted based on the Application DDI Vendor's proposal and final contract.

## 4.4 Engagement Approach

### 4.4.1 Deliverables Approach

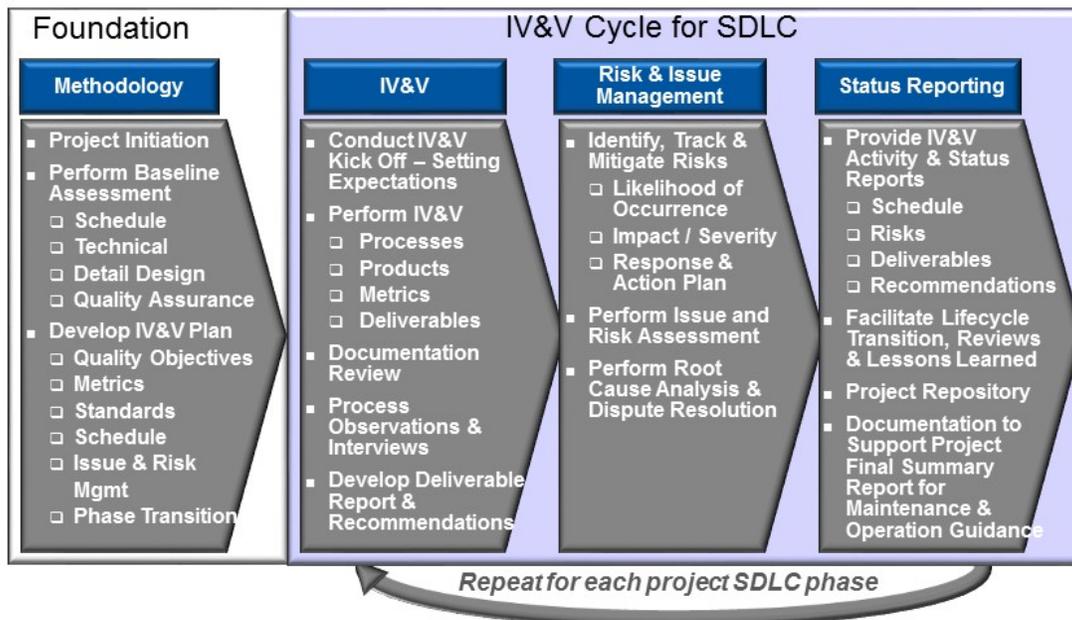
IV&V services will use a deliverables-based approach to determining progress and completion. The IV&V Vendor must provide, at minimum, the services and corresponding deliverables listed in Table 24 (see Section 4.6.1). Deliverables include project management and administrative responsibilities required for successful delivery of IV&V services.

All deliverable formats, outlines and templates must be approved by DHS prior to commencing work on each. Each deliverable must be formally accepted by DHS and project leadership prior to invoicing for that deliverable.

#### 4.4.2 IV&V Strategy

DHS envisions the IV&V method will employ an iterative approach throughout the Software Development Life Cycle (SDLC) to determine whether the plans, methods and products delivered fulfill the requirements placed on them by previous iterations / phases / steps and are internally complete, consistent, and sufficiently correct to adequately support the next iteration / phase / step. The IV&V approach will be conducted in partnership with DHS and the Application DDI Vendors. An example of the strategy is provided in Figure 8.

Figure 8. Iterative IV&V Strategy Example



The foundational phase establishes a performance baseline by conducting an initial IV&V assessment. This provides DHS with actionable feedback and helps the IV&V Vendor quickly assess the current health of the Project to identify strengths and opportunities for improvement. This phase also includes development of a project IV&V Plan which defines the approach the Vendor will leverage across Project IV&V activities to ensure the desired level of quality.

The cyclical phase contains several interconnected activities – periodic IV&V assessments, deliverable reviews, ongoing risk and issue management, and status reporting.

- As the project progresses through the lifecycle, the domains covered by the periodic IV&V assessments will change. While some domains in the IV&V assessments remain constant such as governance and communications, others will change based upon where the project is in the project lifecycle such as test planning. As much as possible, these assessments are aligned to stage gates to support Go/No Go decisions. Due to the duration of some phases, assessments may also be conducted in between stage gates.
- Deliverable reviews provide independent, detailed evaluations of project deliverables with a recommendation to DHS on whether to accept or reject the deliverable.

- Ongoing risk and issue management provides an early warning system to DHS of potential issues or risks not yet identified or recommendations on changes to the likelihood of occurrence or impact of existing issues or risks. These timely recommendations ensure the appropriate level of visibility for high priority items between the periodic IV&V assessments and deliverable reviews.
- Status reporting provides a snapshot of the IV&V effort and any areas of concern.

This approach provides a balance of near-real time feedback on the project health and detailed assessments based on past project performance in order to reduce risk and support the achievement of the project's objectives.

#### **4.4.3 Compliance with Federal Requirements**

The IV&V Vendor must have a strong understanding of DHS' Federal partners' (CMS, FNS, and ACF) expectations and ensure Deliverable Expectations Documents (DEDs) and deliverables align with those expectations. DHS expects the IV&V Vendor to incorporate Federal requirements, as they relate to both the DDI projects and the IV&V effort, in its framework for oversight activities and deliverable reviews. The selected IV&V Vendor will also be expected to support DHS in providing appropriate documentation and addressing any concerns by its Federal partners, in collaboration with DHS. The minimum set of deliverables and work products applicable for all three (3) of DHS' Federal partners (CMS, FNS, and ACF) is outlined in Table 20.

The Benefits Eligibility Solution Project involves a number of specific federally mandated processes and deliverables for which the IV&V Vendor is expected to be well-versed and knowledgeable of these requirements. Table 21 provides a summary of the BES Project deliverables and work products that may require FNS' involvement.

**Table 20. Projects' Deliverables and Work Products for Federal Partners**

Document	Description	Federal Review	Federal Requirement/ Approval	In-Scope for IV&V Services
RFP for Contractor Support	Request for Proposal for DDI, M&O, etc. must be approved by all Federal partners (CMS, FNS, ACF) prior to release to the vendor community.		X	
Base Contract for Contractor Support	Base contracts for contractor support (e.g., DDI, M&O) must be approved by all Federal partners (CMS, FNS, ACF) prior to formal agreement by DHS.		X	
Contract Amendments	Contract amendments that do not cumulatively exceed 20% of the base contract cost do not require Federal partners' prior approval as long as the contract was competitively procured (Federal partners' may make exceptions to this requirement on a case-by-case basis). Copies of contract amendments, regardless of cost, must be sent to Federal partners for the record.	X		
Project Status Reports	Federal partners may require DHS to provide contractor and Project status reports for informational purposes throughout the Projects.	X		X
	□			

**Table 21. BES Project Deliverables and Work Products for FNS**

Document	Description	FNS Review	FNS Requirement/ Approval	In-Scope for IV&V Services
FNS On-Site Monitoring	FNS reserves the right to conduct on-site monitoring in the form of project status visits, local and/or state agency reviews, participating in acceptance testing, and in user training.	X		X
Test Plan	A complete Test Plan must be provided to FNS prior to the start of the testing phase. At a minimum, the Test Plan should address the following: <ul style="list-style-type: none"> <li>■ Types of testing to be performed must include, but are not limited to:</li> </ul>	X		X

Document	Description	FNS Review	FNS Requirement/ Approval	In-Scope for IV&V Services
	<ul style="list-style-type: none"> <li><input type="checkbox"/> Unit Testing</li> <li><input type="checkbox"/> Integration Testing</li> <li><input type="checkbox"/> Performance Testing</li> <li><input type="checkbox"/> End-to-End Testing</li> <li><input type="checkbox"/> User Acceptance Testing</li> <li><input type="checkbox"/> Regression Testing</li> <li>■ Testing Resources: <ul style="list-style-type: none"> <li><input type="checkbox"/> Specifies the number and skill sets of the staff involved in the test team from Program/Business staff, Development/Integrator staff, and IV&amp;V staff.</li> <li><input type="checkbox"/> Itemizes the testing tools (software), equipment, workstations, and testing facilities that will be utilized by the test team</li> </ul> </li> <li>■ Roles and Responsibilities (the what, who, and how) for: <ul style="list-style-type: none"> <li><input type="checkbox"/> Testing management and oversight</li> <li><input type="checkbox"/> Testing environment(s)</li> <li><input type="checkbox"/> Test case development – selection of scenarios to test and scripting of scenarios</li> <li><input type="checkbox"/> Testing documentation</li> <li><input type="checkbox"/> Issue/defect tracking prioritization – identify the defect levels (severe, priority, medium, minor)</li> <li><input type="checkbox"/> Defect resolution process</li> </ul> </li> <li>■ Testing methodologies: <ul style="list-style-type: none"> <li><input type="checkbox"/> Functional Requirements Testing</li> <li><input type="checkbox"/> Error Condition Handling and Destructive Testing</li> <li><input type="checkbox"/> Security Testing</li> <li><input type="checkbox"/> Recovery Testing</li> <li><input type="checkbox"/> Controls Testing</li> <li><input type="checkbox"/> Stress and Throughput Performance Testing</li> <li><input type="checkbox"/> Data Conversion Testing</li> </ul> </li> </ul>			

Document	Description	FNS Review	FNS Requirement/ Approval	In-Scope for IV&V Services
	<ul style="list-style-type: none"> <li><input type="checkbox"/> Regression Testing</li> <li><input type="checkbox"/> Acceptance Testing</li> <li>■ Test database generation – creation of a database generated in the test environment to mirror/duplicate as closely as possible the database to be used in the production environment.</li> <li>■ Test schedule – the following milestones, at a minimum, should be scheduled: <ul style="list-style-type: none"> <li><input type="checkbox"/> Pre-testing validation of functional requirements</li> <li><input type="checkbox"/> Accepting System for UAT</li> <li><input type="checkbox"/> Training on System and on test procedures</li> <li><input type="checkbox"/> UAT</li> <li><input type="checkbox"/> UAT evaluation/results (FNS approval required)</li> <li><input type="checkbox"/> System acceptance for pilot implementation and testing</li> <li><input type="checkbox"/> Pilot</li> <li><input type="checkbox"/> Pilot evaluation/results (FNS approval required)</li> <li><input type="checkbox"/> System acceptance for implementation and Statewide rollout</li> <li><input type="checkbox"/> Statewide rollout</li> <li><input type="checkbox"/> Warranty period</li> </ul> </li> <li>■ Go/No-go decision criteria – criteria should be specific and measurable and include specific test results that will need to be met before DHS exits the testing phase. Identify staff responsible for verifying the criteria have been met and DHS’ go/no-go decisions.</li> <li>■ Risk Management – identify and assess risks and the approach to managing the risks</li> <li>■ Contingency plans – identifies alternative strategies that may be used if specific risk events occur, such as a failure of test results to support a decision to proceed to the next phase of the project. Examples would include delaying or revising staffing plans; rescheduling training; adjusting pilot plans; and/or extending, rescheduling or redeploying testing resources such as space, contractor and DHS</li> </ul>			

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Document	Description	FNS Review	FNS Requirement/ Approval	In-Scope for IV&V Services
	staff, servers and other equipment. The plan should also address who has the authority to activate contingency procedures, how these decisions will be made and demonstrate that DHS is prepared to adjust and “fall back” to a sustainable position to continue testing when necessary.			
UAT Results	Documentation of the results of UAT must be submitted to FNS for approval before DHS can advance from UAT to pilot, as well as to continue to receive federal funding.		X	X
System Functional Requirements Review	FNS may elect to conduct a System Functional Requirements Review before and/or during the initial pilot training – before the deployment of software. Note: FNS may conduct this review either onsite or by reviewing UAT and/or Pilot Evaluation documentation provided by DHS.	X		X
SNAP System Integrity Review Tool	A mandatory review tool to determine proper functionality of the System design as a condition of continued FNS funding.	X	X	X
Pilot Test Results	Documentation of the pilot test results must be submitted to FNS for approval before the System can be implemented more broadly and to continue to receive federal funding.		X	X
Go / No-go Decision Document	At a minimum, the Decision Document must include: <ul style="list-style-type: none"> <li>■ Transmittal Letter</li> <li>■ Testing Goals Achieved</li> <li>■ System Defect Log</li> <li>■ Training Readiness</li> <li>■ Site Readiness</li> <li>■ Current Program Performance</li> <li>■ Data Conversion</li> <li>■ Resources</li> <li>■ Stakeholder Buy-in and Preparedness</li> <li>■ Contingency Plan</li> </ul>	X	X	X

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 Systems Modernization Independent Verification and Validation RFP  
 RFP #: DHS-RFP-17-01

Document	Description	FNS Review	FNS Requirement/ Approval	In-Scope for IV&V Services
	<ul style="list-style-type: none"> <li>■ Escalation Plan</li> <li>■ Communication Plan</li> <li>■ Results of System Performance and Capacity Testing</li> <li>■ System Integrity Review Tool</li> </ul>			
Post Implementation Review	FNS may conduct a post implementation review of the System once it is fully operational statewide (approximately 6 months after System deployment statewide and the initial user learning curve). FNS may conduct an onsite post-implementation review to ensure DHS accomplished the goals stated in its APD. This review encompasses the program, technical, security, and financial aspects of the system.	X		X

**Table 22. CCWIS Project Deliverables and Work Products**

Document	Description	ACF Review	ACF Requirement/	In-Scope for IV&V Services
			Approval	
ACF On-Site Monitoring	ACF reserves the right to conduct on-site monitoring in the form of project status visits and local and/or state agency reviews	X		X
CCWIS Data Quality Plan	DHS must develop, implement, and maintain a CCWIS data quality plan that aligns to ACF requirements. The CCWIS Data Quality Plan must describe the comprehensive strategy to promote data quality and report the status of compliance.		X	X
Post Implementation Review	ACF will conduct a post implementation review of the System once it is fully operational Statewide. ACF will review and assess the System to determine that it meets the requirements imposed in related law and regulations, and meets the goals and objectives of the approved APD. In preparation for the review, DHS must provide historical and descriptive information; high level organizational, operational and technical information; specific system documentation; and lessons learned that may be of value to other agencies.		X	X

## 4.5 IV&V Vendor and DHS Staffing

DHS understands that staffing of this Engagement will be critical to its success, and DHS will closely evaluate Proposals for the appropriate consideration and structure of the proposed staffing model including the identified Key Personnel. DHS will also closely evaluate both what the Vendor will bring to the Engagement, as well as what the Vendor expects of DHS.

### 4.5.1 Key Personnel and Staffing Changes

The term “Key Personnel,” for purposes of this procurement, means IV&V Vendor staff deemed as being both instrumental and essential to the IV&V Vendor’s satisfactory performance of all requirements contained in this RFP. Vendor Key Personnel must be the primary team that provides the IV&V services.

The Vendor must include names and resumes for proposed Key Personnel as part of its Proposal, using Response Template T-5 Staff Experience, to clearly demonstrate the proposed Key Personnel’s ability to perform the role as described. The Vendor must ensure Key Personnel have, and maintain, relevant current license(s) and/or certification(s). The Vendor can provide alternative solutions though any changes must be approved by DHS. Changes to the proposed positions and responsibilities will only be allowed with prior written permission from DHS. If the Vendor believes that an alternative organizational design could improve service levels or decrease costs, a discussion of these options and their benefits should be included in the Response Templates for this RFP.

The Vendor shall seek and receive DHS approval before hiring or replacing any Key Personnel. The Vendor shall remove and replace Key Personnel, if requested by DHS, within two (2) weeks of the request for removal.

The Vendor must provide DHS with written notification of anticipated vacancies of Key Personnel within two (2) business days of receiving the individual’s resignation notice, the Vendor’s notice to terminate an individual, or the position otherwise becoming vacant. Replacements for Key Personnel shall have qualifications that meet or exceed those specified in this section and will be subject to approval by DHS. The Vendor shall provide DHS with status update reports every week on the progress of the replacement candidate recruiting process until a qualified candidate is hired. The Vendor shall have in place a qualified replacement within sixty (60) days of the last day of employment of the departing Key Personnel. During the recruitment and training period, the Vendor shall provide an interim replacement for all Key Personnel, subject to approval by DHS.

### 4.5.2 State of Hawaii Project Roles and Responsibilities

The DHS Program Director will work directly with the IV&V Vendor’s Project Manager to lead the IV&V effort. Through this individual, and through assistance by the respective DHS Project Managers, DHS will coordinate overall project management responsibilities including the availability of DHS and IV&V Vendor resources as required to support tasks and retain acceptance and approval authority. Specifically, DHS has or will:

- Define the goals and objectives of the IV&V effort and the projects
- Communicate the goals and objectives of the IV&V effort to all stakeholders
- Provide access to required stakeholders from DHS and Application DDI Vendors to participate in the execution of IV&V tasks

- Provide required documentation from DHS and Application DDI Vendors to support execution of IV&V tasks
- Collaborate with the IV&V Vendor to set deliverable expectations
- Approve final IV&V deliverables developed and revised by the Vendor
- Monitor the Vendor's performance according to contractual obligations, provide improvement requests, and approve invoices as detailed in the final Contract

The Vendor's Proposal should identify additional staff and roles that it expects DHS to provide to appropriately and effectively support the effort. For details on DHS Project roles and responsibilities on the DDI effort, refer to the Benefits Eligibility Solution RFP and the links to the CCWIS Documents in the Procurement Library Index spreadsheet.

### 4.5.3 Vendor Team Roles and Responsibilities

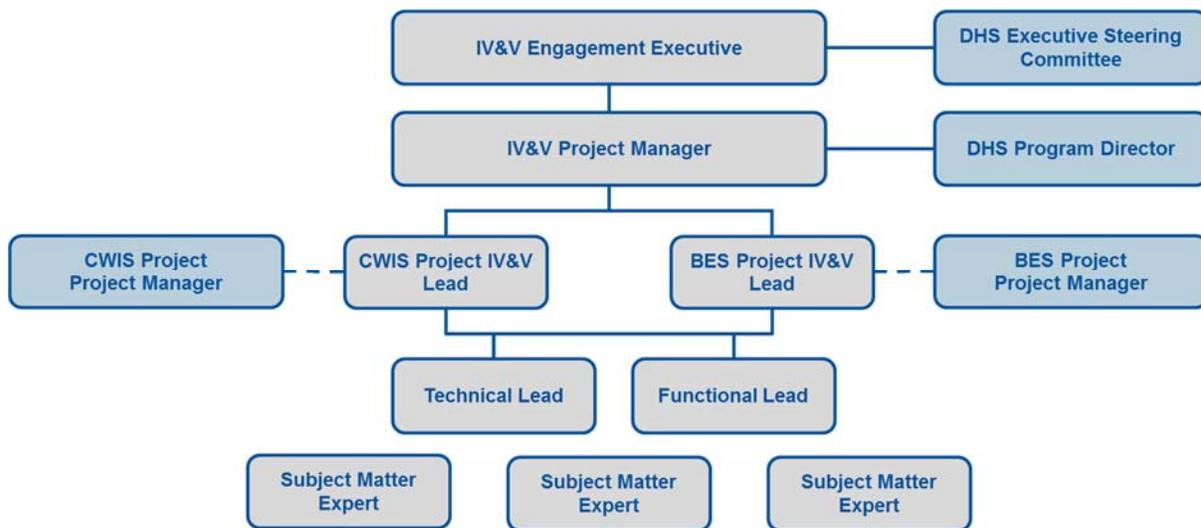
The Vendor will need a team with deep expertise across IV&V processes, Human Services programs, IT program/project management and technical domains in order to successfully perform the IV&V tasks defined within this RFP. This team will work collaboratively with the DHS team and Application DDI Vendors, and will coordinate and integrate with other vendors supporting / enhancing the existing DHS Enterprise Platform.

The Vendor's Key Personnel must fulfill five (5) roles: an Engagement Executive, an IV&V Project Manager, a CCWIS Project IV&V Lead, a BES Project IV&V Lead, and a Technical Lead. These Key Personnel must be supported by a Functional Lead(s) and a team of Subject Matter Experts (SMEs) with experience in the requisite areas, as needed; the Vendor's Key Personnel may fulfill multiple roles. If the Vendor's Key Personnel includes the use of subcontractors, DHS requires the Prime Vendor to complete a minimum of 60% of the work, as defined in this procurement.

- All proposed Key Personnel must have a minimum of five (5) years working in the public sector on human services IT projects, as well as in their proposed area of expertise doing work on similar projects as described in this RFP
- The Engagement Executive must be available as needed to fulfill its responsibilities and meet DHS' needs
- At a minimum, the CCWIS Project IV&V Lead, the BES Project IV&V Lead and Technical Lead must be full-time and dedicated solely to the Engagement unless the Vendor provides alternative solutions that meet DHS' approval.
- Vendors must propose an IV&V Project Manager who will be available for the duration of the Engagement; this role may be fulfilled by a Vendor's Key Personnel. This individual will be the primary contact for DHS on a day-to-day basis. The IV&V Project Manager may work on-site and remotely as needed to fulfil his/her responsibilities – this proposed approach to on-site staffing should be described in the Vendor's response.
- All other Vendor staff (e.g. Functional Lead(s), SMEs) must be available according to the agreed upon Work Plan.

Figure 9 provides a high-level overview of the IV&V Vendor's organizational structure and its alignment to the project teams (Note: Grey boxes indicate IV&V Vendor staff and blue boxes indicate DHS staff). DHS expects the CCWIS Project IV&V Lead and the BES Project IV&V Lead to be responsible to its respective DHS Project Manager. The IV&V Project Manager will report to the DHS Program Director.

Figure 9. High-Level IV&V Vendor Organizational Structure



**4.5.3.1.1 IV&V Vendor Key Personnel**

Table 23 provides Key Personnel positions, corresponding roles and responsibilities, and minimum qualifications for each.

Table 23. IV&V Vendor Key Personnel Roles

Title	Roles and Responsibilities	Expected Qualifications
<b>Engagement Executive</b>	<ul style="list-style-type: none"> <li>Serves as the primary point of contact with DHS leadership, governance bodies and other State Executive Sponsors for activities related to Contract administration, overall Engagement management and scheduling, correspondence between DHS and the Vendor, dispute resolution, and status reporting to DHS for the duration of the Contract</li> <li>Is authorized to commit the resources of the Vendor in matters pertaining to the performance of the Contract</li> <li>Is responsible for addressing any issues that cannot be resolved with the IV&amp;V Project Manager</li> <li>Is responsible for all subcontractor relationships, if applicable</li> </ul>	<ul style="list-style-type: none"> <li>Minimum of ten (10) years direct engagement oversight of or authority over large-scale public sector system implementation projects in excess of 10 million dollars</li> <li>Minimum of five (5) years' experience leading IV&amp;V engagements of public sector implementation projects in excess of 10 million dollars</li> <li>Special consideration will be given to those who have previously managed integrated eligibility and CCWIS implementation projects</li> </ul> <p><i>(does not need to be dedicated 100% to the Engagement)</i></p>
<b>IV&amp;V Project Manager</b>	<ul style="list-style-type: none"> <li>Provides onsite management of the Engagement and is the chief liaison for DHS for all aspects of IV&amp;V activities</li> <li>Is responsible for all scheduling and operational correspondence between DHS and the Application DDI Vendors</li> <li>Develops and delivers oversight reports sent to the State and Federal partners</li> </ul>	<ul style="list-style-type: none"> <li>Current Project Management Professional certification from the PMI, or equivalent</li> <li>Minimum of ten (10) years' experience in a leadership role on a large-scale implementation project in excess of 10 million dollars, inclusive of five (5) years' IV&amp;V experience over public sector system</li> </ul>

Title	Roles and Responsibilities	Expected Qualifications
	<ul style="list-style-type: none"> <li>■ Ensures alignment of all Project IV&amp;V standards with Program, State and Federal expectations</li> <li>■ Manages IV&amp;V activities (e.g., scope, schedule, budget, resources) and provides reports accordingly</li> <li>■ Is accountable for execution of all tasks and deliverables specified within this RFP</li> <li>■ Ensures all IV&amp;V deliverables meet the appropriate quality standards</li> <li>■ Is responsible for facilitating the Engagement by using the project management processes, organizing the Engagement, and managing the team work activities consistent with the approved IV&amp;V Plan</li> <li>■ Advises DHS regarding best practices and recommends modifications to business processes, which improve the overall operations</li> <li>■ Delivers briefings to DHS Project team leadership with support from the Vendor team as needed</li> <li>■ Is responsible for all subcontractor relationships, if applicable</li> </ul>	<p>implementation projects and three (3) years' IV&amp;V experience over human services system implementation projects</p> <ul style="list-style-type: none"> <li>■ Minimum of five (5) years' experience creating IV&amp;V processes and plans directly related to public sector implementation projects that includes industry-standard and best practices regarding quality, quality assurance and quality control principles and techniques</li> <li>■ Bachelor's degree or equivalent experience, preferably in IT, Engineering or a business or related field</li> <li>■ Excellent verbal and written communication skills</li> <li>■ Preference given to candidates with experience managing integrated eligibility and CCWIS implementation projects</li> </ul>
<p><b>CCWIS Project IV&amp;V Lead</b></p>	<ul style="list-style-type: none"> <li>■ Leads the onsite IV&amp;V effort for the CCWIS Project</li> <li>■ Develops and supports oversight reports sent to the State and Federal partners</li> <li>■ Ensures alignment of all CCWIS Project IV&amp;V standards with Program, State and Federal expectations</li> <li>■ Provides the leadership and creation of standards and processes required for the successful execution of IV&amp;V activities</li> <li>■ Manages CCWIS Project IV&amp;V activities and provides reports accordingly</li> <li>■ Supports delivery and execution of all tasks and deliverables specified within this RFP for the CCWIS Project</li> <li>■ Ensures all IV&amp;V deliverables meet the appropriate quality standards</li> <li>■ Advises DHS regarding best practices and recommends modifications to business processes, which improve the overall operations</li> <li>■ Delivers briefings to DHS Project team leadership with support from the Vendor team as needed</li> </ul>	<ul style="list-style-type: none"> <li>■ Minimum of ten (10) years' experience in a leadership role on a large-scale implementation project in excess of 10 million dollars, inclusive of five (5) years' IV&amp;V experience over public sector system implementation projects and three (3) years' IV&amp;V experience over human services system implementation projects</li> <li>■ Minimum of five (5) years' experience directly related to CCWIS implementation projects that includes industry-standard and best practices regarding quality, quality assurance and quality control principles and techniques</li> <li>■ Bachelor's degree or equivalent experience, preferably in IT, Engineering or a business or related field</li> <li>■ Excellent verbal and written communication skills</li> </ul>

Title	Roles and Responsibilities	Expected Qualifications
<b>BES Project IV&amp;V Lead</b>	<ul style="list-style-type: none"> <li>■ Leads the onsite IV&amp;V effort for the BES Project</li> <li>■ Develops and supports oversight reports sent to the State and Federal partners</li> <li>■ Ensures alignment of all BES Project IV&amp;V standards with Program, State and Federal expectations</li> <li>■ Provides the leadership and creation of standards and processes required for the successful execution of IV&amp;V activities</li> <li>■ Manages BES Project IV&amp;V activities and provides reports accordingly</li> <li>■ Supports delivery and execution of all tasks and deliverables specified within this RFP for the BES Project</li> <li>■ Ensures all IV&amp;V deliverables meet the appropriate quality standards</li> <li>■ Advises DHS regarding best practices and recommends modifications to business processes, which improve the overall operations</li> <li>■ Delivers briefings to DHS Project team leadership with support from the Vendor team as needed</li> </ul>	<ul style="list-style-type: none"> <li>■ Minimum of ten (10) years' experience in a leadership role on a large-scale implementation project in excess of 10 million dollars, inclusive of five (5) years' IV&amp;V experience over public sector system implementation projects and three (3) years' IV&amp;V experience over human services system implementation projects</li> <li>■ Minimum of five (5) years' experience directly related to integrated eligibility implementation projects that includes industry-standard and best practices regarding quality, quality assurance and quality control principles and techniques</li> <li>■ Bachelor's degree or equivalent experience, preferably in IT, Engineering or a business or related field</li> <li>■ Excellent verbal and written communication skills</li> </ul>
<b>Technical Lead</b>	<ul style="list-style-type: none"> <li>■ Provides input on the IV&amp;V Plan and Work Plan</li> <li>■ Is primarily responsible for development of non-functional (e.g., technical, implementation, technical operations, usability, performance, etc.) aspects of IV&amp;V assessments <ul style="list-style-type: none"> <li>□ Leads review of technical deliverables and provides recommendations to accept or reject with supporting rationale</li> <li>□ Conducts reviews of non-functional requirements validation efforts, security assessments, SDLC testing, systems integration with the DHS Enterprise Platform, deployment planning and other technical-linked components of the Application DDI Vendors' SDLC efforts</li> </ul> </li> <li>■ Participates in review of functional deliverables</li> <li>■ Proactively identifies Project and program risks and issues and proposes recommended courses of action as necessary</li> </ul>	<ul style="list-style-type: none"> <li>■ Minimum of ten (10) years' experience in the technical aspects of large-scale public sector system implementation projects, inclusive of a minimum of five (5) years' experience in a technical leadership role (e.g., role of Architect, Development Lead)</li> <li>■ Bachelor's degree or equivalent experience, preferably in IT, Engineering or a business or related field.</li> <li>■ Some experience with integrated eligibility and CCWIS implementation projects may be considered in lieu of degree.</li> <li>■ Significant experience with the specified architectural / design concepts (e.g., SOA) and technologies in use on this Project and as part of the DHS Enterprise Platform</li> <li>■ Must demonstrate experience with CMS' Seven Conditions and Standards and all recent changes from the ACA and other Federal and State laws, mandates and guidance</li> </ul>

Title	Roles and Responsibilities	Expected Qualifications
	<ul style="list-style-type: none"> <li>■ Engages and coordinates SMEs to execute IV&amp;V tasks as needed</li> <li>■ Provides input on status reports</li> <li>■ Supports other tasks as identified by the IV&amp;V Project Manager</li> </ul>	<ul style="list-style-type: none"> <li>■ Significant experience with industry-standards and best practices regarding quality, quality assurance and quality control principles and techniques across the relevant technical domains (e.g., security, privacy)</li> </ul>

#### 4.5.3.2 Additional Vendor Roles

The following expertise must be demonstrated in the Vendor’s response within the roles of the Vendor’s IV&V team for this Engagement. The Vendor may propose additional roles as expected to be needed to support the Engagement, providing experience and understanding above and beyond the following roles in order to meet the Engagement objectives.

- BESSD Business Processes as described in the Benefits Eligibility Solution RFP (see Procurement Library for additional details)
- SSD Business Processes as described in the CCWIS Documents (see Procurement Library index spreadsheet for links to these documents)
- Project and Program Governance
- DDI Project Management including, but not limited to:
  - Schedule Management
  - Scope Management
  - Budget Management
  - Risk Management
  - Quality Management
  - Communications Management
  - Integration management
- Functional and Non-Functional Requirements Management and Validation Methods (e.g., Testing, Simulations, Analysis)
- Software Estimating Models / Methods
- Software Design Tools / Methodologies
- Development Strategies and Methodologies
- System Design, Development/Configuration and Implementation
- Development and Operational Environments
- Data Conversion, Structures and Management Methodologies (to include transitioning data from legacy system(s) to new system)
- Interfaces and Integration
- System and Acceptance Testing (including Unit, Integration, Regression, User Acceptance, etc.)
- Documentation and Knowledge Management

- Training and Knowledge Transfer
- Functional and Technical Operations
- Transition to Operations
- Implementation of Operations Oversight Including Performance Management
- CMS' Seven Conditions and Standards and Technical Capabilities to ensure alignment with Medicaid operations
- Security and Privacy
- Business Intelligence and Reporting
- Information Management
- Networking Architectures and Capabilities
- Shared Services
- Hosting

#### **4.5.4 Facilities and Equipment / Location of Vendor Staff**

The Vendor will be provided with a limited amount of office space (1-2 desk spaces or more depending on availability) co-located with the Application DDI Vendors and/or DHS staff, and flexible meeting space subject to availability and project / DHS needs. The Vendor should procure any additional space that is needed. All equipment (e.g. laptops, printers, etc.) must be supplied by the Vendor, and must provide reasonable and appropriate physical and information safeguards as defined by DHS/State personnel.

The Vendor staff must be available to participate in project-related meetings as scheduled by DHS. On-site work must be performed during normal State business hours, Monday through Friday 8:00 a.m. to 4:00 p.m. HST, except Federal, State and local holidays.

## **4.6 Scope of Work**

The following sections capture the tasks DHS expects the IV&V Vendor to perform and the resulting deliverables.

### **4.6.1 Major Tasks and Deliverables**

The Vendor shall provide deliverables to the designated point of contact from DHS and, as required, DHS' State (e.g. ETS) and Federal (e.g. CMS, FNS, ACF) partners in the agreed upon format. DHS must provide written acceptance of all deliverables before they can be considered complete. For Vendor-led meetings, the Vendor shall provide minutes in an agreed upon format with the agreed upon elements.

**Table 24. IV&V Tasks and Deliverables**

Task	#	Deliverable	Frequency
Task 1 – Develop and Maintain the IV&V Plan	1	IV&V Plan	Once
	2	IV&V Plan Updates	Updated once per SDLC phase, per project, at minimum
Task 2 – Perform Transition Readiness Assessments (DHS Option)	3	Transition Readiness Assessment Report	Once per release/M&O transition
Task 3 – Perform IV&V Assessments	4	Initial IV&V Report	Once per project
	5	Monthly IV&V Reports	Monthly
	6	Final IV&V Report	Once per project
Task 4 – Perform Ongoing Risk and Issues Management	7	Risk Identification Report	Monthly
Task 5 – Review and Evaluate Application DDI Vendor Deliverables	8	Deliverable Expectation Document Feedback	Once per DED submission
	9	Deliverable Feedback	Once per deliverable submission
Task 6 – Provide Ad Hoc IV&V Support (DHS Optional)	10	Detailed Ad Hoc IV&V Support Requirements and Firm Fixed Cost(s)	Once per request
	11	Completed Ad Hoc IV&V Support Acceptance Criteria Check-List	Once per request
Task 7 – Report on Status	12	Status Reports	Monthly
	13	Executive Status Reports	Periodic as agreed upon by DHS

**4.6.1.1 Task 1: Develop and Maintain the IV&V Plan**

The Vendor must draft an IV&V Plan to describe its approach for assuring quality of the Solutions that meets, at minimum, the tasks and deliverables defined within this RFP and the requirements identified in Template T-6. The requirements in Template T-6 are the minimum set of areas the Vendor shall evaluate in order to perform the tasks within this RFP. The IV&V Plan must be comprehensive and capture an integrated approach to providing IV&V services for both projects, while also accounting for the unique needs of each project. The Vendor shall make additional recommendations within the IV&V Plan on the approach for assuring quality based on its experience, high risk areas and other considerations.

The IV&V Plan must describe the proposed methodologies for managing quality across the key domains required to execute the full projects’ life cycle from planning to transition to operations and identify metrics for tracking project performance against milestones and how cross project/Program issues will be identified and tracked. These areas may include, but are not limited to:

- Project Governance and Management
- Requirements Analysis and Management

- Use Case Development and Application (e.g., Supporting Design, Development, Testing, UAT, User Training)
- System Design (e.g., Conceptual and Detailed Design)
- Development Methodology and Tools
- Testing Plan, Methodology and Reports (e.g., System, Integration and UAT)
- Defects Prevention, Detection and Fixes
- Integration and Interface Control Plan, Activities and Reports
- Configuration Management
- Data Standards, Conversion Planning and Execution
- Security and Privacy
- Deployment Planning and Alternatives
- User Training Plan and Implementation
- Knowledge Transfer and Transition Planning
- Hosting Environments
- Warranty Requirements and Compliance

The Vendor must also describe whether, and in what way, it applies widely adopted standards in its evaluation of the Solutions and transition to operations. Examples of such standards include, but are not limited to: Institute of Electrical and Electronics Engineers (IEEE) and PMBOK. Furthermore, the Vendor must detail the tasks, durations, resources and sequencing to execute the IV&V Plan. This must support DHS' schedule for delivery of the Solutions.

#### **Key Activities**

- Provide DHS with the proposed framework for evaluation of project performance throughout the projects' life cycle
- Develop the deliverable review procedures
- Review the IV&V Plan with DHS stakeholders
- Ensure the IV&V Plan accurately reflects the activities and completion dates for the IV&V assessment, aligned to DHS' Work Plan for DDI of the Solutions
- Execute the IV&V Plan
- Periodically update the IV&V Plan
- Present the IV&V Plan to DHS stakeholders as needed

Deliverable 1 – IV&V Plan	
<b>Required Delivery</b>	Submitted for approval no more than 15 business days after project initiation
<b>Frequency</b>	Once
<b>Description</b>	<p>The purpose of this deliverable is to provide a detailed IV&amp;V Plan that addresses the key domains required to execute the full Solutions' life cycle. The Plan also includes metrics for tracking project performance against milestones. The IV&amp;V Plan will include, at a minimum, the following:</p> <ul style="list-style-type: none"> <li>■ Engagement Introduction and Overview <ul style="list-style-type: none"> <li>□ IV&amp;V Objectives and Goals</li> <li>□ IV&amp;V Approach (e.g., methodology, approach to IV&amp;V process improvement)</li> </ul> </li> <li>■ IV&amp;V Overview <ul style="list-style-type: none"> <li>□ Vendor Organization (roles, responsibilities)</li> <li>□ Tools, techniques and methodologies required to perform IV&amp;V activities (e.g., quality standards, reporting templates)</li> </ul> </li> <li>■ IV&amp;V Schedule (Work Breakdown Structure (WBS)) <ul style="list-style-type: none"> <li>□ Alignment with DDI project schedules</li> <li>□ Major milestones and target dates</li> <li>□ IV&amp;V role assignment(s) for each deliverable / task</li> </ul> </li> <li>■ IV&amp;V Activities, Tasks, and Deliverables <ul style="list-style-type: none"> <li>□ Detailed descriptions aligned to the Solutions' life cycle</li> </ul> </li> <li>■ Glossary of Terms and Acronyms</li> </ul>
<b>References</b>	N/A

Deliverable 2 – IV&V Plan Updates	
<b>Required Delivery</b>	Submitted for approval based on approved schedule
<b>Frequency</b>	Updated once per SDLC phase, per project, at minimum
<b>Description</b>	<p>The IV&amp;V Plan is a dynamic, iterative process that must be periodically updated to meet the current state of the projects. The Vendor will be required to make updates to the IV&amp;V Plan, as necessary, to ensure the Plan reflects any changes or additions to the IV&amp;V approach or activities. Updates may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>■ Modified IV&amp;V methodology</li> <li>■ New or modified templates</li> <li>■ New or modified tools</li> <li>■ IV&amp;V schedule (WBS)</li> <li>■ Personnel modifications</li> </ul>
<b>References</b>	Deliverable 1

#### **4.6.1.2 Task 2: Perform Transition Readiness Assessments**

The Vendor must conduct Transition Readiness Assessments to assess the risk of migrating / transitioning M&O responsibilities between teams. A Transition Readiness Assessment must be completed for each of the following:

- Transitioning of the DHS Enterprise Platform M&O responsibilities from the incumbent vendor to the ESI (Note: This is optional, however Vendors must include cost detail for which DHS may choose to include in the Contract.)
- Transitioning of the Medicaid E&E Solution M&O responsibilities from the incumbent vendor to the ASI Vendor (Note: This is optional, however Vendors must include cost detail for which DHS may choose to include in the Contract.)
- Transitioning of the Benefits Eligibility Solution from DDI to M&O (Note: The ASI Vendor will be responsible for both, but will provide separate teams), once per release/phase
- Transitioning of the CCWIS from DDI to M&O (Note: The CCWIS Vendor will be responsible for both, but will provide separate teams), once per release/phase

The Transition Readiness Assessments must capture strengths and any potential risks or identified issues regarding the Application DDI Vendors' and ESI's ability to assume responsibility of M&O for the respective Solutions. The Assessments will support DHS' formal go / no-go decision prior to transitioning to M&O.

#### **Key Activities**

- Provide DHS with an overview of the framework used to evaluate the readiness of the ASI Vendor and ESI to take over responsibilities from DHS' incumbent vendor (Medicaid E&E Solution and DHS Enterprise Platform; optional, at the discretion of DHS) and the Application DDI Vendors' M&O teams from the Application DDI Vendors' DDI teams (Benefits Eligibility Solution and CCWIS)
- Collect information from various sources such as interviews, project documentation, participation in meetings and others
- Analyze information collected using the agreed upon frameworks and standards to assess readiness
- Draft the Transition Readiness Assessment to include a comprehensive assessment, issues, risks, and recommendations on how to address the highest priority areas and status of progress against previous recommendations
- Facilitate a review of the Transition Readiness Assessment with DHS, Application DDI Vendors and/or other stakeholders
- Prepare meeting minutes (e.g. meeting details, agenda, decisions made, action items) and attain approval of minutes from meeting attendees
- Update the Transition Readiness Assessment to correct mistakes of fact, if needed, and provide a final version of the Transition Readiness Assessment to the stakeholders previously identified

<b>Deliverable 3 – Transition Readiness Assessment Report</b>	
<b>Required Delivery</b>	Prior to DHS’ go / no-go meeting
<b>Frequency</b>	Once per release / M&O transition
<b>Description</b>	<p>This deliverable provides an objective assessment of the Application DDI Vendors’ and ESI’s readiness to take over M&amp;O responsibilities of the respective Solutions. This includes the transition of the Medicaid E&amp;E Solution and DHS Enterprise Platform from DHS’ incumbent vendor to the ASI Vendor and ESI respectively (optional, at the discretion of DHS), as well as transition of the BES and CCWIS from the Application DDI Vendors’ DDI team to the M&amp;O team per release of the BES and CCWIS. The Report will include a description of the assessment framework, as well as an analysis of the information collected (e.g., interviews, project documentation). The deliverable will include, at a minimum, the following:</p> <ul style="list-style-type: none"> <li>■ Assessment of the Application DDI Vendors’ (ASI Vendor and CCWIS Vendor) and ESI’s understanding of the Solutions, processes and tools to take over responsibilities</li> <li>■ Areas of concern <ul style="list-style-type: none"> <li>□ Risks are prioritized based on agreed upon criteria (e.g., potential and severity)</li> </ul> </li> <li>■ Recommendations to address areas of concern / Mitigation and Contingency Plans</li> </ul> <p>The Transition Readiness Assessment Report will be presented to and reviewed by DHS, Application DDI Vendors, ESI and/or other stakeholders (e.g., FNS, CMS, ACF, ETS) as necessary. The Vendor is responsible for ensuring the format and content areas are appropriately addressed, as previously agreed upon with DHS. The Vendor is also responsible for updating the Transition Readiness Assessment Report to address misrepresented or inaccurate information, and redistributing the updated version accordingly.</p>
<b>References</b>	N/A

#### **4.6.1.3 Task 3: Perform IV&V Assessments**

The Vendor must provide initial, periodic and final assessments of the Solutions. The purpose of these assessments is to provide an independent, objective review of performance to identify strengths, risks and other potential challenges as early in the projects’ life cycle as possible. The assessments must identify which risks and potential challenges are the highest priority and provide recommendations to address, at a minimum, the areas with the highest risk.

The scope of the assessment shall vary based upon the phase in the life cycle, and shall account for any federally required reports at the time (see Table 20 for a sample list). For example, the Vendor must review and evaluate all pilot testing activities and subsequent project deliverables that includes, but is not limited to, plans and procedures for pilot testing the Solutions. The Vendor must provide a Pilot Completion Report that, at a minimum, describes the pilot activities conducted and associated results.

The Vendor must perform an initial IV&V Assessment and a final IV&V Assessment for each project independently. The monthly assessments shall be integrated to encompass both projects, once both projects are active, and aligned to the respective projects' stage gates. Additional assessments may be performed between stage gates as needed or recommended by the Vendor (and agreed to by DHS). In addition to the areas identified in the IV&V Plan and relevant Requirements in Template T-6, the assessments must address the following areas per 45 CFR 95.626:

- Project management of both DHS and Application DDI Vendors
- Technical aspects of the projects
- User involvement
- Buy-in that the Solutions will support the business needs
- Review of past project performance
- Risk management process

The assessments must also consider the projects' alignment with DHS' vision and the standards provided by the Program. These assessments must be provided to DHS, ETS and DHS' Federal partners simultaneously.

#### **Key Activities**

- Provide DHS with an overview of the framework used for the evaluation of project performance
- Collect information from various sources such as interviews, project documentation, participation in meetings and others
- Analyze information collected using the agreed-upon frameworks and standards to assess performance
- Draft the IV&V reports to include a comprehensive assessment, risks, and recommendations on how to address the highest priority improvement opportunities and status of progress against previous recommendations
- Deliver the IV&V assessment to the appropriate stakeholders from DHS, ETS and DHS' Federal partners concurrently
- Facilitate a review of the IV&V assessment with DHS, Application DDI Vendors and/or other stakeholders
- Prepare meeting minutes (e.g. meeting details, agenda, decisions made, action items) and attain approval of minutes from meeting attendees
- Update the assessment to correct mistakes of fact, if needed, and provide a final version of the IV&V Assessment to the stakeholders previously identified

<b>Deliverable 4 – Initial IV&amp;V Report</b>	
<b>Required Delivery</b>	Submitted for approval no more than 35 business days from project initiation
<b>Frequency</b>	Once per project
<b>Description</b>	<p>The Initial IV&amp;V Report will provide an objective assessment of the health of each project. The Report will include a description of the IV&amp;V assessment framework as previously identified in the IV&amp;V Plan, as well as an analysis of the information collected (e.g., interviews, project documentation) to assess performance. The deliverable will include, at a minimum, the following:</p> <ul style="list-style-type: none"> <li>■ Assessment of the projects' health / performance <ul style="list-style-type: none"> <li>□ Baseline metrics determined and documented</li> </ul> </li> <li>■ Areas of concerns <ul style="list-style-type: none"> <li>□ Risks are prioritized based on agreed upon criteria (e.g., potential and severity)</li> </ul> </li> <li>■ Recommendations to address areas of concern / Mitigation and Contingency Plans</li> </ul> <p>The Initial IV&amp;V Report will be presented to and reviewed by DHS, Application DDI Vendors and/or other stakeholders (e.g., FNS, CMS, ACF, ETS) as necessary. The Vendor is responsible for ensuring the format and content areas are appropriately addressed, as previously agreed upon with DHS. The Vendor is also responsible for updating the Initial IV&amp;V Report to address misrepresented or inaccurate information, and redistributing the updated version accordingly.</p>
<b>References</b>	Deliverable 1

<b>Deliverable 5 – Monthly IV&amp;V Reports</b>	
<b>Required Delivery</b>	Submitted for approval based on approved schedule
<b>Frequency</b>	Monthly; exact delivery to be adjusted based on DDI WBS to meet SDLC milestones
<b>Description</b>	<p>Monthly IV&amp;V Reports are required to provide a continuous, objective assessment of the projects' health at a given point in time during the Solutions' life cycle. The Reports will include an analysis of the information collected (e.g., interviews, project documentation) to assess performance to date. The deliverable will include, at a minimum, the following:</p> <ul style="list-style-type: none"> <li>■ Assessment of the projects' health / performance <ul style="list-style-type: none"> <li>□ Compared to baseline metrics</li> </ul> </li> <li>■ Areas of concern <ul style="list-style-type: none"> <li>□ Risks are prioritized based on agreed upon criteria (e.g., potential and severity)</li> </ul> </li> <li>■ Recommendations to address areas of concern / Mitigation and Contingency Plans</li> </ul> <p>The Monthly IV&amp;V Reports will be presented to and reviewed by DHS, Application DDI Vendors and/or other stakeholders (e.g., FNS, CMS, ACF, ETS) as necessary. The Vendor is responsible for ensuring the format and content areas are appropriately addressed, as previously agreed upon with DHS. The Vendor is also responsible for updating the Monthly IV&amp;V Reports to address misrepresented or inaccurate information, and redistributing the updated version accordingly.</p>
<b>References</b>	Deliverables 1, 4

Deliverable 6 – Final IV&V Report	
<b>Required Delivery</b>	Submitted for approval no more than 20 business days after conclusion of a project's DDI activities
<b>Frequency</b>	Once per project
<b>Description</b>	<p>The Final IV&amp;V Report culminates the IV&amp;V activities. The Report will include an analysis of the information collected (e.g., interviews, project documentation) to assess performance to date. The deliverable will include, at a minimum, the following:</p> <ul style="list-style-type: none"> <li>■ Assessment of the projects' health / performance <ul style="list-style-type: none"> <li>□ Compared to baseline metrics</li> </ul> </li> <li>■ Areas of concerns <ul style="list-style-type: none"> <li>□ Risks are prioritized based on agreed upon criteria (e.g., potential and severity)</li> </ul> </li> <li>■ Recommendations to address areas of concern / Mitigation and Contingency Plans</li> </ul> <p>The Final IV&amp;V Report will be presented to and reviewed by DHS, Application DDI Vendors and other stakeholders (e.g., FNS, CMS, ACF, ETS) as necessary. The Vendor is responsible for ensuring the format and content areas are appropriately addressed, as previously agreed upon with DHS. The Vendor is also responsible for updating the Final IV&amp;V Report to address misrepresented or inaccurate information, and redistributing the updated version accordingly.</p>
<b>References</b>	Deliverables 4 and 5

#### **4.6.1.4 Task 4: Perform Ongoing Risk and Issues Management**

The Vendor must anticipate and identify projects risks and capture projects issues. This includes risks and issues at the project level (for both the BES Project and CCWIS Project), as well as at the Program level which looks at how the projects fit into the overall, integrated effort. The information will feed into the comprehensive risks and issues log, which will be managed and tracked by the project teams (DHS and/or Application DDI Vendors). Through participation in targeted meetings and other activities required to provide the services identified within this RFP, the Vendor will have access to a wealth of information to support risk and issue management. Risk and issue management may involve identification of new risks and issues or recommendations on known risks or issues (e.g., raising or lowering the importance or proposing a course of action). The Vendor must perform initial analysis on the risks and issues to focus DHS' attention on those risks and issues within the project team's control and those outside the project team's control (e.g., risks or issues due to dependence on the DHS Enterprise Platform). The Vendor shall perform risk and issue management activities in accordance with the projects' Risk Management Plan.

#### **Key Activities**

- Facilitate monthly Risk Identification Meetings that looks ahead in the projects' life cycle to proactively determine, document and manage projects risks
- Identify risks and issues on an ongoing basis including DHS and Application DDI Vendors' use and maintenance of appropriate tools, processes, artifacts, standards, etc. and report to DHS' Project teams for management

- Provide input on an ongoing basis to the projects’ risks and issues log and/or maintain and manage an independent risks and issues log, as directed by DHS
- Perform initial analysis on the risks and issues to determine importance, whether they are within the project teams’ span of control and other factors
- Perform a review of all Solution development processes through the entire life cycle to ensure that DHS’ business needs and vision are being met, Program standards and best practices are followed, and the projects are in compliance with Federal requirements
- Identify mitigation strategies to minimize the realization of risks
- Propose a recommended course of action for those risks or issues of greatest importance
- Review the risks, issues and proposed course of action with DHS’ Project teams in a timely manner

Deliverable 7 – Risk Identification Report	
<b>Required Delivery</b>	Submitted for no more than 5 business days after reporting period closes
<b>Frequency</b>	Monthly
<b>Description</b>	<p>The Risk Identification Report documents the outcomes of the Risk Identification meeting. At a minimum, the Risk Identification Report must include:</p> <ul style="list-style-type: none"> <li>■ New risks identified</li> <li>■ Changes to existing risk and issue status and attributes (e.g. priority, mitigation plans, contingency plans)</li> <li>■ Action items</li> <li>■ Decisions</li> </ul> <p>Documented proof of the completion of the Risk Identification Report can be included in the Status Report (see Deliverable 12).</p>
<b>References</b>	Deliverable 12

#### **4.6.1.5 Task 5: Review and Evaluate Application DDI Vendor Deliverables**

The Vendor must provide an independent, detailed review of projects’ deliverables and work products (developed by the Application DDI Vendors and as agreed to in the Application DDI Vendors’ contracts) to assess the deliverable quality, alignment to projects’ objectives, fidelity to DHS and Federal requirements, adherence to projects plans and other criteria yet to be defined. The Vendor must develop and implement review procedures that allow completion of a project deliverable review within five (5) business days of submission to the Vendor.

For each project deliverable, the Vendor must first review and make recommendations on the DED provided by the Application DDI Vendors. As appropriate, the Vendor shall recommend inclusion of requirements from Template T-6 into the DEDs. The requirements shall be used as a minimum set of requirements and the Vendor shall augment as needed based on its experience. The DED shall be the basis for the Vendor’s formal recommendation to accept or reject a project deliverable. DHS will approve any changes to the DED and share it with the Vendor well in advance of the deliverable due date to establish expectations.

The Vendor may employ different techniques to gather the information needed to support a project deliverable review such as review of intermediary drafts, participation in project deliverable walkthroughs with the Application DDI Vendors and other meetings as necessary.

As part of the review, consideration must be given to the potential opportunities and/or impacts from the DHS Enterprise Platform and other DHS initiatives underway. The criteria within the agreed upon DED must be applied to make a recommendation to DHS on whether to accept or reject the project deliverable.

The Vendor must document and make available to DHS and the Application DDI Vendors any findings in support of the recommendation to accept or reject a project deliverable. The Vendor must monitor any action required to address project deliverable deficiencies in a form that can be provided to DHS.

The Vendor shall document minutes from meetings held to review the Vendor’s recommendations on project deliverable acceptance.

The projects’ deliverables targeted for review and evaluation, at minimum, are previously discussed in Sections 3.3.3 and 3.4.3. More details on the Benefits Eligibility Solution Project’s deliverables are available within the Benefits Eligibility Solution RFP located in the Procurement Library.

**Key Activities**

- Review the DED for each project deliverable
- Submit a recommendation to accept or reject each DED, with supporting rationale, to DHS and the Application DDI Vendor
- Perform independent deliverable reviews against the DED within five (5) business days of deliverable submission
- Submit a recommendation to accept or reject each deliverable, with supporting rationale, to DHS and the Application DDI Vendor
- Review all work products and/or deliverables that may be sent to DHS’ Federal partners for review and/or approval (e.g., Test Plan, UAT results, and Pilot results) and provide comments
- Upon request, review the recommendation and supporting rationale with DHS, Application DDI Vendor and/or other stakeholders
- Prepare meeting minutes (e.g. meeting details, agenda, decisions made, action items) and attain approval of minutes from meeting attendees

Deliverable 8 – Deliverable Expectation Document Feedback	
<b>Required Delivery</b>	Per DDI Project schedule
<b>Frequency</b>	Once per DED submission
<b>Description</b>	The IV&V Vendor will conduct reviews of each DED for each project deliverable. The IV&V Vendor is expected to provide comments / recommendations on how the DED can be further improved by the Application DDI Vendor, for DHS’ consideration. As requested, the IV&V Vendor will facilitate meetings to review its feedback on the DED. The IV&V Vendor will provide support to DHS to ensure approval for each DED.
<b>References</b>	N/A

<b>Deliverable 9 – Deliverable Feedback</b>	
<b>Required Delivery</b>	Submitted no more than 5 business days after each deliverable is received for review
<b>Frequency</b>	Once per deliverable submission
<b>Description</b>	<p>The IV&amp;V Vendor will conduct reviews of each agreed upon key deliverables after submission by the Application DDI Vendor and prior to acceptance by DHS. This may include interim or final draft deliverables. The deliverable will be evaluated against its respective DED to ensure compliance with previously identified criteria and DHS' expectations.</p> <p>During its independent review, the IV&amp;V Vendor will make a recommendation as to whether DHS shall accept or reject the deliverable. Supporting comments and/or concerns justifying the recommendation will also be provided to DHS. The IV&amp;V Vendor must provide its recommendation within five (5) business days of receipt of a deliverable. The IV&amp;V Vendor must also be prepared to facilitate a discussion to review its comments / concerns with DHS, the Application DDI Vendor, and/or other stakeholders as necessary.</p>
<b>References</b>	N/A

#### **4.6.1.6 Task 6: Provide Ad Hoc IV&V Support (DHS Optional)**

DHS envisions that there may be a need to acquire additional IV&V support services. The Vendor must include hourly costs for performing these activities in Template C-1 Cost Workbook. As activities are identified the Vendor will provide a Statement of Work (at no cost) outlining their anticipated efforts, using experience based costs, or a similar mechanism. The final firm fixed cost(s) is based on firm fixed rates proposed and agreed to in the cost template. DHS can then decide whether it wishes to move forward with the requested activities, which will be incorporated as a change order to the Contract.

#### **Key Activities**

- Tracking requested activities and coordinating with DHS to prioritize and approve ad hoc requests
- Developing requirements and cost based on an industry-standard approach (e.g., experience based costs)
- Providing a team to execute on the request
- Completing the request by the date approved by DHS. The approved dates are established while developing requirements and Firm Fixed cost(s)
- Submitting all deliverables associated with the service requests in a timeline to allow for the deliverable review and approval process described in this RFP

<b>Deliverable 10 – Detailed Ad Hoc IV&amp;V Support Requirements and Cost (s)</b>	
<b>Required Delivery</b>	Before commencing any activities for a DHS ad hoc request
<b>Frequency</b>	Once per request
<b>Description</b>	For each agreed upon activity, the Vendor shall produce the following deliverables: <ul style="list-style-type: none"> <li>■ Requirements</li> <li>■ Development Plan</li> <li>■ Firm Fixed Cost(s)</li> <li>■ Acceptance Criteria Check-List may include, but is not limited to: <ul style="list-style-type: none"> <li><input type="checkbox"/> Fully meets the requirements as defined upfront in the Requirements document</li> <li><input type="checkbox"/> Ad Hoc Report or other deliverable document is formatted as agreed</li> <li><input type="checkbox"/> Ad Hoc Report or other deliverable document contains all agreed to content and adheres to standards defined in the Requirements and Development Plan</li> </ul> </li> </ul>
<b>References</b>	N/A

<b>Deliverable 11 – Completed Ad Hoc IV&amp;V Support Acceptance Criteria Check-List</b>	
<b>Required Delivery</b>	Submitted once request is completed
<b>Frequency</b>	Once per request
<b>Description</b>	For each agreed upon activity, the Vendor will provide a completed check-list (defined in Deliverable 10)
<b>References</b>	Deliverable 10

#### **4.6.1.7 Task 7: Report on Status**

The Vendor must attend bi-weekly (2x per month) status meetings with DHS to provide an update on the IV&V activities and deliverables in accordance with the IV&V Plan, results from the ongoing risk and issue management task, and outstanding actions from the Review and Evaluate Application DDI Vendor Deliverables task; it must cover both projects. In advance of the meeting, the Vendor must prepare a written report covering the following information in the format designated by DHS:

- Reporting time period
- Summary of the current status (e.g., schedule, scope, budget, risks, issues)
- Major activities and deliverables completed in the last reporting period
- Major upcoming activities and deliverables for the next reporting period
- Status of existing risks/issues and identification of new risks/issues
- Other relevant topics (e.g., scope changes, decisions made)

Additionally, the Vendor must provide additional reports upon request to support updates to the ESC, PMO Program Director or other stakeholders (e.g. ETS). The reports may focus on an executive-level status of the IV&V initiative, summary of a specific IV&V assessment/deliverable or other IV&V related topic depending on DHS' needs.

## Key Activities

- Monitor actions required to address deliverable deficiencies and document progress in the bi-weekly status reports
- Prepare and distribute bi-weekly status reports to the designated point of contact in advance of status meetings
- Participate in bi-weekly (2x per month) status meetings with DHS
- Provide periodic executive status reports on IV&V reviews and recommendations to stakeholders such as the ESC and DHS Project teams regarding projects status and risk anticipation, prevention and mitigation
- Prepare meeting minutes (e.g. meeting details, agenda, decisions made, action items) and attain approval of minutes from meeting attendees

<b>Deliverable 12 – Status Reports</b>	
<b>Required Delivery</b>	Submitted no more than 5 business days after reporting period closes
<b>Frequency</b>	Monthly
<b>Description</b>	<p>The Status Report focuses on IV&amp;V activities that have been completed and that are planned/upcoming for both projects, as well as any high priority findings that need to be addressed by DHS. The Status Report must capture, at a minimum, the status of the Engagement including:</p> <ul style="list-style-type: none"> <li>■ Time period covered by the Report</li> <li>■ Engagement information (e.g., budget, schedule, milestones, staffing, scope)</li> <li>■ Period accomplishments of IV&amp;V activities</li> <li>■ Summary of priority risks and issues</li> <li>■ Milestone and task tracking</li> <li>■ Summary of key risk analysis and mitigation strategy evaluation</li> <li>■ Summary of deliverable statuses (with focus on deficiencies)</li> </ul>
<b>References</b>	Deliverable 7

<b>Deliverable 13 – Executive Status Reports</b>	
<b>Required Delivery</b>	Periodic as agreed upon by DHS
<b>Frequency</b>	Periodic as agreed upon by DHS
<b>Description</b>	<p>The Executive Status Report must capture, at a minimum, a summary status of the Engagement including:</p> <ul style="list-style-type: none"> <li>■ Engagement information (e.g., budget, schedule, milestones, staffing, scope)</li> <li>■ Period accomplishments of IV&amp;V activities</li> <li>■ Summary of priority risks and issues</li> <li>■ Milestone and task tracking</li> <li>■ Summary of key risk analysis and mitigation strategy evaluation</li> </ul>
<b>References</b>	N/A

## 5.0 Proposal Evaluation

DHS will use a structured and objective evaluation process to select the successful IV&V Vendor. DHS will consider capabilities or advantages that are clearly described in the Proposal, which may be confirmed by key personnel interviews, Oral Presentations, site visits, demonstrations and references contacted by DHS.

### 5.1 Evaluation Criteria

DHS will evaluate Proposals in the context of the overall best value approach for the IV&V services requested in this RFP.

DHS will evaluate Proposals based on the following best value evaluation criteria:

**Table 25. Evaluation Criteria**

Global Criteria	Weights	Sub-Criteria	Points	Mandatory Response Templates Evaluated
<b>Minimum Mandatory Qualifications (Pass/Fail)</b>	N/A	<ul style="list-style-type: none"> <li>■ Vendor Qualifications and Other Mandatory Requirements (Pass/Fail)</li> </ul>	N/A	T1 - Cover Letter and Executive Summary
<b>Vendor Experience</b>	20%	<ul style="list-style-type: none"> <li>■ Relevant Vendor Experience</li> <li>■ Customer References</li> </ul>	200	T1 - Cover Letter and Executive Summary T2 - Vendor Experiences T3 - Vendor References
<b>Project Staff and Project Organization</b>	25%	<ul style="list-style-type: none"> <li>■ Project Organization</li> <li>■ Key Personnel Experience</li> </ul>	250	T4 - Vendor Project Organization and Staffing T5 - Staff Experience
<b>Services</b>	35%	<ul style="list-style-type: none"> <li>■ Approach</li> <li>■ Deliverables</li> <li>■ Requirements</li> </ul>	350	T6 - Requirements T7 - High-Level IV&V Plan
<b>Cost</b>	20%		200	C1 - Cost Workbook

1000

### 5.2 Initial Compliance Screening

DHS will perform an initial screening of all Proposals received. Unsigned Proposals and Proposals that do not include all required forms and sections may be subject to disqualification without further evaluation. Initial screening will check for (1) completeness, thoroughness, and proper formatting of the Proposal and Response Templates as per Section 0 of this solicitation, and (2) minimum qualification requirements defined in Section 5.3. The RFP Response Checklist included in Template T-10 shall be used to ensure that a Proposal has included all required sections and shall be submitted with the Proposal. DHS will use the same checklist to conduct initial compliance screening.

DHS reserves the right to waive minor irregularities in Proposals, providing that such action is deemed to be in the best interest of the DHS. Where DHS may waive minor irregularities, such waiver shall in no way modify RFP requirements or excuse the Vendor from full compliance with RFP specifications and other Contract requirements if the Vendor is awarded the Contract.

### 5.3 Minimum Mandatory Qualifications

Vendors must demonstrate compliance with the below Minimum Mandatory Qualifications in Template T-1 Cover Letter and Executive Summary. Vendor Proposals that do not meet the below Minimum Mandatory Qualifications will be categorized as “Unacceptable” (see Section 5.4) and further evaluation of the Proposal will not be performed.

Vendors (Prime only) must clearly demonstrate compliance with the Minimum Mandatory Qualifications listed below before their Proposals will be further evaluated.

- The Vendor (Prime only) must have at least three (3) years of active experience in the past five (5) years of independent verification and validation engagements of similar size and scope to DHS’ for implementations of similar systems in the FNS and CMS public assistance domain. The Vendor must clearly demonstrate this experience with active or completed engagements in compliance with all Federal and State regulations.
- The Vendor (Prime only) must submit at least three (3) references using Template T-3 to verify that Vendor was actively providing IV&V services for at least two (2) similar projects for similar systems within the past five (5) years. To meet this qualification, the Vendor must clearly show that for each reference it was actively providing similar services as those described in this RFP in the past five (5) years.
- The Vendor (Prime only) must disclose annual revenue details using Template T-2 – Vendor Experience.

### 5.4 Proposal Evaluation Process

DHS’ proposal evaluation team (selected by the Procurement Officer) will evaluate the remaining Proposals and score each of the sub-criteria, except for the Cost response, as Excellent (5), Good (4), Satisfactory (3), Marginal (2), and Unsatisfactory (1). These ratings will be converted into points as presented in Table 25 in Section 5.1. An Excellent (5) ranking will receive 100% of the allotted points. A Good (4) ranking will receive 80% of the points; Satisfactory (3), 60%; Marginal (2), 40%, and Unsatisfactory (1), 20%. For example, a “Satisfactory” rating on the Vendor Experience criteria, which is allotted 200 points, will receive 120 points (60% x 200). Each individual on the proposal evaluation team will score each Proposal and the average of the individual scores will be used.

DHS will then quantitatively evaluate Cost proposals by using the following formula to convert each cost response into points:

**(Lowest Cost Proposal Price divided by Vendor’s Cost Proposal Price) x 200**

Based on this formula the lowest Cost Proposal will receive 200 points, which is the maximum number of points allocated to this criterion. Other higher Cost Proposals will receive proportionally lower point values. All calculations will be rounded to the nearest whole number.

### 5.5 Oral Presentations, Site Visits and Discussions

Upon evaluation of all Proposals, DHS will classify all Proposals into three (3) categories: Acceptable, Potentially Acceptable, or Unacceptable. Acceptable Proposals are sound proposals with minor deficiencies or weaknesses, if any. Potentially Acceptable Proposals are proposals that have some deficiencies and/or weaknesses. Unacceptable Proposals are proposals that do not pass the initial compliance screening, do not meet the minimal mandatory qualifications, or have extreme deficiencies and/or weaknesses.

Acceptable and Potentially Acceptable Proposals will be eligible to be put on a Priority List for further consideration. DHS may choose to limit the number of Proposals on the Priority List to no less than three (3) of the highest preliminary scoring Proposals based on the evaluation criteria described in Section 5.1.

DHS may request discussions or Oral Presentations, site visits and/or demonstrations from Vendors on the Priority List. The Key Personnel as identified in the Vendor's Proposal must be the sole active participants in the Oral Presentations, and all Key Personnel should have an active role during the Presentations. DHS requests that corporate or sales personnel not participate in Oral Presentations, as their participation may negatively affect DHS' perception of the event.

Discussions, if held, will focus on an understanding of the capabilities offered by the Vendor, clarifications of the Vendor's Proposal, the identified Key Personnel's ability to perform the work proposed in the Vendor's Proposal, and to promote the understanding of the State agency's requirements. The DHS POC will notify selected Vendors of the time and location for these activities and may supply agendas or topics for discussion.

DHS may, if it deems necessary, request or perform site visits, additional demonstrations, or additional information, from priority-listed Vendors to clarify the scope and content of the written Proposal in support of Vendor selection, contracting or other procurement activities.

The Vendor's Oral Presentation, site visit and/or demonstration must substantially represent material included in the written Proposal and should not introduce new concepts or offers unless specifically requested by DHS.

## **5.6 Best and Final Offer**

DHS may permit Priority-Listed Vendors to prepare revised Proposals. Vendors are encouraged to treat their original Proposals, and any revised Proposals requested by DHS, as Best and Final Offers. If DHS determines a Best and Final Offer (BAFO) request is necessary, it shall request one from the Vendors with submission instructions. Should a Vendor not comply with the BAFO request or instructions, the most recent Proposal submission will be considered the final Proposal. When revised Proposals are received from a BAFO request, DHS will re-score the Proposals using the same criteria as listed in Section 5.1.

## **6.0 Vendor Selection and Contract Award**

Award will be made to the responsible Vendor whose Proposal is determined to be the most advantageous to DHS based on the evaluation criteria and processes set forth in the RFP and documented by DHS. DHS will notify the successful Vendor and all other Vendors that have submitted Proposals in writing of the selection decision.

Award if any, resulting from this solicitation will be posted to the SPO website on Contract Awards at <http://spo.hawaii.gov>.

DHS may not provide information regarding progress of the procurement. Vendors should not request information on the status of the procurement prior to this time.

### **6.1 Contract Execution**

The successful Vendor will be required to enter into a formal written contract with DHS in accordance with the laws, rules and regulations of the State of Hawaii.

The funds available for this procurement are limited. DHS reserves the right to contract for all or portions of the services being solicited whichever appear to be in the best interest of the State.

If the successful Vendor is other than a sole proprietorship, it shall submit satisfactory evidence (certificate or corporate resolution, power of attorney or other such evidence of authority) of the signer's authority to execute on the contract date on behalf of the successful Vendor.

### **6.2 Availability of Funds**

The award of a Contract and any allowed renewal or extension thereof, is subject to allotments made by the Director of Finance, State of Hawaii, pursuant to Chapter 37, HRS, and subject to the availability of State and/or Federal funds. No contract shall be binding upon DHS until the Contract has been fully and properly executed by all the parties thereto and the State Comptroller has, in accordance with the Section 103-39, HRS, endorsed thereon his certificate that there is an available unexpended appropriation or balance of appropriation over and above all outstanding contracts sufficient to cover the amount required by such contract.

If funding is delayed or reduced, or is not appropriated in full, DHS shall have the right to partially or fully terminate or suspend any contracts under this RFP. If DHS does not exercise the right to fully terminate or suspend, DHS shall determine which aspects of this RFP shall move forward and which services shall be performed.

### **6.3 Notice to Proceed**

Upon execution of the Contract, a Notice to Proceed will be issued that will indicate the date when Vendor's work on the scope of services is to commence.

Any work performed by the successful Vendor prior to receipt of a "Notice to Proceed" letter and a fully executed copy of the Contract shall be at the Vendor's own risk and expense. The State and DHS are not and will not be liable for any work, contract costs, expenses, loss of profits or damages whatsoever incurred by the successful Vendor prior to the receipt of a fully executed Contract.

## 6.4 Term of Contract

This is a multi-term contract solicitation for the SOW that has been deemed to be in the best interest of the State. The award will be represented by a fixed-price Contract. Funds are currently available only for the initial term of the Contract. The contractual obligation of both parties in each fiscal period succeeding the first initial term is subject to the appropriation and availability of funds to DHS.

The initial term of the contract shall be for a 48-month period starting on the official commencement date of the Notice to Proceed.

Unless terminated, the Vendor and the State may extend the term of the Contract for two (2) additional two-year periods (or parts thereof) for a total of eight (8) years, which includes the initial Contract term of four (4) years, without the necessity of re-soliciting, upon mutual agreement in writing. If an option to extend is mutually agreed upon, the Vendor shall be required to execute a supplement to the Contract for the additional extension period.

## 6.5 Debriefing

Pursuant to HAR §3-122-60, a non-selected Vendor may request a debriefing to understand the basis for award. A written request for debriefing shall be made within three (3) working days after the posting of the award of the Contract. The Procurement Officer or designee shall hold the debriefing within seven (7) working days to the extent practicable from the receipt date of written request.

## 6.6 Process for Filing a Protest

Prior to receipt of offers, a protestor initially should seek an informal resolution of the protestor's complaint with the Procurement Officer. A protestor may file a protest pursuant to section 103D-701, HRS, prior to receipt of offers on any phase of a solicitation including, but not limited to, specifications or disclosure of information marked confidential in the bid or offer.

Protest of an award shall be submitted within five (5) working days after the posting of the notice of award. Protest following a debriefing pursuant to section 103D-303(h), HRS, shall be submitted within five (5) working days after the debriefing is completed.

All protests shall be submitted in writing to the following address:

Procurement Officer  
Tracey Laride  
Queen Liliuokalani Building  
Department of Human Services  
1390 Miller Street, Room 104  
Honolulu, HI 96813  
Telephone: (808) 586-5156

## 6.7 Responsibilities of Vendors

Vendor is advised that in order to be awarded a contract under this solicitation, Vendor will be required to be registered to do business in Hawaii and to be compliant with all laws governing entities doing business in the State including the following chapters and pursuant to HRS §103D-310(c):

- 1) Chapter 237, General Excise Tax Law;
- 2) Chapter 383, Hawaii Employment Security Law;
- 3) Chapter 386, Worker's Compensation Law;
- 4) Chapter 392, Temporary Disability Insurance;
- 5) Chapter 393, Prepaid Health Care Act; and
- 6) §103D-310(c), Certificate of Good Standing (COGS) for entities doing business in the State.

The State will verify compliance with the above statutes.

The Hawaii Compliance Express (HCE) is an electronic system that allows Vendors, contractors, or service providers doing business with the State to quickly and easily demonstrate compliance with applicable laws. It is an online system that replaces the necessity of obtaining paper compliance certificates from the Department of Taxation, Federal Internal Revenue Service, Department of Labor and Industrial Relations, and Department of Commerce and Consumer Affairs.

Vendors are encouraged to register with HCE prior to submitting an offer at <https://vendors.ehawaii.gov>. The annual registration fee is \$12.00 and the 'Certificate of Vendor Compliance' is accepted for the execution of contract and final payment. However, the Vendor may instead choose to obtain paper compliance certificates from the Department of Taxation, Federal Internal Revenue Service, Department of Labor and Industrial Relations, and Department of Commerce and Consumer Affairs.

## **7.0 Special Terms and Conditions**

### **7.1 General Administrative**

#### **7.1.1 General**

The following documents form an integral part of the contract between the Vendor and DHS (hereafter collectively referred to as “the Contract”):

- Contract for Goods or Services: Competitive Sealed Proposals (form AG-004 Rev. 11/15/2005), including General Conditions (Form AG-008, 4/15/09) (see Template T-8), any special conditions, attachments and addenda
- This RFP, including all appendices, attachments, and addenda, which shall be incorporated by reference
- The Vendor’s Proposal submitted in response to this RFP, which shall be incorporated by reference

The Contract shall be construed in accordance with the laws of the State of Hawaii.

In the event of any inconsistency between the articles, attachments, specifications, or provisions which constitute this Contract, the following order of precedence shall apply:

- State Standard Form Contract (Form AG-004, Rev 11/15/2005), including, any special conditions, attachments and addenda
- The RFP (RFP DHS-RFP-17-01)
- The Proposal submitted

The successful Vendor shall comply with all applicable laws, ordinances, codes, rules and regulations of the Federal, State, and local governments, that in any way affect its performance under the Contract.

The Vendor shall pay all taxes lawfully imposed upon it with respect to the Contract or any product delivered in accordance herewith. DHS makes no representations whatsoever as to the liability or exemption from liability of a Vendor to any tax imposed by any governmental entity.

The Contract shall be executed by the State of Hawaii DHS in accordance with HRS Chapter 103D, and the administrative rules promulgated there under.

#### **7.1.2 Acceptance of State Standard Form Contract and the General Conditions**

The Vendor, by submitting a Proposal in response to this RFP, warrants the complete review, understanding, and acceptance of the State Standard Form Contract and the General Conditions (see Template T-8). If awarded the Contract, the Vendor will be required to execute a Contract using the State Standard Form Contract which includes the General Conditions.

#### **7.1.3 Contract Discussions and Approval**

DHS will require the successful Vendor to participate in contract discussions regarding the terms and conditions of the Contract within the scope of all Mandatory Response Templates. Upon resolution of the final discussions, DHS will prepare a final Contract. DHS may cancel discussions entirely at any time at the exclusive discretion of DHS. The contract award is contingent upon both Federal and State of Hawaii reviews and approvals.

#### **7.1.4 Authority**

Each party has full power and authority to enter into and perform the Contract, and the person signing this Contract on behalf of each party certifies that such person has been properly authorized and empowered to enter into this Contract. Each party further acknowledges that it has read this Contract, understands it, and agrees to be bound by it.

Vendor is required to submit a Corporate Resolution granting signatory authority to the person who will be executing the Contract with DHS.

#### **7.1.5 Warranty of Fiscal Integrity**

The Vendor warrants that it is of sufficient financial solvency to assure DHS of its ability to perform the requirements of the Contract. The Vendor shall provide sufficient financial data and information to prove its financial solvency.

#### **7.1.6 Representations and Warranties**

Vendors must make the following representations and warranties to DHS under the Contract:

(a) Nothing contained in the Contract or the performance of the Contract will cause Vendor to materially breach any other contract or obligation; and (b) Vendor and its subcontractors are sufficiently staffed and equipped to fulfill the Vendor's obligations under the Contract.

The services will be performed (a) by appropriately qualified and trained personnel; (b) with due care and diligence and to a high standard of quality as is customary in the industry; (c) in compliance with the applicable schedules; and (d) in accordance with all applicable professional standards for the field of expertise.

Each service performed and deliverable completed shall conform to the criteria specifications and requirements established in the RFP.

Documentation provided by the Vendor under the Contract shall be in sufficient detail so as to allow technical personnel of DHS to understand the operation of the deliverables. The Vendor shall promptly, at no additional cost to DHS, make corrections to any documentation that does not conform to this warranty.

Any person assigned to perform services hereunder meets the employment eligibility requirements of all immigration laws of the United States.

No official or employee of DHS who exercises any functions or responsibilities in the review or approval of the undertaking or carrying out of the Engagement shall, prior to the completion of said Engagement, voluntarily acquire any personal interest, direct or indirect, in the Contract.

The Vendor has removed any material conflict of interest prior to the signing of the Contract, and the Vendor shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of their responsibilities under the Contract. No person having any such known interests shall be employed by the Vendor or any of its subcontractors.

As of the effective date of the Contract, the Vendor is not aware of any actual or threatened suit by any third party based on an alleged violation of the rights granted or licensed by the Vendor to DHS hereunder.

The services and/or the deliverables provided under the Contract will not infringe, misappropriate or otherwise violate any intellectual property, contractual, or other proprietary right of any third party.

### 7.1.7 Pricing Disclosure

Upon request and before execution of a Contract, Vendor agrees to provide to DHS cost or pricing data, including historical or negotiated pricing with other states or public entities, to support the submitted Proposal. Vendor must demonstrate that DHS will receive competitive pricing for the same, or substantially similar, commodities and services during the term of the Contract.

### 7.1.8 Insurance

The Vendor shall maintain insurance acceptable to DHS in full force and effect throughout the term of the Contract.

Prior to or upon execution of the Contract, the Vendor shall provide to DHS a Certificate of Liability Insurance dated within thirty (30) days of the effective date of the contract necessary to satisfy DHS that the insurance provisions of this Contract have been complied with. The Vendor shall complete and submit the Insurance Requirement Certification as provided in Template T-8, which certifies that the Vendor acknowledges the below discussed insurance requirements.

Note: Vendors are not required to submit the Certificate of Liability Insurance with their Proposal. It will be a requirement when the Vendor is notified of an award.

The policy or policies of insurance maintained by the Vendor shall be written by insurance companies licensed to do business in the State of Hawaii or meet the requirements of Section 431:8-301, HRS, if utilizing an insurance company not licensed by the State of Hawaii.

The policy(ies) shall provide at least the following limit(s) and coverage:

**Table 26. Required Insurance Coverage**

Coverage	Limits
Commercial General Liability	\$1 million per occurrence, and \$2 million in the aggregate
Automobile	May be combined single limit: Bodily Injury: \$1 million per person, \$1 million per accident Property Damage: \$1 million per accident
Workers Compensation / Employers Liability (E.L.)	Workers Comp: Statutory Limits E.L. each accident:\$1 million E.L. disease: \$1 million per employee, \$1 million policy limit E.L. \$1 million aggregate
Professional Liability	\$5 million per claim \$10 million annual aggregate

Each insurance policy required by this Contract shall contain the following clauses, which shall also be reflected on the Certificate of Insurance:

- **Liability and Auto Insurance.** Contractor shall, at its sole cost and expense, obtain, and, during the term of this Contract, maintain, in full force and effect, the insurance coverage described in this Section. Contractor shall acquire such insurance from an insurance carrier or carriers licensed to conduct business in the State of Hawaii or meet the requirements of Section 431:8-301, Hawaii Revised Statutes, if utilizing an insurance company not licensed by the State of Hawaii, and having a rating of A , Class VII or better, in the most recently published edition of Best’s Reports. Contractor shall include State, its boards, agencies, contractors, offices, employees, agents and volunteers as

additional insureds in Contractor's liability insurance policy obtained hereunder. If Contractor fails to buy and maintain the insurance coverage described in this Section 18, State may terminate this Contract under Section 22.1 (Termination for Contractor's Default). The minimum acceptable limits shall be as indicated below:

- Commercial General Liability covering the risks of bodily injury (including death), property damage and personal injury, including coverage for contractual liability, with a limit of not less than \$1 million per occurrence/\$2 million general aggregate;
  - Business Automobile Liability (owned, hired, or non-owned)(including coverage for the Contractor's employees who rent or use their own vehicles in the course of their employment) covering the risks of bodily injury (including death) and property damage, including coverage for contractual liability, with a limit of not less than \$1 million bodily injury per accident, \$1 million per accident for property damage, \$1 million per person for bodily injury or \$2 million combined single limit;
  - Umbrella policy providing excess limits over the primary policies in an amount not less than \$3 million;
  - Professional Liability Errors and Omissions, with coverage of not less than \$5 million per claim/\$10 million annual aggregate; and
  - Crime Coverage of not less than \$5 million single limit per occurrence and \$10 million in the aggregate, which shall at a minimum cover occurrences falling in the following categories: Computer Fraud; Forgery; Money and Securities; and Employee Dishonesty; and
  - Cyber-security insurance, with coverage of not less than \$6 million per occurrence/\$12 million general aggregate, that includes but is not limited to coverage for first-party costs and third-party claims from: (i) failure to protect data, including unauthorized disclosure, use or access, (ii) security failure or privacy breach, (iii) failure to disclose such breaches as required by law, regulation or contract, (iv) notifications, public relations, credit monitoring, postage, advertising, and other services to assist in managing and mitigating a cyber-incident, (v) interruptions of business operations, (vi) network security failure, (vii) cyber-extortion, (viii) cyber-terrorism, (ix) communications and media liability (e.g., infringement of copyright, title, slogan, trademark, trade name, trade dress, service mark or service name in the policyholder's covered material), (x) EFT, computer, and electronic transmissions fraud and theft, and (xi) other cyber-liability and cyber-crime expenses.
- **Worker's Compensation/Employers Liability Coverage.** Prior to performing Services under this Contract, Contractor shall provide or purchase worker's compensation coverage for its employees, and shall maintain such coverage during the course of this Contract. State will not be responsible for payment of premiums or for any other claim or benefit for Contractor, or any Subcontractor or employee of Contractor, which might arise under applicable laws during the performance of duties and Services under this Contract. However, should Contractor fail to secure insurance coverage or fail to pay premiums on behalf of its employees, State may deduct the amount of premiums and any penalties owing from the amounts payable to Contractor under this Contract and transmit the same to the responsible State agency. Such worker's compensation policy shall be for amount in accordance with statutory limits, and employers liability coverage shall be as follows: (1) each accident -\$1 million; (2) disease - \$1 million per employee with a \$1 million policy limit; and (3) \$1 million aggregate.

- **Subcontractors.** Contractor shall include all Subcontractors as insured under all required insurance policies, or shall furnish separate certificates of insurance and endorsements for each Subcontractor. Subcontractor(s) shall comply fully with all insurance requirements stated herein. Failure of Subcontractor(s) to comply with insurance requirements does not limit Contractor's liability or responsibility.
- **Premiums.** Premiums on all insurance policies shall be paid by Contractor or its Subcontractors. Such liability insurance policies provided for State pursuant to this Section shall expressly provide therein that State be named as additional insured, and that it shall not be revoked by the insurer until 30 days' Notice of intended revocation thereof shall have first been given to State by such insurer.
- **Expiration or Cancellation.** If the scheduled expiration date of the liability insurance is earlier than the expiration date of the time of performance under this Contract, Contractor, upon renewal of the policy shall promptly provide to State an updated liability certificate of insurance. Contractor's insurance policies shall not be canceled, limited in scope, or non-renewed in scope of coverage without the State's written consent. Contractor shall provide prompt Notice to State if any of the insurance policies will be cancelled, limited in scope, or not be renewed upon expiration to the extent affecting Contractor's compliance with the requirements hereunder. Written notification shall be sent to the State procurement officer, and Contractor shall have replacement insurance policy(ies) in place that satisfy the requirements set forth in this Section 18.
- **Insurance Documents.** Contractor shall furnish to State copies of certificates of all required insurance on the Effective Date, and copies of renewal certificates of all required insurance within 30 days after the renewal date. Such insurance must be kept in effect and the certificate(s) therefor on deposit with the State during the entire term of the Contract. Upon request by the State, Contractor shall furnish a copy of the policy or policies. Contractor shall submit the certificates of coverage to the State Project Manager at an address designated in writing by State. These certificates of insurance must expressly indicate compliance with each and every insurance requirement specified in this Section and shall be executed by a duly authorized representative of each insurer. The Certificate of Insurance for each required policy shall reference the State Contract Number for the Contract. Failure to provide these documents and keep in force the insurance in this Section shall be regarded as a material default under this Contract and grounds for immediate termination or suspension of this Contract by State, and the State shall also be entitled to exercise any or all of the remedies provided in the Contract for a default by Contractor. Contractor is not required to submit to State copies of Certificates of Insurance for personal automobile insurance required of the Contractor's employees and volunteers under this Contract. Each insurance policy required by this Contract shall contain the following clauses, which shall also be reflected on the Certificate of Insurance:
  - "The State of Hawaii is an additional insured with respect to operations performed for the State of Hawaii."
  - "Any insurance maintained by the State of Hawaii shall apply in excess of, and not contribute with, insurance provided by this policy."
  - "This insurance shall not be cancelled, limited in scope of coverage or non-renewed until after 30 calendar days advance written notice has been given to the State of Hawaii, Department of Human Services."
- **Increased Coverage.** State is to be notified by Contractor immediately if any aggregate insurance limit as required in this Contract is exceeded. In such event, additional coverage must be purchased to meet requirements.

- **Cross Liability.** All insurance provided by Contractor under this Contract shall be primary as to any other insurance or self insurance programs afforded to or maintained by the State and shall include a severability of interests (cross liability) provision.
- **General.** Contractor shall maintain insurance acceptable to State in full force and effect throughout the term of the Contract. By requiring insurance, the State does not represent that the coverage and limits specified will be adequate to protect the Contractor. Such coverage and limits shall not be construed to shall not be construed to limit Contractor's liability hereunder, to fulfill the indemnification provisions and requirements of this contract, or to relieve the Contractor from liability in excess of the required coverage and limits and shall not limit the indemnities and reimbursements granted to the State in this Contract.
- **Subrogation.** Contractor agrees to waive all rights of subrogation against State, its boards, agencies, departments, officers, employees, agents, and volunteers for losses arising from services performed by Contractor under this Contract.
- **Extended Coverage.** For Professional Liability Errors and Omissions coverage under Section 18.1.5, Contractor shall continue such coverage for at least five years beyond the expiration or termination of this Contract. The Retroactive Date must be shown and must be before the Effective Date or the beginning of work on the Contract, whichever is earlier. If coverage is canceled or non-renewed, and not replaced with another claims made policy form with a Retroactive Date prior to the Effective Date, Contractor must purchase "extended reporting" coverage for a minimum of five years after expiration or termination of the Contract, whichever is earlier.
- **Employees and Volunteers.** The Contractor is responsible for securing all employee-related insurance coverage for the Contractor and the Contractor's employees and agents that is or may be required by law, and for payment of all premiums, costs, and other liabilities associated with securing the insurance coverage. Insurance required of Contractor under the Contract shall include coverage for the acts and omissions of Contractor's employees and volunteers.

Automobile liability insurance shall include coverage for the Vendor's employees who rent or use their own vehicles in the course of their employment.

The Vendor must deposit with DHS, on or before the effective date of the Contract, certificate(s) of insurance necessary to satisfy the State that the insurance provisions of this Contract have been complied with. Such insurance must be kept in effect and the certificate(s) therefore on deposit with the State during the entire term of the Contract. Upon request by the State, the Vendor shall furnish a copy of the policy or policies.

If the scheduled expiration date of the Liability Insurance is earlier than the official Notice to Proceed commencement date of the Contract or the expiration date of the time of performance under this Contract, the Vendor, upon renewal of the policy shall promptly provide to DHS an updated Certificate of Liability Insurance.

The Vendor shall provide prompt written notice to DHS should any of the insurance policies be cancelled, limited in scope, or not be renewed upon expiration to the extent affecting Vendor's compliance with the requirements hereunder. Written notification shall be sent to the DHS POC, Tracey Laride (see Section 1.2).

Failure of the Vendor to provide and keep in force the insurance required under this section shall be regarded as a material default under this Contract, entitling DHS to exercise any or all of the remedies provided in this Contract for a default of the Vendor.

The procuring of such required policy or policies of insurance shall not be construed to limit Vendor's liability hereunder or to fulfill the indemnification provisions and requirements of this Contract.

If the Vendor is authorized by DHS to subcontract, subcontractors are not excused from the indemnification and/or insurance provisions of this Contract. In order to indemnify the State of Hawaii, the Vendor agrees to require its subcontractors to obtain insurance in accordance with this section.

#### **7.1.9 Standards of Conduct**

The Vendor shall execute the Vendor's Standards of Conduct Declaration, a copy of which is found in Template T-8, and which shall become part of the Contract between the Vendor and DHS.

#### **7.1.10 Prohibition of Gratuities**

Vendor has not offered or given, and shall not offer or give, to any employee, agent or representative of DHS any gratuity or inducement with a view toward securing any business from DHS or any part thereof or influencing such person with respect to terms, conditions, or performance of any business dealing with or from DHS or any part thereof. Any breach of this representation and warranty shall be considered a material breach of the Contract, and shall allow DHS to terminate the Contract immediately at its sole discretion and allow DHS to avail itself of any and all remedies either at law or in equity.

#### **7.1.11 Use of Funds**

The Vendor shall not use any public funds for purposes of entertainment perquisites and shall comply with any and all conditions applicable to the public funds to be paid under this Contract, including those provisions of appropriate acts of the Legislature or by administrative rules adopted pursuant to law.

#### **7.1.12 Restriction on Advertising**

Vendor is not allowed to display the State seal in their Proposal or subsequent marketing materials if they are awarded a Contract. The use of the coat of arms and the State seal for advertising or commercial purposes is prohibited by law.

#### **7.1.13 Attorney's Fees**

In addition to costs of litigation provided for under General Condition 8, in the event that DHS should prevail in any legal action arising out of the performance or non-performance of this Contract, the Vendor shall pay, in addition to any damages, all expenses of such action including reasonable attorney's fees and costs. The term 'legal action' shall be deemed to include administrative proceedings of all kinds, as well as all actions at law or equity.

#### **7.1.14 Sovereign Immunity**

By entering into the Contract with Vendor, DHS does not waive its sovereign immunities or defenses as provided by law.

#### **7.1.15 Termination of the Contract**

This Contract may terminate or may be terminated by DHS for any or all of the following reasons in addition to General Conditions 13 and 14:

- Termination for Bankruptcy or Insolvency. In the event that a Vendor shall cease conducting business in the normal course, become insolvent, make a general assignment for the benefit of creditors, suffer or permit the appointment of a receiver for its business or its assets or shall avail itself of, or become subject to, any proceeding under the Federal Bankruptcy Act or any other statute of any State relating to insolvency or the protection of the rights or creditors, DHS may, at its option, terminate this Contract. In the event DHS elects to terminate a Contract under this provision it shall do so by sending notice of termination to the Vendor by registered or certified mail, return receipt requested. The date of termination shall be deemed to be the date such notice is mailed to the Vendor, unless otherwise specified.
- Termination for Unavailability of Funds. All Contracts are subject to availability of funds. If funding is delayed or reduced, or is not appropriated in full to DHS, a “Non-Funding event”, then DHS shall have the right to partially or fully terminate or suspend any Contracts under this RFP. If DHS does not exercise the right to fully terminate or suspend, DHS shall determine which aspects of this RFP shall move forward and which services shall be performed. Vendor agrees that no penalty or damages shall be applied to, or shall accrue to, DHS or the State due to a non-funding event. Vendor further agrees that neither DHS nor the State will be responsible for any costs, expenses or losses incurred by Vendor due, in whole or in part, to a Non-Funding Event.

## **7.2 Employees and Subcontractors**

### **7.2.1 Vendor Employee Background Checks**

To the extent permitted by applicable laws, rules and regulations, Vendor shall not permit personnel of Vendor or any of its subcontractors who are found to have a criminal record in any state from working on the Contract.

### **7.2.2 Wages, Hours, and Working Conditions**

Before a Vendor enters into a contract in excess of \$25,000, the Vendor shall certify that it complies with Section 103-55, HRS, Wages, hours, and working conditions of employees of contractors performing services. The Vendor shall complete and submit the Wage Certification as provided in Template T-8 of the RFP, pursuant to Section 103-55, HRS.

### **7.2.3 Subcontractors / Provider Agreements**

The Vendor may negotiate and enter into contracts or agreements with providers and other subcontractors (with prior written consent of DHS) to the benefit of the Vendor and DHS as long as all the requirements of General Condition 6 are satisfied, and the providers and subcontractors meet all established criteria and provide the services in a manner consistent with the minimum standards specified. All such agreements shall be in writing and shall specify the activities and responsibilities delegated to the subcontractor. The subcontracts must also include provisions for revoking delegation or imposing other sanctions if the subcontractor's performance is inadequate. DHS reserves the right to inspect all subcontract and provider agreements at any time during the Contract period.

No subcontract or agreement that a Vendor enters into with respect to the performance under this Contract shall in any way relieve a Vendor of any responsibility for any performance required of it by this Contract. The Vendor shall provide DHS immediate notice in writing by registered or certified mail of any action or suit filed against it by any subcontractor or provider, and prompt notice of any claim made against any Vendor may result in litigation related in any way to the Contract with the State of Hawaii. The Vendor shall designate itself as the sole point of recovery for any subcontractor or provider.

The Vendor shall notify DHS at least fifteen (15) days prior to adding or deleting provider or subcontractor agreements or making any change to any provider or subcontractor agreements which may materially affect the Vendor's ability to fulfill the terms of this Contract.

All agreements or contracts with the subcontractors or providers shall be finalized and fully executed within thirty (30) days of the Contract award. DHS reserves the right to review any subcontractor or provider contracts or agreements prior to the notification of award of the Contract.

All subcontracts shall require that the subcontractors/providers agree to comply with the confidentiality requirements stated in General Conditions 24 and 42, other requirements imposed by this RFP, including section 7.3.1, Confidentiality of Information, and any applicable laws, ordinances, codes, rules and regulation of the Federal and State to the extent subcontractors or providers render services or perform functions that make such provisions applicable to such agreements.

Vendor is responsible for the satisfactory performance hereunder, including, without limitations, with respect to accessibility, warranties, maintenance and support, and oversight of its subcontractors. Vendor must pass through to DHS any warranties given by each approved subcontractor in connection with the obligations of Vendor pursuant to the terms of the Contract and this RFP for which such subcontractor has contracted with Vendor. Notwithstanding the foregoing, DHS shall not be required to seek a remedy directly against any such subcontractor but may be permitted to seek such remedies against Vendor. DHS will not be bound by any provisions contained in a written agreement with a subcontractor to which it is not a party.

The substitution of one subcontractor for another may be made only with prior written approval of DHS. Any and all substitute subcontractors provided by Vendor pursuant to the terms of this RFP shall be provided at no additional cost to DHS beyond the total fixed price indicated in the applicable Proposal or the BAFO.

With respect to any software or hardware that is acquired by Vendor from a subcontractor for purposes of the Project, Vendor must ensure that DHS is properly licensed for all software at no additional cost to DHS (other than as stated in the Proposal).

#### **7.2.4 Employment of State Personnel**

Vendor shall not knowingly engage any person(s) who are or have been employed within the past two (2) years by the State of Hawaii to assist or represent the Vendor for consideration in matters which he/she participated as an employee or on matters involving official action by the State agency or subdivision, thereof, where the employee had served.

## **7.3 Security and Confidentiality**

### **7.3.1 Confidentiality of Information**

In addition to the requirement of General Conditions 24 and 42, the Vendor understands that the use and disclosure of information concerning applicants, enrollees or members is restricted to purposes directly connected with the IV&V services, and agrees to guard the confidentiality of an applicant's, enrollee's or member's information as required by law.

Vendor shall also protect the physical security and restrict any access to personal or other data of the State in Vendor's possession, or used by Vendor in the performance of the Contract, which shall include, but is not limited to, the State's public records, documents, files, software, equipment or systems.

The Vendor shall not disclose confidential information to any individual or entity.

Access to any confidential information shall be limited by the Vendor to persons or agencies that require the information in order to perform their duties in accordance with this Contract, including DHS, and other individuals or entities as may be required by DHS.

The Vendor is responsible for knowing and understanding General Conditions 24 and 42, as well as HIPAA regulations, 45 CFR §160.103 and any other applicable laws. If determined applicable, the Vendor agrees to sign a Business Associate Agreement (Exhibit A) with DHS and comply with the terms.

The Vendor shall implement a secure electronic mail (email) encryption solution to ensure confidentiality, integrity, and authenticity of email communications that contain information relating to members.

### **7.3.2 Security Requirements**

Vendor shall comply and shall cause its personnel (including subcontractors) that are providing services at DHS' facilities or that have access to any data and/or networks of DHS, or personnel that DHS permits to perform services at a location other than its facilities, to comply with applicable security requirements.

The Solutions and Vendor project teams must comply with all applicable Federal and State security requirements (e.g. FNS Handbook 901, MARS-E, HIPAA, IRS Publication 1075, MQD System and Services Acquisition Policy). The FNS Security Plan Checklist in Appendix H of the FNS Handbook 901 (URL link included in the Procurement Library Index spreadsheet), is provided to assist the Vendor to develop and implement security controls in order to maintain a secure computing environment for the Project. Not all items on the Security Plan Checklist are mandatory, but each major section should be addressed in some form or another.

## **7.4 Invoicing, Payments, Taxes and Retainage**

### **7.4.1 Invoicing**

At a minimum (and in addition to other requirements stated in this RFP, including General Condition 17 of the General Conditions included in the Procurement Library), Vendor shall provide monthly reports to the Contract Administrator tracking the progress of work towards the agreed-upon deliverables. Each payment is conditioned upon proof of satisfactory completion of the agreed-upon deliverables. Signature blocks must be included for each deliverable, and it will be signed by the Vendor and the Contract Administrator if in their judgment the deliverable was satisfactorily completed.

Vendor shall not pass on the Hawaii General Excise Tax to DHS by showing it as a separate line item on Vendor's invoices.

The Vendor shall submit an original and one copy of the invoice specifying the amount due and certifying that services requested under the Contract have been performed with attached detailed supporting documentation, to:

Tracey Laride  
Queen Liliuokalani Building  
Department of Human Services  
1390 Miller Street, Room 104  
Honolulu, HI 96813

## **7.5 Performance, Damages, Losses and Sanctions**

### **7.5.1 Performance Bond**

A performance bond is not required by DHS for this procurement.

### **7.5.2 Risk of Loss**

Vendor shall assume and shall bear the entire risk of loss and damage to any deliverables from any cause whatsoever while in transit and at all times throughout its possession.

Vendor shall be responsible for replacing, restoring, or bringing to at least original condition any damage to any State facility or portion thereof caused by its personnel and operations during the installation, subject to final approval of DHS. The repairs will be done only by technicians skilled in the various trades involved, using materials and workmanship to match those of the original construction in type and quality.

Vendor shall be responsible for the proper custody of any State-owned property furnished for Vendor's use in connection with work performed pursuant to the Contract. Vendor shall reimburse DHS for any loss or damage, normal wear and tear excepted.

### **7.5.3 Sanctions**

The Vendor shall compensate DHS for any Federally imposed sanctions against DHS for any failures during design, implementation, maintenance, operations, or modification of the System in meeting Federal requirements (e.g. FNS SNAP, MARS-E, HIPAA and IRS Publication 1075), that were caused by the Vendor's or any subcontractor's action or inaction.

### **7.5.4 Remedies**

In addition to all rights and remedies available to DHS provided in the Contract or otherwise provided under law, if Vendor is in non-compliance with the Contract requirements, DHS may:

- (1) Suspend Payments – Temporarily withhold or disallow all or part of the billing cost/payments pending correction of a deficiency or a non-submission of a required service or deliverable by Vendor; or
- (2) Seek Reimbursement – Seek reimbursement from Vendor or withhold future payments for any funds paid to Vendor subsequent to a determination that such was unauthorized, fraudulently obtained, or inappropriately billed.

## **7.6 Operations**

### **7.6.1 Performance and Payment Time Frames Beyond the Term of the Contract**

All term leases, rentals, maintenance, or other agreements for services entered into by Vendor during the term of the Contract and whose performance and payment time frames extend beyond the term of the Contract shall remain in effect for performance and payment purposes (limited to the time frame and services established per each written agreement). No new leases, rentals, maintenance, or other agreements for services may be executed by Vendor after the Contract has expired. Any Contract termination or suspension shall not automatically terminate any leases, rentals, maintenance, or other agreements for services already in place, unless DHS also terminates said leases, rentals, maintenance, or other agreements for service, which were executed pursuant to the Contract.

### **7.6.2 Communications**

Vendor shall provide consistent communications to the Contract Administrator including, at a minimum, bi-monthly (every 2 weeks) electronic communications (e.g., electronic reports and newsletters or accessible dashboards) that can be provided by DHS to stakeholders on various levels.

### **7.6.3 Delivery and Schedule**

During the initiation of the Project, Vendor and DHS will develop a mutually agreed upon project plan including the division of responsibility between DHS personnel and Vendor's staff. The project plan must be in place prior to any other work being performed. Once the parties mutually agree upon a project plan, such plan will identify specific time frames and deliverable target dates, and will be incorporated into and made a part of the Contract. The dates in the project plan will define the agreed upon schedule of milestones. The project plan may evolve and change during the term of the Contract upon the mutual written agreement of both parties or in connection with the change order process, provided, however, except as permitted by a change order that is executed by the parties and in compliance with applicable laws, rules and regulations, the project plan may not change the scope of the Contract. The parties agree that the deliverables and schedule set forth in the latest version of the project plan will take precedence over any prior plans.

All services and deliverables that Vendor is obligated to provide shall be properly performed, delivered, installed, and integrated, as applicable, for acceptance testing by the dates identified in the project plan.

Vendor must furnish only new materials and the most current proven and stable equipment to DHS under the Contract, unless an explicit requirement for used equipment is otherwise specified.

For the term of the Contract, Vendor is not authorized to substitute any item for any deliverable identified in the Contract without the prior written consent of the Contract Administrator.

Vendor shall have no right to repossess any deliverable accepted by the Contract Administrator. No deliverables purchased, leased, or licensed in connection with the Contract shall be subject to any chattel mortgage, secured interest, or conditional sales or other agreement by which an interest is retained by the seller, lender, lessor or any other party.

#### **7.6.4 Time is of the Essence**

Time is of the essence with respect to Vendor's performance under this Contract.

As used herein "Time is of the essence" shall be defined to mean that the Vendor will adhere to the mutually agreed upon schedule and milestones for Services, Work Product and Deliverables, subject only to delays directly, and to the extent, caused by DHS that are not capable of cure, and agree that rescission of this Contract will not be a remedy for any breach of this provision.

#### **7.6.5 Application of Best Practices**

In connection with the provision of all services and deliverables in connection with the Project, Vendor shall conform to, apply and abide by best practices in the information technology industry, including, but not limited to, standards and methodologies issued by:

- a) The Project Management Institute, specifically the Project Management Book of Knowledge (PMBOK);
- b) Information Technology Infrastructure Library (ITIL);
- c) International Organization for Standardization (ISO) 9000;
- d) National Institute of Standards and Technology (NIST); and
- e) Center for Internet Security (CIS).

#### **7.6.6 Re-Execution of Work**

The Vendor shall re-execute any work that fails to conform to the requirements of the Contract and shall immediately remedy any defects reported to Vendor by DHS. Should the Vendor fail to comply, DHS reserves the right to engage in, and the Vendor shall be liable for, the services of another company to perform the work. DHS reserves the right but shall not be limited to deducting such costs from monies due to the Vendor.

The State may, at any time and by written order, stop services of any item not conforming to the specifications of the Contract. Such stop order shall not relieve the Vendor of its obligation to complete the Contract within the Contract time limits nor shall it in any way terminate, cancel, or abrogate the Contract or any part thereof.

#### **7.6.7 Supplemental Services may be Required**

Vendor acknowledges that other unanticipated system and operational requirements may arise as the scope of services under the contract proceeds. In the event that in order to make the system complete and fully operational and satisfactory to DHS, additional services of the Vendor may be required. The Vendor agrees to enter into a supplement agreement upon request by DHS for the additional work. The cost of the additional scope of services will be agreed upon by both parties. The additional scope of services, respective additional cost, if any, and extension of the period of performance, if any, are subject to all approvals required by DHS.

## 8.0 Glossary

### A

**Administration for Children and Families (ACF)** The ACF is a division of the U.S. Department of Health & Human Services that promotes the economic and social well-being of families, children, individuals and communities.

**Administrative Appeals Office (AAO)** An organization within DHS that provides administrative due process hearings in contested cases for the Department.

**Adult Protective and Community Services Branch (APCSB)** APCSBS provides crisis intervention, investigation and emergency services to dependent adults who are reported to be abused, neglected or financially exploited by others or seriously endangered due to self-neglect.

**Adult Protective Services (APS)** is a mandated service of APCSBS that provides crisis intervention, without regard to income, including investigation and emergency services for vulnerable adults who are reported to be abused, neglected or financially exploited by others or seriously endangered due to self-neglect. A vulnerable adult is a person eighteen years of age or older, who because of mental, developmental, or physical impairment, is unable to: communicate or make responsible decisions to manage the person's own care or resources; carry out or arrange for essential activities of daily living; or protect oneself from abuse.

**Advanced Planning Document Update (APD-U)** A formal document or record submitted annually to report project status and/or post implementation cost savings, or on an as needed basis, to request funding approval for project continuation.

**Affordable Care Act (ACA)** On March 23, 2010, President Obama signed the Affordable Care Act. The law puts in place comprehensive health insurance reforms that will roll out over four years and beyond.

**Agency of One** A DHS initiative to move from a solely *program-centric* approach focused on discrete outputs to a *person and family-centric* approach focused on access to and delivery of multiple coordinated services to improve outcomes cost and quality of DHS programs and services.

**Aid to the Aged, Blind and Disabled (AABD)** The AABD program provides cash benefits for food, clothing, shelter, and other essentials to adults who are elderly (65 years of age or older) and/or who meet the Social Security Administration (SSA) definition of disabled. To qualify, individuals must have countable income that is below 34% of the 2006 Federal Poverty Level and may not have resources in excess of \$2,000 for a single person and \$3,000 for a couple. The goal is to ensure that clients receive at least a minimally adequate standard of living.

**Applicant** An Applicant is a person who is applying for benefits/services for themselves and/or their family member(s).

**Application DDI Vendors** refers to the ASI Vendor and CCWIS Vendor developing applications on the DHS Enterprise Platform for which the IV&V Vendor will provide oversight activities on their respective projects.

**Application System Integrator (ASI)** The ASI also referred to as the IE / BM Vendor is responsible for DDI of the Benefits Eligibility Solution, enhancement of the Medicaid E&E Solution, M&O of the Solutions as well as retirement of the current BESSD legacy systems.

**Audit, Quality Control and Research Office (AQCRO)** An organization within DHS that supports the Financial Evaluation Staff, Quality Control Staff and the Research Staff.

## **B**

**Benefit, Employment and Support Services Division (BESSD)** The largest division in the Hawaii Department of Human Services. Staff and administrators provide a continuum of services, through nine programs that serve different populations, aimed at providing clients with monthly benefits to assist them with such essentials as food, shelter, and child care, as well as employment support and work-training and dependency diversion and prevention.

**Benefits Eligibility Solution** The Solution designed, developed and implemented to provide integrated eligibility and benefits management capabilities that support the BESSD programs.

**Benefits Eligibility Solution and Enterprise Platform Services Engagements** The effort to 1) provide enhancements to the Medicaid Eligibility and feed for Enrollment (E&E) Solution, DDI of the Benefits Eligibility Solution and ongoing maintenance and operations (M&O), and 2) provide infrastructure hosting services, middleware M&O (DHS Enterprise Platform), operational support services, and systems integrator / multi-vendor integration services.

**Benefits Eligibility Solution Engagement** The scope of work that completes DDI of the Benefits Eligibility Solution and enhancement of the Medicaid E&E Solution; M&O of the Solutions; and retirement of the BESSD legacy systems.

**Benefits Eligibility Solution Maintenance and Operations** The ongoing M&O activities for the Benefits Eligibility Solution and Medicaid E&E Solution.

**Benefits Eligibility Solution Project** The DDI of the Benefits Eligibility Solution and enhancements to the Medicaid E&E Solution.

**Budget, Planning and Management Office (BPMO)** An organization within DHS that supports the Budget Staff, Planning Staff and the Program and Management Evaluation Staff.

**Business Intelligence (BI)** The process of capability of gathering information in the field of business; the process of turning data into information and then into knowledge.

**Business Intelligence Publisher (BIP)** Oracle reporting solution to author, manage and deliver reports.

**Business Process Analysis (BPA)** Methodology used for developing a system's Functional Requirements, by establishing an understanding of the as-is environment and identifying the to-be operational business and service delivery process of the future system. The BPA report is comprised of Workflows and Use Cases that depict the desired future state for BESSD and SSD.

## **C**

**Centers for Medicare and Medicaid Services (CMS)** A federal agency within the United States Department for Health and Human Services.

**Child Abuse Prevention and Treatment Act (CAPTA)** The CAPTA is a key piece of legislation that guides child protection. CAPTA, in its original inception, was signed into law on January 31, 1978. It was reauthorized in 1978, 1984, 1988, 1992, 1996 and 2003, and with each reauthorization, amendments have been made to CAPTA that have expanded and refined the scope of the law.

**Child and Family Services Review (CFSR)** The Children's Bureau conducts the CFSRs, which are periodic reviews of state child welfare systems, to achieve three (3) goals: 1) Ensure conformity with federal child welfare requirements, 2) Determine what is actually happening to children and families as they are engaged in child welfare services, and 3) Assist states in helping children and families achieve positive outcomes.

**Child Protective Services System (CPSS)** The primary legacy system for CWS and APS, CPSS is mainframe based using Natural and ADABAS under CICS transaction Monitor.

**Child Welfare Services (CWS)** CWS programs include family strengthening and support, child protection, foster care, adoption, independent living and licensing of resource family homes, group homes and child-placing organizations.

**Child Welfare Services Branch (CWSB)** The Branch within the Social Services Division that provides child welfare services.

**Children's Health Insurance Program (CHIP)** A medical coverage source for individuals under age 19 whose parents earn too much income to qualify for Medicaid, but not enough to pay for private coverage.

**Client** A Client is a person who is applying for or receiving benefits and services for themselves and/or their household.

**Cognos** IBM's web-based, business intelligence and performance management software. Its capabilities include mining, analyzing, reporting, dashboarding, scorecarding and monitoring.

**Commercial Off-The-Shelf (COTS)** Software or hardware that are ready-made and available for sale to the general public and they are often designed to be implemented easily into existing

**Contract** The binding agreement between DHS and the awarded IV&V Vendor.

**Contract Administrator** The role responsible for management of the Contract between DHS and the awarded IV&V Vendor.

**Contractor** Company or individual that is contracted to perform work or provide supplies. It is often referred to as the award winning Vendor.

**Child Welfare Information System Engagement (CCWIS Engagement)** The scope of work that completes DDI of the CCWIS Solution, M&O of the Solution, and retirement of the SSD legacy systems.

**CCWIS Maintenance and Operations** The ongoing M&O activities for the CCWIS Solution.

**CCWIS Project** The DDI of the CCWIS Solution.

## D

**Deliverables Acceptance Document (DAD)** A document approved by DHS, used to receive formal acceptance of a project deliverable by DHS for each deliverable by the Application DDI Vendors.

**Deliverables Expectations Document (DED)** A document approved by DHS, reviewed by the IV&V Vendor, to guide the development of project deliverables created by the Application DDI Vendors.

**Department of Accounting and General Services (DAGS)** DAGS manages the State of Hawaii Accounting System, Financial Accounting Management and Information System (FAMIS). HAWI provides accounting transactions as a subsidiary accounting system.

**Department of Health (DOH)** The mission of the Department of Health is protect and improve the health and environment for all people in Hawaii.

**Department of Human Services (DHS)** DHS is the second largest department in the State of Hawaii that manages an annual budget of \$2.7 billion. DHS has four divisions: Benefit, Employment and Support Services Division; Social Services Division; Med-QUEST Division; and Division of Vocational Rehabilitation. DHS also has administratively attached agencies and commissions: the Hawaii Public Housing Authority, Office of Youth Services, Hawaii State Commission on the Status of Women and State Commission on Fatherhood.

**Design, Development and Implementation (DDI)** The common term for the project-based work to stand up technology and/or services.

**DHS Enterprise Platform (Platform)** DHS Enterprise Platform is a suite of technology components that have been implemented by DHS. These currently provide support the Medicaid E&E Solution and will provide the infrastructure and shared components for the Benefits Eligibility Solution, and other future DHS solutions.

**DHS Enterprise Program (Program)** A DHS-wide initiative that serves to coordinate IT and non-IT projects to support the vision of an Agency of One. Leverages the technology capabilities of the DHS Enterprise Platform to provide Department-wide information sharing and consistency in capabilities

**Division of Vocational Rehabilitation (DVR)** DVR is a division of DHS and administers a state-federal program for individuals with disabilities who require assistance to prepare for, secure, retain or regain employment. The Hawaii DVR administers three programs that have separate but related functions to provide for the rehabilitation needs of people with disabilities to secure employment and to lead full and productive lives. The underlying philosophy and goal of the DVR is that through employment, individuals with disabilities are empowered toward economic self-sufficiency, independence, and inclusion and integration into society.

**Dun & Bradstreet (D&B)** is an American public company that provides commercial data to businesses on credit history, business-to-business sales and marketing, counterparty risk exposure, supply chain management, lead scoring and social identity matching

## **E**

**Electronic Benefit Transfer (EBT) Card** Hawaii's EBT card system processes the payments for the SNAP and cash assistance programs, such as temporary Assistance for Needy Families (TANF); Temporary Assistance for Other Needy Families (TAONF); General Assistance (GA); Aid to the Aged, Blinded, or Disabled (AABD); Repatriates; Refugees, Child Care; Employment and Training (E&T); First-to-Work (FTW) and the SNAP programs. The EBT system utilizes a debit card that allows the clients to access their SNAP benefits at food retailers through their Point of Sale (POS) machines and cash benefits through POS machines as well as Automated Teller Machines (ATMs). Recipients receiving cash assistance may also choose to have their cash benefits directly deposited into their personal bank accounts. Payments distributed through this system are: SNAP benefits, cash assistance, and support service payments through the FTW and E&T programs.

**Electronic Case File System (ECF)** ECF is a stand-alone Content Management System that was recently implemented to migrate from paper to electronic case files. The system includes scanners, workflow for processing paper documents and Documentum back-end. The system allows staff to file, store, and manage documents directly over the internet and access the files easily.

**Eligibility and feed for Enrollment (E&E)** The capabilities to process applications from Medicaid or CHIP applications and beneficiaries for eligibility and enrollment in the State of Hawaii Medicaid or CHIP programs.

**Employment and Training (E&T)** The E&T program is a statewide work program designed to assist able-bodied adults to become attached to the workforce. E&T serves Supplemental Nutrition Assistance Program recipients and puts emphasis on: employment, work experience, training, on-the-job training, and limited job search activities. E&T also provides supportive services in the form of a participant reimbursement to cover work-related expenses and child care.

**Employment Plan (EP)** Signed, written agreement between the Client and the Department that outlines the employment or training activities to be performed by the Client.

**End-to-End (E2E)** A design principle in computer systems. Rather than measuring a transaction within the component of the system, E2E measures the entire system performance.

**Enterprise System Integrator (ESI)** The ESI or Platform Vendor is responsible for hosting and ongoing M&O of the DHS Enterprise Platform. The ESI is also responsible for systems integrator / multi-vendor integration services.

**ePathOS** A Web-based application that provides process monitoring and controls for the different BESSD branch offices. It supports logging incoming documents that need to be processed, clients who come to the office requesting assistance, and other requests received from other agencies. This application provides BESSD managers with the information about each office's workload and how to align their resources to manage the workload.

**Executive Steering Committee (ESC)** DHS senior management providing overall guidance and support during the course of the Benefits Eligibility Solution and Enterprise Platform Services Project, the CCWIS Project and other in-stream initiatives

## E

**Family Strengthening Services (FSS)** A type of service that is provided by a private nonprofit organization to families who have been assessed to have NO safety issues, and very low risks of abuse/neglect. Family Strengthening Services helps families provide a safe home for their children, promote positive parenting, and help prevent child abuse and neglect. Families receive free, short-term, home visiting services. These voluntary services are designed to provide support and help maintain and improve individual and family function by improving parenting skills.

**Federal Poverty Line (FPL)** A measure of income level issued annually by the Department of Health and Human Services. FPL is used to determine a person's eligibility for certain programs and benefits.

**Firm Fixed Price (FFP)** The amount of payment does not depend on the amount of resources or time expended

**First-To-Work (FTW)** The FTW Program provides case management, employment and support services to work eligible individuals of TANF and TAONF households. In addition, the FTW Program services other work eligible individuals that are unable to work due to temporary disability, rehabilitation from substance abuse, and with domestic violence status. Participants of the FTW Program participate in various work activities that emphasize job readiness training, skill-building, adult and vocational education, and employment placement.

**Fiscal Management Office (FMO)** The FMO provides staff assistance and advisory services for the administrative functions of fiscal management

**Fiscal Year (FY)** The State of Hawaii's fiscal year.

**Food and Nutrition Service (FNS)** FNS is an agency of the USDA's Food, Nutrition, and Consumer Services. FNS works to end hunger and obesity through the administration of 15 federal nutrition assistance programs including WIC, Supplemental Nutrition Assistance Program (SNAP), and school meals. In partnership with State and Tribal governments, our programs serve one in four Americans during the course of a year. Working with our public, private and non-profit partners, our mission is to increase food security and reduce hunger by providing children and low-income people access to food, a healthful diet and nutrition education in a way that supports American agriculture and inspires public confidence. No American should have to go hungry.

## G

**General Assistance (GA)** The GA program provides cash benefits for food, clothing, shelter, and other essentials to adults ages 18 through 64, without minor dependents, who are temporarily disabled and who do not qualify for Social Security. To be eligible, the adult must have little or no income, not qualify for a federal category of assistance, and be certified by a DHS medical board to be unable to engage in any substantial employment of at least thirty hours per week for a period of at least sixty days.

**General Excise Tax (GET)** The General Excise Tax is levied against a business's gross receipts for the privilege of doing business in Hawaii

## H

**Hawaii Accounts Receivable Information (HARI)** HARI provides support for collecting overpayments. The system maintains claim balances by accepting payments, reimbursements and adjustments. The claim balances in HARI provides HAWI case workers with current overpayment balances and activities relating to their client's accounts. This is also mainframe based application which was transferred from Arizona. Hawaii adopted Arizona's Accounts Receivable Integrated Collections System (ARICS).

**Hawaii Administrative Rules (HAR)** supply guidelines by which the Department implements programs it administers.

**Hawaii Automated Network for Assistance (HANA)** HANA is an IBM mainframe-based application that shares data elements with the HAWI database. HANA electronically captures information entered by staff that allows for effective case management and provides data to complete various reports. It supports the Child Care Licensing Program, and three client assistance programs - FTW, E&T, and Child Care Assistance.

**Hawaii Automated Welfare Information (HAWI)** HAWI is BESSD's current legacy mainframe eligibility and benefits system. HAWI is a 25 year old system on an IBM mainframe platform and relies on software and database languages (COBOL software development language and ADABAS database management system).

**Hawaii Revised Statutes (HRS)** Statutes published by the State of Hawaii to provide guidance to State organizations.

**Hawaii Standard Time (HST)** The local time in the State of Hawaii.

**Health and Human Services (HHS)** May refer to either the Federal agency of this name, or the domain of organizations involved in the delivery of healthcare and human services benefits and care to citizens.

**Health Insurance Portability and Accountability Act (HIPAA)** HIPAA is the federal law enacted in 1996. The primary goal of the law is to make it easier for people to keep health insurance, protect the confidentiality and security of healthcare information and help the healthcare industry control administrative costs.

**Homeless Programs (HP)** The HP Office maintains a help line so concerned citizens can report homeless individuals who either need help and/or are causing disruptions in neighborhoods

## **I**

**Independent Verification and Validation (IV&V)** IV&V provides management with an independent perspective on project activities and promotes early detection of project variances. *Independent*, meaning assessments are performed by an independent third party; *Verification*, meaning verifies that the product is well engineered, and; *Validation*, meaning validates that the product conforms with client requirements.

**Information and Communication Services Division (ICSD)** A division of the Department of Accounting and General Services that plans, coordinates, organizes, directs, and administers information processing and telecommunication services to all agencies of the State of Hawaii

**Information Technology (IT)** The application of computers and telecommunications equipment to store, retrieve, transmit and manipulate data, often in the context of a business or other enterprise. It is also used as a synonym for computers and computer networks and it also encompasses other information distribution technologies.

**Information Technology Infrastructure Library (ITIL)** A set of practices for IT service management that focuses on aligning IT services with the needs of business.

**Institute of Electrical and Electronics Engineers (IEEE)** A standards organization.

**Integrated Eligibility (IE)** The set of capabilities that streamlines and simplifies the eligibility determination process for multiple social services programs.

**Integrated Eligibility (IE) / Benefits Management (BM) Vendor (or Application System Integrator)** The IE / BM Vendor or ASI is responsible for DDI of the Benefits Eligibility Solution, enhancement of the Medicaid E&E Solution, M&O of the Solutions as well as retirement of the current BESSD legacy systems.

**Investigations Office (INVO)** An office within BESSD that investigates suspected cases and refers cases, as appropriate, to law enforcement officials.

## **J**

**Joint Application Development (JAD)** A process for the development of requirements commonly used in systems development.

## **K**

**Kauhale On-Line Eligibility Assistance (KOLEA)** KOLEA has been established to support MAGI eligibility determination for the State's Medicaid program (see Medicaid E&E Solution).

## **L**

**Letter of Intent (LOI)** A non-binding letter stating the Vendor's intent to submit a Proposal in response to this RFP.

**Limited English Proficiency (LEP)** Persons who are unable to communicate effectively in English because their primary language is not English and they have not developed fluency in the English language.

**Low Income Home Energy Assistance Program (LIHEAP)** In 1980, Congress enacted the Low-Income Home Energy Assistance Program (LIHEAP), authorizing assistance to eligible households to offset the rising costs of home energy. The U.S. Department of Health and Human Services administers the program nationally, and distributes Federal monies among state and other grantees according to an allocation formula. Each grantee uniquely structures its own program following Federal guidelines. Hawaii households may apply for help with either their shut-off or regular heating bill, from either the electric or gas company on their island.

## **M**

**Maintenance and Operations (M&O)** A phase in the software development lifecycle where the operational system has been transitioned to the maintenance and support team to ensure that the system continues to perform according to specifications. The purpose of M&O is to perform routine maintenance, upgrades, enhancements and end user support to support the system's operational effectiveness.

**Management Services Office (MSO)** An organization within DHS that provides research, quality assurance, program and financial evaluation, and assessment capabilities that enable DHS to oversee its programs and make appropriate decisions concerning those programs.

**Med-QUEST (MQD)** A division within the State of Hawaii DHS, it provides Medicaid and CHIP health coverage, primarily through managed care plans, to low-income families, children and individuals.

**Medicaid E&E Solution** The established Solution that supports the State's Medicaid program administered by MQD.

**Modified Adjusted Gross Income (MAGI)** The Modified Adjusted Gross Income is used to determine cost assistance and to claim and adjust tax credits.

**Multi-Vendor Integration (MVI)** is the ability to manage a multi-vendor environment for delivery of end-to-end IT services (see also Systems Integrator).

## **N**

**National Child Abuse and Neglect Data System (NCANDS)** is a voluntary data collection system that gathers inform from all 50 states, the District of Columbia, and Puerto Rico about reports of child abuse and neglect. NCANDS was established in response to the CAPTA of 1988.

**National Institute of Standards and Technology (NIST)** A Federal organization that establishes standards.

## **O**

**Offeror** A vendor interested in, proposing for, or awarded the Contract for the procurement in this RFP. This is inclusive of an actual or prospective bidder, vendor, or award winning vendor (see Vendor).

**Office of Enterprise Technology Services (ETS)** Headed by the Chief Information Officer (CIO), the ETS develops and implements statewide information technology governance, the state information technology strategic plans, and statewide technology standards.

**Office of Information Technology (OIT)** The Office of Information Technology is responsible for the overall administration, planning, direction, management, development, implementation, and maintenance of all information technology (IT) and information systems processing for the Department of Human Services statewide. OIT provides project planning and management, business application systems development and maintenance, systems software and hardware management, telecommunications and network management and support, and technical training; and operates the Data Center including computing facilities management, data control, and technical help desk functions.

**OMB A-87** OMB A-87 Circular establishes principles and standards for determining costs for Federal awards carried out through grants, cost reimbursement contracts, and other agreements with State and local governments and federally recognized Indian tribal governments (governmental units).

**Operations Committee** Business and Technical Leads, and key stakeholders representation responsible for overseeing the Operational aspects of the program.

**Oracle Business Intelligence Enterprise Edition (OBIEE)** delivers a robust set of reporting, ad-hoc query and analysis, OLAP, dashboard, and scorecard functionality with a rich end-user experience that includes visualization, collaboration, alerts, and more.

**Oracle Fusion Middleware (OFM)** is business innovation platform for the enterprise and the cloud. It enables enterprises to create and run agile, intelligent business applications while maximizing IT efficiency through full utilization of modern hardware and software architectures.

**Oracle Identity Manager (OIM)** is an enterprise identify management system that automatically manages users' access privileges within enterprise IT resources.

**Oracle Policy Automation (OPA)** empowers organizations to achieve enterprise policy agility to disseminate policies across the organization and beyond. Dedicated to collecting, modeling, deploying, analyzing, and updating policies, Oracle Policy Automation helps organizations in all industries to deliver services and consistently determine policy obligations while maintaining full compliance with laws and regulations.

**Oracle Service Bus (OSB)** transforms complex and brittle architectures into agile integration networks by connecting, virtualizing, and managing interactions between services and applications. Oracle Service Bus delivers low-cost, standards-based integration for mission critical SOA environments where extreme performance, scalability and reliability are critical requirements.

**Organizational Change Management (OCM)** A framework for managing the effect of new business processes, changes in organizational structure or cultural changes within an enterprise.

## **P**

**Personnel Office (PERS)** An organization within DHS that oversees the personnel programs of the Department, including recruitment, examination and placement, position description, classification and pricing analysis, labor relations, civil rights, employee safety and relations, employee training and development, personnel transactions, and maintenance of personnel records.

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**Platform Vendor (also referred to as the Enterprise System Integrator)** The Platform Vendor is responsible for hosting and ongoing M&O of the DHS Enterprise Platform. The Platform Vendor is also responsible for systems integrator / multi-vendor integration services.

**Point of Contact (POC)** An individual that is responsible for all communication regarding the RFP. There is a DHS POC identified, and each vendor must name a Vendor POC.

**Prime Vendor** The Prime Vendor is the single entity which DHS shall enter into a contract discussion with if identified to be the best value solution based on the proposal evaluation process. Once a contract is enacted, the Prime Vendor becomes the prime contractor responsible for the management and delivery of all subcontractors (if identified in the submitted proposal) involved in providing products and/or services under this procurement.

**Program** See “DHS Enterprise Program”

**Program Management Office (PMO)** An organization within DHS that coordinates projects leveraging the DHS Enterprise Platform.

**Project** See “Benefits Eligibility Solution Project” and “CCWIS Project”.

**Project Management Body of Knowledge (PMBOK)** A comprehensive knowledge center developed and maintained by the Project Management Institute.

**Project Management Institute (PMI)** A certifying agency that specializes in project management. The PMI is a not-for-profit professional membership association for the project, program and portfolio management profession.

**Project Management Plan (PMP)** A comprehensive plan for the execution of the project; includes multiple sub-plans that address specific project management aspects.

**Proposal** The document submitted by interested Vendors that outlines their services to meet the needs of DHS as outlined in the RFP and the cost to do so.

## Q

**QUEST Expanded Access (QExA)** QExA is a program developed for Medicaid clients who are 65 years or older or disabled of all ages, who were previously receiving services through a FFS system. MQD ended the QExA program on December 31, 2014 and has since implemented QUEST Integration (QI).

**QUEST Integration (QI)** QI serves Medicaid eligible individuals of all ages. Eligible individuals receive service coordination, outreach, improved access, and enhanced quality healthcare services coordinated by health plans through a managed care delivery system. The plan expands program services to include long-term care services, and both institutional and home and community-based waiver services.

## R

**Random Moment Time Sampling (RMTS)** is a federally approved, statistically valid sampling technique that produces accurate labor distribution results by determining what portion of the selected group of participant’s workload is spent performing all work activities. The results of the RMTS will be used for cost allocation purposes.

**Recipient** A Recipient is a person who is already receiving services/benefits for themselves and/or their family.

**Request for Proposals (RFP)** A solicitation made, often through a bidding process, by an agency or company interested in procurement of a commodity, service or valuable asset, to potential suppliers to submit business proposals.

## S

**Scope of Work (SOW)** The scope of the Engagement as outlined in this RFP.

**Securities and Exchange Commission (SEC)** A federal agency, the SEC's mission is to protect investors, maintain fair, orderly, and efficient markets, and facilitate capital formation.

**Service-Level Agreement (SLA)** DHS' service expectations of a vendor.

**Service-Oriented Architecture (SOA)** is a design paradigm and discipline that helps IT meet business demands. Some organizations realize significant benefits using SOA including faster time to market, lower costs, better application consistency and increased agility. SOA reduces redundancy and increases usability, maintainability and value. This produces interoperable, modular systems that are easier to use and maintain. SOA creates simpler and faster systems that increase agility and reduce total cost of ownership.

**Social Security Act (Act)** An act to provide for the general welfare by establishing a system of Federal benefits, and by enabling states to make more adequate provision for dependent and disabled adults and children.

**Social Security Administration (SSA)** delivers services through a nationwide network of over 1,400 offices that include regional offices, field offices, card centers, teleservice centers, processing centers, hearing offices, the Appeals Council, and our State and territorial partners.

**Social Security Number (SSN)** A nine-digit number assigned to citizens, some temporary residents and permanent residents, in order to track their income and determine benefit entitlements.

**Social Services Division (SSD)** SSD provides protection from abuse and neglect for children and dependent adults. Our programs also provide safe living arrangements with the goal of reducing abuse, neglect and maltreatment.

**Software Development Life Cycle (SDLC)** A common framework for systems development.

**State of Hawaii (State)** The State in which the issuing entity of this RFP, DHS, is located.

**State Procurement Office (SPO)** The State Procurement Office for the State of Hawaii is made up of four segments: administration, procurement, inventory management and surplus property management.

**Subject Matter Expert (SME)** An expert in a specific subject area.

**Supplemental Nutrition Assistance Program (SNAP)** The SNAP program provides crucial food and nutritional support to qualifying low-income and needy households, and those making the transition from welfare to self-sufficiency. In FY 2012, SNAP helped put food on the table for an estimated 90,534 Hawaii families each month. SNAP clients access their benefits with an EBT card, which they use like a debit card. The Supplemental Nutrition Assistance Program (SNAP) is a federal program funded through the U.S. Department of Agriculture (USDA). It is administered at the federal level through its Food and Nutrition Service (FNS). State agencies administer the program at the State and local levels, including determination of eligibility and monthly allotments.

**Support Services Plan (SSP)** Signed, written agreement between the Client and the Department that outlines the services to be provided by the Department.

**Systems Integrator (SI)** is the ability to manage a multi-vendor environment for delivery of end-to-end IT services (see also Multi-Vendor Integration).

## I

**Temporary Assistance for Needy Families (TANF)** TANF is the time-limited federally funded welfare reform program for adults with children. TANF provide monthly cash benefits to families for food, clothing, shelter, and other essentials. To qualify for this assistance, all members of the family must be U.S. citizens, must include children under the age of 19 and earn a total gross income under 185% of the 2006 Federal Poverty Level (FPL). TANF is designed to protect those who cannot work and to require those who are able to work to do so. Unlike the old welfare program, which fostered dependence and low self-esteem, the TANF program require work and promote self-reliance, responsibility, and family stability. TANF offer a package of strong incentives and penalties, child care support for working parents, and restructured welfare benefits.

**Temporary Assistance for Other Needy Families (TAONF)** TAONF is the time-limited state funded welfare reform program for adults with children. TAONF provide monthly cash benefits to families for food, clothing, shelter, and other essentials. To qualify for this assistance, a family must include children under the age of 19 and earn a total gross income under 185% of the 2006 Federal Poverty Level (FPL), and have a non-citizen residing in the household. This program is designed to protect those who cannot work and to require those who are able to work to do so. Unlike the old welfare program, which fostered dependence and low self-esteem, the TAONF program require work and promote self-reliance, responsibility, and family stability. TAONF offer a package of strong incentives and penalties, child care support for working parents, and restructured welfare benefits.

## U

**U.S. Department of Agriculture (USDA)** provides leadership on food, agriculture, national resources, rural development, nutrition, and related issues based on sound public policy, the best available science, and efficient management.

**Universal Customer Master (UCM)** – Oracle technology which manages information related to customers or clients (see MDM).

**User Acceptance Testing (UAT)** A phase in software development in which the software is tested by the intended audience for functionality. UAT is conducted in order to obtain feedback from users to make any final adjustments before releasing to the public.

## V

**Vendor** A vendor interested in, proposing for, or awarded the Contract for the procurement in this RFP. This is inclusive of an actual or prospective bidder, offeror, or contractor.

**Voluntary Case Management (VCM)** The goal of VCM is to create a safe and healthy home for children by preserving family strengths and decreasing family stress. Services include: ongoing assessment of family strengths and needs; supportive services; referrals for Ohana Conferencing; service plan development with families; and assistance in finding community resources.

## W

**Work Breakdown Structure (WBS)** A hierarchical and incremental decomposition of the project into phases, deliverables and work packages.

## X

## Y

## Z

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