



STATE OF HAWAII
DEPARTMENT OF HUMAN SERVICES

RELEASE DATE: JULY 6, 2016

REQUEST FOR PROPOSALS
RFP-HMS-904-17-01-S
SEALED OFFERS FOR
BENEFITS ELIGIBILITY SOLUTION

WILL BE RECEIVED UP TO 4:00 P.M. (HST) ON
SEPTEMBER 29, 2016

IN THE BENEFIT, EMPLOYMENT & SUPPORT SERVICES DIVISION
ADMINISTRATION OFFICE

820 MILILANI STREET, SUITE 606, HONOLULU, HI 96813

DIRECT QUESTIONS RELATING TO THIS SOLICITATION TO
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Department of Human Services

RFP-HMS-904-17-01-S

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1.0 General Information

1.1 Introduction

This Request for Proposal (RFP) is issued by the State of Hawaii (State) Department of Human Services (DHS) seeking firm fixed price (FFP) services from a Vendor to build the Benefits Eligibility Solution on the evolving DHS Enterprise Platform. This engagement will include all services required to enhance the current Medicaid Eligibility and feed for Enrollment (E&E) Solution, implement support for financial assistance programs (Benefits Eligibility Solution (BES)), and provide maintenance and operate the current Medicaid E&E Solution and future BES solution. DHS intends to award a multi-term Contract, with an initial term of 48 months, including the maintenance and operations of any software implemented. DHS shall administer any Contract that results from this RFP and associated services, and perform the RFP and proposal evaluation process.

DHS, through the Affordable Care Act (ACA), implemented a new Medicaid E&E Solution, also known as the Kauhale On-Line Eligibility Assistance (KOLEA) system, to support the Med-QUEST (MQD) Division's eligibility needs. As part of the initial procurement for the Medicaid E&E Solution, DHS required the Solution be architected such that it can be expanded to support additional programs/business functions.

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

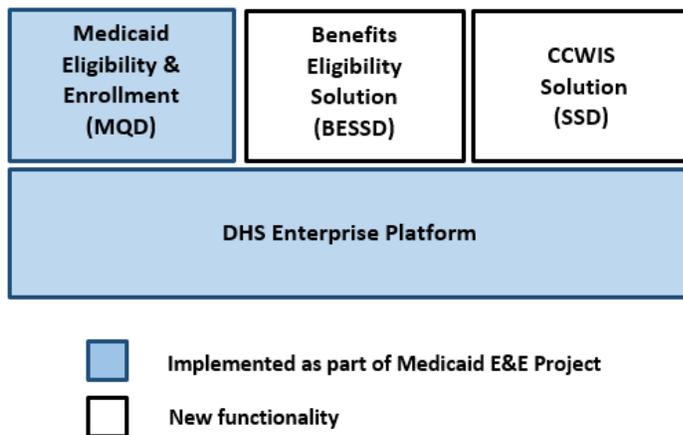
- DHS will pursue an Agency of One strategy which requires increased coordination among Divisions (MQD, Benefit, Employment and Support Services Division (BESSD) and Social Services Division (SSD)). The IT systems need to support this business vision.
- BESSD and SSD will replace their existing legacy 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 Section 3.1), 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 is the components and services of the Medicaid E&E Solution that will be shared among MQD, BESSD and SSD.

The following figure provides a conceptual view of the solutions within the DHS Enterprise Program.

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



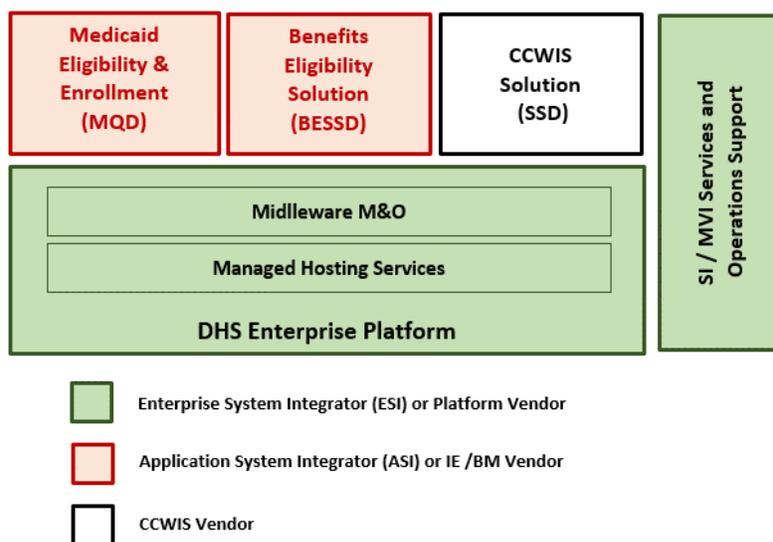
DHS has established a procurement strategy that balances the needs outlined above. DHS has identified three (3) scopes of work for implementing and/or supporting the core functionality. At a high level, these include:

Note: Only the Application System Integrator (ASI) scope of work for the Benefits Eligibility Solution below is requested as part of this procurement.

- 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). This includes:
 - Providing infrastructure hosting services
 - Providing technical support for maintenance and operations (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 design, development and implementation (DDI) and M&O activities to ensure the appropriate level of sharing is occurring between the efforts and managing end-to-end performance
- The **Application System Integrator (ASI) or Integrated Eligibility / Benefits Management (IE / BM) Vendor** will provide the following services:
 - Provide 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)

- The **Comprehensive Child Welfare Information System (CCWIS) Vendor** will provide the following services:
 - 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
 - Once the DDI project is complete, provide M&O for the Federally-compliant CCWIS

Figure 2. Conceptual View of Vendor Responsibilities



Through this RFP, DHS is seeking Proposals from Vendors in response to the following Scope of Work:

Benefits Eligibility Solution Engagement that includes designing, developing and implementing the Benefits Eligibility Solution, enhancing the Medicaid E&E Solution and performing ongoing M&O. The **ASI Vendor** will provide Design, Development and Implementation (DDI) for the Benefits Eligibility Solution that will provide the integrated eligibility and benefits management set of capabilities for BESSD through the leveraging and expanding of the DHS Enterprise Platform. The ASI Vendor will also provide DDI for the enhancement of capabilities for the Medicaid E&E Solution that has been developed and implemented for the State's Medicaid program, administered by MQD. Furthermore, the ASI Vendor will be responsible for providing M&O of the Medicaid E&E Solution and Benefits Eligibility Solution, as well as retiring the current BESSD legacy systems.

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:

Alfredo Lee
Department of Human Services
Benefit, Employment & Support Services Division
820 Mililani Street, Suite 606
Honolulu, HI 96813
Telephone: (808) 586-7083
Fax: (808) 586-5229
E-mail: BESSDIntegratedSystem@dhs.hawaii.gov

DHS may designate one or more members from 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 for either requested scopes of work described in this RFP) 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. The Vendor may designate new employees to serve as its Vendor POC upon reasonable notice to the DHS POC provided there shall be only one individual serving as the Vendor POC at any time unless otherwise permitted by DHS.

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 items so referred to will not be the cause for rejection of the Proposal, but will likely result in a less favorable evaluation.

Throughout this RFP, the terms:

- **“Application System Integrator (ASI) Vendor” or “Integrated Eligibility / Benefits Management (IE / BM) Vendor”** refers to the Vendor who will design, develop/configure and implement the Solution that will provide integrated eligibility and benefits management set of capabilities for the Benefits Eligibility Solution, that will support the

BESSD programs, through the leveraging and expanding of the DHS Enterprise Platform, enhance the capabilities of the Medicaid E&E Solution, provide M&O of the Medicaid E&E Solution and Benefits Eligibility Solution, and be responsible for the retirement of the current BESSD IE and BM legacy systems. The term “ASI Vendor” is used throughout this solicitation to differentiate its role from the other vendors in a multi-vendor environment.

- **“Enterprise System Integrator (ESI)” or “Platform Vendor”** refers to the Vendor who will host and maintain the DHS Enterprise Platform, and be responsible for providing SI / MVI Services.
- **“Application DDI vendors”** refers to vendors who will extend the functionality currently available or integrate new functionality on the DHS Enterprise Platform to complete DDI of technology solutions to meet DHS’ business needs. This is inclusive of the ASI Vendor, CCWIS Vendor and future vendors contracted by DHS.
- **“Benefits Eligibility Solution”** refers to the Solution that provides the integrated eligibility and benefits management set of capabilities that will support the BESSD programs
- **“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 KOLEA.
- **“Solutions”** refers to both the Benefits Eligibility Solution and Medicaid E&E Solution
- **“Benefits Eligibility Solution Engagement”** refers to the DDI of the Benefits Eligibility Solution, enhancement of the Medicaid E&E Solution and M&O of the Medicaid E&E and BES Solutions
 - **“Benefits Eligibility Solution Project” or “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
- **“Enterprise Platform Services Engagement”** refers to the hosting and M&O of the DHS Enterprise Platform, operational support services and the SI / MVI activities
- **“DHS Enterprise Platform” or “Platform”** refers to the architectural standards and common shared components and services that will be leveraged across DHS, which the awarded ESI will be responsible to maintain
- **“DHS Enterprise Program” or “Program”** refers to DHS’ enterprise approach to coordinate IT and non-IT projects to support its vision of an Agency of One

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 the table below represents DHS’ best estimate of the schedule that will be followed. 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. The approximate schedule is as follows:

Table 1. RFP Schedule and Significant Dates

Procurement Schedule	
Release of the RFP	July 6, 2016
Mandatory Vendor Registration Due	August 5, 2016
Pre-Proposal Conference	August 12, 2016
Questions Due	August 18, 2016
State's Responses to Vendor Questions	September 2, 2016
Letter of Intent to Submit a Proposal Due	September 9, 2016
Proposals Due (4:00 p.m., HST)	September 29, 2016
Vendor Demonstrations / Oral Presentations (anticipated)	October 24, 2016
Notice of Award (anticipated)	November 22, 2016
Contract Execution (anticipated)	January 17, 2017

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

If any date to be established by Table 1 above 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. Each 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 subsequent dates affected by the rescheduled date extended by the same number of days the original date was extended. DHS reserves the right to establish new or rescheduled dates as it deems appropriate.

1.5 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 2. 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

1.5.1 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.

1.6 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 this solicitation. This Library will be distributed by the DHS POC to all registered Vendors (see Section 1.2). The 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 five (5) categories/folders. A Procurement Library index is also included to help Vendors navigate and identify key documentation to support their Proposal development process. The five (5) categories/folders include:

Table 3. Procurement Library Structure

Folder Name	Description
01 – DHS Business Documents	The documents in this folder provide general background information of DHS that are not specific to any one Division.
02 – BESSD Business Documents	The documents in this folder provide information specific to BESSD's programs and services. This includes, but is not limited to: forms currently used by the Division; Hawaii's General Conditions and other administrative rules/policies; and the Business Process Analysis Report that describes BESSD's envisioned to-be state with detailed Workflows and Use Cases.
03 – BESSD Technical Documents	The documents in this folder are further organized based on the system (HAWI, HARI, ePathos, ECF, and HANA) currently used to support BESSD. This includes items such as user guides; process flowcharts; and system specifications.
04 – Medicaid E&E Solution Technical Documents	<p>The documents in this folder provide information specific to the technical aspects of the Medicaid E&E Solution (also known as KOLEA). This includes, but is not limited to: Solution Reference Architecture; Solution Architecture Diagrams; State Hub and ECM Infrastructure Blueprint Document.</p> <p>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 as described in this procurement. It is critical that ASI Vendors pay particular attention to the documentation provided in this folder.</p>
05 – Medicaid E&E Solution Operations Documents	<p>The documents in this folder provide information specific to the ongoing maintenance and operations of the Medicaid E&E Solution (also known as KOLEA). This includes, but is not limited to: System Monitoring Requirements; Incident Management Documentation; and Help Desk Guide.</p> <p>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 as described in this procurement. It is critical that ASI Vendors pay particular attention to the documentation provided in this folder.</p>

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 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; 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 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 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/>).

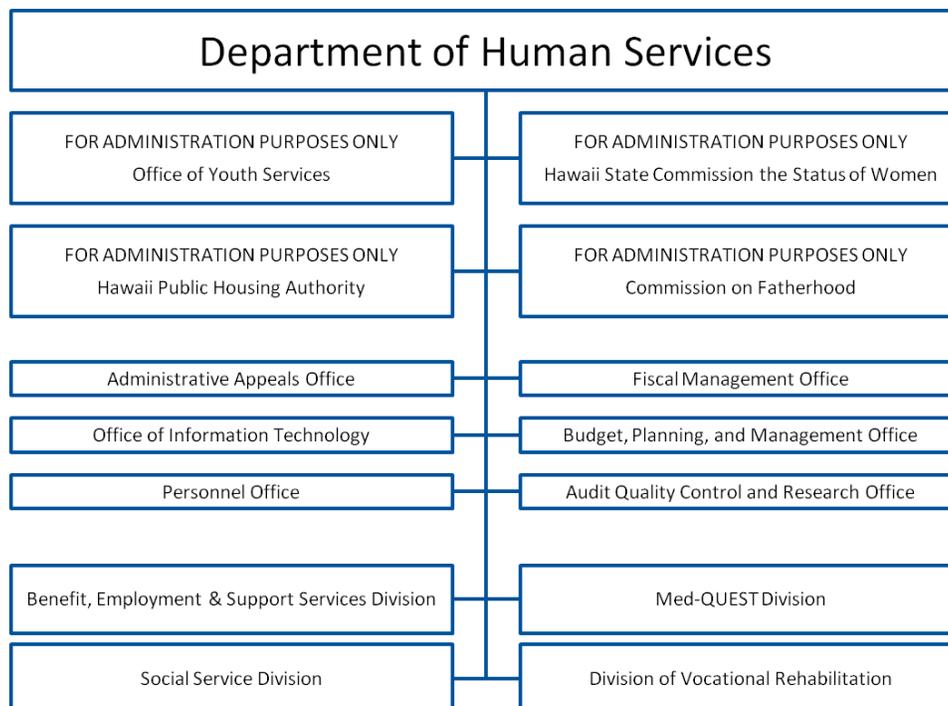
Five (5) staff offices support DHS administration, operating divisions and attached agencies:

- 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 all 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%
Statewide	287,902	292,423	325,510	332,197	2%	13%

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. The State Tobacco Settlement Funds covered 33.75% of the program cost. 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 & 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. The Procurement Library includes the Hawaii Administrative Rules that describe the criteria for the various coverage groups.

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 Re-determinations

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 household 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 Client Protections

1.10.1 Confidentiality

The rules regarding the use and disclosure of information about individuals and families receiving assistance are consistent with the rules that guided the programs under Title IV-A of the Act prior to the enactment of the Personal Responsibility and Work Opportunity Act of 1996. The rules protect the rights of individuals and permit the release of information across the different BESSD programs, or for appropriate audit purposes, or to appropriate local, State and Federal law enforcement agencies.

The use and disclosure of information must also meet the confidentiality requirements for Medicaid and the Health Insurance Portability and Accountability Act (HIPAA).

Pertinent administrative rules governing confidentiality can be found in HAR, Chapter 601 and HAR, Chapter 1702.

1.10.2 Hearing and Appeal Process

Hawaii provides opportunities for recipients who have been adversely affected to be heard in a State administered appeals process. There are set time limits for requesting and holding hearings and for issuing decisions. Hearings are presided over by impartial hearing officers. Clients are allowed to present appeals independently, be represented by legal counsel, bring witnesses, ask questions and cross-examine. If the Client is dissatisfied with the decision rendered by the hearing officer, he or she may appeal to a court of law.

1.10.3 Limited-English Proficiency

DHS provides interpreter services to Limited-English Proficiency (LEP) clients and has translated certain Civil Rights documents and forms in multiple languages. Some of the most frequently encountered languages by DHS workers in 2014 included Samoan, Chuukese, Cantonese, Korean and Vietnamese.

Please refer to the Procurement Library for the policies governing DHS' LEP policy and approach.

1.10.4 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 by email to the DHS POC, Alfredo Lee, at the email address as stated in Section 1.2, 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, Alfredo Lee, at the email address as stated in Section 1.2, 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 Pre-Proposal Conference

DHS will host a Pre-Proposal Conference session that is highly recommended for all Vendors submitting Proposals. Vendors are encouraged to attend in person, however a teleconference option is also available. It will provide Vendors who have registered with the opportunity to gain further understanding of the RFP intent, requirements, process and procedures. This session will be held reasonably in advance of the deadline to submit a Proposal. The Pre-Proposal Conference is for informational purposes only. Neither such Conference(s) nor any information provided through or during them is binding upon DHS or constitutes a change to the RFP. DHS is not responsible if the appropriate Vendor staff does not attend the Pre-Proposal Conference(s) and does not acquire knowledge of the information presented or discussed during such Conference(s).

The Pre-Proposal Conference will be held as follows:

Pre-Proposal Conference Location: Social Services Division, 810 Richards Street, Suite 400, CR-4B, Honolulu, HI 96813

Web Conference: WebEx.com, Meeting 195 561 975

Audio Connection: 1-415-655-0001 US TOLL, Access Code 195 561 975

Date: August 12, 2016

Time: 10 a.m. HST

Note: date, time and location of the Pre-Proposal Conference are subject to change. Registered vendors will be notified by email of any changes.

Any questions regarding the Pre-Proposal Conference shall be directed to the DHS POC.

2.1.4 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, Alfredo Lee, at the email address as stated in Section 1.2, before the date set forth in the schedule contained in this RFP, and any amendments to it. 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 may reject one, multiple or 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.

2.2.3 Required Review

Before submitting a Proposal, the Vendor must thoroughly and carefully examine this RFP, any attachment, addendum, 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, the Vendor should submit notice in writing to the DHS ahead of the deadline for written questions (see Schedule of Due Dates 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 these 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 for anything that arises 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 twelve (12) hard copies and one (1) soft copy of the Proposal. 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.

The Vendor must submit two (2) hard copies and one soft copy of the Cost Proposal 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:

Department of Human Services
Benefit, Employment & Support Services Division
820 Mililani Street, Suite 606
Honolulu, HI 96813
Attention: Alfredo Lee

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

PROPOSAL for RFP-HMS-904-17-01-S

Benefits Eligibility Solution

[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 his 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 his 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 RFP Response Templates provide a structured approach for DHS to detail its business and technical needs for this project, and a structured way for the Vendor 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 their 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, address and comply with the technical constraints, provide a comprehensive plan for implementation and

ongoing operations, limit risk for DHS, and provide a competitive total cost of ownership over the contract term.

2.3.2 Proposal Format and Contents – Mandatory Response Templates

It is mandatory that the Proposal be in the order and format of the Response Templates, and that all Response Templates be completed. Proposals that do not use this order and format or are incomplete may be deemed non-responsive at the sole discretion of DHS. 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.

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-16 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 the Table below. These sections must abide by the instructions contained within each Response Template.

Table 6. 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 public sector; certifications and other required forms. If the Proposal includes the use of subcontractor(s), provide projects completed 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 projects 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 Experiences	<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	Functional Requirements	<p>This section of the Vendor's Technical Proposal must include a response to the Functional Requirements.</p> <p>The objective of the Functional Requirements response is to provide the Project team with a method to evaluate the degree to which each Vendor's solution satisfies the Project's Functional Requirements.</p>
T-7	Functional Requirements Approach	<p>This section of the Vendor's Technical Proposal must include a narrative of the Vendor's proposed Functional Requirements approach. The Vendor is required to provide a narrative overview of how the proposed solution will meet DHS' requirements.</p>
T-8	Technical Requirements	<p>This section of the Vendor's Technical Proposal must include a response to the Technical Requirements.</p> <p>The objective of the Technical Requirements response is to provide the Project team with a method to evaluate the degree to which each Vendor's solution satisfies the Project's Technical Requirements.</p>
T-9	Technical Requirements Approach	<p>This section of the Vendor's Technical Proposal must include a narrative of the Vendor's proposed Technical Requirements approach.</p>
T-10	Implementation Requirements	<p>This section of the Vendor's Technical Proposal must include a response to the Implementation Requirements.</p> <p>The objective of the Implementation Requirements response is to provide the Project team with a method to evaluate the degree to which each Vendor's solution satisfies the Project's Implementation Requirements.</p>
T-11	Implementation Requirements Approach	<p>This section of the Vendor's Technical Proposal must include a narrative of the Vendor's proposed Implementation approach.</p> <p>The Vendor's response must detail the approach to meet the various Implementation Requirements including: project management methodology; detailed requirements document; System design; software installation and configuration; development methodology; user, administrator and developer training; testing; conversion planning and support; deployment and go-live support; and change management.</p>

Section / Template	Name	Description
T-12	Maintenance and Operations Requirements	<p>This section of the Vendor's Technical Proposal must include a response to the Maintenance and Operations (M&O) Requirements.</p> <p>The objective of the M&O Requirements is to provide the Project team with a method to evaluate the degree to which each Vendor will satisfy DHS' M&O Requirements.</p>
T-13	Maintenance and Operations Requirements Approach	<p>This section of the Vendor's Technical Proposal must include a narrative of the Vendor's proposed M&O Support approach.</p> <p>The Vendor's response must detail their approach to meet the various M&O requirements including integrating into the DHS environment, performing software M&O, modifying the System and managing the DHS staff.</p>
T-14	Work Plan	<p>This section of the Vendor's Technical Proposal must include a Work Plan that will be used to create a consistent and coherent management plan. This Work Plan will demonstrate that the Vendor has a thorough understanding for the SOW and what must be done to satisfy the Project requirements.</p> <p>The Work 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"> ■ Manage the Work; ■ Guide Work execution; ■ Document planning assumptions and decisions; ■ Facilitate communication among stakeholders; and ■ Define key management review of content, scope, and schedule.
T-15	Terms and Conditions of this RFP and Any Resulting Contract	<p>This section of the Vendor's Technical Proposal includes the completed signed legal and contracting requirements.</p> <p>The Vendor must carefully review and sign the Template to note Vendor's acknowledgment, intent of compliance, and exceptions (if applicable) to the following: (1) RFP Special Terms & Conditions; (2) Mandatory Contract Terms; (3) Standard State Provision for Contracts and Grants; and (4) General Conditions.</p>
T-16	RFP Response Checklist	<p>This section of the Vendor's Technical Proposal must include the completed checklist verifying that all the RFP response requirements have been completed.</p>
O-1	Letter of Intent	<p>This section of the Vendor's Technical Proposal must include a copy of the non-binding Letter of Intent that was submitted.</p>

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 the Mandatory 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 ASI Vendor must base its Cost Proposal on the SOW described in Section 3.5 and associated sections of this RFP and Response Templates. The Cost Proposals 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 ASI Vendor will be liable for any costs incurred by DHS for the Benefits Eligibility Solution Engagement not specifically stated in the Proposal, or clearly detailed in a stated assumption.

The ASI Vendor's Proposal for the Benefits Eligibility Solution Engagement must include implementation, any new software, and software M&O support. The ASI Vendor must include all one-time and ongoing 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 and Mandatory Requirements of the RFP (not the ASI Vendor's exceptions to the terms and conditions). The ASI 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.

ASI Vendors are required to provide costs for the implementation of all Functional and Non-Functional Requirements (Technical, Implementation, M&O), and the support of any implemented functionality, as described in the RFP and Response Templates. The Proposal cost must be FFP with payments based on deliverables as proposed by the ASI Vendor. The ASI Vendor must provide fixed Hourly Labor Rates to use for Unanticipated Tasks (e.g. scope not included in this RFP). In addition, fixed Labor Rates must be available for DHS to use for Unanticipated Tasks if necessary and for onboarding other Programs if DHS determines to do so. The ASI Vendor is required to provide costs for Packaged Software and Hardware. The ASI Vendor must provide costs for the Disaster Recovery Services.

The ASI 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 ASI 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 worksheets is mandatory. Applicable purchase, delivery, tax, services, safety, license, travel, per diem, ASI Vendor's staff training, facility, and

any other expenses associated with the delivery and implementation of the proposed items must be included in the ASI 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 Solution or 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 Benefits Eligibility Solution Engagement Template T-15 or Enterprise Platform Services Template T-9, 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, Approach and Scope of Work

In preparation for issuing this RFP, DHS has followed a rigorous and disciplined process to collect and organize the information vendors require to understand the context of the project, the framework within which the Vendors will be performing their services and to define the services required. This section provides this information and is organized into the following sections:

- Section 3.1 provides the history of the DHS Enterprise Platform and the anticipated benefits/outcomes of the project
- Section 3.2 provides an overview of DHS' planned approach to managing and governing the overall DHS Enterprise Program efforts
- Section 3.3 provides an overview of the current technical environment including details (and references to documents in the Reference Library) of the current Medicaid E&E Solution, which will be the foundation for the DHS Enterprise Platform captured in this RFP.
- Section 3.4 provides an overview of DHS' planned approach to managing the DHS Enterprise Program.
- Section 3.5 provides the specifics related to the ASI Vendor Engagement (BES Engagement)

It is important to note Section 3.4 includes details regarding the implementation and maintenance and operations approach, including an overview of how the ASI and ESIs will interact.

3.1 Project Overview and History

Through this procurement, DHS is acquiring the capabilities and services of an ASI Vendor to provide DDI of the Benefits Eligibility Solution, enhance the Medicaid E&E Solution and the subsequent ongoing M&O of the Solutions. This will allow DHS to retire some of its current systems that support the BESSD programs. This procurement is a component of the DHS Enterprise Program that aims to integrate healthcare and human services throughout DHS, with a focus on enhancing the technology capabilities for BESSD and MQD. The vision for this effort is to move DHS to a more person/family-centered, rather than program-centered, model of practice in realization of the concept of an "Agency of One."

The passage of the Patient Protection and ACA on March 23, 2010 presented a number of challenges to the State, including implementation of system changes to manage the required portal, connection to the Federal Data Services Hub (FDSH), and establishment of new eligibility groups with new requirements and income thresholds. At the time DHS was considering its technology options for meeting the ACA requirements, the Hawaii Automated Welfare Information (HAWI) system was nearly 25 years old and operating on outdated technology. Based on an assessment conducted in 2012, it was determined that HAWI would require substantial modernizations and upgrades in order to meet the mandatory ACA requirements. Given the amount of required work, it was determined that it would be nearly impossible to meet the October 1, 2013 due date (Hawaii opted to implement sooner to meet the Open Enrollment requirements for the State-based marketplace) without a substantial investment of resources. DHS also determined that even with substantial resources devoted to the project, it would not be cost-effective. With the availability of new technology and Federal funds at a 90/10 match, DHS decided to competitively procure and implement a new Medicaid eligibility solution.

Even with the implementation of ACA, DHS has retained its intergovernmental agreement with the Arizona Medicaid Agency, Arizona Health Care Cost Containment System (AHCCCS), to use its Medicaid Management Information system (MMIS). AHCCCS modified its MMIS to accommodate Hawaii's specific requirements and has been operating the Hawaii Prepaid Medical Management Information System (HPMMIS) since 1999. Hawaii uses HPMMIS to process plan enrollment rules, generate plan rosters including capitation payment calculations for the health plans, and generate enrollment notices for Medicaid beneficiaries. HPMMIS also processes claims and encounters for MQD, Public Safety and the Hawaii Youth Correctional Facility.

The new Medicaid eligibility and feed for enrollment Solution (Medicaid E&E Solution), known as KOLEA, replaced HAWI for all medical assistance programs administered by the State. DHS uses the CMS approved single streamlined application for all medical assistance programs, and requests additional information if an applicant is aged or indicates blindness or a permanent disability. Consistent with the requirements of the Medicaid program, MQD uses the Medicaid E&E Solution to record and review for basic eligibility requirements, such as residency, citizenship or qualified alien status and social security numbers, and "tests" for financial requirements such as income and assets which differ by coverage groups - children, pregnant women, families, the elderly, the blind, the disabled, and non-pregnant childless adults. Once an individual is determined eligible, a transaction is sent to HPMMIS and he or she is enrolled in a health plan or covered by FFS. As noted earlier, nearly all beneficiaries receive their medical care from a health plan and only a small number of individuals receive care through the FFS program. Once enrolled, beneficiaries choose their primary care provider from the health plans' provider networks.

As part of the initial procurement for the Medicaid E&E Solution, DHS required that the Solution be architected in a manner that would support future development phases for other DHS programs such as the eligibility requirements for BESSD programs. In 2013, DDI activities commenced and the Medicaid E&E Solution was implemented in various waves. The initial implementation provided the public portal and integration with the FDSH. On October 1, 2013, individuals were able to establish a user account on-line and complete an application. Applications can still be submitted by mail, fax, and in-person. The Connector Contact Center personnel were also provided access to the Medicaid E&E Solution and began taking phone applications for MQD by entering the application directly on-line with the applicant on the telephone. If all necessary information is available, the Medicaid E&E Solution conducts electronic verifications through the FDSH and determines eligibility. If additional information is necessary or if the information could not be verified, the Medicaid E&E Solution automatically sends out a notice requesting the missing or conflicting information.

In May 2014, MQD implemented Wave 1 which included the automation of long-term care and implementation of remote ID Proofing. In January 2015, MQD implemented Wave 2 that included a new client portal design, eligibility rules for other Federal programs such as emergency services, breast and cervical cancer, and State-funded programs, new notices, new interfaces and enterprise content management (ECM) to scan applications and supporting documents received in the office and to allow applicants and beneficiaries to upload documents and view notices on-line.

The Customer Relationship Management (CRM) functionality was completed in Wave 3, implemented in May 2015. This functionality improved the management of workflows throughout the client lifecycle. For example, the functionality allowed an easier way to record and process household changes for new members to the households such as newborns, income changes, address, phone and other demographic changes. CRM also provided the MQD's Call Center with a way to search for contacts and to record information about a call. With CRM, the Call

Center staff can record some changes to cases (such as address changes) and send referrals to the workers for requests that cannot be processed by Call Center staff. Also in Wave 3, MQD implemented the option to receive electronic notices. An individual (the primary account holder) may “opt in” to receive an e-mail that a notice has been generated and to view the notice through his or her on-line account.

As mentioned previously, the components and services initially developed for the Medicaid E&E Solution were architected to support future technology enablement initiatives for other DHS Divisions and programs. DHS’ investments, with the support of its Federal partners, in the Medicaid E&E Solution now serve as the foundation of components and shared services for the DHS Enterprise Platform. However, the migration to the DHS Enterprise Platform requires additional enhancements and standardization of processes in order for the DHS Enterprise Platform to successfully and effectively continue to support MQD and allow DHS to bring on other programs.

As detailed throughout this RFP, the DDI of the required capabilities and functionality to support the programs administered by BESSD will be the next technology enablement initiative to leverage the DHS Enterprise Platform. BESSD provides the citizens of the State of Hawaii with monthly benefits to assist them with such essentials as food, shelter and child care as well as employment support, work training and dependency diversion and prevention. Over the past years, BESSD, through its Business Process Re-engineering Project (BPRP), has improved how it delivers these services and continues to improve by using technology, such as ePathOS (a management tool) and a Content Management System that includes Electronic Case Folder (ECF).

These initiatives have greatly improved BESSD’s effectiveness. However, there are still significant gaps between its current state and where a best-in-class organization would operate. BESSD has recently performed strategic planning sessions to identify areas where it can build on its successes and improve its performance.

3.1.1 Business Drivers

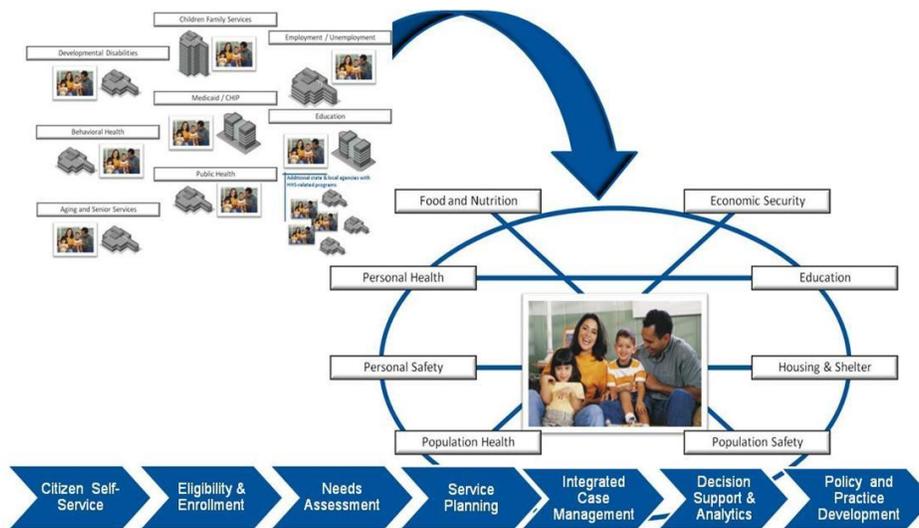
3.1.1.1 Migrating to a Person/Family-Centric Model

Historically, each DHS program has provided benefits and services to the clients it serves independent of each other driven by program-specific drivers and mandates rather than those driven from a comprehensive perspective of those served. DHS systems were procured in the same manner, and thus do not provide the capabilities essential to be aware of the breadth of the potential needs of the Client or the services Clients were receiving from other DHS programs. To improve access, outcomes, cost and quality of DHS programs and services, DHS is moving from a solely **program-centric** approach focused on discrete outputs to a more **person/family-centric** approach focused on access to and delivery of multiple coordinated services to improve outcomes cost and quality of DHS programs and services.

Achieving the vision of an Agency of One will mean adopting a different way of approaching DHS’ organizational structure and model of practice, modifying policies that constrain the ability to share data and introducing a new way to think about information technology across DHS. The integration of new DHS systems leveraging the DHS Enterprise Platform common components and capabilities is critical to achieving this vision. This procurement is a critical step in establishing an integrated approach to technology enablement through the DHS Enterprise Platform.

Figure 4 shows the evolving approach from the current state to the target state.

Figure 4. Department of Human Services' Vision



This vision, through the DHS Enterprise Platform's enablement, will benefit all programs administered by DHS. For example, all Divisions will be able to offer better services to its clients if, with appropriate privacy and consent restrictions, information can be shared between Divisions to improve the client experience and make more informed decisions.

3.1.1.2 Leverage DHS' and Federal Strategic Investments in the DHS Enterprise Platform

DHS and its Federal partners have, aligned with Federal requirements around CMS' Seven Standards and Conditions, invested a significant amount of time, resources and money in securing the enterprise technology foundation of common shared services and components to establish the DHS Enterprise Platform to support Medicaid Eligibility and Enrollment with the expectation that the Platform will provide foundational technology support to all DHS programs and services. This innovative approach is providing DHS the technology enablement essential for achieving the Department's Agency of One vision. These investments in the DHS Enterprise Platform also includes procurement of enterprise licenses for many of the software components available through the DHS Enterprise Platform.

It will be a key imperative for DHS and its Federal partners that these investments in the technology, software and capabilities of the DHS Enterprise Platform be leveraged as much as possible for all DHS technology enablement procurements. The strategic investments in the DHS Enterprise Platform that have been made and will continue to be made, with the support of its Federal partners, provides the fundamental foundation for the future business (policy, practice and operations) model DHS envisions through the Agency of One model. The Agency of One model enabled by the DHS Enterprise Platform allows DHS to provide enhanced service delivery to its clients through a more person and family centered model of practice.

This approach to leveraging DHS and Federal investments is not only aligned with CMS' Seven Standards and Conditions, but also CMS' new and proposed rules around modularity, reusability, multi-vendor integration and SOA to provide more robust technical capabilities along with decreasing the financial costs not only for initially developing the envisioned DHS solutions but also subsequently the cost to maintain and operate the solutions once in production. Migrating away from these investments will be misaligned with Federal guidance and will

increase DHS' cost share substantially for both development and M&O, and provide barriers to DHS achieving its vision for an Agency of One.

3.1.1.3 Leverage Technology to Improve Client Satisfaction

Client and staff expectations regarding technology have changed drastically since the legacy systems supporting DHS programs were implemented. The Internet is now available to people of all socio-economic backgrounds and they now expect to have access to self-service capabilities such as performing tasks on-line (e.g., completing an application) and getting updates electronically through computers or smartphones. Staff has more robust modern technologies available to them in their personal life than what they experience in their work environment.

In addition to these expectations, access to the Internet allows DHS to interact with its applicants and clients/beneficiaries in more effective ways. For example, an applicant, through robust self-service capabilities, can complete an online questionnaire to assess preliminary eligibility anytime (24 hours, 7 days a week) without the inconvenience of having to travel to a BESSD office. In addition, MQD can process online applications, which include all required information, much quicker (e.g., within a day) than previously able.

3.1.1.4 Improve Operational Effectiveness and Efficiencies

While the Medicaid E&E Solution has enabled MQD to improve its operational effectiveness and efficiencies, other DHS programs such as those administered by BESSD are constrained by the outdated technology and architecture of their current legacy systems. BESSD recently completed the BPRP that focused on moving from a case to a task model of practice for the Division. The BPRP included the implementation of ePathOS at client-facing BESSD facilities and converted BESSD's previous case management process to a task-oriented process. Although the BPRP was successful in improving the overall effectiveness and management of BESSD resources and services, further improvements similar to those realized for MQD are required but cannot be implemented with the current technology. This includes items such as:

- Currently all written communications to Clients are paper and sent via the mail or require Clients to mail or submit paper forms in person. Associated costs (e.g., postage and manual entry) can be decreased by enabling electronic communications such as email.
- Currently there are no self-service capabilities for BESSD. By enabling users to log into the Benefits Eligibility Solution and perform tasks, the workload on BESSD staff will be decreased (e.g., an online application does not need to be rekeyed, scheduling of interviews)
- The user interface on the current eligibility system is mainframe based, aged, code-driven, and error prone. It requires the memorization of specific screen names, is difficult for users to get to the needed information and interview notes must be taken manually and then rekeyed. With a modern user interface, the eligibility workers and other BESSD staff will have much easier access to Client information and be able perform interviews more efficiently, resulting in significant efficiency savings.
- Currently, significant time needs to be invested in training individuals on the BESSD legacy system. With a more user-friendly user interface the efficiency losses will be decreased significantly.

3.1.1.5 Increase Access to Data

All DHS programs collect data that is valuable to both internal and external stakeholders. As DHS moves towards its vision for an Agency of One, the demands to share, access and analyze the data have increased substantially. While these demands cannot be satisfied with the current toolsets, the DHS Enterprise Platform enables increased access to information by DHS programs. As a result, DHS programs will have the capabilities necessary to deliver comprehensive services seamlessly, leading to improved client access to healthcare and human services. For example:

- DHS will be able to make quicker and more informed decisions that can support early identification of resource needs for clients, including the ability to determine program eligibility across multiple programs
- DHS will be able to identify trends in population needs and develop innovative cross-discipline programs to improve healthcare and human services delivery, thereby reducing overall program costs
- Currently, BESSD Eligibility Workers and other BESSD staff, such as Clerical Workers and Case Workers, are at times required to access multiple systems in addition to HAWI, including but not limited to Hawaii Automated Network for Assistance (HANA), EBT, Hawaii Accounts Receivable Information (HARI), KEIKI (Child Support Enforcement Agency's automated system), SSA, ECF and the physical case record. Given that multiple searches are often required, they cannot easily access all of the information captured in the case files and data related to the case (either from external systems or from related BESSD cases). With an integrated solution, with a purpose built user interface, all of the information will be available to the workers to enhance decision making abilities.
- Although current tools and solutions provide some valuable metrics, Supervisors and Management do not have a dashboard (including mobile) measuring performance against all of the key metrics Division-wide. Improving access to the metrics and allowing analysis of the supporting data will allow Division Management to proactively identify bottlenecks and problem areas, and address these quicker, resulting in better business performance.
- Getting responses to "ad-hoc" requests from internal and external stakeholders is very cumbersome. With increased query and analytical capabilities, including access on mobile devices, MQD and BESSD would move from the tactical and reactive mode (responding to questions) to proactively analyzing the data to understand trends and improve performance, both operationally and programmatically.

3.1.1.6 Decrease Technology Risk and/or Cost

The primary system supporting BESSD's business processes, HAWI, is more than 25 years old mainframe technologies. Although this system is stable, it is getting increasingly difficult and costly to maintain and update to address the mandated changes, and make any enhancements to adopt new technologies. In addition, the inherent risk of aging technologies is increasing — not only are there fewer qualified people to support the current system, but the number of resources with the understanding of the underlying technology is decreasing. Over time these challenges will only increase, particularly in a State which is, from a workforce perspective, constrained and isolated. The opportunity to move forward with the replacement of BESSD's legacy systems and to leverage the common shared components and services of the DHS

Enterprise Platform is seen as critical to addressing these risk and cost concerns. Additionally, by enabling Divisions to share the technology, DHS is able to lower future ongoing M&O costs.

3.1.2 Business and Technology Imperatives

To address the key drivers of the Benefits Eligibility Solution Engagement, DHS has identified key imperatives – items the Solutions must do to deliver against the key drivers and the anticipated business benefits. The Solutions must, in compliance with applicable privacy and security requirements:

- Enable the sharing of data between programs
- Support BESSD's To-Be Model of Practice
- Enable self-service for BESSD Clients
- Allow Clients/Beneficiaries to seamlessly use any channel to interact with the Department (e.g., start an application on line, complete in the office)
- Provide robust decision support to users at all levels to anticipate, support and validate key decisions and activities
- Automate and minimize Staff time spent on administrative tasks
- Standardize processes, particularly cross-program processes (e.g., eligibility, customer support, billing)
- Leverage the DHS Enterprise Platform components wherever possible (shared portal, enterprise service bus, identity/access management, master data management (MDM) and rules engine) to develop the BESSD capabilities and functionality, and support the vision for an Agency of One
- Provide the framework for one integrated decision support and data analysis platform to support Department level metrics and analysis (enterprise wide business intelligence)
- Establish the capability to centralize/distribute workload (e.g., phone calls, mail processing)
- Reduce the time required to gather, process and share information
- Automate and simplify all BESSD eligibility determination criteria
- Improve integration with external data sources

3.1.3 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 (PERM) 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.

3.2 Project Governance and Organizational Approach

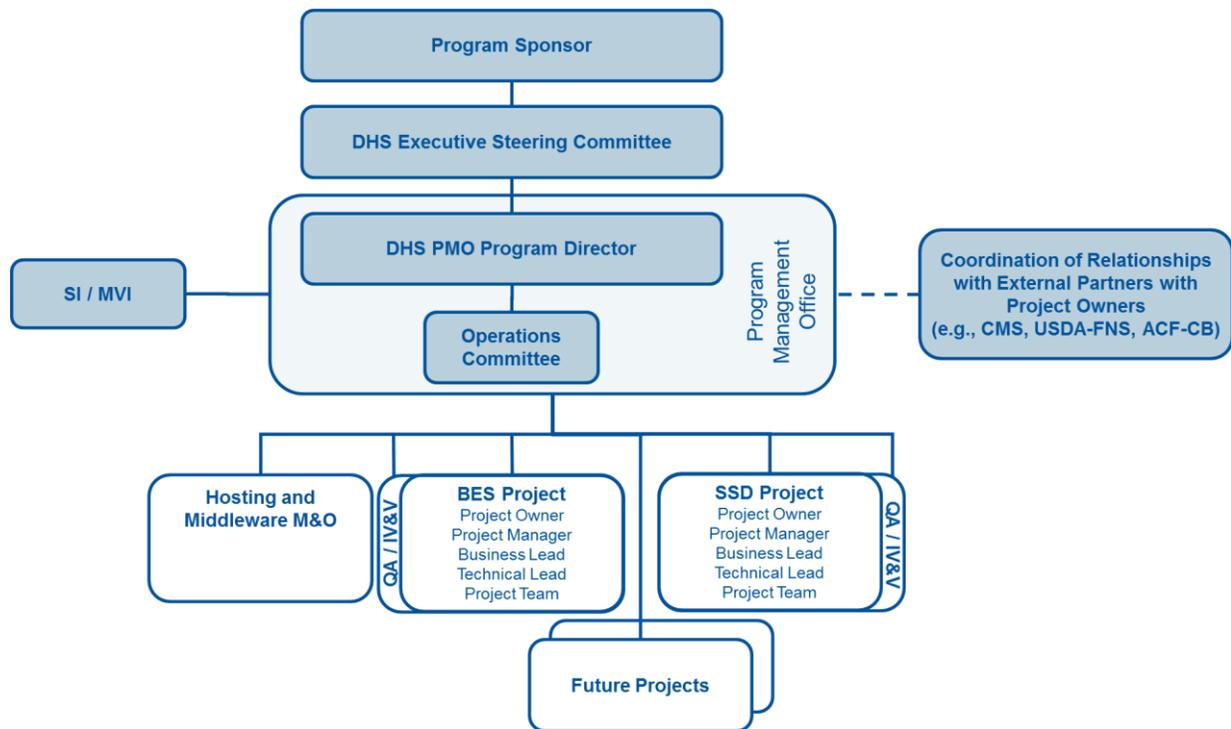
This procurement is part of a broader effort to modernize DHS' systems named the DHS Enterprise Program. This includes a Program Management Office (PMO) and governance structure that will allow effective management of interdependencies while allowing the Project team to be responsible for implementing and maintaining the Solution.

3.2.1 Enterprise Governance and Program Management Office Organization

The Benefits Eligibility Solution Engagement is part of the DHS vision for an Agency of One moving from program-centric to a more person/family centric model of practice. DHS has established the DHS Enterprise Program in support of this, including establishing effective governance to ensure the constituent projects stay focused on the DHS vision to improve access, outcomes, quality and cost of the full continuum of DHS programs and services. Through the DHS Enterprise Program, DHS leadership maintains a focus on the business benefits of greater integration and not 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 Project functionality is being built. In addition, SSD will be going through procurement for the retirement of its child welfare legacy systems and will be addressing similar project goals as this Project. 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



As this Project is part of the DHS Enterprise Program, the Project team will report into the DHS Enterprise Program governance structure. Executives from DHS including representatives from BESSD, SSD, Med-QUEST and OIT are part of an Executive Steering Committee (ESC) that provide overall guidance and support during the course of the Project. 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

3.2.2 Governance and Systems Integrator / Multi-Vendor Integration

Given the interdependencies inherent to these efforts, DHS has invested in developing a robust governance structure to support sound decision-making throughout the life cycle of all projects within DHS as described in other sections of this RFP. Governance support for the Benefits Eligibility Solution Engagement is a critical imperative for the success of the vision for the DHS Enterprise Platform which spans priority setting, to requirements, to procurement strategy, to vendor selection, and to design, development, and implementation of modern solution(s).

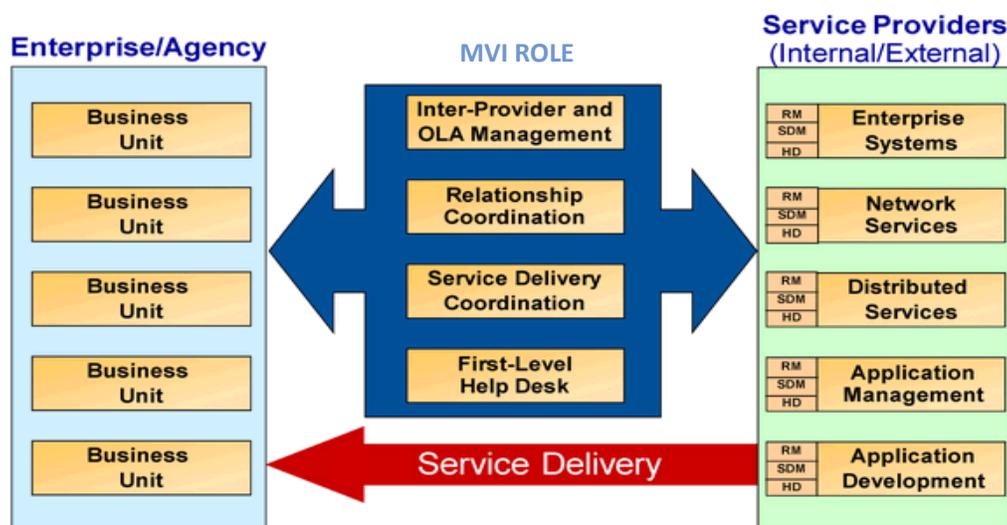
During the development of the Benefits Eligibility Solution and enhancement of the Medicaid E&E Solution by the ASI Vendor, multiple vendors (e.g., CCWIS Vendor) may be developing concurrently and/or the ESI may be enhancing the DHS Enterprise Platform. As such, the ESI will be responsible for managing the multi-vendor coordination for delivery of end-to-end IT services. This is also referred to as Systems Integrator (SI) / Multi-Vendor Integration (MVI). The ASI Vendor must work collaboratively with the SI / MVI team from the ESI in compliance with set SI / MVI governance principles and standards to ensure the successful implementation of Solution functionality on the DHS Enterprise Platform. The ASI Vendor’s proposed technical solution will be required to comply with the established standards including reviews and approvals by DHS.

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 KPIs, 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 (see Section 3.4.8.5.6)
- Establish coding and documentation standards and monitor compliance

Figure 6 provides a conceptual view of the SI / MVI framework and its coordination role between DHS and service providers.

Figure 6. Multi-Vendor Integration Overview



3.2.3 Independent Verification and Validation Vendor Support

The complexity and challenges of developing and implementing the Benefits Eligibility Solution justifies the services of a third party Independent Verification and Validation (IV&V) vendor. DHS will conduct a separate procurement to select and contract for IV&V services to support the success of the Project. Oversight activities for this Project will be performed by an IV&V vendor that will be selected by DHS and quality assurance will be performed by DHS personnel.

The IV&V vendor, working as part of the DHS Enterprise Program, will be responsible for ensuring that efforts performed by the Project are consistent with Federal requirements and industry best practices, as well as assessing the ESI's processes to ensure they provide the proper support to lead to successful Project completion. The IV&V vendor will review and validate the work performed by the ASI Vendor as well as that of DHS, and will be responsible for monitoring and anticipating Project risks and potential risk mitigation strategies throughout the Project's life cycle and providing these reports to DHS, the ASI Vendor, and FNS.

The IV&V approach will be an iterative process throughout the Software Development Life Cycle (SDLC) to determine whether the plans, methods and products delivered fulfill the Benefits Eligibility Solution Engagement's needs and are internally complete, consistent, and sufficiently correct to adequately support the next iteration / phase / step.

DHS understands the benefits of IV&V include the following:

- Increased objectivity
- Earlier detection of errors
- Reduced effort and cost of removing detected errors
- Enhanced operational correctness
- Consistent development / enhancement process

The IV&V vendor will work in partnership with the DHS Project team and perform the following functions:

- Review Project planning deliverables to ensure they are sufficient and meet applicable Project standards
- Review ongoing Project processes, methods and activities
- Provide technical review and verification of key Project milestones and deliverables
- Provide independent review of Project deliverables against requirements
- Anticipate and identify Project risks and monitor the Project risk management process
- Offer recommendations for problem and issue resolution
- Develop independent Project oversight reports and deliver them to the ESC and the DHS Project team
- Provide periodic review and recommendations to the Project Owner and the ESC regarding Project status and risk anticipation, prevention and mitigation

The scope of independent IV&V services is being procured separately and is not included in this RFP. The ASI Vendor and ESI are required to work cooperatively and effectively with the selected IV&V vendor.

3.3 Current Environment

Until recently, both MQD and BESSD used the HAWI mainframe-based application as their primary system to support eligibility determination and benefits management for all social and healthcare benefit programs. As of October 2013, all of healthcare related eligibility determination started to migrate to the Medicaid E&E Solution over several releases in the ensuing two (2) years starting with MAGI Medicaid, although some of the surrounding support functions (e.g., overpayment collections, legacy interfaces, etc.) continue to use the mainframe.

The sections below provide an overview of MQD and BESSD's current technology environment, including a detailed overview of the Medicaid E&E Solution as these underlying technologies will be the foundation for the DHS Enterprise Platform.

3.3.1 Overview of BESSD's Current Technology

BESSD currently uses mainframe-based HAWI as its primary system to support eligibility determination and benefits management. However, additional applications have been added to better support the business users and meet the changing needs. As depicted in Figure 7 and described below, the primary systems supporting BESSD today include:

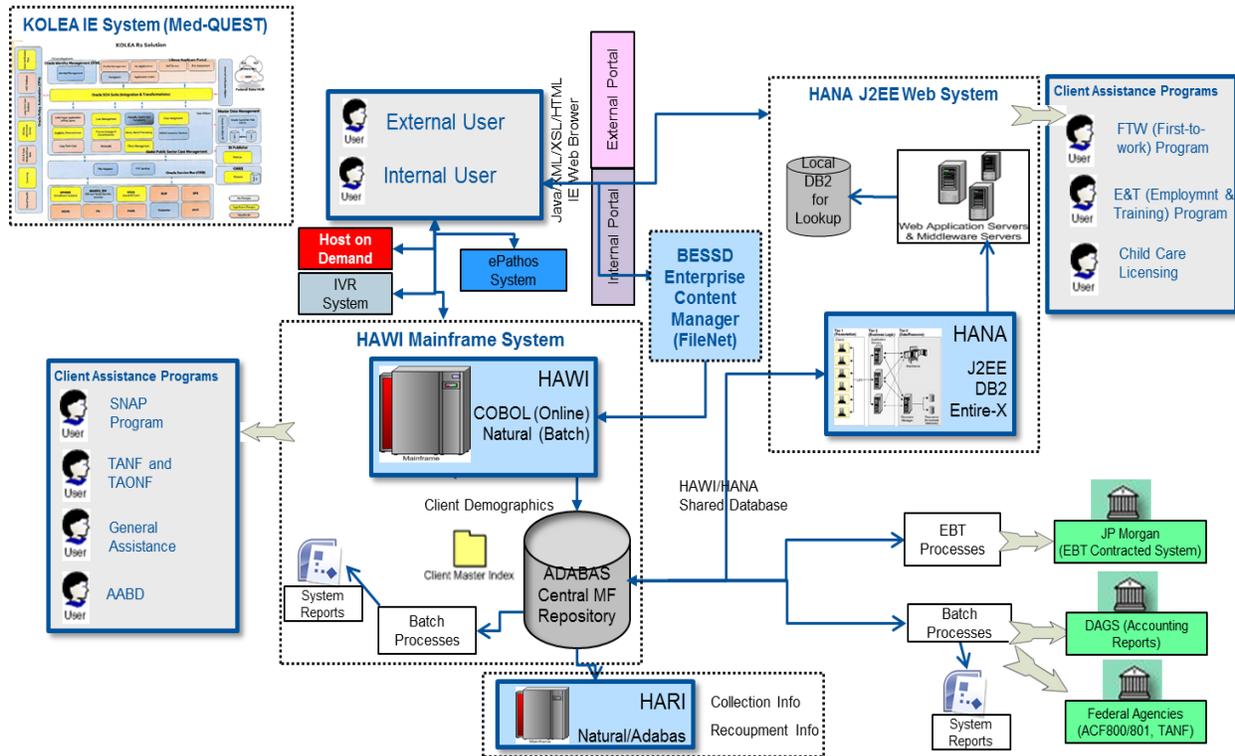
- HAWI system is a 25-year-old system on an IBM mainframe platform that was transferred from Arizona, and relies on several software development languages (e.g., Natural, COBOL, and Assembler software development languages) and Software AG ADABAS database management system to deliver the current eligibility determination and benefit management functionality for BESSD-managed benefits and services. There are over 1,300 users across Hawaii who access and use the system to process applications and requests for public benefits. HAWI's functionality is expected to be replaced with the new functionality being developed and delivered via the DHS Enterprise Platform and this RFP.
- HANA is an on-line, interactive and integrated system that provides computerized services for the selection of candidates from the client pool, and performs intake, orientation, assessment and planning of services for families who require work-related supportive assistance. HANA is designed to provide on-line client tracking, case management, payment and process automation. In addition, HANA supports the licensing and certification of child care providers and administering child care benefits to recipients. The application provides computerized report capabilities for line staff and administration as well as integrated, real-time inquiry into HAWI information crucial to performing HANA related work tasks. HANA is a 3-tier, J2EE application that shares its data tier on ADABAS on the Mainframe with HAWI. There are over 40 shared tables with HAWI, and all data manipulation logic is implemented in Natural on the mainframe. DHS is currently migrating HANA off the ADABAS database on the HAWI mainframe onto an Oracle RDBMS so will likely not be sharing data tables with HAWI when this project commences. HANA uses Software AG's EntireX product to access the data on the mainframe, and maintains key reference data (e.g., code tables) on a DB2 database running in Linux. The developers use Apache Subversion for source code management and version control. There are also two (2) portals that allow browser-based access for internal and external users using IBM Notes and Domino technologies. There are more than 300 users who access HANA functionality to support the related business processes. HANA is expected to continue to provide its current functionality to BESSD users and interface with the DHS Enterprise Platform.
- HARI is an accounts receivable system that BESSD uses for managing over payment collections. All programs administered by BESSD use this functionality. The system

maintains claim balances by accepting payments, reimbursements and adjustments. The claim balances in HARI provide HAWI case workers with current overpayment balances and activities relating to their Client's accounts. HARI is a mainframe-based application that was a transfer of Arizona's Accounts Receivable Integrated Collections System and built on Software AG's Natural and ADABAS. HARI's functionality is expected to be replaced with the new functionality being developed and delivered via the DHS Enterprise Platform and this RFP.

- ePathOS is a stand-alone, cloud-based application which was developed recently to provide process monitoring and controls for the different branch offices. It supports logging applications as they are received, monitoring them through the process and, as a result, it provides BESSD with the visibility to workload and aligns their resources with the workload. ePathOS functionality is expected to be replaced with the new functionality being developed and delivered via the DHS Enterprise Platform and this RFP.
- ECF is a 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 is based on IBM FileNet. ECF functionality is expected to be replaced with the new functionality being developed and delivered via the DHS Enterprise Platform and this RFP.
- The Interactive Voice Response (IVR) system is integrated with HAWI and HANA and pulls information to provide users with automated responses to specific questions. The new functionality being developed and delivered via this RFP is expected to interface to the IVR (though the current IVR may be replaced, see Current Related Initiatives Section of this RFP).
- Hawaii Random Moment Study (HRMS) is an application that tracks system usage so costs can be allocated between programs based on usage. The HRMS functionality is expected to be replaced with the new functionality being developed and delivered via this RFP.
- INVO SQL Server database tracks all cases under investigation Statewide. INVO is expected to continue to provide its current functionality to BESSD investigators.
- Multiple loosely integrated small databases and applications have been developed to support:
 - Smaller programs (e.g., LIHEAP)
 - DHS-wide processes (e.g., Appeals, Overpayments, etc.)

All of the functionality delivered via these small application are expected to be replaced with the new functionality being developed and delivered via the DHS Enterprise Platform and this RFP.

Figure 7. High Level BESSD Application Architecture



HAWI interfaces with a number of other State, Federal and private systems. It is expected that at least these interfaces will need to be developed and implemented within the DHS Enterprise Platform. These systems include:

- **Bank Match** – Obtains account balances from selected banking institutions on all active HAWI Clients over 17 years of age
- **Child Support** — Provides the Child Support Enforcement Agency (CSEA) with information on any new TANF and Eligibility cases that become eligible during the month, as well as any changes that were made to these existing cases. Additionally, DHS will receive from CSEA information on child support monies collected, pass through information and Third Party Liabilities updates
- **Department of Labor Wage Match (State Wage Information Collection Agency) and Unemployment Insurance** — Matches HAWI Clients against the Department of Labor's computer system to determine if HAWI clients are receiving Unemployment Insurance Benefits which have not been reported or have earnings which were not reported
- **Internal Revenue Service** – Generates a 'Request Tape' of all active HAWI clients and sends it to the Internal Revenue Service (IRS) who will generate a 'Reply Tape' to DHS reporting any applicable unearned income for Clients in HAWI
- **SSA SDX Disability Income Verification** – Determines if welfare applicants/recipients reported receipt of Supplement Security Income-Disability (SSI). Procedurally, DHS receives a monthly SDX interface tape file from the SSA which contains data other than SSI

- **SSA Enumeration** – Updates the HAWI Client record with a new SSN assigned by the SSA
- **SSA BENDEX** – Obtains from the SSA benefit entitlement information on new Clients, and informs SSA of any Clients or cases which become ineligible and/or the case is closed during the month
- **SSA Beneficiary Earnings Exchange Records Reports** — Requests earnings information from the SSA regarding active HAWI Clients
- **SSA SSN Verification Extract File** – Verifies all active HAWI Client's reported SSN through the SSA
- **KEIKI Information Interface** – Updates HAWI, on a monthly basis, with information from DHS of Hawaii's Child Support system (KEIKI) for the prior month. The Child Support system will generate five (5) monthly KEIKI interface files containing child support information to be loaded into HAWI. The five (5) interface files are: KEIKI Disbursement file, KEIKI Person file, KEIKI Receipt file, KEIKI Obligation file, and the KEIKI Case file.
- **Department of Labor and Industrial Relations** – Ensures that SNAP recipients are in compliance with DHS' work registration requirements.
- **Beneficiary Earnings Exchange Record (BEER)** - BEER is a batch exchange that provides Federal earnings data to State of Hawaii.
- **JP Morgan** – JP Morgan currently manages the EBT and Direct Deposit transactions on behalf of BESSD. HAWI provides EBT card and direct deposit information to JP Morgan who credits the appropriate accounts and manages any subsequent transactions against the EBT cards.
- **Hawaii Department of Accounting and General Services** – DAGS manages DHS' accounting system, Financial Accounting Management and Information System (FAMIS). HAWI provides accounting transactions as a subsidiary accounting system.
- **HANA** – HANA was originally integrated with HAWI using a shared database tables approach that is currently being re-architected to allow for independent HANA operations.

In addition, HAWI currently provides data/files to a variety of other State of Hawaii agencies as scheduled (e.g., monthly, semi-annually or annually) or on demand.

The table below provides a mapping of the primary applications supporting the specific DHS programs.

Table 7. BESSD Program Support by Application

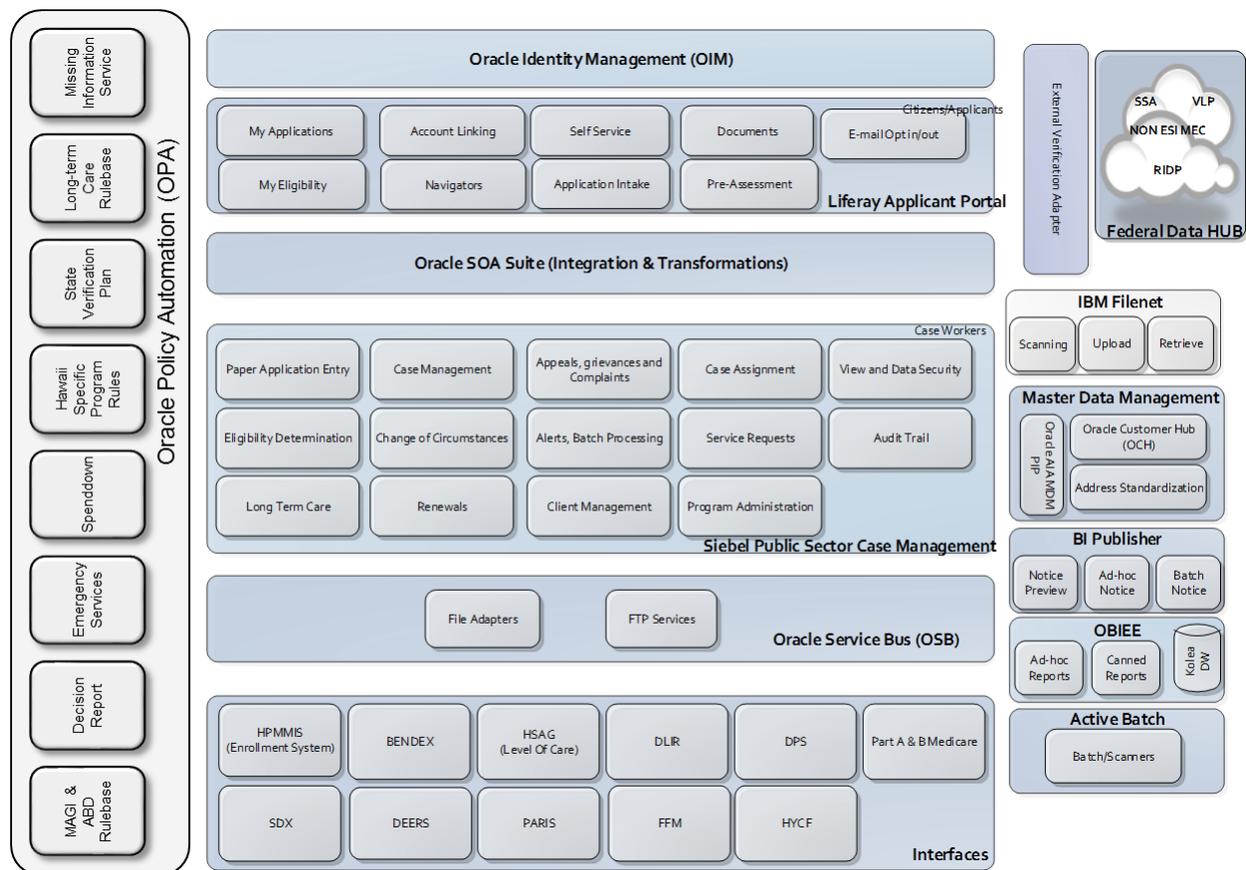
BESSD Program	Primary Application
Temporary Assistance to Needy Families (TANF) and Temporary Assistance to Other Needy Families (TAONF)	HAWI
General Assistance (GA)	HAWI
Aid to the Aged, Blind, and Disabled (AABD)	HAWI
Supplemental Nutrition Assistance Program (SNAP) – formerly known as the Food Stamp Program	HAWI
Low Income Home Energy Assistance program (LIHEAP)	Access/desktop tools support
First-To-Work (FTW)	HANA*
Employment and Training (E&T)	HANA*
Child Care Program Office	HANA*
Refugee and Repatriate Programs	HAWI

* Although the users interact with HANA, some of the back-end functionality is provided by HAWI

3.3.2 Overview of MQD’s Current Technology

Hawaii’s Medicaid enrollment, encounter, and claims processing functions are supported by the Hawaii Prepaid Medical Management Information System (HPMMIS), and Hawaii’s traditional Medicaid and Medicaid expansion programs’ eligibility determination and enrollment are currently supported by the Medicaid E&E Solution. The Medicaid E&E Solution and its core Oracle SOA based application infrastructure are intended to serve as the foundation for the DHS Enterprise Platform.

Figure 8. High Level MQD Application Architecture



3.3.2.1 Hawaii Prepaid Medical Management Information System

Hawaii’s medical enrollment, encounter, and claims processing functions are supported by the HPMMIS. The HPMMIS is managed by the Arizona Health Care Cost Containment System (AHCCCS) for Hawaii under an Interstate Agreement. Like HAWI, the HPMMIS is a legacy mainframe system.

HPMMIS system is a 25-year-old system on an IBM mainframe platform that relies on several software development languages (e.g., COBOL, and Assembler software development languages) and Software CA DATACOM database management system.

3.3.2.2 Medicaid E&E Solution

In October 2013, DHS, as part of the ACA, implemented a new eligibility and enrollment system for Medicaid. This supports all of healthcare related eligibility determinations including traditional Medicaid, MAGI Medicaid and CHIP. The Medicaid E&E Solution has been architected in alignment with CMS’ Seven Standards and Conditions and to be the foundation for the broader DHS Enterprise Platform – designed to support additional programs in alignment with DHS’

vision of an Agency of One. DHS expects to leverage this technology for the Benefits Eligibility Solution.

The sections below provides details of the Medicaid E&E Solution and references to Medicaid E&E design and operations documentation developed by the incumbent vendor as part of the current engagement and included in the Procurement Library.

3.3.3 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. All of the components described below and the detailed discussion of the components and services implemented and accessible as part of the DHS Enterprise Platform in support of the Project are included in the Procurement Library.

The Medicaid E&E Solution was implemented using multiple Commercial Off-The-Shelf (COTS) application components and infrastructure technologies including Siebel CRM Public Sector, Oracle Policy Automation (OPA), Oracle Fusion Middleware (OFM), Oracle WebLogic, Siebel Universal Customer Master (UCM), and Oracle Business Intelligence Enterprise Edition (OBIEE).

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 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)

3.3.3.1 Medicaid E&E Solution COTS Components

The Medicaid E&E Solution comprises of integrated COTS components working in concert to perform eligibility determination and other medical assistance functions. Some of the key components of the Medicaid E&E Solution are described below.

- The Liferay product is comprised of an online portal technology that has been customized for online account management, and eligibility determination for online external application users. Liferay is configured to meet the State specific eligibility determination requirements such as presumptive eligibility and navigator assisted eligibility determination. Applicants or beneficiaries use the Liferay portal to check eligibility and submit applications online. The Liferay portal provides web-based self-service access to information related to eligibility determination services and benefits. Applicants or beneficiaries can freely access general public content and pre-eligibility screening tools. They also have the ability to submit, track and manage online applications for Medicaid and other medical assistance programs. The Medicaid E&E Solution external portal provides the capability to view correspondence and upload documentation and provides applicants anonymous and quick assessment of eligibility. The portal supports the ability for users to opt in and out of electronic mail. Upon opting in, no physical correspondence will be sent, and e-mail will go out to inform applicants to log in to their accounts to view their correspondence. Applicants can select their language on the portal and consequently all information will be translated to the selected language.
- Oracle Siebel Public Sector CRM is used to support Medicaid eligibility and business operations. The worker portal provides DHS workers with an integrated case management application that can be used throughout the lifecycle of each case. Siebel Public Sector's Workflow capabilities enable automation of specific business policies and procedures such as Eligibility and Case Management. The use of Workflow enables supporting activities to the applicant or beneficiary to be addressed and alerts/service requests to be escalated for resolution. All contact data is stored and maintained in this product. The Medicaid E&E Solution includes a single and consistent process to update application information and guided and automated processes for complex changes. The Medicaid E&E Solution supports automated renewals, re-determination, and corresponding notices and a post-Intake process to handle duplicates. The Medicaid E&E Solution triggers the portal application process for a single consistent and seamless process and has an application object used to assign, store and retrieve saved/submitted applications. The Medicaid E&E Solution supports scanned applications integrated with application entry, case and benefit status managed by state model and supports automatic or manual determinations. The Medicaid E&E Solution supports different case events (i.e. New Application, COC, Renewals, etc.) and manages eligibility determinations for different program types. The Medicaid E&E Solution supports batch determination and provides validation and data integrity through Siebel and OPA interface as well as provides a robust matching criteria and a matching desk to identify duplicate client applications and changes to an existing application.
- Oracle Siebel Public Sector CRM also provides functionality to intake Long Term Care application details as well as guided screens to process application changes. The Medicaid E&E Solution is fully integrated with Medicaid operations and provides dynamic validation of data, supports Appeals, grievances, and complaints through service request creation and custom views to intake data. The Medicaid E&E Solution includes guided views to track changes and inquiries from different channels. It has a single and consistent process to update application information. Guided views exist to track changes and inquiries from different channels, additional alerts for the case workers to keep them aware of the deadline and changes on a case (e.g., pregnant women nearing the end of 60 days of post-partum coverage, child "aging out" at 19 years, etc.) and provides administration of program and benefit details in real-time by business administrators. The Medicaid E&E Solution leverages Siebel Public Sector CRM to

provide administration of list of values and switches to turn on/off validation. Siebel Public Sector CRM is used to trigger the automatic re-assigning of cases if the zip code changes. It also provides controlled access to views by defined roles and controls access to data by defined user positions and organization. Siebel Public Sector CRM is also used to track details of updates and creation of data for pre-defined objects.

- Oracle Policy Automation (OPA) provides the primary solution for the Medicaid eligibility rules that facilitate eligibility determination and processing of beneficiary applications in the Medicaid E&E Solution. OPA is leveraged to provide automated determination and validation for Death Payment, Foster Care, Transitional Medical Assistance, Repatriate, Breast and Cervical Cancer, Hospital Presumptive, and Refugee programs. The Medicaid E&E Solution OPA implementation supports automated validation and determination for ACA and State Medicaid, and supports automated validation and determination for spend down programs. OPA also supports automated validation and determination for Emergency Services, automated validation and determination for Long Term Care and automated validation and determination for Aged, Blind and Disabled.
- Oracle Business Intelligence Publisher (BIP) is used to support the operational reports as well other dashboards and reports. The reporting portal provides DHS management and workers an integrated view of operational as well as analytical reports giving the staff visibility into critical decision support information. Addressing the reporting needs beyond the pre-defined reporting, BIP addresses the requirements for ad-hoc reporting. Access to reports and respective data are administered by role and position of the user logging in, and nightly Extract, Transform and Load (ETL) is run to update the data warehouse. A number of key fields are trended to store and report on historical changes, and the capability for a business user to create and manage ad-hoc reports with the use of a number of eligibility, application, and enrollment fields is supported. High-use and complex reports are created to support operations as canned reports.

3.3.3.2 Medicaid E&E Solution n-Tier Architecture Design

Some of the salient features of the established architecture include:

- Standard mechanisms for interoperability and data exchange
- Adherence to technical standards - specifically open standards - and facilitates integration of COTS software and the reuse of solutions within Hawaii and other states
- Implementation of end-to-end security using various technologies like Oracle Identity and Access Management, SOA security, and Oracle Database advanced security
- Design consistency with CMS' Seven Standards and Conditions
- Adherence to various laws and guidelines including the HIPAA, National Institute of Standards and Technology (NIST) 800 security standards and others

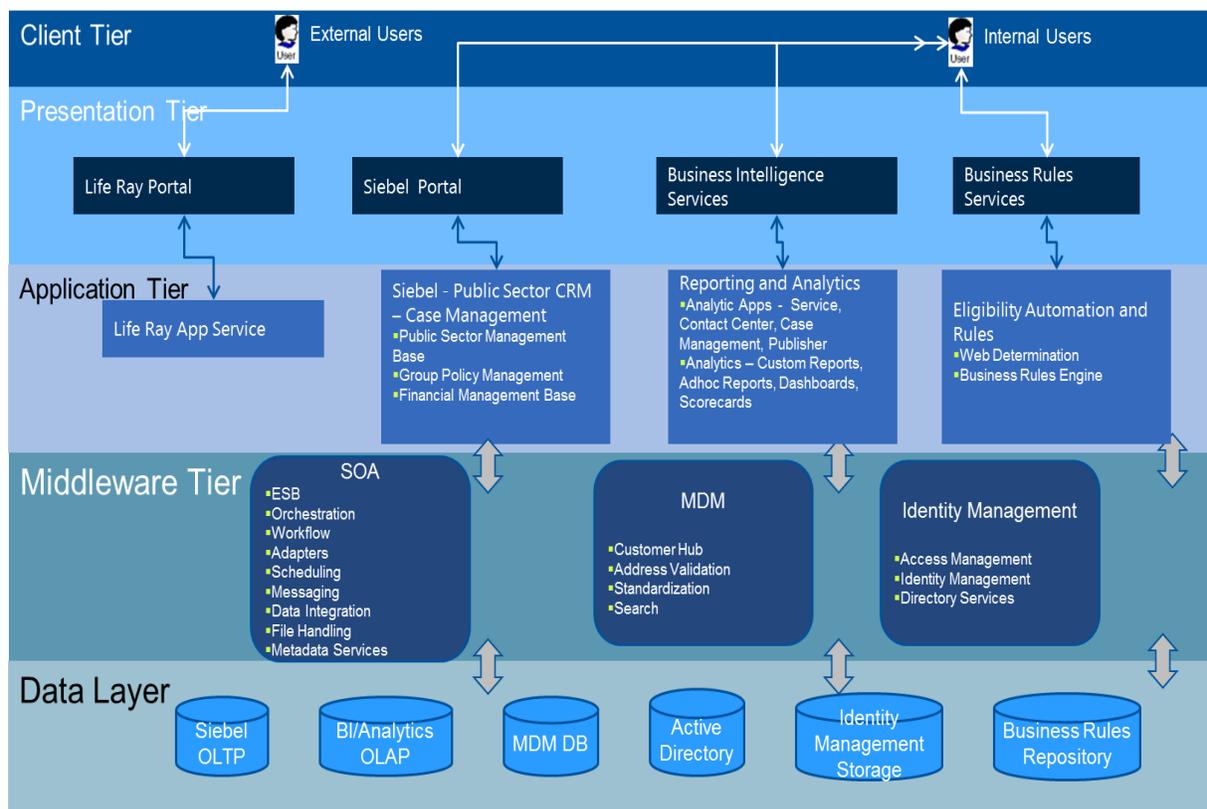
The established n-Tier architecture separates the presentation layer of the system from its business logic and the database and possesses the following characteristics and capabilities:

- It is comprehensive in that it supports the full complement of required functionality in a unified and integrated environment with the capacity to meet volume, performance, and scalability requirements.
- The design optimizes the system maintenance, cost, and personnel and allows for the separation of specific application maintenance and operational responsibilities across several logical and physical tiers.

- It makes use of high performance, flexible and scalable Exadata and Exalogic hardware platforms, and mature software technologies such as Siebel Public Sector CRM, OPA, Web Logic application server and Oracle RDBMS.
- It is flexible and takes full advantage of an n-tier design approach in a distributed systems environment.
- It is scalable, making use of hardware clustering and load balancing to support throughput without changing the application code.
- The implementation and maintenance has been simplified by implementing products that have demonstrated track records of smooth interoperability and integration, and by deploying components of the Medicaid E&E Solution on a common hardware and operating system platform.

Figure 9 illustrates a high-level view of the logical architecture implemented.

Figure 9. Established Logical Architecture



The N-Tier application architecture approach for the Medicaid E&E Solution is pervasive and covers a number of the technical components. Detailed information on the implementation of the logical architecture and the Medicaid E&E Solution is provided as part of the Procurement Library within the following documents:

- T04 - Implementation Plan
- T07 - Technical Architecture Blueprint.pdf
- T08 - State Hub and ECM Infrastructure Blueprint Document.pdf

3.3.3.2.1 Presentation (Web) Tier

As discussed in the section above, the Medicaid E&E Solution uses the Liferay portal for external users (Hawaii residents) and Siebel Public Sector CRM portal for internal users (case workers and other DHS staff). The Web tier (also known as presentation layer) governs what the users see at their workstation. An HTTPS server hosts the display interface. The Web tier for the Medicaid E&E Solution has been specifically developed to capture information - not process it. It allows information to pass through it to the Application Tiers, where multiple processing stacks route the data and interact with the data store.

3.3.3.2.2 Application Tier

The business logic tier (or application tier) is the layer where the application logic is being run. The complex processing for case management, eligibility and the subsequent data exchange among the components of the service and external systems is performed within the business logic tier.

This layer is the most critical to the solution and is broken apart from the Web tier to allow DHS to grow the application component of the solution as needed without interfering with, or having to rebuild, the front end Web tier.

Siebel Public Sector CRM, in combination with OPA, provides ready-to-use application components that would otherwise have to be custom built for integration.

3.3.3.2.3 Middleware Tier

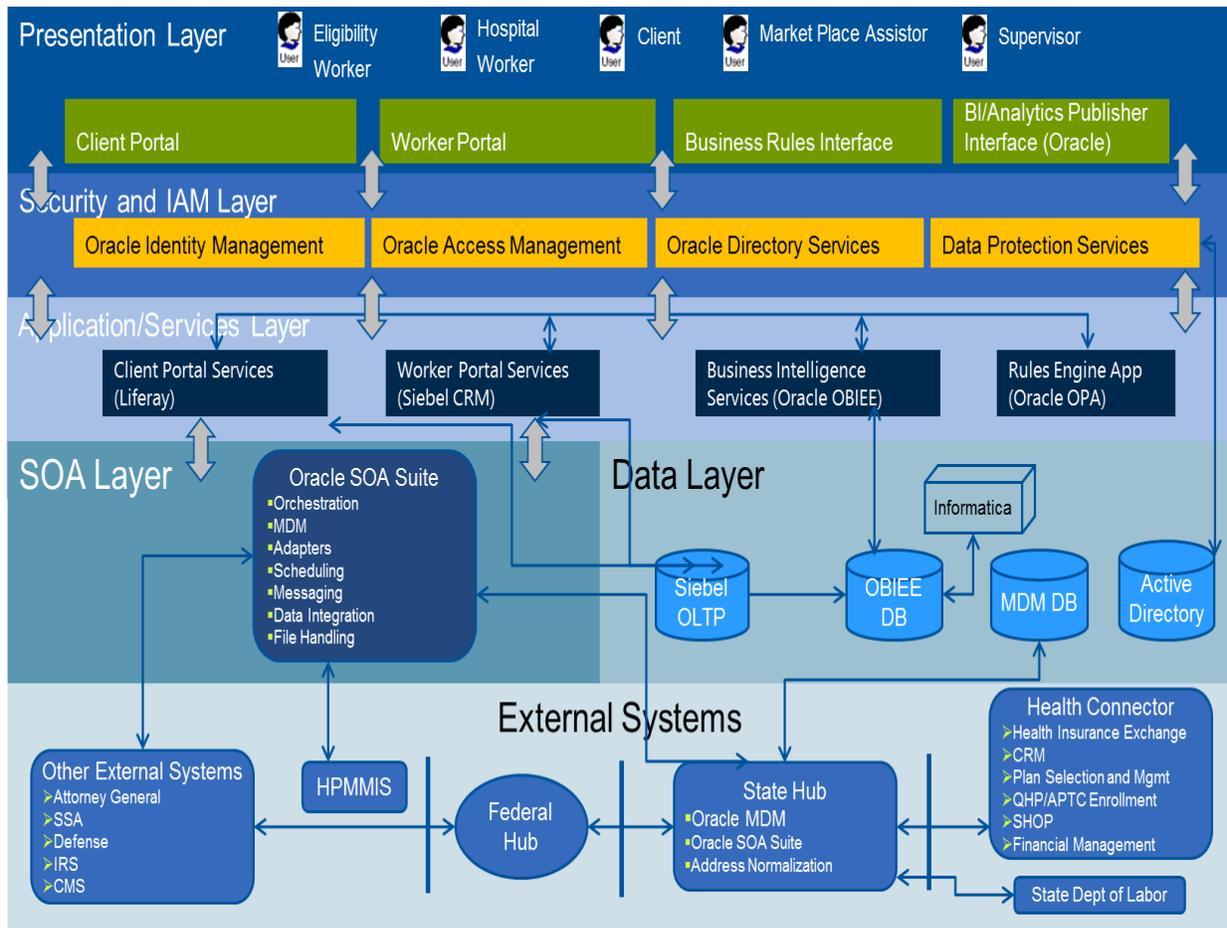
The Middleware Tier comprises of the Oracle SOA Suite of tools that includes the application server and the Enterprise Service Bus (ESB) along with capabilities for complex system-to-system interfaces, data integration and Web services security. In addition, Hawaii has elected to deploy a Statewide MDM solution that provides capabilities to map the master data between systems, and advanced capabilities for data matching (fuzzy matching) for client search and lookup. This tier also houses the identity and access management component that provides overall security of the various components within the Medicaid E&E Solution.

3.3.3.2.4 Data Tier

The first three (3) layers of the Medicaid E&E Solution act like separate components of the overall solution that enable specific activities to occur before allowing the User to access the database where sensitive data resides. The Data Tier is designed to provide DHS with the appropriate levels of secure access to data. The Medicaid E&E Solution uses role-based security to control access to system functions and data.

Figure 10 provides a high level overview of how the above software components are interacting with one another in the current Medicaid E&E Solution implementation deployed for MQD. The graphic provides a logical view of the solution architecture highlighting some of the shared components and business and technical services.

Figure 10. Architecture Logical View



Integration Architecture

3.3.3.2.5 Integration Architecture and Interfaces

The Medicaid E&E Solution includes the State Hub with integration technologies such as OFM and Oracle WebLogic Suite (WebLogic App Server Enterprise and Oracle Service Bus). Figure 11 provides a high level view of the integration architecture, highlighting how the different State and Federal systems are interfaced to support the current Medicaid E&E Solution through the State Hub.

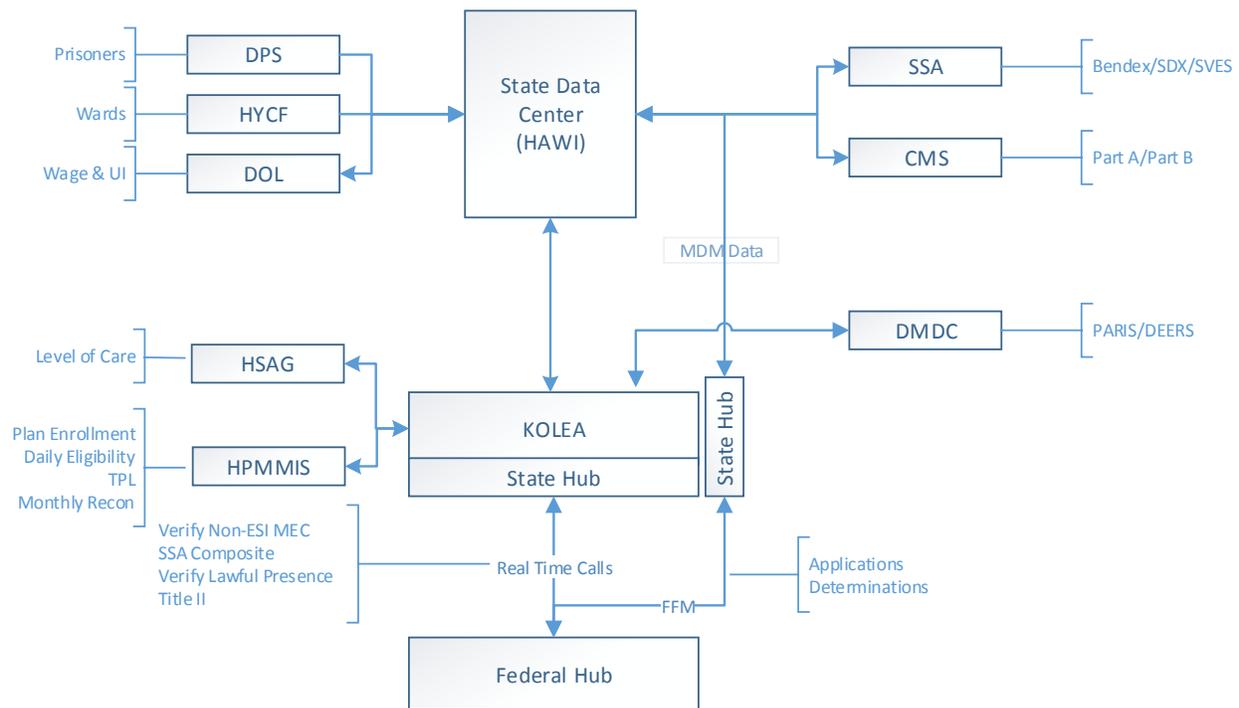
The Medicaid E&E Solution also leverages existing connectivity, transmission methods, and Memorandum(s) of Understanding for legacy interfaces between legacy system (HAWI) and external Federal and State partners. The Medicaid E&E Solution also produces batch files for clients in medical assistance programs and has an established method to transmit the batch files to HAWI. Furthermore, it has established a bi-directional interface with HPMMIS to allow individuals determined to be Medicaid eligible to make plan selections and to transfer daily enrollment and monthly reconciliation files to HPMMIS; it receives enrollment files from HPMMIS.

The Account Transfer interface to route individuals who are potentially APTC/CSR-eligible to the Federally Facilitated Marketplace (FFM) is a part of the Medicaid E&E Solution functionality. Hawaii decided to migrate from a State-based Health Insurance Marketplace to a State Based

Marketplace using the federal platform in 2015 due to a number of business drivers. All references to the Connector throughout this document should be interpreted as the new FFM implementation.

Figure 11 depicts the Medicaid E&E integration architecture. As the Medicaid E&E Solution is continually being enhanced, the specific interfaces shown will likely be modified.

Figure 11. Interface Architecture



3.3.3.3 Medicaid E&E Solution Technology Components Overview

The following section provides an overview of the key technology components that make up the Medicaid E&E Solution. These technology components were all designed and developed during the Medicaid E&E Solution project and have been identified for shared services.

Detailed information on this section is provided as part of the Procurement Library within the following documents:

- T01 - Solution Reference Architecture.pdf
- T03 - Solution Architecture Diagrams.pdf
- T04 - Implementation Plan_R2W2.pdf

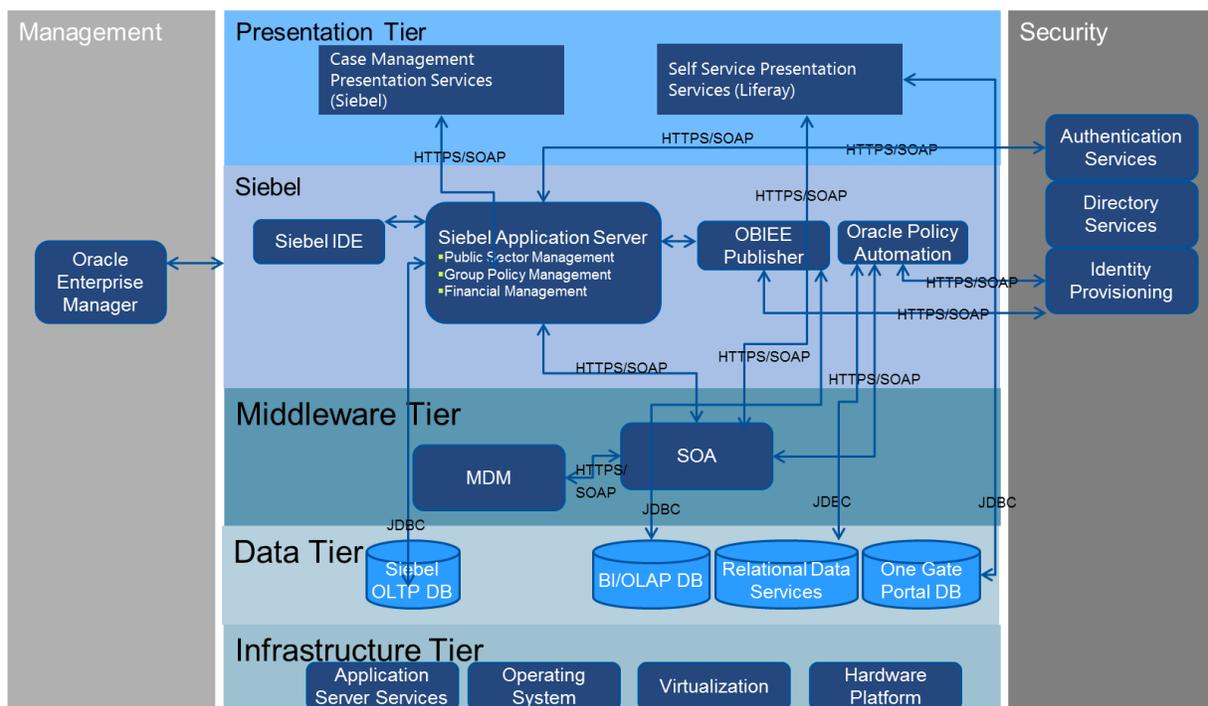
3.3.3.3.1 Case Management and Customer Relationship Management Component(s)

The CRM Enhancement of the Medicaid E&E Solution is intended to help DHS realize the objectives of their future state roadmap. The CRM Enhancement solution will help to improve client support, customer service and client satisfaction, and will be a major enhancement of the Medicaid E&E Solution customer support capabilities. CRM enhancement solution will support the Customer Service Branch operations (as well as correspondence at Eligibility Branches) supporting DHS customer needs across the client lifecycle.

The CRM solution leverages the existing Medicaid E&E Solution’s core COTS application platform (Oracle’s Siebel Public Sector CRM) to expand the Customer Service Branch’s ability to act as Level 1 support for MQD. Additional configuration and related services during implementation of CRM Enhancement supports improved client services and provides the foundation to support reporting across a multitude of programs; including medical assistance, cash assistance, and nutritional assistance programs. This extends the reach of DHS’ contact and customer support to nearly one-third of the State’s population.

Figure 12 provides a high level overview of the CRM technology component.

Figure 12. CRM Component Overview



Detailed information on this section is provided as part of the Procurement Library within the following documents:

- T04 - Implementation Plan_R2W2.pdf
- T09 - CRM Design Specification Document.pdf
- T10 - CRM Environment Plan.pdf

3.3.3.3.2 Consumer Portal Component(s)

The Medicaid E&E Solution uses the Liferay Portal as the primary platform for Client access to the system's functionality over the Internet to apply for benefits. The Screening, Application and Eligibility Determination functionality is a part of the functionality that has been deployed on top of the Liferay Portal product and the rules engine platform, OPA.

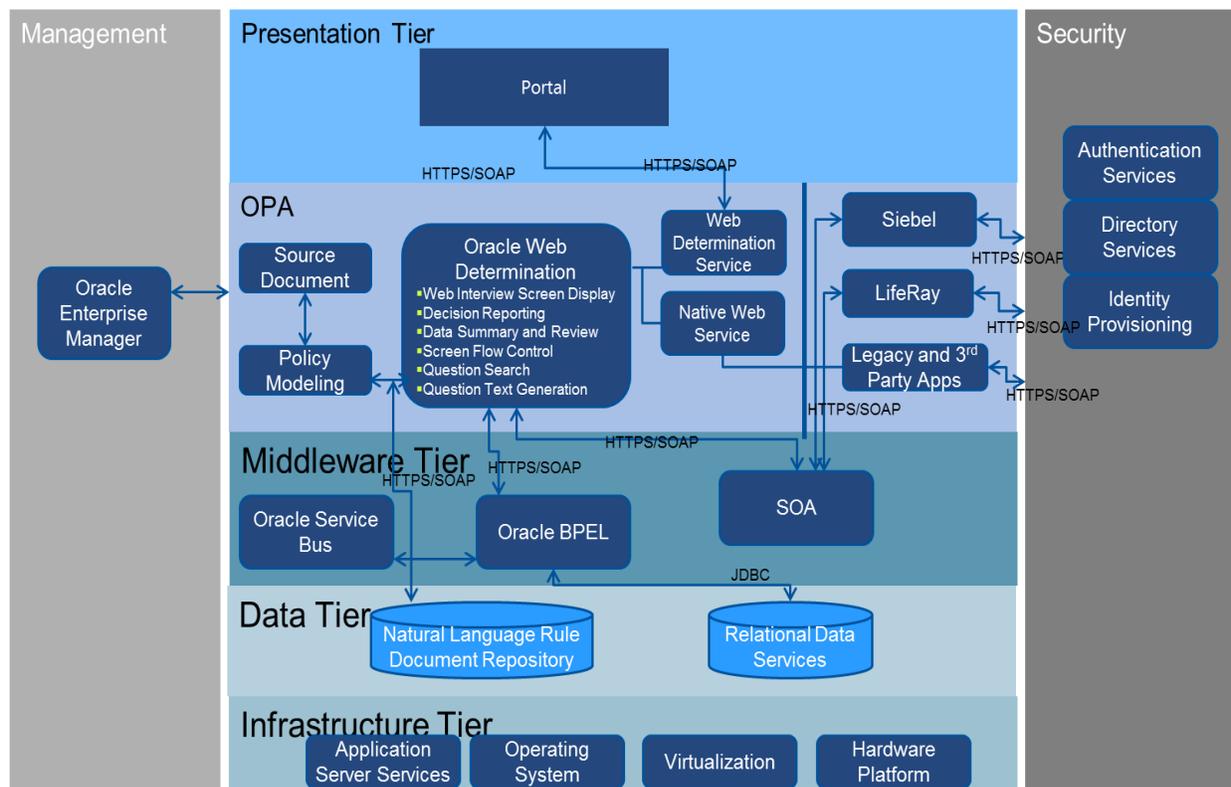
3.3.3.3.3 Business Rules Engine Component(s)

OPA is the Medicaid E&E Solution's business rules engine and a repository to store business rules defined in natural language. This rules engine is used for all Healthcare related benefits and programs as a common point of policy control, modeling, and deployment.

- The Medicaid E&E Solution uses different OPA modules for performing various functions related to business rules management
- The Medicaid E&E Solution uses the policy modeling tool for rules modeling and what-if analysis
- The OPA suite is integrated with Siebel and Liferay applications through the SOA suite

The following figure provides a high level overview of the rules engine component.

Figure 13. Rules Engine Technology Component Overview



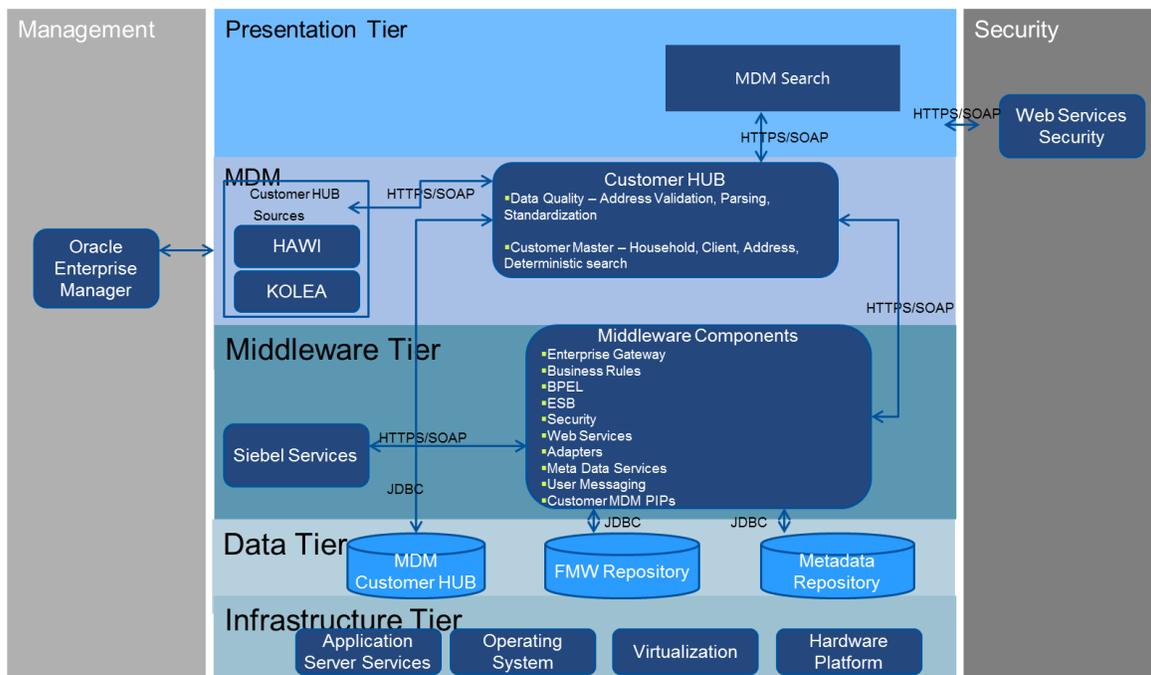
3.3.3.3.4 Master Data Management Component(s)

Oracle Siebel UCM is the MDM component for the Medicaid E&E Solution. This component is used for address validation, parsing and standardization of data and is also intended to serve as a unique client identifier to ensure data integrity in the future. The customer master will include household, client and address information. There are two (2) key components to the MDM:

Oracle EDQ and Oracle Siebel UCM. DHS is currently working within EDQ to improve match scores as well as develop a workflow to get UCM and EDQ to work together seamlessly.

Figure 14 provides a high level overview of the MDM technology currently used within the Medicaid E&E Solution and its relationship with other technology components and tiers.

Figure 14. MDM Technology Component Overview



3.3.3.3.5 Enterprise Content Management

One of the goals of the ECM solution is to provide ECM capabilities to the State. These capabilities have been implemented as part of the State Hub.

The State Hub will continue to be the central means of communication between various systems. It is expected that the ECM repository will require interactions between its SOA components, which will be integrated via a domain hub. This architecture pattern allows for tight governance of the services that are exposed on the State Hub, while allowing for applications within each domain to integrate with each other in a SOA environment without point to point interfaces or complete centralization. Note that the State Data Hub also hosts the Service Registry and manages end point security, a portion of the MDM services, and integration with other State departments as they expose their services via the State Hub. The ECM capabilities of the State Hub are architected to be readily available for other State departments if they choose to take advantage of the services.

IBM FileNet has been implemented on the State Hub to support the ECM needs of the Medicaid E&E Solution. The ECM aligns with CMS' best practices of using a state-level ECM solution for connecting Eligibility and Health Insurance Exchange systems with the FDSH, and provided the platform and capability to incorporate Statewide ECM capabilities as appropriate. The core components of the ECM capabilities include:

- Check-in/check-out capabilities, version control, security, and library services for business documents. Advanced capabilities may include compound document support and content replication.

- Image-processing applications for capturing, transforming and managing images of paper documents. For this component, two capabilities are required: (1) document capture (scanning hardware and software, optical and intelligent character recognition technologies, and form-processing technology) performed either using native capabilities or through a formal partnership with a third-party solution provider; (2) the ability to store images of scanned documents in the repository as "just another" content type in a folder, and to route them through an electronic process.
- Workflow/business process management for supporting business processes, routing content, assigning work tasks and status, and creating audit trails.
- Records management for long-term retention of content through automation and policies, ensuring legal, regulatory and industry compliance. This includes capability to enforce retention of critical business documents, based on a records retention schedule.
- Web content management for controlling the content and influencing the interactions of a Web experience through the use of specific management tools based on a core repository. This includes content creation functions, such as templates, workflow and change management, and content deployment functions that deliver prepackaged or on-demand content to Web servers.
- Social content for document sharing, collaboration and knowledge management, and for supporting project teams. Blogs, wikis, and support for other online interactions have been added. Social content — including video — is the fastest-growing category of new content in the enterprise.
- Extended capabilities can include one or more of the following: digital asset management, document composition, e-forms, search, content and analytics, email and information archiving, email management, and packaged application integration.

Four (4) core ECM services are in production (Upload, Update, Retrieve, Search) on the State Hub.

The technical design of the ECM component includes:

- Integration Design – technical aspects of integration between the Medicaid E&E Solution and ECM, including any Interface Control Documents.
- Database Design – database design supporting the document data model. This includes the logical and physical database model, the data dictionary, as well as any assumptions, constraints, and risks pertaining to the database design.
- Security – ECM security complies with all applicable security and privacy requirements defined and maintained at the Medicaid E&E Solution portfolio level. This section documents how the ECM solution meets these requirements.

Detailed information on this section is provided as part of the Procurement Library in the following documents:

- T11 - ECM Design Specification Document.pdf
- T12 - ECM Solution Environment Plan.pdf

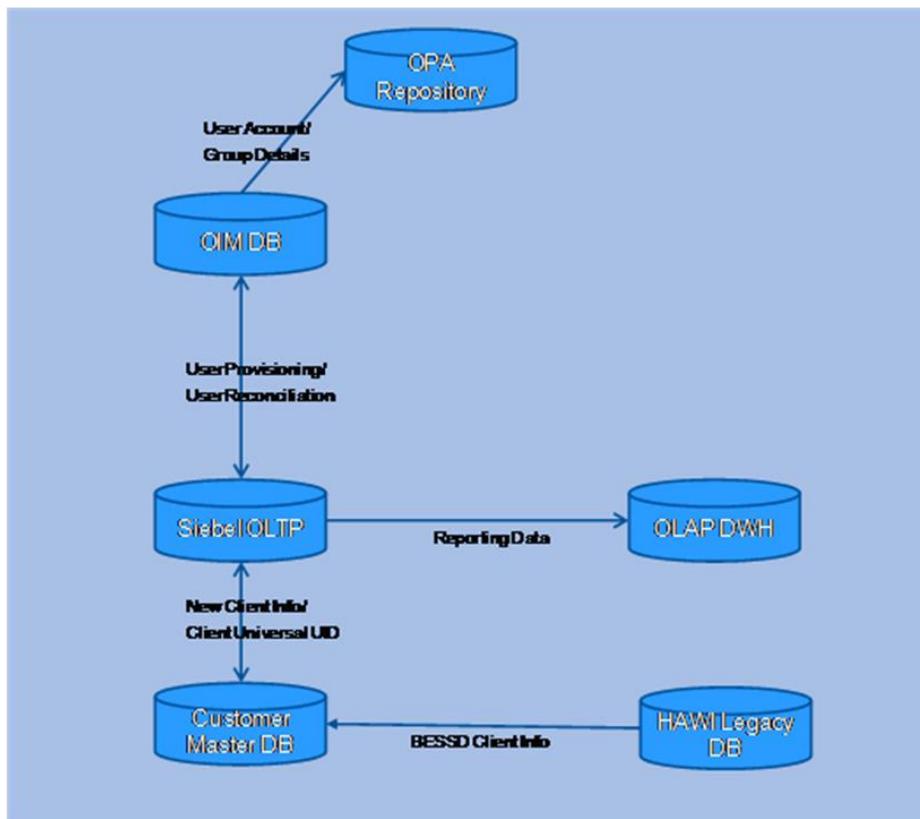
3.3.3.3.6 Data Tier Component(s)

The following technologies constitute the data tier components of the Medicaid E&E Solution and DHS Enterprise Platform:

- OLTP DB (Siebel Public Sector CRM's RDBMS and Oracle 11g or 12c RDBMS) — Provides core transactional databases that support business functions. These are the primary databases which support the Client and case worker portal and other channels to send and receive data
- OLAP Data Warehouse / BIP Instance (OBIEE and Oracle 11g or 12c RDBMS) — Provides a dimensional data warehouse that collects, aggregates and organizes data from various data sources to provide OLAP and Business Intelligence (BI) functions
- MDM / Customer Master Database (Siebel UCM) — Will house master data information from the Medicaid E&E Solution as well as other State systems
- Identity Management Database (Oracle Identity Manager) — The OIM repository is a store of identity data which includes entity data (users, organizations, roles, etc.), transactional data (requests, approvals, provisioning) and audit data (request history, user profile history)
- Portal Database (Liferay and Oracle 11g or 12c RDBMS) — Temporarily stores all in-process Client application information in an instance of Oracle RDBMS

Figure 15 shows the relationship and logical data flow among data stores.

Figure 15. Relationship and Data Flow Amongst Data Stores



Detailed information on this section is provided as part of the Procurement Library in the following documents:

- T13 - Database Design Document.pdf

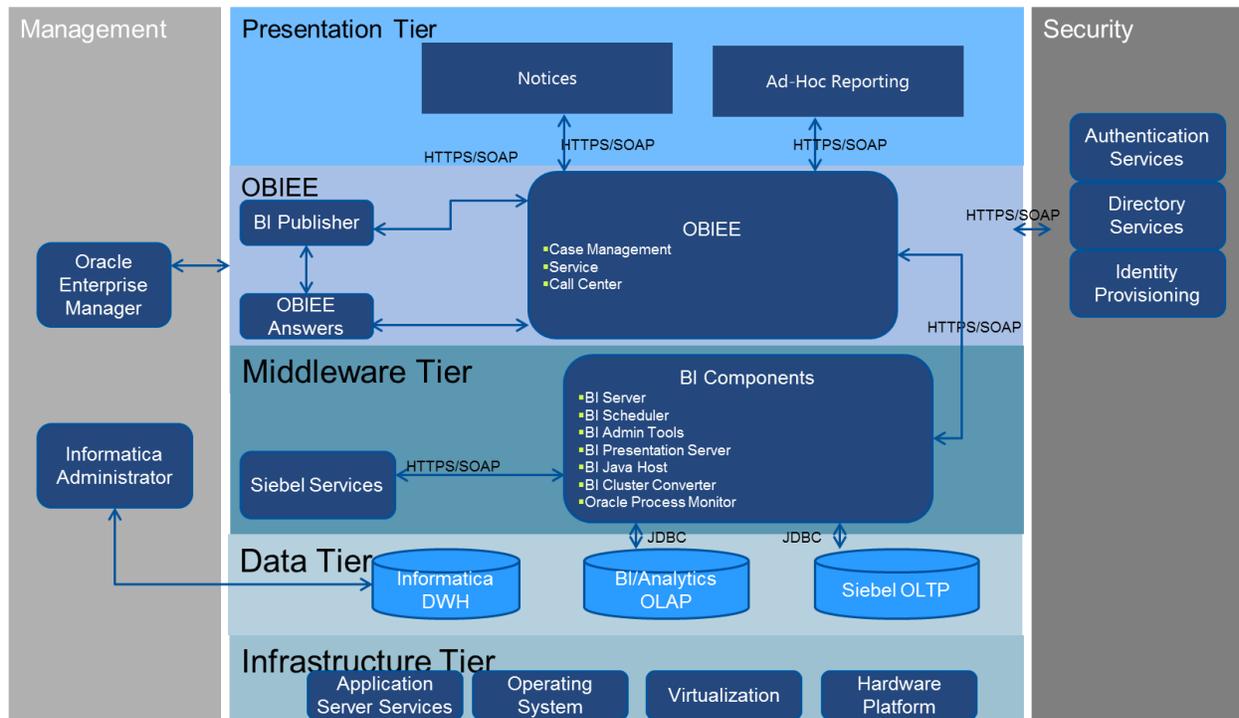
3.3.3.3.7 Business Intelligence Component(s)

The Medicaid E&E Solution’s BI capability includes the use of Oracle BIP and OBIEE. Some of the key BI capabilities and infrastructure that the Medicaid E&E Solution delivers today are as follows:

- Information Delivery
 - **Reporting:** General information delivery that improves decision making by revealing and communicating a greater insight into business performance.
 - **Dashboards:** Display KPIs or business metrics using intuitive visualization, including dials, gauges and traffic lights that indicate the state of various KPIs against targets
 - **Ad Hoc Query:** Queries created by users to obtain information for a specific need as it arises
 - **Distributed Query:** Access data from multiple heterogeneous data sources. These data sources can be stored on either the same or different computers
 - **Microsoft Office Integration:** Excel add-ins for integration with Excel as an output capability for data extracts and additional reporting

Figure 16 provides a high level overview of the BI component.

Figure 16. BI Component Overview



3.3.3.3.8 Security Component(s)

The Medicaid E&E Solution has been built with core service level security features leveraging the Oracle security technologies, including OIM, Oracle Access Manager, Oracle Adaptive Access Manager, Advanced Security Option (ASO), database vault, and data masking.

Some of the key security features include:

- Strong Authentication including two-factor authentication
- Transparent data encryption that provides for encrypted database files on disk, encrypted backups, and encrypted database exports
- Network Encryption that verifies secure data transmissions over public networks
- Separation of Duty — Controls to be implemented on administrative actions, preventing actions that violate policy or go against best practices
- Reporting — Security-related reports to support auditing Realms and Administrative Actions
- Command Rules — Security policies to be attached to almost any database operation
- Data Masking — Mask sensitive information when making copies of production data for use in development, testing, or other situations that may require sharing or using production data

The Medicaid E&E Solution security design covers how user identity and access management are implemented and maintained. Security architecture for the Medicaid E&E Solution and State Hub/ECM components is very broad and covers multiple technical components from desktop security (e.g., disk encryption) to network security (e.g., firewall). Some of the key areas covered as part of security design include:

- Overall base functionality of the security infrastructure base products
- Logical and functional security architecture
- Network architecture (fundamental)
- Physical architecture
- Interface Security

Security Policy, procedures and controls including physical access to the Medicaid E&E Solution data centers and infrastructure are covered in the following documents provided as part of the Procurement Library:

- T08 - State Hub and ECM Infrastructure Blueprint Document.pdf
- T07 - Technical Architecture Blueprint.pdf

3.3.3.3.9 Interface Component(s)

The table below captures the current interfaces which have been implemented through the State Hub as part of the Medicaid E&E Solution. Note: The expectation is the Vendor will be able to leverage the existing interfaces but will also need to build additional interfaces which have not been developed. A list of the mandatory interfaces for this Project is available in Template T-8 Technical Requirements Traceability Matrix, tab G4. Interface List.

Table 8. Current Interfaces supported by the DHS Enterprise Platform

Organization	Description	Frequency
Hawaii Department of Public Safety	The Medicaid E&E Solution interfaces with the Department of Public Safety to identify individuals who have entered and been released from prison.	Monthly
Hawaii Department of Human Services, Office of Youth Services, Hawaii Youth Correctional Facility	The Medicaid E&E Solution interfaces with the Hawaii Youth Correctional Facility to identify youth who have entered and been released from the facility.	Monthly
Department of Homeland Security	The Medicaid E&E Solution interfaces with the SAVE system and has implemented Verify Lawful Presence (VLP) with the FDSH.	Daily
Hawaii Department of Labor and Industrial Relations	The Medicaid E&E Solution interfaces with DLIR and receives wage and unemployment insurance information.	Quarterly – Wage Monthly – UI
Department of Health & Human Services, Administration for Children & Families	The Medicaid E&E Solution interfaces with Public Assistance Reporting Information System (PARIS) and receives quarterly benefits information	Quarterly
Social Security Administration	The Medicaid E&E Solution interfaces with social security administration to verify social security number, U.S. citizenship, date of birth, Medicare enrollment, and incarceration status	Daily
Social Security Administration	The Medicaid E&E Solution integrated with the Social Security Administration to verify Medicare entitlement /enrollment and Social Security and Supplemental Security Income (SSI) benefits	Daily, Monthly, and Annually
Department of Defense	The Medicaid E&E Solution is integrated with the Defense Enrollment Eligibility Reporting System (DEERS) to exchange eligibility information	Annually
Hawaii Department of Human Services, Med-QUEST Division	The Medicaid E&E Solution is tightly integrated with the MMIS system to exchange eligibility and enrollment related information	Daily and Monthly
Health Services Advisory Group	The HSAG provides the Medicaid E&E Solution level of care information	Daily and Monthly
Cardinal Mailing Services	The Medicaid E&E Solution is integrated with a bulk mailing vendors system	Daily

3.3.3.4 Software Infrastructure

3.3.3.4.1 Software Deployed for Medicaid E&E System

Table 9 provides a list of currently deployed software and related version information on the Medicaid E&E Solution. This software is the basis for the capabilities described in the following sections.

Table 9. 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

3.3.3.4.2 Shared Services Infrastructure

Each application's interdependencies are documented in the Medicaid E&E Solution's Interface Control Documents which provide descriptions of Medicaid E&E Solution shared services.

Detailed information on this section is provided as part of the Procurement Library in the following documents:

- T04 - Implementation Plan_R2W2.pdf
- T02 - Solution Documentation.pdf

3.3.3.5 Environments

The Medicaid E&E Solution and State Hub physical servers support multiple logical environments. Environments are divided into locations, categories (based on functionality) and tiers based on the environment's needs.

3.3.3.5.1 Environment Types

An Environment's type is based on the functionality needed and currently support the following types.

- Medicaid E&E Solution – Provides solution and functionality specific to MQD
- State Hub – DHS Integration Service Environment for connecting to and accessing various State and Federal agencies.
- ECM – A shared technical service managed alongside the State Hub environments providing ECM solutions to DHS.

3.3.3.5.2 Environment Categories

The logical environments are divided into functional categories based on the role of the environment.

- Medicaid E&E Core – The standard Medicaid E&E Solution environment includes the Internal (Siebel) and External (Liferay) Portals, SOA Suite (Integration Platform) and Policy Automation (OPA).
- Medicaid E&E Reporting – Additional services that are not required for each environment including Oracle BIP, OBIEE and Informatica.
- Medicaid E&E IDM – The Identity Management services for the Medicaid E&E Solution including OIM, OAAM, OAM, OVD and OID.
- Medicaid E&E Edge Services – Additional services used for edge gateway communication. Currently this is limited to Oracle API Gateway.
- State Hub Core – The standard State Hub environment includes Oracle MDM Suite (Siebel UCM, EDQ and SOA).
- State Hub Edge Services – Additional services used for edge gateway communication. Currently this is limited to the Oracle API Gateway.
- ECM Core – The standard ECM environment includes IBM FileNet, Custom ECM Web Service and DataCap servers.

3.3.3.5.3 Environment Tiers

The environments are tiered based on the availability and control needs of the environment. Below are the breakdowns of the environment tiers.

- Tier 1 – Production equivalent environment. Environment is built in a clustered configuration and contains live production data. Includes the Production, Disaster Recovery, Staging (STX) and User Acceptance Testing (UAT) environments.
- Tier 2 – Testing environment. Environment is built in a single node configuration and contains masked data. Includes the System Integration Test (INT/SYS).
- Tier 3 – Development environment. Environment is built in a single node configuration and contains no production data. Include the Development (DEV02) and Production Support (PSD) environments.

Detailed information on this section is provided as part of the Procurement Library in the following documents:

- T05 - Solution Environment Plan.pdf
- T04 - Implementation Plan_R2W2.pdf
- T07 - Technical Architecture Blueprint.pdf

3.3.3.6 Hardware and Data Center Infrastructure

The following section provides a brief summary of the Infrastructural Components utilized in the Medicaid E&E Solution:

3.3.3.6.1 Server Infrastructure

The Medicaid E&E Solution is built on a modern hardware/infrastructure that is installed and managed by the incumbent vendor. The incumbent vendor has outsourced the hosting of the environment to DR Fortress, a managed co-location provider who offers data center and Internet exchange services.

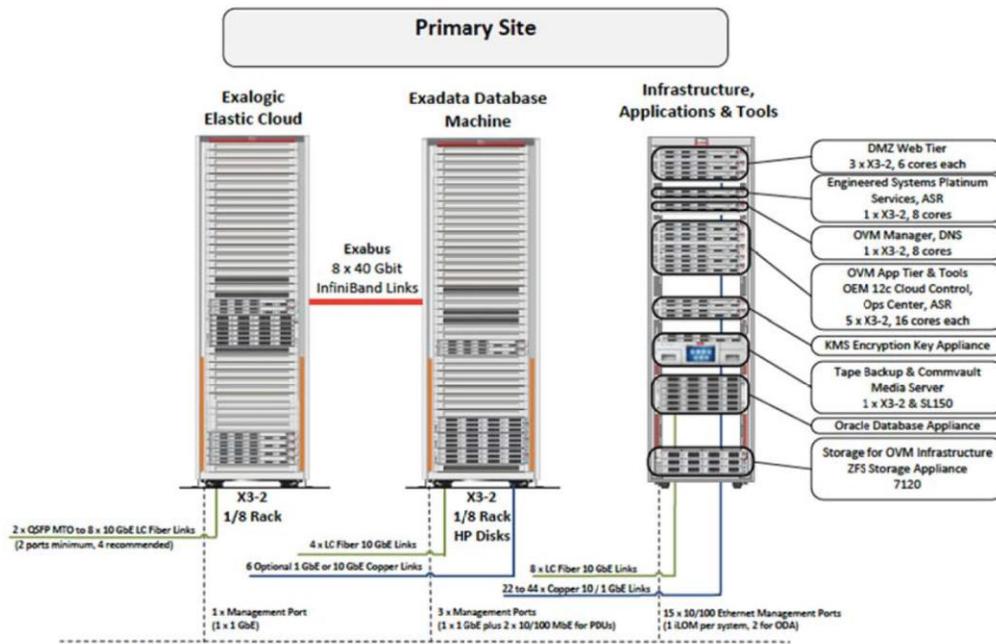
The environment is virtualized using Oracle Exalogic and Oracle Exadata and hosts virtual servers running Oracle Linux. Traffic Director serves as the integrated application delivery controller, facilitating load balancing and security enforcement. Exalogic control manages and monitors systems hardware, updates, creates and manages virtual resources (servers, network, and storage). Storage management systems include volume cloning and remote replication for back-up and disaster recovery.

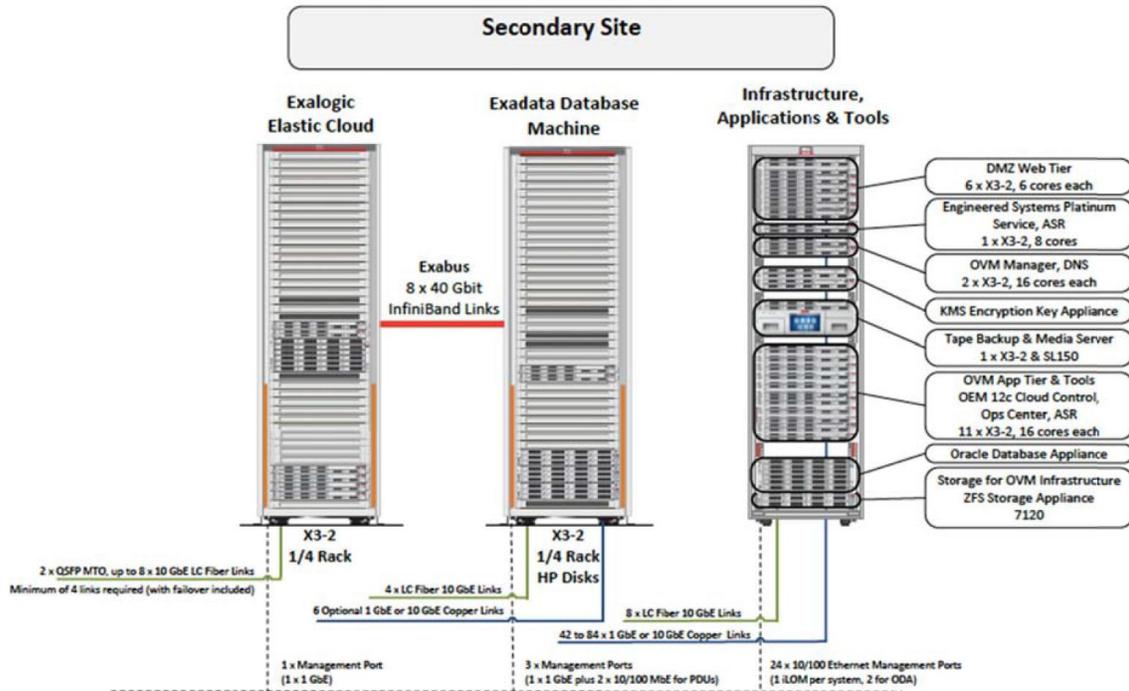
Hardware configuration for Exalogic is Xenon X86, InfiBand with 40 Gb/s throughput with enterprise grade ZFS storage application. Hardware configuration for Exalogic is 2X Database Servers.

Exadata Database Machine X3 uses mass memory hierarchy that automatically moves all active data into flash memory and RAM memory while keeping less active data on disks and offers smart scale-out storage. Additionally the Exadata Storage Serve provides advanced compression capability called Hybrid Columnar Compression providing dramatic reduction in the storage of large databases.

Figure 17 captures the current configuration for the primary and secondary sites.

Figure 17. Current Hardware configuration for the Medicaid E&E Solution





The Medicaid E&E Solution production environment operates on the Oracle Exalogic and Exadata platform (a complete factory assembled industry standard rack with server and network components). Additional servers in support of the Medicaid E&E Solution, such as those located in the Demilitarized Zone, provide services and allow additional security measures to be implemented.

Details of deployed equipment are elaborated in the following documents available as part of the Procurement Library.

- T02 - Solution Documentation
- T02 - Solution Documentation Appendix 1 – Medicaid E&E Solution (KOLEA) Oracle Virtual Machine Layout portrays the virtual machine layouts for the Medicaid E&E Solution infrastructure. These documents include all the production Virtual Machines configured to support the Medicaid E&E Solution.
- T02 - Solution Documentation Appendix 2 – Medicaid E&E Solution Network Diagrams portrays the layer 2/3 topological views of the network infrastructure utilized to support the Medicaid E&E Solution.
- T02 - Solution Documentation Appendix 3 – Medicaid E&E Solution Equipment Rack Diagrams provide the server names for each of the equipment utilized within the Medicaid E&E Solution’s boundary.

3.3.3.6.2 Data Center Infrastructure

The Medicaid E&E Solution Infrastructure includes the Production, Disaster Recovery (Disaster Recovery and Development), and State Hub environments that are being hosted at DR Fortress. DR Fortress is located at 3375 Koapaka Street, Suite D-198, Honolulu, Hawaii.

DR Fortress is a managed co-location provider offering data center and Internet exchange services to customers running mission-critical computer hardware such as network providers, e-

commerce companies and others. Designed for resilience, DR Fortress is located on Oahu and is Hawaii's largest shared data center featuring 24/7 secure operations. It houses the only commercial Internet exchange in the State of Hawaii. DHS intends to keep the resulting Solutions at the DR Fortress facility. As such, all respondents are expected to work directly with DR Fortress to incorporate the relevant costs associated with managed hosting services into their final cost proposal.

As the proposed ASI Vendor's Benefits Eligibility Solution is envisioned to also be hosted with DR Fortress and leverage the shared components of the Medicaid E&E Solution (DHS Enterprise Platform), disaster recovery planning will be a function performed at the enterprise level. DHS expects to use the University of Hawaii Data Center facilities to host the DHS Enterprise Platform Disaster Recovery (DR) infrastructure. The Medicaid E&E Solution has established a DR plan that will be expanded to include the future BESSD functionality as part of the Benefits Eligibility Solution. This RFP includes requirements for the ASI Vendor implementing the Benefits Eligibility Solution to develop, support and participate in DR testing with specific Recovery Point Objectives (RPO) and Recovery Time Objectives (RTO) to help ensure business needs are met in the event of a disaster.

Currently all Production and Non-Production environments, including the DR infrastructure, are hosted at the same physical location at DR Fortress. The Enterprise Platform Services Engagement SOW within this RFP includes an optional task to establish the Enterprise Platform's DR capabilities at the University of Hawaii Data Center facilities.

Detailed information about the current environment components described above are available as a part of the Procurement Library in the following documents:

- T07 - Technical Architecture Blueprint.pdf
- T17 -Kolea_High-Level_Storage_Diagram.pdf

The RTO for the Medicaid E&E Solution is three (3) business days from the time of the declaration of a disaster, or the primary business site becoming unsafe or inoperable. The RPO for the Medicaid E&E Solution is 24 hours.

Data for the Medicaid E&E Solution Infrastructure is backed up onto a Commvault system. The Commvault system comprises of two (2) systems, one for the Production environment and one for the DR environment. Each of the systems has a Media Server that can hold 20 tapes for a total of 3 TB of backup data. The Commvault system within the Production environment is set to 'Active' and continuously syncs with the Commvault system within the DR environment, set as 'Passive'.

Detailed information on this section is provided as part of the Procurement Library in the following documents:

- O7 - Disaster Recovery Plan.pdf

3.3.4 Current Service Operations and Related Processes

The incumbent vendor has implemented service operations in alignment with Information Technology Infrastructure Library (ITIL) v3. The current processes include:

- Service Desk
- Incident Management
- Problem Management
- Configuration Management (partial)

- Change and Release Management
- Service Request Fulfilment
- Capacity Planning (partial)
- Availability
- Service Level Management

Service support management represents the core support center that handles and manages the resolution of incidents and problems and oversight of changes. These services manage events as they occur, and assure escalation, ownership and closure of these events. The current Service Desk follows best practices based on ITIL v3 standards. As part of the Service Desk, DHS uses an industry standard service desk software suite, ServiceNow, which is hosted in the Cloud.

DHS currently relies on vendors to provide Level 2 help desks in support of their respective applications. The application vendors (e.g., ASI Vendor and future vendors) are expected to work closely with DHS and its partners to provide a cohesive virtual help desk that provides a seamless help desk experience for users.

The ASI Vendor will address the following activities during service operations:

- Production Support — Supporting production, addressing Solution interruptions focusing on identifying and fixing Solution faults quickly or crafting workarounds enabling later root cause analysis and problem remediation. On call support will be used for any Severity 1 maintenance requests.
- Maintenance Support — Making changes to existing functionality and features that are necessary to continue proper Solution operations. This includes routine maintenance, root cause analysis, applying change requirements, software upgrades, business need changes, State rule changes, infrastructure policy impacts, and corrective, adaptive or perfective maintenance, as appropriate.
- Enhancement Support Analysis — Analyzing the functional and non-functional requirements for adding new functionality/features to the proposed Solution on prioritized requests from the user community. This includes interpreting any rules changes and other critical business needs from a technical and logistical standpoint.
- User Support — Providing application-specific support coordinated through the IT Service Desk staff as well as conducting Solution research and inquiries.

Volume of the current Help Desk activities are provided in the following table.

Table 10. Help Desk Statistics by Month

Month	Opened	Closed
Nov. 2014	129	142
Dec.	101	99
Jan. 2015	522	340
Feb.	477	478
Mar.	277	337
Apr.	218	247
May	206	207
June	229	173
July	140	154
August	138	186
September	120	133
October	76	88
Total	2633	2584
Monthly Average	219	215

Key supporting information regarding this section is provided as part of the Procurement Library in the following documents:

- O3 - Configuration Management Plan.pdf – This plan details the current Release Management processes, coordination of resources, version control, defect management and tools used
- O4 - Incident Management Documentation.pdf – This document details the Incident management plan and the service desk responsibilities.
- O5 – (Intentionally not used).
- O6 - Help Desk Guide.pdf – This document details the Help desk procedures and the prioritization mechanisms to handle service requests.
- O1 - System Monitoring Overview.pdf – This document details the central admin controls that perform the monitoring tasks, the monitoring ecosystem, performance monitoring dashboards, etc.
- O2 - System Monitoring Requirements.pdf – This document details the Service Level Agreement (SLA) reporting procedures, Alert management requirements, production environment monitoring requirements including monitoring of various technology components including Siebel, Oracle API gateway, SOA requirements, OPA, WebLogic, ECM requirements, etc.

3.3.5 Current Related Active Initiatives

The following are some of the key ongoing activities that could have potential dependencies to the RFP effort:

- SSD's Child Welfare Services Branch (CWSB) is currently in the process of procuring a new Federally-compliant solution and migrating from the mainframe to provide

technology enablement for strengthened alignment with CWSB's model of practice and more robust decision support. The SSD approach to a new Federally-compliant solution is aligned with DHS' vision and priorities for the concept of an Agency of One – a more person/family centric model of practice vs. solely a program-centric model – and enabling this model of practice through the leveraging of the DHS Enterprise Platform of shared technical components and services where possible (shared portal/gateway, rules engine, workflow management, enterprise service bus, identity/access management, reporting and business intelligence, etc.). Similarly, the Adult Protective and Community Services Branch (APCSB) is seeking to standardize its approach to intake and investigations and also plans to leverage components of the DHS Enterprise Platform wherever possible. Aligned with DHS' Agency of One, this solution will integrate with the Solutions outlined in this RFP. This will include a bi-directional interface (focused on IV-E eligibility required data). The Vendors should anticipate design and development activities will occur in parallel with the BES Project.

- DHS is planning to relocate their DR site to the University of Hawaii's data center.
- DHS is considering upgrading the IVR currently leveraged by BESSD and MQD. Vendors should assume the new Benefits Eligibility Solution will need to interface to the current IVR system in place at the time of contract negotiations.
- DHS is currently migrating HANA off the HAWI ADABAS database tables on the mainframe to an Oracle RDBS.

3.4 Solutions Execution Approach

As discussed throughout this RFP, DHS seeks to procure the capabilities and services of an ASI Vendor that will be responsible for designing, developing and implementing the Benefits Eligibility Solution, enhancing the currently implemented Medicaid E&E Solution and providing support for the combined Solutions.

The sections that follow outline the anticipated approach DHS expect to take in delivering projects and supporting solutions. This includes:

- The anticipated schedule
- The approach to submitting deliverables and receiving formal acceptance by DHS
- DHS' anticipated staffing
- Partner vendor roles
- Expected work environment
- The anticipated approach to providing the technical Solution
- The anticipated approach to implementing the Benefits Eligibility Solution and enhancing the Medicaid E&E Solution
- Additional information that govern the expectations regarding the Benefits Eligibility Solution

Interested ASI Vendors are required to submit Proposals that meet the requirements described in Section 3.5.

3.4.1 Proposed Schedule and Workplan

DHS anticipates the Benefits Eligibility Solution Project (DDI) to be approximately 2 ½ years. The following table outlines the estimated dates for the Engagements. Vendors should consider this schedule, its proposed phasing and release schedule, and propose what it believes to be an achievable and recommended schedule.

Table 11. Proposed Schedule

Task Name	Start Date	End Date	Duration (Calendar Days)
Benefits Eligibility Solution Project	1/2/2017	12/24/2018	721
Initiation and Planning	1/2/2017	2/5/2017	34
Requirements	2/6/2017	5/7/2017	90
System Design	5/8/2017	8/6/2017	90
System Development	8/7/2017	1/7/2018	153
Testing	1/8/2018	6/10/2018	153
Federal Review	6/11/2018	7/22/2018	41
Statewide Rollout (including Pilot)	7/23/2018	12/23/2018	153
Legacy System Retirement	12/24/2018	6/21/2019	179
Benefits Eligibility Solution M&O	1/2/2017	1/2/2021	1461
Medicaid E&E Solution Transition	1/2/2017	7/2/2017	181
Provide Medicaid E&E Support	7/3/2017	1/2/2020	913
Benefits Eligibility Solution Support Planning	4/28/2018	7/23/2018	86
Provide Benefits Eligibility Solution Support	7/24/2018	1/2/2021	893

The starting date for the Benefits Eligibility Solution assumes that the Vendor has been awarded the Contract in a time frame that allows them to start as planned. Dates will be adjusted if the initial start date is delayed.

As there are multiple approaches of implementing the Benefits Eligibility Solution (big-bang, phase roll-out, parallel adoption, etc.), DHS has not prescribed the method of implementation. The ASI Vendor is expected to recommend an implementation method that takes into consideration the complexity of the system involving multiple benefits programs such as SNAP, TANF, TANOF, GA, and LIHEAP; integration with multiple software systems; usage of legacy mainframe software and ADABAS hierarchical database. DHS would prefer to retire HAWI early in the project to avoid running two systems in parallel and costly development of interfaces/synchronization challenges. DHS also expects the ASI Vendor to provide a roll-out plan that will include a pilot before rolling out to offices across the State.

The ASI Vendor must propose an approach to the retirement of the BESSD legacy systems that the Benefits Eligibility Solution will replace. As the primary focus should be on the delivery of new functionality, DHS estimates the ASI Vendor will require six (6) months at the end of the Benefits Eligibility Solution Project to retire the legacy systems. The ASI Vendor must propose a reasonable approach to retirement that will provide for the shortest appropriate timeline.

DHS anticipates that DDI of the Benefits Eligibility Solution and enhancements to the Medicaid E&E Solution will be dependent on the efforts of the ESI and other vendors to prepare needed DHS technologies. The ASI Vendor should highlight the dependencies to enable DHS to coordinate with the vendors performing those workstreams.

3.4.2 Deliverables Approach

DHS will use a deliverables-based approach to determining progress and completion. DHS and the Vendor will establish specific expectations for deliverables using the Deliverables Expectation Document process described below. All deliverables will be reviewed and approved using a structured and controlled process. These processes, structures and tools will govern any work done on the Benefits Eligibility Solution. The Vendor must agree to these processes, and any work done not in compliance with these is completely at risk by the Vendor.

The Vendors will further detail the processes, roles and templates to be used in the DED and Deliverables approval process during the initial phase of their efforts (in the Project Management Plan (PMP) for the BES Project). The PMP must align with the guidelines set by the ESI around DHS' operational processes.

3.4.2.1 Deliverables Expectations Document

Vendors must develop Deliverables Expectations Documents (DEDs), in an approved DHS form and format, and Vendor deliverables must adhere to the information within the DED. Vendors must not perform any work on any deliverable until the DED has been approved in writing by DHS. Vendors must use a standard template for all DEDs that will include at least the following:

- The purpose and a description of the deliverable
- An outline/table of contents for the deliverable including a description of the anticipated content
- Identify the reviewers and approvers of the deliverable
- Acceptance criteria
- Define the approach to managing changes to the deliverable after the deliverable is approved
- Interim steps the Vendor will perform and work products the Vendor will provide in completing the deliverable so DHS feedback can be incorporated early in the process and reduce the risk of delays when the final deliverable is produced

As each deliverable is submitted, the Vendor must include a copy of the associated DED.

3.4.2.2 Controlled Correspondence

In order to track and document requests for decisions and/or information, and the subsequent response to those requests, DHS and the Vendor shall use Controlled Correspondence.

Each Controlled Correspondence document shall be signed by the DHS Project Manager (or designee) and the Vendor Project Manager (or designee). No Controlled Correspondence document shall be effective until the signatures of both are attached to the document.

The Controlled Correspondence process may be used to document mutually agreeable operational departures from the specifications and/or changes to the specifications. Controlled Correspondence may be used to document the cost impacts of proposed changes, but Controlled Correspondence shall not be used to change pricing.

Controlled Correspondence shall not be the basis of a claim for equitable adjustment of pricing. Any changes that involve a change in pricing must be by a Purchase Order Change Notice.

Controlled Correspondence documents will be maintained by both parties in ongoing logs and shall become part of the normal status reporting process.

3.4.2.3 Deliverable Acceptance

All Vendor deliverables are subject to review by DHS prior to final approval, acceptance, and payment. Where appropriate, the Vendor will perform a walkthrough of a draft version of the deliverable with all appropriate DHS staff and solicit feedback prior to submitting the Deliverable for approval.

Acceptance of all Vendor deliverables will be completed via a Deliverables Acceptance Document (DAD) in a format approved by DHS, and drafted for each deliverable by the Vendor.

Review time will depend on the complexity of the deliverables. DHS shall have no less than ten (10) working days to complete its review of the deliverable. DHS will accept or reject the deliverables in writing using Controlled Correspondence and the DAD. In the event of the rejection of any deliverable, the Vendor shall be notified in writing via Controlled Correspondence, giving the specific reason(s) for rejection. Unless agreed by DHS due to complexity of the deliverable, Vendor shall have five (5) working days to correct the rejected deliverable and return it to DHS via Controlled Correspondence. Failure by DHS to complete activities within the timeframes noted does NOT constitute acceptance, approval or completion unless otherwise agreed upon by DHS and the Vendor.

All payment requests (e.g., invoices) must include copies of the relevant DADs signed by the DHS stakeholder authorized to approve the deliverable. Deliverables and submitted/approved DADs must be tracked by the Vendor in a tracking tool approved by DHS.

3.4.3 DHS Staffing

3.4.3.1 State of Hawaii Project Roles and Responsibilities

DHS has identified roles and staff that it will assign fully or partially to the Benefits Eligibility Solution Engagement. The ASI Vendor's Proposal should identify additional staff and roles that it expects DHS to provide to appropriately and effectively support the effort.

3.4.3.1.1 DHS Project Leadership

DHS has identified specific leadership roles in support of the Benefits Eligibility Solution Engagement. These roles will provide the leadership and skills required to manage the Project, ensure it addresses DHS' business goals, and manage the Vendors. It is important to note that, although this team will provide Project-level leadership, other Project team members will lead specific tasks and/or workstreams that are not cross-functional in nature.

- **Project Owner:** The Project Owner ensures the business objectives are met by the Project. This person is assigned to the Project part-time and will be a business executive. The Project Owner will be responsible for overall success of the Project, accountable to the ESC for Project outcomes, facilitate resolution of issues, and monitor and optimize resource allocations.
- **Business Lead:** The Business Lead will be assigned full-time to the Project and will have a deep knowledge of the business and the organization. The Business Lead will be responsible for the day-to-day Project decisions related to the business and the point

person for all functional decisions, ensuring that UAT has adequate coverage, external communications are aligned with the organizational culture, and the training approach will minimize the impact of the Benefits Eligibility Solution roll-out. The Business Lead will work closely with the Project Manager and will be involved in reviewing many of the deliverables produced by the ASI Vendor.

- **Project Manager:** The Project Manager will be dedicated to the Benefits Eligibility Solution Project full-time. The Project Manager will work collaboratively with the ASI Vendor Project Manager in planning, directing and overseeing the day-to-day activities of the project. He/she will be responsible for holding the ASI Vendor accountable for performing all activities outlined in the Contract and partnering with the ASI Vendor to execute the project management processes including:
 - ❑ Working directly with the IV&V vendor Project Manager to ensure risks are identified, prevented and mitigated throughout the Project's life cycle
 - ❑ Planning, directing, and overseeing the day-to-day activities of DHS IT Subject Matter Experts (SMEs), Business SMEs and the Project team
 - ❑ Serving as the principal interface with the various Project Vendors and Program Director
 - ❑ Ensuring that project management practices are being employed appropriately
 - ❑ Acting as principal DHS point of contact for issues and risk management
 - ❑ Responding to change requests and coordinates the Project Change Management Process
 - ❑ Coordinating Project Leadership meetings, ensuring all appropriate parties attend and are kept apprised of day-to-day activities
 - ❑ Communicating Project status to all internal, executive-level and external stakeholders
 - ❑ Providing input to the Contract Administrator on all Contract related activities
- **Technical Lead** – The Technical Lead will have a deep understanding of the current DHS technology environment. The Technical Lead will be the point person for DHS' IT architectural standards and guidelines, business policies and procedures. The Technical Lead will provide the required leadership, identify any DHS technology experts the Project requires, and coordinate any DHS related technology tasks such as developing extracts from the current system(s), coordinating interface development to any external systems and cross-vendor technology discussions.
- **Contract Administrator:** The Contract Administrator will be responsible for all contract related issues and will report to the ESC. The Contract Administrator will be responsible for resolving all contract related issues and approving all contract changes and amendments with inputs from ESC, Program Director and project management leadership.

3.4.3.1.2 DHS Project Team

The Project team will be composed of resources with all of the skills required to complement the ASI Vendor's Project team. The team will include dedicated, full time resources and resources that are assigned to the Project part time. The staff will include:

- **Functional SMEs** – The Functional SMEs have significant knowledge of the BESSD and MQD business, including Division policies, model of practice and service offerings. They will be made available to the ASI Vendor throughout the course of the Project to provide guidance on any business process design activities, requirements validation and to support UAT, provide guidance for deployment planning and to support end user training around program and service delivery policy issues. The expectation is some functional SMEs will be assigned to the Project for the duration while, during certain phases (e.g., UAT and training) additional resources will be added to the Project team as required. Their responsibilities include:
 - ❑ Providing the ASI Vendor detailed knowledge of BESSD’s and MQD’s business processes and policies
 - ❑ Assisting in various activities such as requirements validation, process design, data conversion, testing, training, deployment, and other activities
 - ❑ Providing quality assurance and reviewing deliverables to ensure accuracy and completeness
 - ❑ Ensuring that all required functionality is included in the Solutions by sharing business, process and technical knowledge with the ASI Vendor
 - ❑ Receiving knowledge transfer and assisting in training of the business staff and end users
- **Technical SMEs** – The Technical SMEs provide technology expertise to the ASI Vendor regarding the current environment and may perform specific tasks in support of the Project team including:
 - ❑ Providing quality assurance and reviewing deliverables to ensure accuracy and completeness
 - ❑ Ensuring the support processes are fully defined and integrated into DHS’ standard processes
 - ❑ Receiving knowledge transfer and assisting in training of technical staff and end users
 - ❑ Conducting development activities on legacy systems
 - ❑ Assisting in environmental setup
 - ❑ Providing guidance, reviewing and approving interface architecture and designs, specifically focused on the interfaces between the DHS Enterprise Platform components (e.g. shared services) and BESSD functionality
- **Change Management, Training and Communications Lead:** The Change Management, Training and Communications Lead will collaborate with the ASI Vendor’s change management and training personnel on all Project communications to the various stakeholders. This role will be filled by a person with in-depth knowledge of BESSD business and culture.

3.4.3.1.3 DHS Project Staffing Levels

DHS’ staffing levels will vary throughout the Project, based on the phase of the Project. Table 12 outlines the staffing commitments made to the Project by DHS. ASI Vendors should take these staffing levels into consideration while developing a Proposal.

Table 12. Anticipated DHS Resources Required

	Roles	Notes/Assumptions
DHS Project Leadership	<ul style="list-style-type: none"> ■ Project Owner ■ Business Lead ■ Project Manager ■ Technical Lead ■ Contract Administrator 	<ul style="list-style-type: none"> ■ Project Owner will be assigned less than 10% ■ The Business Lead, Project Manager and Technical Lead will be assigned to the Project full time ■ Contract Administrator will be assigned part time
Project Team	<ul style="list-style-type: none"> ■ Functional SMEs ■ Technical SMEs ■ Change Management / Training 	<ul style="list-style-type: none"> ■ 3 Full time Functional SMEs with involvement of additional resources on a temporary basis during key phases of the Project (e.g. detailed design, UAT) ■ Technical SMEs involvement will vary based on tasks required by the Project (e.g. developing extracts from legacy systems) ■ Change Management/Training lead will be full time; activities will be augmented/supported by Functional SMEs as needed throughout the Project ■ Additional functional resources during detailed design and UAT activities ■ Additional technical resources required to develop extracts from legacy systems

3.4.3.2 DHS M&O Team

DHS does not intend to dedicate a full-time team to providing M&O. However, DHS will provide a support manager, PMO staff and appropriate SMEs part-time, as needed. Resources from the incumbent vendor for the Medicaid E&E Solution will also be made available to the ASI Vendor and the ESI during the transition phase. DHS expects the ASI Vendor to provide the staffing required to provide their activities with limited assistance from the PMO.

3.4.4 Partner Vendor Roles and Responsibilities

Other vendors will be supporting other DHS technologies and the Benefits Eligibility Solution while the Project is being performed. These include:

HANA Vendor –HANA (the system that supports the administration of FTW, E&T and Child Care) currently integrates with HAWI. A separate vendor will be enhancing the HANA solution so it integrates with the System.

Legacy Systems – DHS currently has additional vendors supporting the systems that will be replaced (e.g., HAWI, ePathOS, ECF) as a result of this Project. These vendors will provide assistance in converting/extracting data from the legacy systems.

Comprehensive Child Welfare Information System (CCWIS) Vendor – In the near term, DHS will conduct a separate procurement to select and contract for DDI of a new solution to support its child welfare and adult protective services within SSD. The awarded CCWIS Vendor will also leverage the DHS Enterprise Platform wherever possible as part of DHS' vision for an Agency of One.

Incumbent Vendor – During the transition period, the incumbent vendor will provide training and knowledge transfer of the Medicaid E&E Solution to the incoming ASI Vendor (see the Procurement Library for additional details).

Enterprise System Integrator (ESI) – This vendor, also known as the Platform Vendor, provides M&O services on the existing DHS Enterprise Platform components and provisioning infrastructure for vendors building out the DHS Enterprise Platform. The ESI will also be responsible for providing Systems Integrator (SI) / Multi-Vendor Integration (MVI) services (i.e., managing the multi-vendor coordination for delivery of end-to-end IT services such as coordinating changes to the environment, coordinate incident resolution by the different vendors).

3.4.5 Work Environment

3.4.5.1 Shoulder-to-Shoulder Organization Structure and Knowledge Transfer

The ASI Vendor must propose a suitable engagement and partnership model with the DHS team to ensure proper knowledge transfer throughout the life of the Project. This will include “shoulder- to-shoulder” work with identified DHS resources so that DHS Project staff becomes fully familiar with the design and operation of the new Benefits Eligibility Solution and the enhanced Medicaid E&E Solution.

Vendors’ Key Personnel associated with the Benefits Eligibility Solution Engagement must work from Honolulu for the duration of the Contract, including the DDI and M&O phases. Vendors should propose a structure that will best meet this requirement. The final configuration of the ASI Vendor’s organizational structure requirement will be defined during the Project Initiation and Planning phase of the Project.

3.4.5.2 Facilities and Equipment / Location of Contracted Personnel

Vendors must propose a Project facility with sufficient office and meeting space for the Project personnel (DHS and ASI Vendor), including the capability to support up to twenty (20) DHS employees during Project phases that require significant DHS input (e.g., UAT). This Project facility must be in downtown Honolulu and must provide adequate free parking for DHS Project staff. If a Vendor proposes a location that does not meet these criteria, they must provide justification for this decision.

The Vendor will be responsible for installing and configuring all workstations, desktop software and supporting peripherals necessary at their facility including those to be used by DHS staff.

Vendor staff must be available to participate in Project-related and Enterprise Platform Services-related meetings as scheduled by DHS. On-site work must be performed during normal business hours, Monday through Friday 8:00 AM until 4:00 PM.

The Vendor must establish appropriate protocols in alignment with Federal and State regulations, including but not limited to HIPAA and IRS Publication 1075, to ensure the physical property / facility security and data security and confidentiality safeguards are maintained.

3.4.6 Technical Solution Approach

DHS intends to use the Medicaid E&E Solution infrastructure and COTS Applications (e.g., Liferay Portal) and Middleware (e.g., Oracle Service Bus) to establish the DHS Enterprise Platform and Program as an enterprise approach for IT investments, placing emphasis on establishing a set of standards for the hardware, software, shared technology components and SOA services, interoperability, data governance, M&O, and hosting of the technical solutions

supporting the enterprise's business operations and the achievement of the vision for an Agency of One. The proposed Benefits Eligibility Solution must align with this approach and the sections below describe the architecture standards and capabilities available to the ASI Vendor when envisioning a solution for the new Benefits Eligibility Solution that will allow for a fully integrated, 360° view of the Client's relationship for all DHS' programs and services, and supporting a more person/family centered model of practice rather than solely a program-centric approach.

3.4.6.1 Solution Architecture Principles and Guidelines

In formulating the desired conceptual solution architecture, DHS has developed a broad set of guiding architectural principles. The proposed Benefits Eligibility Solution and related application DDI processes and approach must be guided by these principles and leverage the DHS Enterprise Platform capabilities wherever possible. The ASI Vendor's technical approach will be subject to review and approval by DHS prior to development and implementation to ensure compliance with the established standards.

The fundamental concepts of modularity, reuse (of in-house or externally developed IT modules and business and technical SOA services) and ubiquitous connectivity through the Internet positions DHS to continuously adapt and evolve the new Benefits Eligibility Solution to meet DHS' programmatic needs, and extend access to the DHS Enterprise Platform by all stakeholders. This approach will result in the most functional, flexible, extensible, accessible, and cost-effective solution for DHS.

In essence, DHS is looking to promote the DHS Enterprise Platform (built on the Medicaid E&E Solution core foundations) to provide dynamic support, processing and information exchange with control and resiliency provided by DHS for its programs. Moreover, the Platform must continue to support the ongoing development and evolution of DHS operations by providing the capability for greater flexibility and adaptability as an integral feature of the solution architecture.

- **Sustainability:** The sustainability of DHS Enterprise Architecture must include leadership commitment and resources. This requires effective governance, continuity of funding, and knowledgeable resources with the critical skills to sustain the architecture.
- **Open Process and Broad Participation:** Establishment of an open and inclusive process for defining the Enterprise Architecture, identifying the needs of the community (providers, payers, government, Clients, etc.) and the business, information and technology architectures.
- **Accountability and Transparency:** There must be clearly defined ownership and governance for the architecture. Roles and responsibilities must be delineated unambiguously and shared openly. Defined responsibilities should include: providing input to the decision making process, analyzing alternatives, formulating proposals, making determinations, reviewing, and approving.
- **Simplicity and Consistency:** Enterprise Architecture governance processes will avoid unnecessary complexity and redundancy in the management of risks and controls across the Enterprise by developing a single, unified approach.
- **Support the Enterprise Mission and Objectives:** The Enterprise Architecture should be optimized to support the organizations business processes.
- **Focus on User Needs:** The Enterprise Architecture must support residents, DHS staff and service partners through content rich and user-friendly interfaces via multiple channels.

- **Enable Data Sharing:** The Enterprise Architecture must enable enterprise-wide data sharing and also provide flexible data access for users (staff, trading partners, etc.).
- **Ensure Privacy and Confidentiality:** The Enterprise Architecture must ensure the privacy and confidentiality of confidential and personal data including compliance with all laws and regulations.
- **Enhance Decision-support:** The Enterprise Architecture must provide timely, accurate, and complete decision support information to users.
- **Create a “Real-Time” Integrated Enterprise:** The Enterprise Architecture must allow all users to have current and up to the second information regarding all Clients’ interactions with DHS programs.
- **Manage Information as an Enterprise Asset:** DHS will establish processes to manage data as an enterprise asset.
- **Enable Data Sharing via Standards-Based Approach:** DHS will establish data standards to improve sharing of data and information across agencies.
- **Data Governance will be Transparent and Consistent:** DHS will establish data governance processes to ensure data standards and data quality is consistently implemented across the organization to ensure that data integration is as effective as possible.
- **Continuously Improve Data Quality:** DHS will establish processes to ensure that data is continuously reviewed, and that there will be a relentless focus on ensuring the highest quality of data. DHS will identify data owners who will be accountable for quality and for establishing data standards.
- **Enforce Data Confidentiality and Legal Requirements:** DHS will ensure that all rules and regulations that govern data collection, storage and use are rigorously applied.
- **Robust Infrastructure Capabilities:** The technology architecture must be designed to ensure high availability and redundancy to meet business requirements.
- **Technology Solutions Aligned to Department Requirements:** Design technology solutions to accommodate appropriate Department requirements consistent with enterprise architecture and standards while minimizing the number of Departmental applications (eliminating duplication and overlap wherever possible).
- **Alignment with Industry Trends:** The technology infrastructure components will be selected that are in line with industry trends, and based on long-term vendor viability and support capabilities.
- **Service-Oriented:** The architecture should consist of a number of services that are compliant with industry standards for SOA to facilitate reuse, adaptability and interoperability (e.g., “build it once, use it many times”).
- **Interoperability Standards:** Build upon Federal standards and implementation efforts including CMS, Centers for Disease Control and Prevention, NIST, the Office of the National Coordinator for Health Information Technology Standards Committee and those for the Nationwide Health Information Network, and comply with emerging national interoperability standards for content exchange, vocabulary/notation and privacy/security.
- **Investment Protection:** Provide the ability to integrate with existing DHS and State systems, hubs and platforms

- **Independence:** Keep architecture skills separate from product and implementation vendors' dependencies to maintain vendor and technology neutrality in the development of the architecture.
- **Scalable and Extensible:** Provide incremental expansion of functionality over time on a base that is scalable to accommodate additional users and extensible in expanding capabilities to meet future business needs and Federal and State mandates.

DHS has determined that the Solution architecture will be service oriented, utilizing the DHS Enterprise Platform. Specifically, this means that the proposed Solution architecture will adhere to the following five (5) principles:

1. ***The Solution must be modular.*** Each component of the new functionality being built or configured, or Solution being deployed, must be a service consumer, service provider or both. Modules must exist at a variety of levels of granularity (e.g., at a business process level such as eligibility determination or benefits issuance (i.e. Business Service) to simplify alignment with key business processes and at lower levels such as data services (i.e. Technical Service) for a single database table to enable reuse across the application and the whole architecture).
2. ***The modules must be distributable.*** Modules of the new Solution must be able to run on disparate computers and communicate with each other by sending messages over a network at runtime. Software components in a SOA application are almost always hosted on disparate computers in different locations, often miles or even continents apart. SOA applications are inherently distributed applications across multiple software and hardware tiers.
3. ***Module interfaces must be clearly defined and documented.*** It is important for the new Solution to include a standard mechanism for defining SOA interfaces such as the Web Services Description Language (WSDL) and a registry or repository to make these interface definitions available to application developers. Software developers write or generate interface metadata that specifies an explicit contract so that another developer can find and use the service (this helps enable loose coupling). A SOA service contract is always explicit and formally documented in software. SOA consumer and provider components can be developed by different people, often working in different locations and sometimes for different organizations. Interface metadata describes the format of the input and output messages, the sequence and nature of the message exchanges, the communication protocols and SLAs, such as promised response times. Thus a new developer in a different DHS program could create applications to consume all necessary services to participate in the DHS Enterprise Platform purely by reference to these published interfaces.
4. ***A module that implements a service can be swapped out for another module that offers the same service and interface.*** This is an aspect of loose coupling and it enables incremental maintenance and enhancements without making other changes to the entire target Solution. This principle must be fulfilled by separating the implementation (the service provider module's code and data) from the interface metadata. A copy of the interface metadata is made accessible to other developers separately from the code that implements the provider component. This makes it possible for the developer of service consumer to use the service without having a copy of the service provider software module. It also enables multiple development teams to create interchangeable service provider modules. The developer can change or move its software and data to another computer without disrupting the service consumer; as long as the interface remains unchanged (this capability implies a loose coupling between the

consumer and the provider). The service consumer and the service provider can use disparate programming languages, application servers and operating systems, providing a very high level of flexibility.

5. **Service provider modules must be shareable.** This means that modules are designed and deployed in a manner that enables them to be invoked successively by disparate service consumer modules engaged in somewhat diverse, although partially related, business activities. Developers can write many different consumer application modules that use the same service as long as they conform to the conditions specified in the interface contract. In practice, many SOA services may not actually be shared because only one type of service consumer needs them, but the capability is always there in any software component that has been built according to the principles of SOA.

It is DHS' intention to choose solutions and design alternatives that most closely follow these principles in their approach and meet all or as many of the requirements as defined elsewhere in the Functional and Non-Functional Requirements documents.

3.4.6.2 The DHS Enterprise Platform and Component Reuse Requirements

DHS has made extensive investments in technologies and services as part of the DHS Enterprise Platform. The Medicaid E&E Solution has been designed to provide both platform components as shared business and technical services that would be extensible to support any future solutions, as well as the specific business functionality needed for MQD. The Medicaid E&E Solution and supporting processes will be enhanced through this procurement to become the DHS Enterprise Platform; and will continue to be extended by new shareable components, services and capabilities deployed by this and each subsequent project. The Benefits Eligibility Solution is the first system that will realize the benefits of this integrated set of reusable components, services, and capabilities. While DHS encourages innovative approaches to technology and service delivery, it is DHS' preference that, to the extent possible and where appropriate, the ASI Vendor will leverage the investments DHS has made in the DHS Enterprise Platform.

The following section provides detailed descriptions of the DHS Enterprise Platform's highly preferred and preferred technology components and/or services that can be (and to the extent feasible, should be) leveraged in the proposed Benefits Eligibility Solution. DHS has identified standardizing on the highly preferred components as foundational to delivering the business value of the Agency of One vision. As such, ASI Vendors can propose alternative technology, however, they must provide a compelling justification that includes the ability to meet all Functional and Non-Functional Requirements and have minimal impact for migrating the Medicaid E&E Solution off this component to a new technology, including total cost of ownership for licenses, M&O and hosting.

The DHS Enterprise Platform and the supported applications will continue to use an n-tier architecture that separates the presentation layer of the Solution from its business logic and data tier.

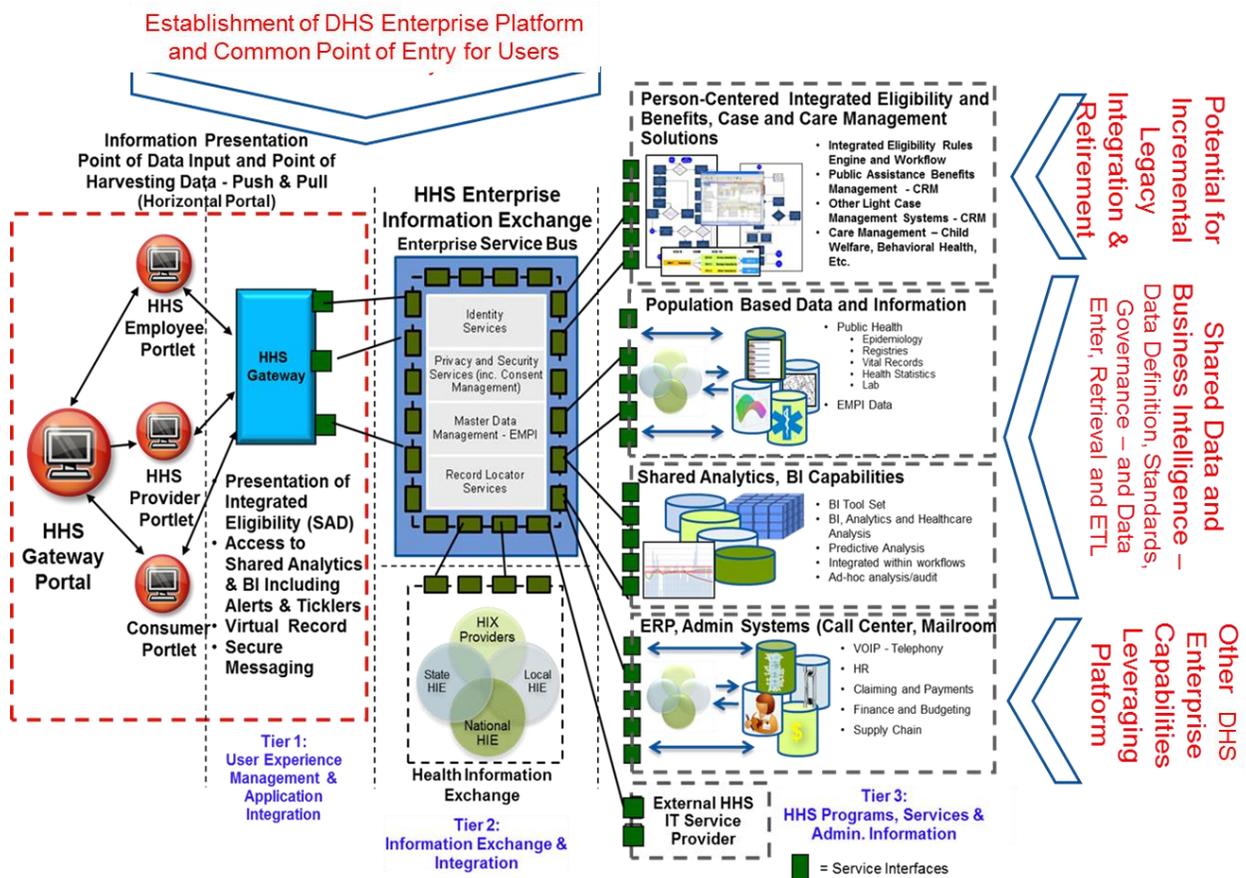
- The architecture will be comprehensive in that it supports the full complement of DHS functions in a unified and tightly integrated environment with the capacity to meet DHS' volume, performance, and scalability requirements.
- The architecture design will minimize the impact on Solution maintenance, cost, and personnel, and allows for the separation of specific application responsibilities across several logical and physical tiers.

- The architecture will make use of high performance, flexible, scalable Exadata and Exalogic hardware platform, and mature software tools such as Siebel Public Sector CRM, OPA, Web Logic application server and Oracle RDBMS.
- The architecture will be flexible, which takes full advantage of an n-tier design in a distributed systems environment.
- The architecture will be scalable, making use of hardware clustering and load balancing to support throughput without changing pieces of application code.
- The implementation and maintenance of the various solution architecture components will be simplified by implementing products that have demonstrated track records of smooth interoperability and integration, and by deploying components of the Medicaid E&E Solution on a common hardware and operating system platform.

The DHS Enterprise Platform will continue to be architected and implemented using multiple COTS software components and infrastructure technologies including Liferay Portal, Siebel Public Sector CRM, OPA, OFM, Oracle WebLogic, Oracle MDM Hub (Siebel UCM), OBIEE, etc.

Figure 18 provides a high level logical architectural view of the envisioned DHS Enterprise Platform that represents DHS' future technology and architectural vision:

Figure 18. Architecture Vision for DHS Enterprise Platform (Conceptual View)



The DHS Enterprise Platform architecture incorporates various public sector best practices and adheres to State and Federal standards. The foundation for the DHS Enterprise Platform architecture is the SOA framework that leverages proven methodologies and best-of-breed products in the marketplace and is consistent with CMS' Seven Conditions and Standards. This

vision focuses on a technical approach that leverages common SOA components that can provide business functionality across DHS business domains. An enterprise approach to IT investments will enable DHS to support the vision for an integrated and person and family-centered model of practice including the provision of robust self-service capabilities.

DHS understands other technology components beyond those available on the DHS Enterprise Platform for the Benefits Eligibility Solution may be required. If that is the case, DHS expects the Solution to leverage the DHS Enterprise Platform business and technical services and above components enhanced with new COTS infrastructure components to the Platform, with custom development or “one-off” solutions only used in exceptional circumstances when their needs cannot be met through other means.

DHS’ vision is to move computer access by all the Divisions onto the DHS Enterprise Platform. This will include developing the required BESSD functionality through leveraging the Platform as much as possible, and adding the capabilities for other applications to integrate with the Platform.

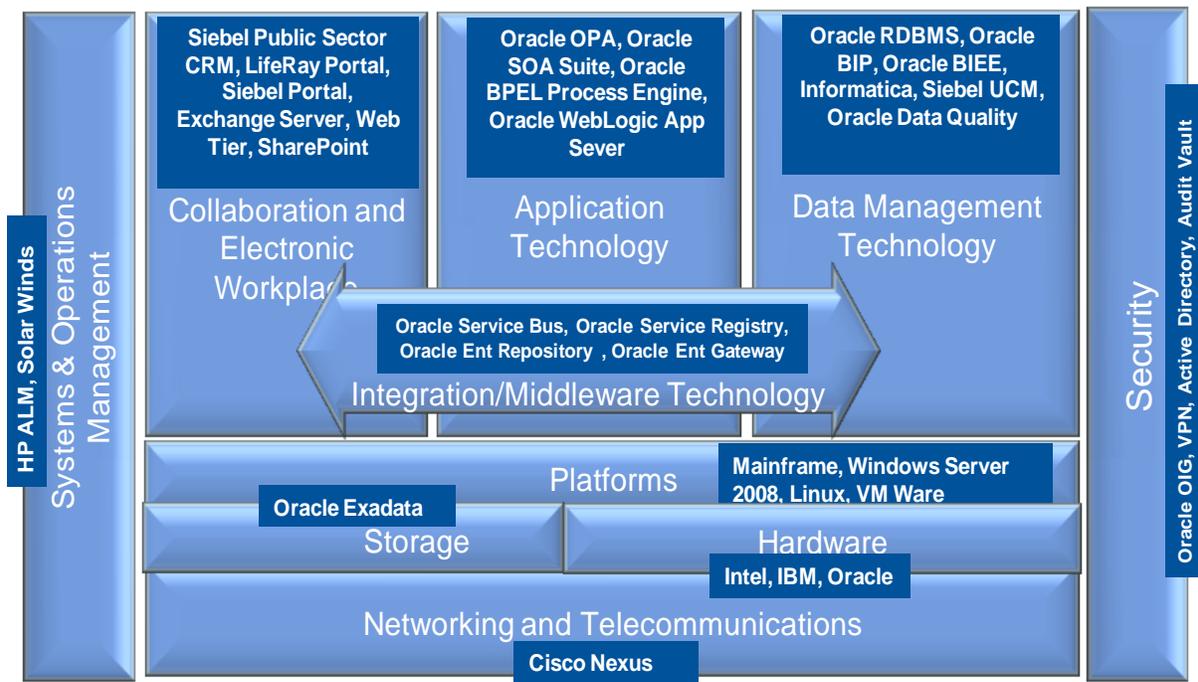
Through this procurement and other future technology enablement efforts, DHS wants to enhance the DHS Enterprise Platform to support the programs and business operations of DHS, and envisions an enterprise approach for IT investments that places emphasis on establishing a set of standards for hardware, software, interoperability, data governance, M&O and hosting of the technical solutions.

The integration and reuse of key shared common technology components and services, and their interoperability across DHS programs and services will be critical to achieving the vision of an integrated DHS. Therefore, the use of certain shared components such as the State Hub, MDM, security (e.g., identity and access management), audit, and ECM will be mandated for use within the ASI Vendor’s proposed Benefits Eligibility Solution, while other components such as the Enterprise Portal, Rules Engine and the CRM system will be a DHS preference. The IE/ BM Vendor is free to propose alternative technologies or approaches when a certain technology is designated as “Preferred,” so long as appropriate justification is provided. Examples of potentially reusable technology components include:

- Common portal architecture and technology standards - Common user experience model and common architecture (e.g., Model-View-Controller implementation standard, standards for use of widgets and portlets, published Application Programming Interfaces)
- Business Rules engine
- Workflow management
- Security and privacy: Identity and access management, consent management
- MDM: Master person and provider indexes
- CRM support services: Case management, benefits management, etc.
- Shared analytics and BI platform components
- ESB and interfaces to other DHS and external systems
- Enterprise Content Manager

The following figure provides a high level overview of the reusable component categories.

Figure 19. Reusable Component Categories Overview



3.4.6.2.1 SOA and Integration Technology Component(s)

Integration with certain components of the DHS Enterprise Platform and external systems will leverage the State Hub. The State Hub uses an Enterprise Service Bus (ESB) for Application integration and publishing of common services, which in this case is the Oracle Service Bus (OSB) product, providing a common infrastructure for provisioning, publishing and consumption of services. As such, the use of OSB whenever integrating through the State Hub is “Highly Preferred.”. Some of the capabilities of OSB as deployed by the State hub includes –

- OSB applies common messaging and interoperability standards across all business services and provides a consistent framework for achieving security, monitoring, and guaranteed delivery.
- Any application function that interfaces with systems outside of the DHS Enterprise Platform (e.g., Federal Data Hub, various State systems) is managed through OSB deployed as the foundation for the State Hub. The ESB isolates the Solution and its services from the interface details related to each system or component it needs to communicate with, and from having a point-to-point interface with each external system.

However, for the Enterprise Service Bus infrastructure within the ASI Vendor’s solution, the use of OSB is “preferred”, wherein the Vendor can provide an alternate solution which must fulfill all the requirements set forth in the Non-Functional Requirements traceability matrix and the Vendor’s proposed approach provides a compelling justification.

The ASI Vendor’s response must confirm that it will meet or exceed the Technical Requirements set forth in Template T-8 – Technical Requirements tabs T6. DHS Platform Alignment and T1. Interoperability and Interfaces; and its approach must be detailed in Template T-9 – Technical Requirements Approach.

3.4.6.2.2 Case Management and CRM Component(s)

The use of Oracle Siebel Public Sector CRM for Case and Benefit Management is “Preferred” by DHS. At a minimum, DHS expects that the proposed Solution’s use of CRM technologies shall provide the following attributes and capabilities:

- A modern, user-friendly user interface with easy access to required data to aid in decision support
- Shared tools for tracking customer issues and complaints across the Department
- Improved search capabilities
- Inclusion of enhanced scheduling and alert functionality
- Improved employee efficiency through a streamlined user interface

The following is a list of sample use cases envisioned for the CRM technology component:

- Intake and safety / risk assessments
- Managing long running cases
- Managing complex cases
- Customer-centric Information: Implement solutions that allow identification of a citizen and their family across programs and jurisdiction
- Improve mail processing efficiencies through automated generation of notices

A detailed list of BESSD-specific use cases for the CRM component are provided in the BPA document provided as part of the Procurement Library.

The ASI Vendor’s response must, at a minimum, confirm that it will meet or exceed the Requirements set forth in Template T-8 – Technical Requirements tab T6. DHS Platform Alignment, and its approach must be detailed in Template T-9 – Technical Requirements Approach.

3.4.6.2.3 Enterprise Portal Component(s)

The use of Liferay Portal is “Preferred” by DHS as it is already implemented as part of the Medicaid E&E Solution. Independent of the portal technology selected by the ASI Vendor, the Benefits Eligibility Solution must be designed such that the external user interface provides DHS’ Clients with seamless access to all of DHS’ programs (e.g., MQD, BESSD, SSD). This is particularly important as some of the functionality being implemented as part of this Project (e.g., Appeals) will support multiple DHS Divisions and will support DHS’ no wrong door strategy.

It is DHS’ expectation that the Enterprise Portal architecture and solution shall provide the following capabilities, at a minimum:

- Access control
- User interface
- Search capabilities
- Integrated collaboration and communications
- Portal server must host portlet implementations to ensure availability and reliability, especially as service reuse and dependencies proliferate

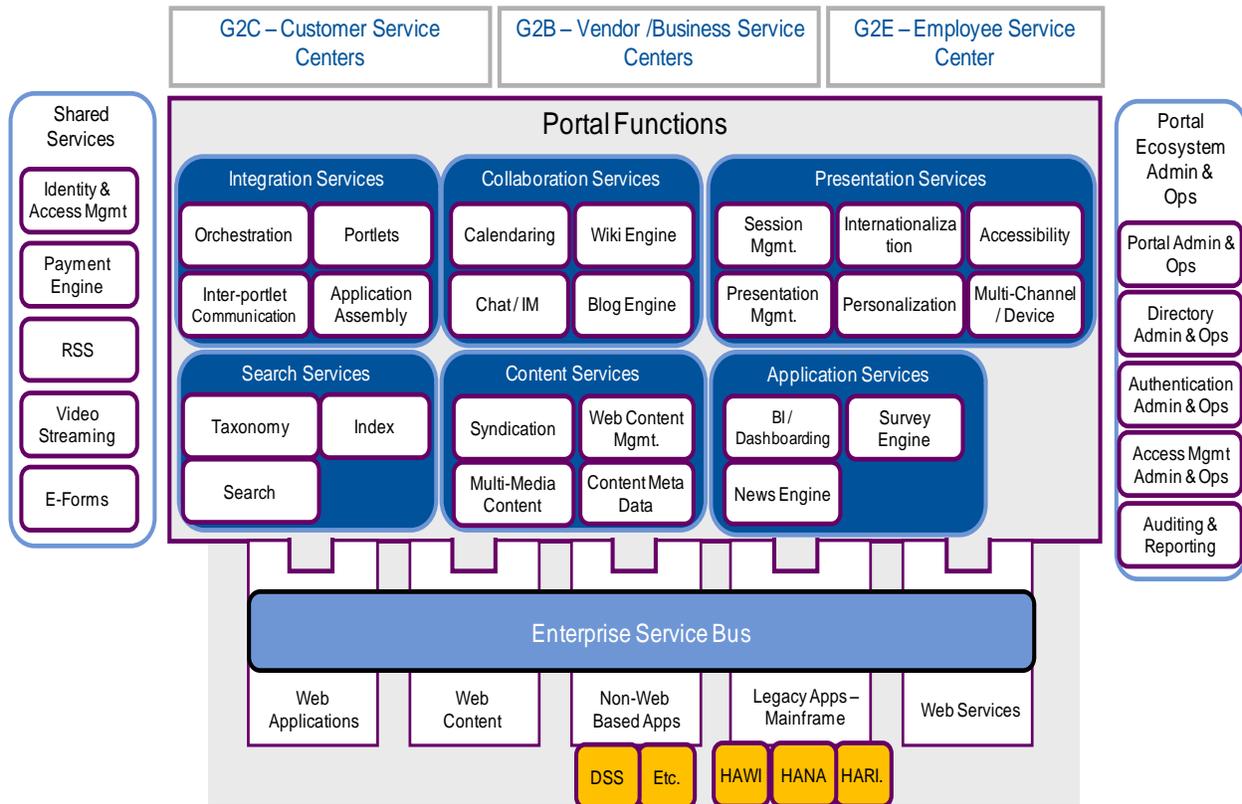
- Integration with downstream business logic and components

The following is a sample list of use cases envisioned for the portal technology component:

- Use portal pattern to provide application integration at the user interface, and for personalization and consistent user experience
- Use the portal pattern to combine multiple disparate web-based user interfaces that need to be combined into a consistent, personalized user experience. The pattern applies equally for Government to Enterprise – Case Worker Portal and Government to Consumer – Citizen Portal scenarios
- Allow partners to access information (e.g., registration, status of contract, license status) through multiple channels (e.g., on-line, office, integration, etc.)
- Self-service screening for benefits
- One common portal and one account (i.e., single sign-on) for each Client with security that meets all applicable security guidelines
- Identification of all services and benefits the Client is eligible for, regardless of the program the services are managed through
- Provide Client portal which allows access to all case information and DHS to communicate opportunities (e.g., job fairs) to the recipients
- Adapt the portal to integrate and aggregate information from multiple cross-enterprise applications, as well as program tools and applications
- Create user account, complete self-service pre-screening and integrated application, schedule visit/assessment, view alerts and notifications
- Single sign-on across all applications

The figure below provides an overview of the Portal capabilities that DHS would like to leverage as a part of the DHS Enterprise Platform over time.

Figure 20. Expected Horizontal Portal Functions and Capabilities



The ASI Vendor’s response must, at a minimum, provide confirmation that it will meet or exceed the requirements set forth in Template T-8 – Technical Requirements tabs T6. DHS Platform Alignment and G1. Usability, and its approach must be detailed in Template T-9 – Technical Requirements Approach.

3.4.6.2.4 Business Rules Engine Component(s)

The use of OPA as the business rules engine is “Preferred” by DHS.

At a minimum, DHS expects that the enterprise rules engine technology component shall provide the following features, attributes and/or capabilities:

- Leverageable to build systematic application services with dynamic business policies and rules
- Offer a full rules management platform with design and run time binding
- Useable with mission-critical enterprise-wide applications with high availability, manageability and scalability requirements
- Business rule representation and coverage
- Ease of use in operation/development and administration
- High performance and scalability
- Rules management features for the execution engine

- Third-party integration support
- Advanced inference features
- Vertical/horizontal template support
- Provision of a rule repository

The ASI Vendor's response must, at a minimum, provide confirmation that it will meet or exceed the requirements set forth in Template T-8 – Technical Requirements tab T6. DHS Platform Alignment, and its approach must be detailed in Template T-9 – Technical Requirements Approach.

3.4.6.2.5 Master Data Management Component(s)

The use of Oracle Customer Hub (Siebel UCM) and Oracle EDQ MDM components is “Highly Preferred.”

DHS expects the MDM component technologies to provide the following features and capabilities to DHS:

- Shared Enterprise Master Person Index
- Probabilistic record matching
- Tunable record matching
- Configurable interface capability

The ASI Vendor's response must, at a minimum, provide a confirmation that it will meet or exceed the Requirements set forth in Template T-8 – Technical Requirements tab T6. DHS Platform Alignment, and its approach to the use and integration of the MDM components must be detailed in Template T-9 – Technical Requirements Approach.

3.4.6.2.6 Enterprise Content Management

The use of DHS' ECM solution, IBM FileNet, component is “Highly Preferred.”

DHS expects the ECM solution to be used to store all images in such a manner that they can be accessed and shared between all DHS Divisions (e.g., SSD, BESSD and MQD). Any required enhancements to the existing ECM services to meet the ASI Vendor's proposed Solution architecture needs must be defined in detail in its Proposal.

3.4.6.2.7 Data Tier Component(s)

The use of Oracle RDBMS as a part of the proposed Solution is “Preferred” by DHS. Informatica PowerCenter is considered “Preferred” for data integration.

At a minimum, DHS expects that the data integration technologies shall provide the following features and/or capabilities:

- Support metadata management, data staging and transformation
- Real time and batch integration support
- Extract data from transactional systems, cleanse and transform, and move and load into operational data stores, data warehouse, and/or data marts
- Support data acquisition for business intelligence, analytics and data warehousing
- Consolidate and deliver master data in support of master data management

- Data migrations/conversions
- Synchronize data between operational applications

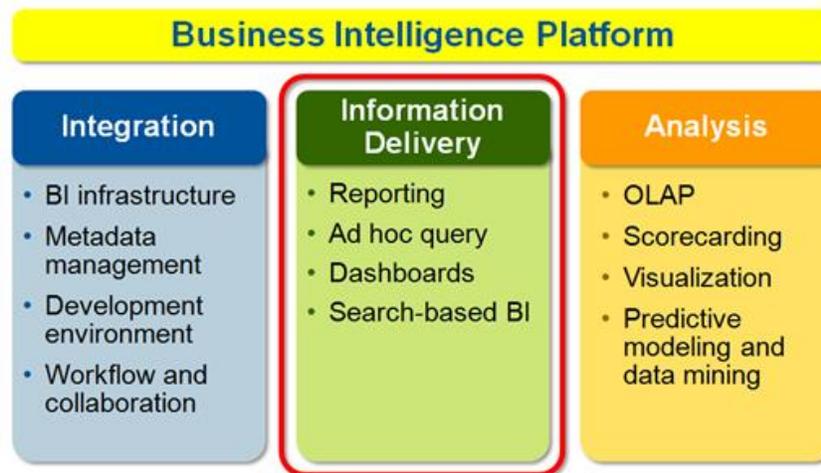
The ASI Vendor's response must, at a minimum, provide confirmation that it will meet or exceed the requirements set forth in Template T-8 – Technical Requirements tab T6. DHS Platform Alignment, and its approach must be detailed in Template T-9 – Technical Requirements Approach.

3.4.6.2.8 Business Intelligence Component(s)

The use of OBIEE and BIP for reporting and dashboards is “Preferred.”

DHS expects the BI component to deliver a balanced set of capabilities across three (3) domains as illustrated in Figure 21: Integration, Information Delivery, and Analysis, along with certain foundational capabilities that are needed as a part of a user-driven BI strategy.

Figure 21. Overview of Expected BI Capabilities



Some of the key BI features and capabilities that DHS expects to leverage are as follows:

- Information Delivery
 - Reporting:** General information delivery that improves decision making by revealing and communicating a greater insight into business performance. Most, if not all, products are assumed to support basic reporting to include graphical displays.
 - Parameter Driven Reporting:** Reporting that establishes the primary structure and queries commonly needed, but allowing selection of key parameters, such as date range, program or location.
 - Ad Hoc Query:** Queries created by users to obtain information for a specific need as it arises.
 - Dashboards:** Display KPIs or business metrics using intuitive visualization, including dials, gauges and traffic lights that indicate the state of various KPIs against targets.
 - Distributed Query:** Access data from multiple heterogeneous data sources. These data sources can be stored on either the same or different computers.

- Microsoft Office Integration:** Excel add-ins for BI platforms or integration with Excel as an output capability for data extracts and additional reporting.
- Analysis
 - On-line Analytical Processing (OLAP):** Client- and server-based analysis tools.
 - Advanced Visualization:** Displays numerous aspects of multidimensional data using interactive pictures and charts, and often includes heat maps, geographic maps, scatter plots and other special-purpose visuals.
 - Predictive and Performance Analytics:** Ability to analyze past performance, identify areas of improvement and model future performance.
 - Scenario Modeling:** Simulations based on “what-if” scenarios often following a set of constrained inputs to monitor the behavior of the output.
 - Data Mining:** The process of discovering meaningful correlations, patterns and trends by sifting through large amounts of data stored in repositories.
- Development and Integration
 - Visual / Programmatic Development Environment:** Specific tools must be provided to assist in the creation of queries.
 - Web Services Integration:** Web services should weave analytical applications built on a BI platform and other integration points into operational applications.

At a minimum, DHS expects that the BI technologies shall provide the following capabilities –

- Dashboard - Exception reporting with drill-down/drill-across
- OLAP – “Slice and Dice” capabilities
- What-if models
- Visualization
- Statistical models
- Collaboration on results and design of analyses
- Must support metadata management, data staging and transformation
- Real time and batch support

The ASI Vendor’s response must, at a minimum, confirm that it will meet or exceed the requirements set forth in Template T-8 – Technical Requirements tab T6. DHS Platform Alignment, and its approach must be detailed in Template T-9 – Technical Requirements Approach.

3.4.6.2.9 Security Component(s)

The use of Oracle Identity and Access Management as a part of the Security technology component is “Highly Preferred.”

The Benefits Eligibility Solution should be built with core service level security features leveraging the DHS Enterprise Platform’s security technologies, including OIM, Access Manager, Adaptive Access Manager, ASO, database vault, and data masking.

The Benefits Eligibility Solution should leverage the identity and access management technical services built with the identity management and identity access management products from

Oracle to store user identities, manage, and control user access based on their roles. To ensure data security and privacy, the primary security capabilities to be implemented shall be:

- Authentication — Authentication shall be implemented in the Benefits Eligibility Solution using OIM. The Benefits Eligibility Solution shall implement Authentication process to verify a user's identity claim.
- Access Management — The Benefits Eligibility Solution shall include an Access Management technical service or capability that is the authorization piece of access control. This process shall define the access policy otherwise known as the Policy Access Point. When a user tries to access a resource, the access control process checks that the user is authorized to use that resource and is a defined user within the Solution.
- Governance (Audit, Compliance, Policy, Separation of Duties) — The Benefits Eligibility Solution shall leverage the security governance that is available through the Platform. The DHS Enterprise Platform provides this capability that requires consistency between user provisioning and managed resources through a reconciliation service. It further ensures separation of duties and compliance with IT audit policies during the provisioning process. This capability addresses the complete lifecycle of an account from creation to de-provisioning when no longer needed.

The ASI Vendor's response must, at a minimum, confirm that it will meet or exceed the requirements set forth in Template T-8 – Technical Requirements tabs T3. Regulatory and Security and T6. DHS Platform Alignment, and its approach must be detailed in Template T-9 – Technical Requirements Approach.

3.4.6.2.10 Interoperability and Interfaces

The use of the State Hub as a part of the application integration technology component is "Highly Preferred."

DHS is envisioning integrating various systems, both internal and external, through a hub and spoke architecture using the State Hub that has been implemented as a part of the DHS Enterprise Platform. Other integration approaches shall include SOA and event-driven architecture approaches in a manner that supports the following implementation strategies: Web Services: Web Services Interoperability Organization-compliant implementation of basic Web services standards, including Simple Object Access Protocol, WSDL and Universal Description, Discovery and Integration, as well as higher-level Web services standards, such as WS-Security, Representational State Transfer: Support for XML-based messages, processing and HTTP, and XHTML.

The ASI Vendor's response must, at a minimum, confirm that it will meet or exceed the requirements set forth in Template T-8 – Technical Requirements tab T1. Interoperability-Interfaces and the representative list of specific interfaces included in tab G4. Interface List, and its approach must be detailed in Template T-9 – Technical Requirements Approach.

3.4.6.2.11 Consent Management

DHS does not currently have a Consent Management solution in place; this capability is being developed through the next phase development of the DHS Enterprise Platform. The ASI Vendor shall use the Consent Service that is available through the DHS Enterprise Platform.

DHS expects the Consent Management technologies and solution available through the State Hub to provide the following capabilities:

- Role-based access within the Solution must ensure that access to sensitive information will conform to DHS' policies and Client privacy preferences (informed consent by appropriate stakeholders).
- The Solution must be able to identify and delineate between internal and external Users (users outside the Department) and must give them different levels of visibility to Solution data based on Client privacy preferences. When displaying data, identifiable information tying the record back to a specific participant must be masked or omitted, where appropriate.
- Compliance with Federal and State privacy and consent requirements and standards (HIPAA, Public Key Infrastructure, Internal Revenue Service (IRS), etc.).
- Consent Management shall be at a granular level, allowing for documentation of all components required for Informed Consent and provide, where appropriate, full Client control over the details of protected information, shared or not, with whom, and for what period of time.

3.4.6.2.12 Performance Monitoring and Management

The use of Oracle Enterprise Manager for performance monitoring and reporting is "Preferred."

DHS is envisioning that Performance Management will be conducted using a set of enterprise tool(s) to track and monitor performance and conduct technology management and oversight activities. This should centrally manage Solution resources such as servers, backup, archiving, and recovery equipment, databases and applications as well as support the auditing, tracing and scanning of the Solution and its components.

The ASI Vendor's response must, at a minimum, confirm that it will meet or exceed the requirements set forth in Template T-8 – Technical Requirements tab G3. Performance and Availability, and its approach must be detailed in Template T-9 – Technical Requirements Approach.

3.4.6.2.13 Solution Management and Administration

The use of Oracle Enterprise Manager for systems management is "Preferred."

DHS envisions that Solution Management and Administration will be conducted using a set of enterprise tool(s) and at a minimum will provide the following capabilities:

- Application management and monitoring
- Web services management
- Systems management and monitoring
- Event management
- Identity and Access Management
- Network management and monitoring
- Performance monitoring
- Print Prioritization & Management
- Workload Management

The ASI Vendor's response must, at a minimum, confirm that it will meet or exceed the requirements set forth in Template T-8 – Technical Requirements tab T4. Solution

Administration and tab T5.Solution Management, and its approach must be detailed in Template T-9 – Technical Requirements Approach.

3.4.6.3 Use of Current DHS Enterprise Platform COTS

The COTS software and the version currently installed as part of the DHS Enterprise Platform is the same as the ones being used by the Medicaid E&E Solution identified in Table 9.

The ASI Vendor’s approach to the implementation and use of DHS’ Preferred or Highly Preferred components must, at a minimum, provide a confirmation that the Solution will meet or exceed the Technical Requirements set forth in Template T-8 – Technical Requirements, and the specific approach must be detailed in Template T-9 – Technical Requirements Approach.

3.4.6.4 Use of Current DHS Enterprise Platform Hardware / Infrastructure

DHS, through the ESI, will provide and provision the infrastructure and required environments (Development, Test, Training, etc.) for the proposed Solution. Wherever feasible, the ASI Vendor’s proposed Solution must leverage the infrastructure currently provided as part of the DHS Enterprise Platform. The ESI will provide virtualized servers and storage to the ASI Vendor. The ASI Vendor’s Proposal must identify any additional hardware/infrastructure required and include the rationale for components that are not leveraging the DHS Enterprise Platform infrastructure.

3.4.6.5 Current DHS Enterprise Tools

Table 13 provides a list of DHS’ current tools. DHS prefers to continue using these tools to minimize managing and supporting multiple tools than necessary. ASI Vendors will be expected to use these tools that will be provided by the ESI.

Table 13. Current DHS Tools

Tool Name	Description
HP ALM	Used for tracking and managing defects and requirements traceability
ServiceNow	Used to track Infrastructure Changes, Helpdesk Incidents, Project Asset Management and Problem Management
XL Deploy	Used for deployment automation
SVN	Used for all code versioning
Sharepoint	Used to manage documentations online for the project
ActiveBatch	Used for scheduling batch jobs
Jenkins	Used for deployment automation
Microsoft Office	Used for all documentation and presentations

3.4.7 Implementation Approach

This section outlines the approach and roles and responsibilities of the ASI and ESI vendors during the Benefits Eligibility Solution Project. Any smaller enhancements performed as part of the M&O activities (e.g. enhancements to the DHS Enterprise Platform or any enhancements to the Benefits Eligibility Solution or Medicaid E&E Solution after it is in production) will follow a similar, yet less rigorous, process.

While performing M&O on the Medicaid E&E Solution, the ASI Vendor will implement the Benefits Eligibility Solution leveraging the DHS Enterprise Platform components wherever possible. At a high level, the ASI Vendor will be responsible for:

- Managing the project
- Leading the design, build and testing of the functionality
- Converting the data from the legacy system
- Providing change management and training activities
- Leading the roll-out/deployment
- Providing warranty services

During this project, the ESI will perform the following tasks in support of the ASI Vendor:

- Managed hosting services
- Middleware components
- Coordinating all development and M&O activities across vendors including coordinating pre-production testing including tracking proposed projects / M&O work through deployment into production
- Provide technology governance to ensure:
 - The architecture and design align with DHS' architectural principles
 - Effective integration of services
 - The DDI vendors develop new and leverage existing services wherever possible rather than taking short-cuts and developing components and services that cannot be reused
 - Shared technical and application services are technically sound and will enable re-usability
- Provide independent SOA certification and approvals

DHS is not prescribing an approach to implementing the Benefits Eligibility Solution. DHS expects the ASI Vendor to conform to all DHS Enterprise Platform documentation and coding standards and leverage the DHS Enterprise tools, where appropriate. The ASI Vendor should provide a comprehensive approach to the implementation of the Benefits Eligibility Solution that aligns with DHS' standards and environment. The following sections outline guidelines that DHS expects the Vendors to follow and the roles and responsibilities of the ESI and ASI Vendor. The ASI Vendor can propose changes to these guidelines if adequate justification is provided. These deviations must be justified in the Vendor's response.

3.4.7.1 *Manage the Project*

DHS has established a PMO to coordinate all projects and M&O activities related to the DHS Enterprise Program. The PMO is structured to provide the controls, tools and standards required to manage the DHS Enterprise Program while allowing flexibility within each project so DDI vendors can leverage the project management methodology they are familiar with, however their methodology must align.

During Project Initiation activities, the ASI Vendor's Project Manager / Project Management Team will develop a Project Management Plan (PMP), implement required tools and develop artifacts that will establish how the Benefits Eligibility Solution Project will be managed. DHS'

Project Manager and Project team will be involved during the development of these deliverables to ensure they are aligned with DHS' standards and provide an effective project management approach. These must be approved by the DHS Project team.

The proposed PMP must comply with the Project Management Institute (PMI) standards or equivalent, and this must be followed for the duration of the Benefits Eligibility Solution Project. 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 is contracting with an IV&V vendor to help ensure the ASI Vendor focuses on quality processes and deliverables throughout the Project.

The ASI Vendor must develop the project management approach and execute the processes outlined in the PMP throughout the Project. The ESI will collaborate with the ASI Vendor to confirm the ASI Vendor's deliverables conform to the DHS Enterprise Program Standards and will coordinate with the ASI Vendor throughout the Project to ensure the DDI Project activities are integrated into the DHS Enterprise Platform planning and management processes and conform to DHS' standards.

3.4.7.2 *Manage the Environments*

The ESI will provide the required infrastructure to the ASI Vendor. This includes both the provisioning and support of both virtual servers and shared software components (if the ASI Vendor is proposing a software component that is not shared, it will need to provision and provide support).

The ASI Vendor will provide specifications to the ESI for any infrastructure changes to the Medicaid E&E Solution required to support the Benefits Eligibility Solution.

Currently, environments have been implemented in support of the Medicaid E&E Solution. As the DHS Enterprise Platform is already in production, the ESI will be "adding to" the existing environment rather than building new environments. These environments include:

- Development
- Testing
- Pre-production/UAT

- Production
- Disaster Recovery
- Training

DHS' expectation is these environments will be the only environments required by the ASI Vendor, however, the ASI Vendor can propose additional environments though justification must be included.

3.4.7.3 Develop the Solution Design, Development and Customization Requirements

DHS is not prescribing a specific SDLC methodology (e.g., Waterfall, Agile) so the ASI 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 lifecycle management tool

As described in this RFP, DHS' goal is to produce a Solution which aligns with its vision for an Agency of One. As such, the ASI Vendor should ensure the architecture and design align with DHS' goal of maximizing components reuse and design a Solution which maximizes reuse of components. The architecture and technical design will be reviewed by the DHS' technology governance process, established and managed by the ESI's SI / MVI team.

The ASI Vendor will document and follow its SDLC methodology throughout the Project and ensure all documentation produced aligns with established standards. The ESI will ensure the architecture and design are aligned with DHS' goal of re-using components wherever possible and ensure all documents/deliverables are aligned with the established standards.

3.4.7.4 Convert and Manage Data

The ASI Vendor is expected to lead the data conversion effort and migrate all associated documents/images from the 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.

DHS will provide resources to address data conversion questions (in alignment with the DHS Staffing Plan) and will lead the data governance effort.

The ESI will review design documents to ensure that maximum integration is occurring.

3.4.7.5 Test the System

With multiple vendors (e.g., ASI, ESI, and CCWIS vendors) working on the DHS Enterprise Platform, multiple vendors will also perform testing. DHS expects the ASI Vendor to lead/perform all testing through UAT (e.g., unit, link/string and integration testing). Although this effort will be collaborative with DHS, 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.

The expectation is that the ASI Vendor, in collaboration with DHS, will build and test the Solutions and only promote changes to the Pre-Production environment after completing its testing phase as multiple vendors will be leveraging this environment. 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.

Once the ASI Vendor and DHS are confident the changes are fully tested (all integration testing has passed), the ASI Vendor will develop the documentation required to promote the Solution to the pre-production environment.

As the pre-production environment will integrate changes/code from multiple vendors, the ESI will coordinate all testing on the pre-production environment. Once the IE /BM Vendor has passed integration testing and is confident the changes are “production ready” they 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 FDSH must be completed, as required, per CMS.

3.4.7.6 Manage Organizational Change, Training and Knowledge Transfer

The ASI Vendor will lead and work collaboratively with State staff 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 should leverage digital or multi-media to the largest extent possible. The techniques should include a combination of training techniques including:

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

The ASI Vendor will be responsible for transitioning the training responsibilities to DHS' training department, although the ASI Vendor will continue maintaining/updating the training data sets and training materials as enhancements are implemented during M&O.

DHS also anticipates the ASI Vendor will perform surveys of users throughout the Project to understand the readiness for the change, familiarity with the Solution, etc.

Although the ASI Vendor will be providing M&O support after the Solution is live, DHS expects some of DHS' staff (e.g., super users, support staff, trainers) will need to receive training / knowledge transfer above and beyond the end-user trainings. DHS expects the ASI Vendor to perform knowledge transfer activities as early as feasible in the Project and to continue providing ongoing/advance and refresher training throughout the Contract period.

DHS will coordinate all Change Management and Training activities (and ensure they align with other DHS Enterprise Platform change management activities). The ESI will provide input into the training regarding support processes (e.g., Help Desk).

3.4.7.7 Roll-out the System and Go-Live

DHS wants to split the Benefits Eligibility Solution 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 ASI Vendor should include in its Proposal a recommended release strategy. 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 expects the Benefits Eligibility Solution to be rolled-out to end users gradually and avoid a “big-bang” roll-out, however, DHS would prefer to retire HAWI early in the project to avoid running two systems in parallel.

3.4.7.8 Warranty the System

DHS expects functionality to be warranted for 2 years 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.

3.4.8 Maintenance and Operations Approach

This section captures DHS’ expectations regarding how the M&O services will be provided by the ASI Vendor. The Vendor’s proposal should align with these guidelines and expectations and any deviations should be addressed in the Response Templates. The M&O Services to be provided are defined in detail in the Statement of Work (Section 3.5) and the M&O Template T-12.

It is expected that there will be multiple vendors and DHS IT resources performing tasks supporting different parts of the entire DHS Enterprise Platform. Not only will the ESI and ASI Vendor be developing and supporting parts of the overall DHS solution, but DHS also anticipates additional vendors will leverage the DHS Enterprise Platform to support other Divisions (e.g., SSD plans to contract with a vendor to develop a Federally-compliant solution to address its child welfare and adult protective services business needs leveraging the DHS Enterprise Platform).

As such, it is critical that the ESI, through a dedicated SI / MVI team coordinates all activities related to the DHS Enterprise Platform, including all M&O activities, and stays independent of the vendors building and supporting applications leveraging the DHS Enterprise Platform. The independence of the SI / MVI team is critical to the success of the DHS Enterprise Platform and DHS expects the team performing this coordination to fulfill its responsibilities independently of all other activities.

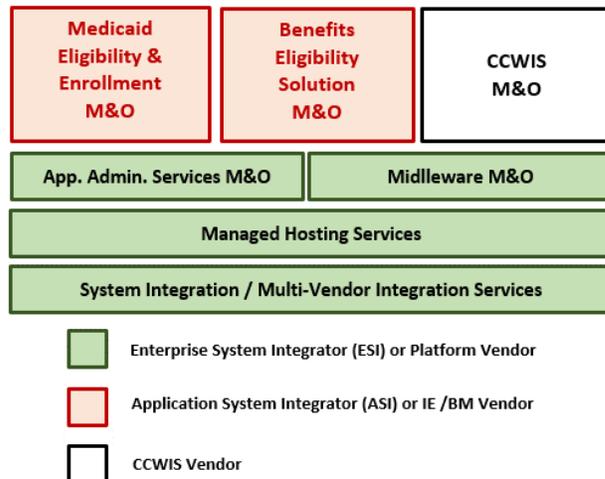
In general, the ESI is expected to:

- Provide Managed Hosting Services to all DDI vendors that leverage the DHS Enterprise Platform
- Maintain and Operate Enterprise Platform Software
- Provide operations support services (e.g., Help Desk, management of the DHS Enterprise Platform document repository)
- SI / MVI Services – Coordinate the services and performance of the multiple vendors leveraging the DHS Enterprise Platform
- Enhance DHS Enterprise Platform capabilities

The ASI Vendor is expected to:

- Maintain and support the Medicaid E&E Solution (configurations and custom development) that has been implemented to support MQD’s functional requirements

- Maintain and support all enhancements it implements. These enhancements are primarily focused on supporting BESSD’s eligibility and enrollment and benefit management capabilities, but also includes enhancements which MQD and other Divisions will leverage



It is important to note that the ASI Vendor is responsible for maintaining all end-user functionality developed/configured leveraging the DHS Enterprise Platform. The only exception is any Application Administration Technical Services (code/configuration of the middleware to enhance the effectiveness/efficiency of IT operations in supporting the DHS Enterprise Platform). These will be supported by the ESI.

The ESI’s SI / MVI team is responsible for End to End (E2E) performance monitoring (reporting and tuning to ensure alignment of process service levels to the DHS’ business key performance indicators - KPIs), interprovider management of service handoffs (including those for change management or service request processing), Operational-Level relationship coordination to ensure a collaborative working approach by all vendors, service delivery coordination to minimize operational issues, and oversight of Service Desk (ensuring that incident and service request handoffs are operationally efficient and issues don't fall through the cracks or bounce between providers).

3.4.8.1 Infrastructure and Application M&O Transition Approach

Currently the incumbent vendor is providing M&O services for the entire Medicaid E&E Solution. These activities will need to be transferred to the ESI and the ASI Vendor based on the roles outlined above. DHS anticipates the transition to occur in four (4) phases:

- Transition Planning – Identify and plan all tasks required to smoothly transfer M&O activities from the incumbent vendor to the new vendors
- Transition preparation tasks – Perform all tasks outlined in the respective Transition Plan
- Transition – The ESI and ASI Vendor commences performing M&O activities and transfers/converts information from the incumbent vendor’s systems

- Post-Transition activities – During this period, the ESI or ASI Vendor perform M&O activities while the incumbent vendor provides a team to support and recommend improvements

During these phases, resources from the State and the incumbent vendor will be available for trainings and to answer questions, but the burden will be on the ESI and ASI Vendor to plan and ensure they receive adequate training to minimize disruptions to the business.

DHS does not anticipate the transition to occur as a “big-bang”, rather, M&O responsibilities will be taken over by the incoming vendor incrementally.

3.4.8.2 Cross Vendor Coordination

As there will be multiple vendors leveraging the DHS Enterprise Platform, their maintenance and operational activities will need to be coordinated. The ESI’s SI / MVI team will act as an extension of DHS and coordinate the activities performed by the different vendors. This includes:

- Establishing and maintaining DHS Enterprise Platform documentation repository, and testing and coding standards
- Establishing and maintaining the DHS Enterprise Platform M&O processes required to manage a shared Enterprise Platform environment. These include processes such as:
 - Change/Release Configuration Management
 - Service Level Management
 - Capacity Management
 - End to End Performance Management and System Monitoring
 - Oversight of Incident Management and support processes
- Disaster Recovery
- Provide Service Level Requirements (SLRs) and chargeback/allocations reporting
- Providing tools and usage policies for all vendors leveraging the DHS Enterprise Platform
- Ensuring the solution meets all applicable security regulations (e.g. HIPAA, IRS 1075)
- Providing end-to-end performance monitoring

The ESI’s SI / MVI team is expected to maintain/modify the tools, processes, guidelines, policies for the DHS Enterprise Platform in collaboration with the Application DDI vendors (such as the ASI Vendor and CCWIS Vendor), and the Application DDI vendors will follow these guidelines. The ESI will be held accountable for developing processes, guidelines, and policies which the Application DDI vendors can follow, and the Application DDI vendors will be held accountable for following these processes, guidelines, policies.

The Application DDI vendors will be required to integrate their activities into this environment, both aiding in developing or enhancing processes, procedures and policies and performing tasks as outlined in the policies.

3.4.8.3 Approach to Managing the DHS Enterprise Platform Infrastructure

The incumbent vendor has deployed the technology infrastructure required to support the current Medicaid E&E Solution at the DR Fortress data center facilities in Honolulu. This

includes the development, testing, pre-production, production, training and disaster recovery environments.

At a high level, the services provided by the ESI include the following:

- Hosting, network and data center services
- Storage management
- Batch job control and scheduling

The ESI is responsible for maintaining and operating the current infrastructure and provisioning additional technology required to support the DHS Enterprise Platform and applications leveraging the shared common components of the DHS Enterprise Platform. This includes, at a minimum, the development, test, pre-production, production, disaster recovery and training environments. The ESI is responsible for ensuring the infrastructure meets the Federal Information Security Management Act, IRS 1075, HIPAA and other security and compliance regulations.

The ASI Vendor must leverage the production and DR managed hosting services provided by the ESI and is responsible for submitting requests/specifications for additional capacity to the technology infrastructure (e.g., procuring additional server capacity) to the ESI.

DHS reserves the right to, at some point 2 years after the commencement of this Contract, transition infrastructure management and operations activities from the ESI to the State.

3.4.8.3.1 Hosting, Data Center Services, and Network

The ESI will provide data center services to support the Solutions including the development, test, pre-production, production, training and disaster recovery environments. The hosting and data center services provided by the ESI include:

- Providing primary (Uptime Institute defined Tier III data center or higher) data centers for hosting of the production and disaster recovery environments
- Providing onsite contact personnel who have authorized access to rooms and racks for equipment for scheduled installation time, in accordance with security procedures
- Providing and installing all necessary power distribution boxes, conduits, grounding, surge, equipment racks, and lightning protection and associated hardware
- Providing Infrastructure as a Service capabilities (DHS will purchase the equipment) including:
 - Provisioning of virtualized server environments
 - Provisioning of servers and operating systems
 - Provisioning of storage on demand
 - Provisioning of server, network and storage with no single point of failure
 - Pre-configuring access to ISP and DHS / State WAN network demarcation points
 - Providing the capability to replicate data to the alternate data center
 - Providing the capability to recover the application and data at the remote data center with minimal manual involvement
 - Providing the capability to migrate an application from the disaster recovery data center back to the primary data center with minimal manual involvement

- Providing data center physical security to meet DHS security requirements
- Designing, developing, implementing and maintaining an effective, layered information security architecture to provide layered defense to meet DHS' security requirements. This includes, but is not limited to:
 - Firewalls (both perimeter and internal zone firewalls)
 - Data Center network zoning and VLAN design
 - VPN support
 - Encryption of critical data, both at rest and in transit
 - Security monitoring of all devices and network components
 - Intrusion detection and intrusion prevention
 - Monitoring of security alerts and installation of security patches
- Providing data center LAN / core network infrastructure and management
- Monitoring applications and servers for availability as well as transaction and response time performance
- Providing high availability redundant network circuits connecting the hosting facility (data center) to DHS' NGN network to meet network response time and high availability SLAs
- Providing the mechanism and process to ensure alignment with IT service management industry-accepted best practice principles such as ITIL, Control Objectives for Information and related Technology or similar standard principles
- Establishing WAN connectivity from the data center to the State / DHS WAN
- Adhering to the agreed Hosting Services Operational Level Agreements
- Perform System or component configuration changes necessary to support Remote Access (RA) services, monitor and report Remote Router intrusions attempts and maintain RA activity logs

DHS will purchase and own all hardware and Oracle software required for the ESI to provide network, hosting and data center services. The ESI may be responsible for purchasing any additional software licenses, with the exception of Oracle licenses.

DHS strongly prefers not to relocate the production environment and anticipates the ESI to establish a relationship with DR Fortress to continue hosting the production equipment. Additionally, DHS plans to move the existing disaster recovery equipment and environment to University of Hawaii's Data Center or to purchase and setup new DR equipment at University of Hawaii either prior to commencing this Contract or during the Contract. The optional deliverable to move or setup the new infrastructure is included in the Enterprise Platform Services Engagement SOW.

The Application DDI vendor(s) will be responsible for specifying the infrastructure they require to support their applications/DDI efforts and request additional services from the ESI.

3.4.8.3.2 Storage Management Approach

Storage management spans the technologies and processes used to maximize or improve the performance of DHS data storage and data storage networks and associated resources. The ESI will be responsible for providing these services.

3.4.8.3.3 Operating System, Application and Database Backup and Recovery Approach

From an Infrastructure perspective, the ESI's Managed Hosting team is to establish procedures for backup and recovery of the DHS Enterprise Platform and data which leverages the various backup and recovery facilities developed for the DHS Enterprise Platform including OS virtualization, SAN storage data replication, tape management, etc.

The ESI is expected to:

- Develop, test and implement the new Solution data backup/restore procedures in accordance with DHS' requirements; Note: Backup must include Solution parameters, user IDs, passwords, etc.
- Restore single/multiple objects from the application backup media
- Backup and restore complete/incremental application backup as required
- Roll forward from the archive logs after a restore (i.e., point in time recovery)
- Validate integrity and consistency of restored information

The ASI Vendor will collaborate with the ESI to develop, establish and document the recovery procedures and assist in the recovery process as required.

3.4.8.3.4 Batch - Job Control and Scheduling Approach

DHS recognizes the need for batch processing for mass updates, reconciliation, reporting, backup and recovery, etc. The ESI will provide:

- The ability to perform batch processing without significantly impacting on-line capability
- Monitoring of all batch processes for completion and error states

The ASI Vendor will be responsible for providing all information required by the ESI to schedule, execute and manage batch job execution and support the ESI if issues arise.

3.4.8.4 Approach to Managing Software/Applications

The ESI is responsible for maintaining and supporting all Enterprise Platform Software which will be shared between multiple Application DDI vendors (e.g., ASI Vendor, CCWIS Vendor). Additionally, the ESI will be responsible for maintaining and operating the Application Administration Services (those technical services which are built to support the IT operations of the DHS Enterprise Platform).

The ESI is responsible for providing Enterprise Platform Software (e.g., OPA Rules Engine, Seibel, Liferay Portal) to the ASI Vendor (and other Application DDI vendors). The ASI Vendor will be responsible for maintaining any configurations and customizations of the Enterprise Software that has, and will be, developed in support of end-users. The maintenance and enhancements of the Medicaid E&E Solution already implemented will be a part of the ASI Vendor's responsibilities as well as any functionality implemented as part of the Benefits Eligibility Solution Engagement.

The ESI is responsible for:

- Maintaining (e.g., patching) and enhancing the Enterprise Platform Software and maintaining global configurations
- Providing expertise to the Application DDI vendors

- Ensuring adequate Enterprise Platform Software capacity
- Ensuring the Enterprise Platform Software services meet all applicable security and compliance regulations
- Managing all software licenses for the Enterprise Platform Software

The ASI Vendor responsibilities for Application M&O services include, but are not limited to, the following areas:

- Maintaining and enhancing the configurations and customizations of the Enterprise Platform Software (e.g., OPA Rules Engine, Liferay Portal, etc.) and application functionality including:
 - Maintaining and enhancing the current Medicaid E&E Solution configuration and customizations
 - Maintaining and enhancing the configurations and customizations implemented as part of the Benefits Eligibility Solution (once the Project is completed and the Benefits Eligibility Solution is in production)
- Operating and maintaining any software packages which are implemented as part of the Benefits Eligibility Solution Engagement (if any)

3.4.8.4.1 System Operations and Administrations Requirements Approach

The ASI Vendor is expected to update and maintain the processes and procedures for the administration of the current Medicaid E&E Solution and the capabilities implemented as part of the Benefits Eligibility Solution Engagement including, but not limited to, configuration of privileges, changes to workflows and any changes to the software. The ESI will install any changes.

The ESI is also tasked to support and maintain any Application Administration Services (code/configurations of the middleware to enhance the effectiveness/efficiency of IT operations supporting the DHS Enterprise Platform). This includes the development of additional Application Administration Services.

3.4.8.4.2 Database Administration Services Approach

Database Administration Services are the activities associated with the operations of the database. This includes responsibility for managing data, including data set placement, database performance, and data recovery and integrity at a physical level. Key processes include defining, coordinating or providing and executing all database creation, configuration, upgrade, patches and refresh requirements, providing database storage management, database tuning, performing security services specific to database administration and opening, tracking and managing to resolution all database problems, including prompt database restores.

The ESI Managed Hosting team is responsible to perform all database administration tasks on the components/COTS already installed on the DHS Enterprise Platform. The ASI Vendor will perform all database administration tasks on the components that are installed/implemented as part of the Benefits Eligibility Solution and Medicaid E&E Solution.

3.4.8.4.3 Application Break-Fix Approach

DHS acceptance criteria require that the Solution will be free from defects, malicious software, “back doors”, performance issues, etc. These issues are required to be covered under warranty. However, there are other circumstances where the application may not function according to the

specification or expectation. The ASI Vendor must provide “break fix” as part of the Contract. This includes:

- Analysis, design and development of remedies for issues
- Perform unit testing of fixes
- Coordinate integration and Solution testing of fixes
- Coordinate migration of changes to production following the ESI’s change and release procedures

The ESI will consult and install any of these changes.

3.4.8.4.4 Enhancements Approach

As with any solution, DHS envisions enhancement and modifications will be required during the M&O phase.

The ESI (as part of their SI / MVI responsibilities) will track all of these requests and submit to DHS for prioritization and oversees the approval process to ensure the correct level of approval (e.g., Operations Committee or Executive Steering Committee) is received. The ESI (for enhancements to Enterprise Platform Software services and Application Administration Technical Services) and the ASI Vendor (for enhancements to end-user software application and components’ configurations and customizations changes) will be responsible for analyzing these changes and providing a cost estimate for performing those changes and should provide a formal mechanism and tools to estimate and communicate a fixed bid of all enhancements using experience based estimates, function points or a similar mechanism.

If DHS or the ASI Vendor determine infrastructure enhancements are required, they will submit a request for those modifications to the ESI.

The final cost will be negotiated based on rates proposed and agreed to in the respective cost template. DHS can then decide whether it wishes to move forward with the requested enhancements, which will be incorporated as a change order to the Contract. The ASI Vendor should provide a formal mechanism and tools to estimate and communicate estimates of all enhancements using function points or another industry recognized methodology or mechanism.

The ESI and ASI Vendor must provide the tools, processes and people to implement any modifications/enhancements and coordinate the scheduling of the development, testing and deployment of these changes with the ESI’s SI / MVI team. These smaller efforts will follow a similar approach to the approach outlined in the Implementation Approach section. The ASI and ESIs must also update documentation including design documents, training materials and testing scripts/automated regression tests with all changes resulting from the enhancement.

3.4.8.5 Operational Processes Approach

DHS expects all vendors to coordinate closely in supporting the DHS Enterprise Platform. Unless otherwise noted in the sub-sections below, DHS expects:

The ESI is responsible for:

- Coordinating all DHS Enterprise Platform operational processes including maintaining/updating the process and documentation and coordinating all activities required to perform the processes to ensure the SLRs are met

- Performing the tasks required to perform the processes related to the infrastructure and Enterprise Platform Software
- Staff the Level 1 Help Desk and provide the required tools
- Coordinate all security testing and ensure appropriate security controls have been implemented
- Monitor performance against define SLAs

The ASI Vendor will be responsible for:

- Performing the tasks required to perform the processes related to the application configurations and customizations
- Providing input into developing/updating the DHS Enterprise Platform operational processes

3.4.8.5.1 Capacity Management Requirements Approach

DHS plans to manage capacity in alignment with the ITIL Capacity Management process focused on proactive management of capacity and performance and providing critical support for many other processes, such as availability management, service level management, etc.

As the DHS Enterprise Platform will support multiple Divisions, capacity planning will be performed at the enterprise level — capturing the capacity requirements of all DHS Divisions using the DHS Enterprise Platform and ensuring the technology is available to support the projected capacity.

The ESI will consider three (3) core dimensions of capacity planning; 1) business capacity planning, 2) service capacity planning, and 3) IT component capacity planning.

- 1. Business Capacity Planning:** Ensures that the future business capacity requirements (e.g., desired program outcomes, anticipated number and type of Clients, etc.) are considered and understood; and that sufficient IT capacity to support the new Solution is planned and implemented within an appropriate time scale.
- 2. Service Capacity Planning:** Helps estimate the end-to-end performance, usage, workloads and resources of the Solution; and ensures that the performance of the Solution, as detailed in the capacity section of the technical requirements document, is monitored and measured and that the collected data is recorded, analyzed, and reported.
- 3. IT Component Capacity Planning:** Helps predict the performance, utilization, and capability of individual IT technology components; and ensures that all components within the required IT infrastructure with finite resources are monitored and measured and that the collected data can be recorded, analyzed, and reported.

The ESI is responsible for maintaining the Capacity Management process and ensuring the capacity plan takes into consideration all capacity demands on the DHS Enterprise Platform. The expectation is capacity monitoring will occur continuously and formal capacity planning will occur annually or bi-annually.

The ASI Vendor will be responsible for working with MQD and BESSD to understand its business capacity requirements/projections, convert them into service and resource capacity

requirements and provide them to the ESI who will assess the impact on the capacity requirements/projections for the Enterprise Platform Software and infrastructure services.

3.4.8.5.2 System Monitoring Approach

Monitoring performance focuses on tracking performance metrics most commonly related to response times. The monitoring of response times is a complex process, and technology can greatly ease this activity. The ESI is responsible to provide supporting technology for this that must include network and system monitoring, transaction monitoring, distributed agent monitoring systems, passive monitoring systems, etc. The ESI is responsible to propose monitoring policies, procedures and standards for the Solution including:

- Monitoring of buffers, database buffers, table space fragmentation, database space, unusual growth and propose a solution in case of alert
- Monitoring of System logs, update error, database corruption, jobs, and propose a solution in case of alert
- Monitoring of alert notification interface (e.g., Simple Mail Transfer Protocol, sendmail), and propose a solution in case of an alert
- Monitoring of transaction and trace logs, network event logs and traces, garbage collector, memory and CPU utilization, indexes, etc., and propose a solution in case of an alert
- Monitoring of middleware (e.g., workflows, in- and out-bound queues) and report to DHS according to agreed procedure
- Monitoring of end-to-end transaction response time to allow measurements against SLAs
- Monitoring of interfaces and batch and job scheduling

The ESI is responsible to manage the monitoring processes and ensure all vendors are proactively monitoring their components through access to the ESI's reports.

The ESI (for infrastructure, Enterprise Platform Software and Application Administration technical services) and the ASI Vendor (for configurations and customizations changes) will be responsible for defining the monitoring procedures, monitoring the components and software installed.

3.4.8.5.3 Performance and Availability Management Approach

DHS seeks 24x7 availability for the Solution for certain components. The 24x7 availability requirement is driven by web-based customer self-service capability ("do business any time").

The entire Solution must be designed to be operational in the State of Hawaii 24 hours per day (hours to be determined by DHS), 7 days per week, and 52 weeks per year. The centralized servers and resources and public facing web site will be designed to be operational 7 days per week and 24 hours per day. No single disruption is anticipated to last longer than 8 hours. The Solution as a whole will be available for use 99.5 percent of the time, which translates to no more than 44 hours of unscheduled downtime per year.

All pre-scheduled Solution downtime, unless otherwise agreed upon in advance by the State, will occur:

- For the Production systems with 24x7x365 requirements—all pre-scheduled maintenance shall be performed based on the State change management policy during maintenance window.
- For non-Production systems having non-24x7x365 requirements—pre-scheduled maintenance shall be performed based on the State change management policy outside working hours.

The Solution response time during normal operations must be one and a half (1.5) seconds or less for 80 percent of the transactions submitted. The maximum allowed response time is not to exceed three (3) seconds except for agreed upon exceptions. The Solution must ensure highest possible performance of write, indexing and read operations.

The ESI's SI / MVI team is responsible to manage the performance management processes and ensure all vendors are proactively managing their components to meet the SLRs and lead the efforts to implement any improvement plans, as required.

The ESI (for infrastructure, Enterprise Platform Software and Application Administration technical services) and the ASI Vendor (for configurations and customizations changes) are responsible for the availability and performance of their components of the system. They will measure the availability of their components and analyze performance issues to identify the root cause.

The ESI's SI / MVI team is responsible for the Solution's end-to-end performance and availability and ensuring the Solution provides end-users with the service levels envisioned in the SLAs. As such, DHS expects the ESI to establish OLAs with other vendors providing components of the end-to-end solution and monitor their performance.

3.4.8.5.4 Change and Release Management Approach

Change and release management activities include services required to appropriately manage and document (e.g., impact analysis, version control, library management, turnover management, build management, parallel development) changes to the application and any of the constituent components being developed. Change and release management also includes services required to appropriately manage and document changes to the underlying application development environment components. These include the following:

- **Library Management** —The classification, control, and storage of the physical components of the application
- **Version Control** —The maintenance, tracking, and auditing of modifications to an application's components over time, facilitating the restoration of an application to prior development stages
- **Turnover Management** —The automated promotion of software changes across different phases of the lifecycle (e.g., development, unit test, systems test, and production), including management of the approval process, production turnover, and software migration control

The ESI's SI / MVI team is responsible to maintain the DHS Enterprise Platform process to automate and control the change and release process. This change and release management process will control migration patterns (i.e., how a given set of code moves from one environment to another). The software configuration management process will control versioning, access controls, data quality, etc. for each environment.

The ESI (for infrastructure, Enterprise Platform Software and Application Administration technical services) and the ASI Vendor (for configurations and customizations changes) shall

integrate any of the changes/releases they request with the DHS Enterprise Platform operational processes, managed by the ESI's SI / MVI team.

3.4.8.5.5 Configuration Management Approach

Software configuration management includes the identification and maintenance of system software components and the relationships and dependencies among them. These activities include:

- Automatic capture and storage of its service -to -application, application-to-component and component-to-component relationships
- Maintenance of the history of those relationships and any transformation required to appropriately manage and document (e.g., source control, version control, profiles, security plans) configuration changes affecting the application and its processing environment

The ESI is responsible to maintain the configuration management processes and be responsible for managing (and ensuring the database is up to date) the DHS Enterprise Platform configuration management database. Additionally, the ESI will be responsible for ensuring configuration management captures all elements of the DHS Enterprise Platform (including additional vendors/DDI projects).

The ESI (for infrastructure, Enterprise Platform Software and Application Administration technical services) and the ASI Vendor (for configurations and customizations) shall ensure the DHS Enterprise Platform operational processes (managed by the ESI's SI / MVI team) are followed, resulting in an enterprise approach to the DHS Enterprise Platform.

3.4.8.5.6 Help Desk and Incident Management Requirements Approach

A Help Desk can serve as a single (or multiple) point of contact for users to gain assistance in troubleshooting, get answers to questions, and solve issues. Incident management is the process of minimizing the impact of an incident (an unplanned interruption to an IT service or a reduction in the quality of an IT service) to the business by getting service back to normal operations as quickly as possible.

DHS plans to have a DHS Enterprise Platform Help Desk which will be the single point of contact for all internal users with questions/issues. The Help Desk will triage the issues, resolve those which can be resolved and escalate those which cannot be resolved to the appropriate vendor who provides Level 2 support.

Similar to the current process, DHS (field offices, Call Centers, business representatives) will be the first point of contact for external users. The DHS users will contact the DHS Enterprise Platform Help Desk if they cannot resolve the customer's question.

All contact with the clients will be logged in a ticket tracking system to allow for effective tracking of the ticket through resolution and analysis to identify and fix the root cause.

The ESI is responsible for:

- Maintaining relevant documentation (e.g., Help Desk Manual, Incident Management processes)
- Managing and staffing the DHS Enterprise Platform help desk
- Providing ticket tracking tool and provide status updates on all open tickets to the end-users

- Providing support for the ticket tracking tool and associated documentation (e.g., training/user guides)
- Providing the tools, processes, and input into the knowledge repository
- Level 2 and 3 support for infrastructure, Enterprise Platform Software and Application Administration technical services in alignment with SLRs
- Providing reports to DHS capturing the help desk/incident management performance against the SLRs

The ASI Vendor will be responsible for:

- Assisting as needed with triage for Level 1
- Working closely with DHS and the ESI to provide a cohesive vertical help desk that provides a seamless help desk experience for users
- Maintaining processes and procedures to provide Level 2 and 3 support
- Level 2 and 3 support for items related to the configuration and customizations of the Medicaid E&E Solution and any deployed as part of the Project in alignment with the SLRs
- Logging status updates in the ticket tracking system

3.4.8.5.7 Problem Management and Root Cause Analysis Approach

Problem management is the process of identifying and resolving the root causes of incidents and thus to minimize the adverse impact of incidents caused by errors within the IT infrastructure and to prevent recurrence of incidents related to these errors.

DHS expects the ESI to perform problem management and root cause analysis including:

- Receiving and logging incidents classified as Problems from the Help Desk
- Categorizing and logging problems
- Determining problem analysis approach and resolution requirements
- Identifying problem characteristics and root cause
- Notifying DHS staff and 3rd party service providers as required
- Monitoring problems until permanent resolution
- Providing ongoing communication and reporting on the status of problem resolution
- Communicating resolution status and providing closure notification
- Providing analysis and trends of problems and reporting findings on a monthly basis
- Reviewing historical incidents and identifying recurring incidents with the same root cause

The ASI Vendor will be responsible for Problem Management and performing Root Cause Analysis on any problems related to any functionality and technology installed as part of the Project, ensuring the incidents can be resolved permanently.

The ESI is responsible for:

- Maintaining the DHS Enterprise Platform Problem Management process
- Ensuring all vendors perform the tasks as required

- Logging and categorizing all problems
- Analyzing the historical incidents and identifying recurring incidents to refer for root cause analysis
- Tracking and monitoring problems until a permanent resolution is implemented, specifically leading the cross-vendor effort during critical problems (when downtime is being experienced)
- Providing ongoing communications and reporting on problems
- Leading the effort to identify the root cause of the problem. It is critical that the ESI's team performing this task is independent of the team providing hosting and shared software components M&O and is providing non-biased assessments of the root cause

The ESI (for infrastructure, Enterprise Platform Software and Application Administration technical services) and the ASI Vendor (for configurations and customizations changes) will be responsible for:

- Performing root cause analysis on their respective technologies and assist other vendors in identifying the root cause
- Communicating status of the problem to the ESI and logging updates in the ticket tracking system
- Implementing fixes to the problems to minimize business impact in alignment with the SLRs

3.4.8.5.8 Disaster Recovery Requirements Approach

DHS anticipates the Vendors will coordinate to plan for a disaster, test failing-over to the disaster recovery environment and, in the event of a disaster, coordinate to recover at the disaster recovery site.

The ESI is responsible for:

- The overall disaster recovery planning, testing and maintaining the DR Plan to ensure RPO and RTOs are met
- Supporting and maintaining the infrastructure (including data center, network, storage and virtual servers) and ensuring adequate capacity
- Replicating the virtualized production environment to the DR environment
- Planning, scheduling and coordinating all DR tests (in compliance with DHS' policies)
- Recovering data and storage according to RTO requirements
- Restoring the DHS Enterprise Platform environment
- Leading the effort to remediate any recovery issues identified during DR testing
- Addressing any infrastructure or shared software components related recovery issues identified during DR testing
- Assisting the ASI Vendor in remediation of any application related recovery issues identified during DR testing

The ASI Vendor will be responsible for:

- Supporting the ESI in maintaining the DR Plan

- Participating/supporting the ESI in restoring the environment during DR tests and in the event of a disaster
- Restarting the application and testing functionality prior to releasing the Solution to users

3.4.8.5.9 User Account Management Approach

The ESI is responsible for maintaining the user account administration processes for the entire DHS Enterprise Platform. DHS will provide requests to add, remove and modify user permissions.

The ASI Vendor will be responsible for developing User Account Management procedures that conform to DHS' policies and monitoring the user account security and authorization configurations.

3.4.8.5.10 Security Administration Approach

DHS has considered the security challenges inherent with this type of Project. As security protocols and processes have largely been implemented as part of the Medicaid E&E Solution project, DHS will be able to leverage much of the security infrastructure going forward. As the DHS Enterprise Platform is shared, security will be an enterprise function, expanding the current processes to other entities. The security architecture can be described as a cohesive framework, identifying and describing the components used to satisfy a System's business requirements. It is a top-down framework capturing the interaction of security components and solutions within DHS to help guide practitioners in the development of security controls and related supporting technologies.

In addition to leveraging the security controls that have been implemented as part of the DHS Enterprise Platform, DHS fully intends to include security requirements in this RFP. DHS is committed to complying with FNS security requirements and the ESI and ASI Vendor must discuss its approach to meeting and maintaining these requirements in their Proposals.

The ESI is responsible for the DHS Enterprise Platform security and will ensure the DHS Enterprise Platform conforms to all applicable regulations and policies. This includes maintaining all required documents and facilitating audits as required.

The ESI (for infrastructure, Enterprise Platform Software and Application Administration technical services) and the ASI Vendor (for configurations and customizations) will collaborate, along with DHS/State representatives, to refine the security designs and plans (e.g., policies, standards and procedures) and will be responsible for ensuring that their respective functionality and technology will conform to the security plans.

3.4.8.5.11 Data Quality Approach

DHS will expect the ASI Vendor will assist them in maintaining high data quality within the system. DHS anticipates they will resolve data quality issues, however, DHS expects the ASI Vendor will identify data quality issues and establish an approach to continually improving data quality through improved business rules (e.g. validation checks).

3.4.8.6 Account Management and Quality Assurance Approach

Account Management refers to how vendors will work with DHS and coordinate both with the business units and the DHS Enterprise Program team to ensure quality services are delivered that address the key business needs. As the ESI will be providing cross vendor coordination, the expectation is they will almost work as an extension of the DHS Enterprise Platform PMO.

The ESI is responsible for:

- Proposing and providing account management structure, plan and procedures
- Maintaining and implementing account management structure, plans and procedures accordingly
- Coordinating with and reporting to the DHS PMO
- Providing required documentation/deliverables to DHS for approval including items such as status reports, deliverables and process documentation in a timely manner, allowing for adequate review time
- Providing service level reporting based on agreed upon SLRs

In addition, the ESI will develop and implement customer satisfaction programs for tracking the quality of service delivery and provide reporting (e.g., statistics, trends). This should include a survey to all stakeholder groups (e.g., internal and external end-users, executives, etc.) on a quarterly basis.

The ASI Vendor will be responsible for:

- Proposing and providing account management structure, plans and procedures
- Maintaining and implementing account management structure, plans and procedures accordingly
- Coordinating with and reporting to the DHS PMO
- Providing required documentation/deliverables to DHS for approval including items such as status reports, deliverables and process documentation in a timely manner, allowing for adequate review time
- Providing application service level reporting based on agreed upon SLRs
- Communicating with the business customers (MQD and BESSD) to understand their technical needs, strategy and upcoming changes

DHS plans to establish operations and service management quality assurance and control programs including assessing and documenting stakeholder expectations, perform Client Quality Management Assessment Reviews and communicating to stakeholders and monitoring progress against Client Quality Management Assessment action items. Both the ESI and ASI Vendor should expect to participate in these reviews and actively address any quality issues identified.

3.4.8.7 Maintenance and Operations Turn-Over Approach

Operations, maintenance and enhancement responsibilities must be transitioned to DHS or a successor service provider after the completion of the Contract, with or without extension terms, or upon request by DHS. Additionally, the State may desire to take ownership of some of the M&O activities (e.g., Help Desk, Management of the State Hub) prior to the completion of the Contract. M&O Turn-over includes the activities the ESI and ASI Vendor must perform to transition the services they are performing to a new organization (DHS or another service provider).

During the turn-over period, the ESI or ASI Vendor must ensure that DHS stakeholders, both internal and external, do not experience any adverse impact from the transfer of services. Nine (9) months prior to the end of the Contract term or upon request, the Vendors must develop and submit a comprehensive and agreed upon Turn-Over Plan that details the proposed schedule,

activities and resource requirements associated with the turn-over tasks identified. Six (6) months prior to the end of the scheduled transition, the Vendor(s) must implement DHS' approved Turn-Over Plan.

3.4.9 Additional Requirements and Information

3.4.9.1 Disclosure of Federal Tax Data

Vendors are hereby notified of the applicability of Publication 1075, Tax Information Security Guidelines for Federal, State and Local Agencies and Entities.

All Vendors are required to accept and comply with the Federal requirements stated below.

3.4.9.1.1 Performance

In performance of the Contract, Vendors agree to comply with and assume responsibility for compliance by their employees with the following requirements:

- (1) All work will be done under the supervision of the Vendors or the Vendors' employees.
- (2) Any return or return information made available in any format shall be used only for the purpose of carrying out the provisions of the Contract. Information contained in such material will be treated as confidential and will not be divulged or made known in any manner to any person except as may be necessary in the performance of the Contract. Disclosure to anyone other than an officer or employee of the Vendors will be prohibited.
- (3) All returns and return information will be accounted for upon receipt and properly stored before, during, and after processing. In addition, all related output will be given the same level of protection as required for the source material.
- (4) Vendors certify that the data processed during the performance of the Contract will be completely purged from all data storage components of their computer facility, and no output will be retained by Vendors at the time the work is completed. If immediate purging of all data storage components is not possible, Vendors certify that any IRS data remaining in any storage component will be safeguarded to prevent unauthorized disclosures.
- (5) Any spoilage or any intermediate hard copy printout that may result during the processing of IRS data will be given to the agency or his or her designee. When this is not possible, Vendors will be responsible for the destruction of the spoilage or any intermediate hard copy printouts, and will provide the agency or his or her designee with a statement containing the date of destruction, description of material destroyed, and the method used.
- (6) All computer systems receiving, processing, storing, or transmitting Federal tax information must meet the requirements defined in IRS Publication 1075. To meet functional and assurance requirements, the security features of the environment must provide for the managerial, operational, and technical controls. All security features must be available and activated to protect against unauthorized use of and access to Federal tax information.
- (7) No work involving Federal tax information furnished under the Contract will be subcontracted without prior written approval of the IRS.
- (8) Vendors will maintain a list of employees authorized access. Such list will be provided to the agency and, upon request, to the IRS reviewing office.

- (9) The agency will have the right to void the Contract if Vendors fail to provide the safeguards described above.

3.4.9.1.2 Criminal/Civil Sanctions:

- (1) Each officer or employee of any person to whom returns or return information is or may be disclosed will be notified in writing by such person that returns or return information disclosed to such officer or employee can be used only for a purpose and to the extent authorized herein, and that further disclosure of any such returns or return information for a purpose or to an extent unauthorized herein constitutes a felony punishable upon conviction by a fine of as much as \$5,000 or imprisonment for as long as 5 years, or both, together with the costs of prosecution. Such person shall also notify each such officer and employee that any such unauthorized further disclosure of returns or return information may also result in an award of civil damages against the officer or employee in an amount not less than \$1,000 with respect to each instance of unauthorized disclosure. These penalties are prescribed by IRC sections 7213 and 7431 and set forth at 26 CFR 301.6103(n)-1.
- (2) Each officer or employee of any person to whom returns or return information is or may be disclosed shall be notified in writing by such person that any return or return information made available in any format shall be used only for the purpose of carrying out the provisions of this Contract. Information contained in such material shall be treated as confidential and shall not be divulged or made known in any manner to any person except as may be necessary in the performance of the Contract. Inspection by or disclosure to anyone without an official need to know constitutes a criminal misdemeanor punishable upon conviction by a fine of as much as \$1,000 or imprisonment for as long as 1 year, or both, together with the costs of prosecution. Such person shall also notify each such officer and employee that any such unauthorized inspection or disclosure of returns or return information may also result in an award of civil damages against the officer or employee [United States for Federal employees] in an amount equal to the sum of the greater of \$1,000 for each act of unauthorized inspection or disclosure with respect to which such defendant is found liable or the sum of the actual damages sustained by the plaintiff as a result of such unauthorized inspection or disclosure plus in the case of a willful inspection or disclosure which is the result of gross negligence, punitive damages, plus the costs of the action. These penalties are prescribed by IRC section 7213A and 7431.
- (3) Additionally, it is incumbent upon the Vendor to inform its officers and employees of the penalties for improper disclosure imposed by the Privacy Act of 1974, 5 U.S.C. 552a. Specifically, 5 U.S.C. 552a(i)(1), which is made applicable to Vendors by 5 U.S.C. 552a(m)(1), provides that any officer or employee of a Vendor, who by virtue of his/her employment or official position, has possession of or access to agency records which contain individually identifiable information, the disclosure of which is prohibited by the Privacy Act or regulations established thereunder, and who knowing that disclosure of the specific material is prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than \$5,000.
- (4) Granting a Vendor access to FTI must be preceded by certifying that each individual understands the agency's security policy and procedures for safeguarding IRS information. Vendors must maintain their authorization to access FTI through annual recertification. The initial certification and recertification must be documented and placed in the agency's files for review. As part of the certification and at least annually

afterwards, Vendors should be advised of the provisions of IRC Sections 7431, 7213, and 7213A (see Exhibit 6, *IRC Sec. 7431 Civil Damages for Unauthorized Disclosure of Returns and Return Information and Exhibit 5, IRC Sec. 7213 Unauthorized Disclosure of Information*). The training provided before the initial certification and annually thereafter must also cover the incident response policy and procedure for reporting unauthorized disclosures and data breaches. (See Section 10) For both the initial certification and the annual certification, the Vendor should sign, either with ink or electronic signature, a confidentiality statement certifying their understanding of the security requirements.

3.4.9.1.3 Inspection

The IRS and the Agency shall have the right to send its officers and employees into the offices and plants of Vendors for inspection of the facilities and operations provided for the performance of any work under the Contract. On the basis of such inspection, specific measures may be required in cases where the Vendor is found to be noncompliant with Contract safeguards.

3.4.9.2 Third Party Service

In the event DHS contracts with a third-party to perform any service outside the scope of, or in addition to, the Contract, including services to augment or supplement the obligations of Vendors hereunder or that are dependent on the obligations of Vendors, Vendors shall cooperate with DHS and any such third-party to the extent reasonably required by the Contract Administrator, including by providing: (a) to the extent available, written requirements, standards, and policies for any systems so that the developments of such third-party may be operated or supported by Vendor; (b) assistance and support services to such third-party; and (c) to the extent permitted by the applicable third-party agreements, third-party access to the computer systems of Vendor.

3.4.9.3 New Technology

Vendors shall, at no additional cost to DHS: (a) be proactive in identifying opportunities to implement new technologies that will improve and support the System; (b) work together with DHS, to identify opportunities to implement new technology which may be advantageous with respect to the System; (c) maintain a level of currency, knowledge and technology that allows DHS to take advantage of technological advances with respect to the System; (d) meet with DHS periodically to inform DHS of any new technology or technology trends that Vendor is developing or is otherwise aware of that could reasonably be expected to have an impact on the System; and (e) provide DHS, upon receipt of DHS' prior written approval, with the benefit of any improvements made to the technology for the System.

3.4.9.4 Versions and New Releases

Vendors understand that DHS desires to implement the System using current releases of all deliverables and therefore, prior to commencement of testing and refinement of each deliverable, Vendors shall evaluate for inclusion and make a recommendation to DHS as to whether it is feasible to implement the current release or any major release of each deliverable, if different from the version currently included in the pre-testing version of the deliverable, and if so, what adjustment in the price will apply, if any. If the current release or any major release (a) is available in an actual production version (rather than as a beta or pilot version); (b) has proven to be stable and generally error-free in production; (c) provides new functionality within the scope; and (d) will not impair the overall robustness of the System or otherwise interfere

with the requirements, then Vendors shall recommend to DHS that such current release or any major release be implemented prior to the commencement of testing, subject to any mutually agreed upon terms regarding the schedule and price of such implementation if the originally agreed upon schedule and pricing are affected in any way. The Contract Administrator, in its discretion, shall make the final determination regarding whether or not to implement any such current release or any major release recommended by Vendors and Vendors shall abide by such determination.

DHS expects that the technology sought under this RFP will not become obsolete during the term of the Contract. In the event any technology reaches its end-of-service-life during the term of the Contract, Vendors will replace the affected technology with like functionally equivalent technology that is supported without additional cost to DHS. Notwithstanding the foregoing, in the event that Vendors are made aware of a planned obsolescence of any technology provided in connection with the System during the term of the Contract, Vendors will provide written notice thereof to the Contract Administrator.

3.4.9.5 Source Code

With respect to any Vendor Property, any source code related thereto shall be delivered to DHS within 30 days of the acceptance of the applicable deliverable under the Contract.

DHS must obtain access to both the object code and the source code version of any software owned by a third party and included in the System that is critical to DHS or its operations, or not widely commercially available, or that is not replaceable with a functionally equivalent alternative on terms commercially reasonable to DHS, whether by means of an escrow or otherwise, pursuant to terms that are reasonably satisfactory to DHS. With respect to third party software that is not widely commercially available and for which functionally equivalent alternatives are not available on commercially reasonable terms and prices, Vendor must use commercially reasonable efforts to enter into source code escrow agreements satisfactory to DHS that permit DHS access to the source code for such third party software. Critical third party software shall be identified in the approved Contract.

3.4.9.6 Maintenance/Support Services after the Warranty Period

The maintenance and support services, after the warranty period, must provide the following:

- (1) Fixing defects (except to the extent such defects are subject to Warranty Period and Obligations)
- (2) Application support and any miscellaneous effort not dedicated to a specific enhancement
- (3) Application testing in non-production environments
- (4) Triage and investigation of Incidents regardless of whether it may result in an enhancement in the future
- (5) Code fixes to resolve Incidents that stop or hold application processes
- (6) Problem reporting and tracking
- (7) Vendor shall provide on-line web support
- (8) Diagnosing and remedying defects, errors, and nonconformities and providing resolutions, and, to the extent expressly permitted by the Contract Administrator, workarounds, within the periods of time specified in writing

Maintenance and support must be provided for all defects reported by DHS or by any other of users or identified by Vendor itself. The maintenance and support must include a service level agreement which meets or exceeds the service level requirements specified in the RFP. In addition to the foregoing, each maintenance and support agreement for third-party software and hardware components must include error correction and maintenance releases, new versions, and new releases. The maintenance and support plan must include, in addition to the above, services for installation, configuration, and customization of new releases of third-party software and hardware components used.

Vendors shall provide Incident Management Services in the form of Level 2 and Level 3 Support. This includes supporting activities associated with restoring normal application operation as quickly as possible and minimizing the adverse impact on business operations so that the best possible levels of service quality and availability are maintained.

The primary activities of Incident Management include:

- (1) Incident classification and initial support
- (2) Incident investigation and diagnosis
- (3) Incident escalation
- (4) Incident resolution and recovery
- (5) Incident ownership, monitoring, tracking, and communication

Vendors shall provide problem management services to determine the root cause of incidents so that Vendors can initiate actions to improve or correct underlying problems within the application to prevent recurrence of incidents and associated adverse impacts.

Vendors shall provide reactive problem management services by diagnosing and solving problems in response to one or more incidents that have been reported through incident management and provide proactive problem management to identify and solve problems and known errors before incidents occur in the first place, including performing predictive analysis activities, where practical, to identify potential future problems, develop recommended mitigation plans, and implement approved corrective mitigation actions and processes. Vendors will also maintain, update and disseminate information about problems and the appropriate workarounds and resolutions, so that the number and impact of incidents occurring within the applications is reduced over time.

Vendors are also responsible for implementing resolutions to problem through the appropriate control procedures, especially change management and release management, as well as, coordinating problem management activities with the various teams within Vendor, DHS and third parties responsible for performing configuration management, availability management, capacity management, service continuity management, and service level management activities.

Vendors shall perform (a) preventative maintenance services to diagnose and correct latent Problems and other errors and in the applications; (b) adaptive maintenance services so that application performance is not affected by changes to interfacing applications, new applications or packages and technical environment changes; (c) perfective maintenance services to optimize performance of the applications, with particular focus on areas including: general performance tuning (e.g., to improve application response time), database performance tuning (e.g., storage space, query refinement), etc.

It is further understood that in the event any deliverables are discontinued, Vendors shall be

able to provide and shall make available maintenance and support for the last software release implemented by DHS for a minimum of five (5) years thereafter, with the same level of support as described in this section.

Vendors shall provide support necessary to assist DHS with installation of software upgrades, patches, enhancements, fixes, and customizations.

3.4.9.7 Warranty

Notwithstanding the expiration of the warranty period, Vendors shall, at no additional cost to DHS, be obligated to remedy all defects, errors, and nonconformities identified during the warranty period.

During the warranty period, Vendors will remedy all defects, errors, and nonconformities, and resolve any data corruption issues, without additional cost to DHS. This warranty must cover all components of the System, including all programs, screens, reports, subroutines, utilities, file structures, documentation, integration, conversions, or other items provided by Vendors or their subcontractors. This warranty will apply to the base package, plus any customized programs, screens, reports, subroutines, interfaces, conversions, utilities, file structures, documentation, or other items proposed and delivered by Vendors specifically for this procurement.

Vendors must obtain and maintain, for itself and for the benefit of DHS, warranty, support, and maintenance coverage for all third-party software and hardware sufficient to enable it to perform all services it is required to perform under the Contract.

Warranty coverage must also include enhancements, fixes, and upgrades provided as part of Vendors' standard license/maintenance agreement free of charge.

3.5 Benefits Eligibility Solution Engagement

Through this RFP, DHS is seeking to deploy the functionality needed to support the business functions for BESSD, utilizing the shared common components and services already deployed on the DHS Enterprise Platform, leading to the retirement of HAWI and HARI. Additionally, DHS is seeking to enhance the functionality of the Medicaid E&E Solution to further support the delivery of Medicaid benefits through MQD.

The ASI Vendor is responsible for designing, developing / configuring and implementing the proposed Benefits Eligibility Solution to support BESSD's business process as well as enhancing the current capabilities of the Medicaid E&E Solution. The successful ASI Vendor is also responsible for the maintenance and operations of the current Medicaid E&E Solution and the functionality, technology and documentation included in the Project throughout the duration of the M&O period.

The successful ASI Vendor is NOT responsible for acquiring and supporting the infrastructure on which the application will run or for any application(s) or components that it does not implement; the ESI will provide the infrastructure on which all applications and components will run, and M&O on shared software components that have already been installed on the DHS Enterprise Platform (i.e., not introduced by the ASI Vendor).

3.5.1 ASI Vendor Staffing

DHS understands that staffing of this Project and the M&O phase 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 ASI Vendor will bring to the Project, as well as what the ASI Vendor expects of

DHS. As staffing is constrained within DHS, consideration will be given to Proposals that can effectively use identified staff and do not require an unrealistic expectation of DHS staff.

Key Personnel expectations are divided in the sections below between Key Personnel and Key M&O Personnel, although they are generically referred to as Key Personnel throughout this SOW. The ASI Vendor should clearly describe the roles of each proposed staff in the phases they will be participating. If the ASI 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.

3.5.1.1 Key Personnel and Staffing Changes

The term "Key Personnel," for purposes of this Benefits Eligibility Solution Engagement, means ASI Vendor staff deemed as being both instrumental and essential to the ASI Vendor's satisfactory performance of all requirements contained in this SOW. ASI Vendor Key Personnel must be the primary team that delivers the Benefits Eligibility Solution being procured and provides M&O services. As these staff members are deemed critical to the success of this initiative, they must be full-time and dedicated solely to the DHS account (unless otherwise noted).

The ASI 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 ASI Vendor must ensure Key Personnel have, and maintain, relevant current license(s) and/or certification(s). The ASI 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 ASI 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 SOW.

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

The ASI 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 ASI 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 ASI 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 ASI 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 ASI Vendor shall provide an interim replacement for all Key Personnel, subject to approval by DHS.

3.5.1.2 Benefits Eligibility Solution Project Staffing

Staffing for the Benefits Eligibility Solution Project will include a mix of ASI Vendor, DHS and partner vendor staff (e.g., ESI, IV&V vendor), and each will have defined roles and responsibilities, the sum of which must provide a comprehensive capacity of required capabilities. The ASI Vendor must provide an understanding of the needs of the Project, and demonstrate how it will meet those needs through a mix of ASI Vendor, State and partner staff.

The ASI Vendor is committed to keeping staff turnover at a minimum for the duration of the project. The ASI Vendor shall provide a list of its staff, qualifications, and work experience at the beginning of the Engagement. The list shall be updated and shared with DHS whenever there are personnel changes. Replacements for staff shall have qualifications that meet or exceed those they replace. The ASI Vendor shall remove and replace personnel, if requested by DHS, within two (2) weeks of the request for removal.

3.5.1.2.1 ASI Vendor Project Team Roles and Responsibilities

The ASI Vendor will be responsible for leading the DDI of the Benefits Eligibility Solution that will support the BESSD programs and enhancement of the Medicaid E&E Solution that will support delivery of Medicaid benefits. The ASI Vendor must provide a team that meets the requirements and SOW in this RFP. This team will work collaboratively with the DHS team at all levels of the Project and will coordinate and integrate with other vendors supporting / enhancing the existing DHS Enterprise Platform. A high level summary of the roles and responsibilities the ASI Vendor will be responsible for include:

- **Project Management** – The ASI Vendor will develop and execute against (for the duration of the Project) a PMP and Project Schedule for the duration of the Project. This includes leading the project management processes for the duration of the Project, providing communications, and managing a smooth transition into M&O.
- **Environments Management** – Provide specifications for the required hardware and currently installed COTS software and manage any additional COTS software that are included within this Proposal.
- **Solution Design, Development & Customization** – The ASI Vendor will lead the entire design and development/customization effort with assistance from DHS SMEs. The ASI Vendor will facilitate requirements validation and design workshops, develop the architecture, complete the detailed design/specifications, configure and develop the Benefits Eligibility Solution, and produce the required documents.
- **Data Conversion and Management** – The ASI Vendor will lead data conversion efforts, define the data conversion plan, develop automated tools to automate the conversion of high volume data and lead the data conversion testing efforts (including providing tools for DHS users to use in validating the conversion).
- **Testing** – The ASI Vendor will lead the testing effort through all testing cycles, write the testing scripts and execute the test scripts until the Benefits Eligibility Solution is fully tested and ready for UAT, and provide the test reports to FNS for approval.
- **Training, Knowledge Management and Change Management** – The ASI Vendor will leverage its experiences and lead the efforts required to prepare the organization for implementation. This includes performing an assessment, developing the plans, developing the required training and user guide materials, and delivering the required trainings.
- **Roll-Out and Go-Live** – The ASI Vendor will manage the pilot and roll-out of the new Benefits Eligibility Solution including the technical deployment and a stabilization period after the Benefits Eligibility Solution is rolled out.
- **Warranty** – The ASI Vendor will provide warranty support for the functionality submitted.

3.5.1.2.1.1 ASI Vendor Key Personnel – DDI Project

The following table provides Key Personnel positions specific to the DDI of the Benefits Eligibility Solution and enhancement of the Medicaid E&E Solution, corresponding roles and responsibilities, and minimum qualifications for each. The ASI Vendor should identify a backup for each of the following Key Personnel: Project Manager, Functional Lead, and Technical Lead. The backups should be on the Project Team and familiar with the DHS and Project requirements.

Table 14. ASI Vendor Key Personnel Roles for the Benefits Eligibility Solution Project

Title	Roles and Responsibilities	Qualifications
Engagement Director / Executive	<ul style="list-style-type: none"> ■ Serves as the primary point of contact with DHS leadership, governance bodies and other State Executive Sponsors for activities related to contract administration, overall project management and scheduling, correspondence between DHS and the ASI Vendor, dispute resolution, and status reporting to DHS for the duration of the Contract ■ Is authorized to commit the resources of the ASI Vendor in matters pertaining to the implementation performance of the Contract ■ Is responsible for addressing any issues that cannot be resolved with the ASI Vendor’s Project Manager ■ Is responsible for all subcontractor relationships 	<ul style="list-style-type: none"> ■ Minimum of five (5) years direct project oversight and authority over projects in excess of 10 million dollars ■ Special consideration will be given to those who have previously managed integrated eligibility accounts that have included both DDI and operations <p><i>(does not need to be dedicated 100% to the Project)</i></p>
Project Manager	<ul style="list-style-type: none"> ■ Provides onsite management of the Project and is the chief liaison for DHS during the Project ■ Is authorized to make day-to-day Project decisions ■ Is responsible for facilitating the Project by using the project management processes, organizing the Project, and managing the team work activities consistent with the approved work plan ■ Is responsible for scheduling and reporting Project activities, coordinating use of personnel resources, identifying risks and issues and solving problems, and facilitating implementation of the System ■ Hosts bi-weekly onsite status meetings, monthly milestone meetings, as well as interim meetings ■ Assigns ASI Vendor staff to the above meetings as appropriate 	<ul style="list-style-type: none"> ■ Current Project Management Professional certification from the Project Management Institute (PMI), or equivalent ■ A total of five (5) years of demonstrated experience in: <ul style="list-style-type: none"> □ Project Management of a project that encompassed the full system development life cycle from initiation through post implementation within a Health and Human Services (HHS) Agency in a State or other US territory; and/or □ Account management for a government or private sector health care payer, including a minimum of three (3) years of eligibility systems experience in a state similar in scope and size to Hawaii

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	<ul style="list-style-type: none"> ■ Develops and distributes an agenda and minutes for each meeting ■ Provides expert guidance ensuring that policies, business rules, and requirements as defined by DHS are correctly implemented in the Benefits Eligibility Solution ■ Advises DHS regarding best practices and recommends modifications to business processes, which improve the overall operations ■ Develops and maintains thorough project planning documentation that includes, but is not limited to, Project Management Plan and fully resourced Project schedule ■ Immediately notifies DHS Project Manager on any deviation from agreed upon scope, schedule, budget, or level of quality 	<ul style="list-style-type: none"> ■ Preference given to candidates with experience managing eligibility and benefits management projects
Integration Manager/ Functional Lead	<ul style="list-style-type: none"> ■ Is responsible for leading the team who configures and develops the Benefits Eligibility Solution ■ Is familiar with the functional design of all of the components, has a solution-wide view and ensures each component/module work together to address the functional requirements and Use Cases ■ Ensures the configured solution addresses all of the functional requirements ■ Provides the methodology/approach to building the solution 	<ul style="list-style-type: none"> ■ Five (5) years of experience leading the implementation of enterprise solutions on similar technologies ■ Five (5) years of experience implementing solutions of similar functional scope ■ Preference will be given to candidates with implementation experience with the COTS software being implemented
Systems Architect/ Technical Lead	<ul style="list-style-type: none"> ■ Is responsible for the technical aspects of the Project and Benefits Eligibility Solution ■ Drives the solution architecture and mapping of required functionality to minimize the need for custom development ■ Establishes documentation and coding standards for the Project team and ensures the team adheres to the standards 	<ul style="list-style-type: none"> ■ Five (5) years of demonstrated experience as an architect for an enterprise solution ■ Five (5) years of experience implementing the COTS based solutions being deployed as part of DHS' solution
Security Expert	<ul style="list-style-type: none"> ■ Architects all elements of the Benefits Eligibility Solution's security ■ Oversees the development of all security documentation ■ Ensures the Benefits Eligibility Solution meets all applicable security regulations 	<ul style="list-style-type: none"> ■ CISSP or similar security certification ■ Five (5) years of experience implementing security in enterprise solutions <p>Preference will be given to candidates with security experience with the COTS software being implemented in similar</p>

		businesses <i>(does not need to be dedicated 100% to the Project)</i>
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3.5.1.2.1.2 Additional ASI Vendor Staff Roles

DHS expects the ASI Vendor to propose a staffing model with the skill sets required to complete the Benefits Eligibility Solution Project on schedule. The following non-exhaustive list provides a guideline for potential ASI Vendor staff roles the ASI Vendor may propose to support the Project. The ASI Vendor should carefully consider the full scope of staff and propose an effective team that will deliver the Benefits Eligibility Solution Project as requested.

- Associate Project Manager
- Hardware / Infrastructure Lead
- Business Analyst / Functional Lead
- Database Administrator
- Database Designer
- Programmers
- Reporting Specialist
- Security System Engineer
- Data Conversion Lead
- Quality Assurance Manager
- Systems Administrator
- Technical Writer
- Test Lead / Manager
- Testers
- Change Management Lead
- Training Lead / Manager
- Training Materials Developer
- Trainers
- Reference Analyst
- Data Entry Specialist

3.5.1.3 Maintenance and Operations Staffing

As the Medicaid E&E Solution has already completed its primary DDI activities and is actively in the M&O phase, the ASI Vendor must provide M&O resources at the onset of the Contract. Once the Benefits Eligibility Solution has been implemented and is stable, the ASI Vendor will need to expand the team to support it. The ASI Vendor's M&O team will be tasked with:

- Maintaining and operating the software (including any COTS which are implemented as part of the Benefits Eligibility Solution Project)
- Providing Level 2 and Level 3 support for the Solutions
- Enhancing the Solutions

- Integrating with DHS operational processes (performed by the ESI that will manage the DHS Enterprise Platform and provide hosting services)

The ESI will provide Level 1 help desk support (which may migrate to DHS during the term of the Contract), maintenance and operations on the current DHS Enterprise Platform, and will coordinate the execution of the operational processes (e.g., change management).

The ASI Vendor’s M&O team will have an ongoing on-site presence with a core team of resources dedicated to supporting the Solutions. The ASI Vendor must ensure that the staffing levels of its M&O team is commensurate with the level of support required, aligned to the respective phase of the Medicaid E&E Solution and Benefits Eligibility Solution. The ASI Vendor must ensure adequate continuity between the Benefits Eligibility Solution Project and the M&O teams while developing the support plan. The ASI Vendor’s M&O team must also have the capability to add staff with deep knowledge of the technology being implemented so major enhancements / upgrades can be completed in a timely manner.

3.5.1.3.1 ASI Vendor Key Personnel - Maintenance and Operations

Key Personnel are to be full-time and dedicated solely to the DHS account (unless otherwise noted in the following table) DHS expects these key resources to be members of the Benefits Eligibility Solution Project team to ensure continuity. The ASI Vendor must ensure Key Personnel have, and maintain, relevant current license(s) and/or certification(s). The ASI Vendor can provide alternative solutions though any changes must be approved by DHS.

The ASI Vendor is committed to keeping staff turnover at a minimum for the duration of the Project. The ASI Vendor shall provide a list of its staff, their qualifications, and work experience at the beginning of the Project. The list shall be updated and shared with the DHS whenever there are personnel changes. Replacements for staff shall have qualifications that meet or exceed those they replace. The ASI Vendor shall remove and replace personnel, if requested by DHS, within two (2) weeks of the request for removal.

The following table provides Key Personnel positions for the M&O team, corresponding roles and responsibilities for the Benefits Eligibility Solution M&O, and minimum qualifications for each.

Table 15. ASI Vendor Key Personnel Roles for the Benefits Eligibility Solution M&O

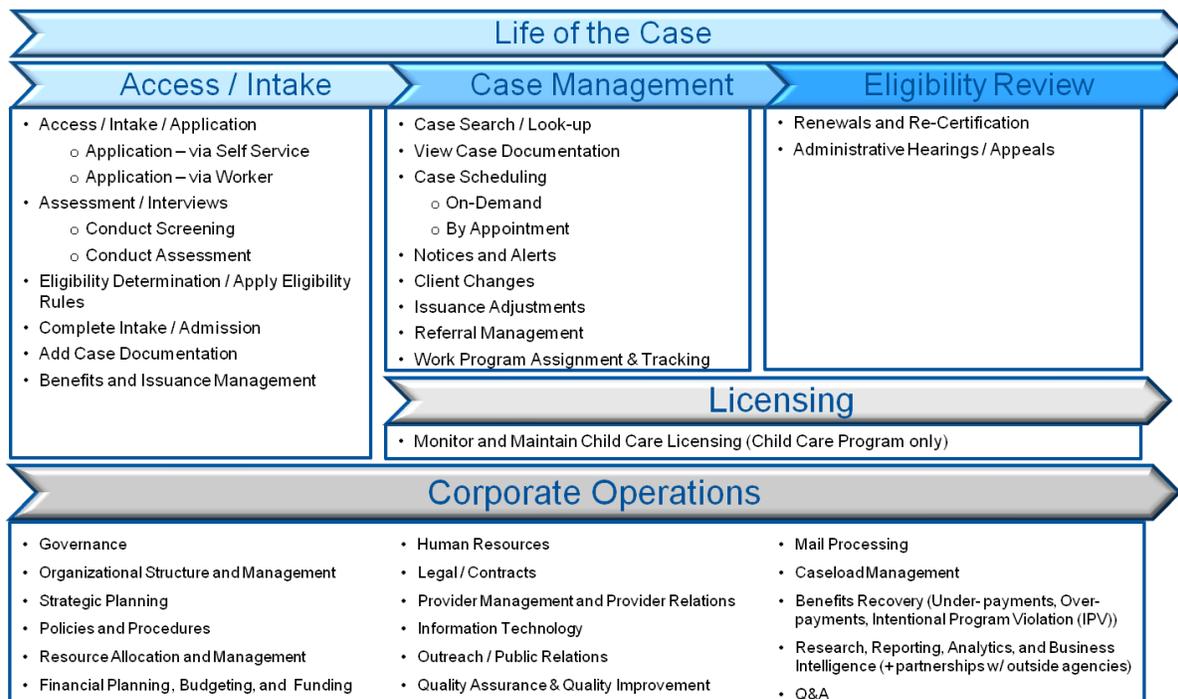
Title	Roles and Responsibilities	Expected Qualifications
Engagement Director / Executive	<ul style="list-style-type: none"> ■ Serves as the primary point of contact with DHS leadership, governance bodies and other State Executive Sponsors for activities related to contract administration, overall project management and scheduling, correspondence between DHS and the ASI Vendor, dispute resolution, and status reporting to DHS for the duration of the Contract ■ Is authorized to commit the resources of the ASI Vendor in matters pertaining to the performance of the Contract ■ Is responsible for addressing any issues that cannot be resolved with the ASI Vendor’s Project Manager 	<ul style="list-style-type: none"> ■ Minimum of five (5) years direct project oversight and authority over ongoing relationships with clients where its firm has implemented enterprise solutions ■ Previously managed ongoing M&O for a HHS account <i>(does not need to be dedicated 100% to the account)</i>

	<ul style="list-style-type: none"> ■ Is responsible for all subcontractor relationships 	
Engagement Manager / Operations Manager	<ul style="list-style-type: none"> ■ Serves as a liaison with DHS and ESI during the M&O phase ■ Is available and responsive to State requests for consultation and assistance ■ Is responsible for establishing and maintaining a positive client relationship ■ Provides timely and informed responses to operational and administrative inquiries that arise ■ Manages staff assigned to all day-to-day M&O activities ■ Plays an active role in day-to-day management of the Account so as to be knowledgeable and aware of all issues, concerns and requirements ■ Meets with DHS staff or such other person DHS may designate on a regular basis to provide oral and written status reports and other information as required ■ Manages the relationships with subcontractors and partner vendors 	<ul style="list-style-type: none"> ■ Five (5) years managing a M&O team for an enterprise solution within a public sector client
Technical Lead	<ul style="list-style-type: none"> ■ Provides detailed applications knowledge in support of complex application issues/incidents ■ Reviews all potential changes (e.g. configuration, warranty fixes, enhancements) to the Solutions from a technical perspective and provides technical design/assessments ■ Is available to the Project team for consultation on future enhancements (e.g. changes to achieve strategic objectives, implement a new program) 	<ul style="list-style-type: none"> ■ Five (5) years of experience architecting/designing enterprise solutions ■ Two (2) years of experience with the COTS software being proposed
Security Expert	<ul style="list-style-type: none"> ■ Architects all changes to the Solution's security ■ Maintains all security documentation ■ Ensures Solutions meet all applicable security regulations 	<ul style="list-style-type: none"> ■ CISSP or similar security certification ■ Five (5) years of experience implementing security in enterprise solutions <p>Preference will be given to candidates with security experience with the COTS software being implemented in similar businesses <i>(does not need to be dedicated to the account)</i></p>

3.5.2 Benefits Eligibility Solution Engagement Overview

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 BESSD business functions that need to be deployed 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 System. A conceptualization of this is shown in the following figure.

Figure 22. 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 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 this Project will support multiple Divisions within DHS, including MQD, 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 this Project excludes end-user and case management support for the FTW, E&T, and Child Care programs. However, this 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).

Also, the scope of this SOW excludes the provisioning of infrastructure including hosting, network, servers and COTS software (that is already installed as part of DHS Enterprise Platform which is outlined in Section 3.3 Current Environment) though the ASI Vendor is required to detail the infrastructure DHS must procure for the Project. The requested infrastructure will be provided to the ASI Vendor by the ESI. Additionally, the ESI will support the middleware components already implemented as part of DHS Enterprise Platform and will enhance these if needed to support the required functionality. If the ASI Vendor includes any additional COTS software components to meet BESSD's and MQD's functional requirements, the ASI Vendor shall include tasks and costs for procuring and supporting those components in its Proposal.

DHS envisions the DHS Enterprise Platform will expand as they realize the Agency of One vision in its entirety and fully deliver services in a client centric approach. The ASI Vendor should be prepared to support (and the solution designed to support) additional capabilities in the future such as consent management, referral management, secure messaging and integrated client search.

3.5.2.1 Solution Functional Scope

DHS used a rigorous and disciplined process to complete a comprehensive BPA that documents the target, "to-be" state of BESSD business processes. The BPA details a "to-be" state that would fulfill all business requirements, enhance the Client experience, improve operational effectiveness and efficiency, align with DHS' and BESSD's model of practice and, most importantly, enable all of DHS to fulfill its vision.

The BPA includes a comprehensive set of detailed "to-be" business process diagrams (i.e. Workflows) and functional use cases that describe the roles and activities of the Benefits Eligibility Solution users and the functionality that is to be provided by the envisioned Solution. The BPA provides the precursor work essential for developing the functional requirements for the Solution. The BPA includes further discussion of the methodology used to develop the Functional Requirements and is included in the Procurement Library.

DHS has identified Functional Requirements for the Benefits Eligibility Solution in the following functional areas. Each of these Functional Requirements have been mapped to the Use Cases

to which they are related. The Functional Requirements also encompass the enhancements required for the Medicaid E&E Solution. DHS expects the ASI Vendor to leverage functionality already implemented where possible/feasible. If a Functional Requirement applies to both MQD and BESSD DHS expects the ASI Vendor will implement in such a manner that it addresses the needs of both Divisions. Each of the following sections is to be discussed by the ASI Vendor in Template T-6 – Functional Requirements and Template T-7 – Functional Requirements Approach.

- **General Requirements (User Interface, User Account Management, Client Search and Validation Checks)** –The Benefits Eligibility Solution must provide a level of consistency across functional areas such that the Benefits Eligibility Solution looks and feels the same throughout, and that users in each functional area have the same access to information in the same manner, as appropriate for their roles.
- **Pre-screening** –The capability for a Client to easily and anonymously enter information on-line and receive guidance regarding their potential eligibility. This should support all programs supported by BESSD and provide further guidance regarding their potential Medicaid eligibility.
- **Application Intake** – The capability to receive initial applications from Clients, perform a validation on key information and confirm they are complete prior to performing the interview. This includes receiving applications submitted on-line, fax, email and paper. This application is a single application for all programs administered by BESSD, tailored to the programs of the Client’s choosing. Applications submitted on-line must also be able to capture the information required for Medicaid eligibility determination.
- **Re-Determination Intake** – Similar to the application intake, however, these requirements capture the capability to process ongoing re-determination applications. Based on the programs for which Clients qualify, Clients must submit reports every six (6), twelve (12), or twenty-four (24) months. These reports cover all programs (e.g. TANF, SNAP, GA) and can be submitted on-line, fax, email and paper.
- **Interview and Referral Management** – The capability to support interviews and referrals. Because Eligibility Workers interview all Clients in person or on the phone, the Benefits Eligibility Solution must support the Eligibility Worker entering the data while performing the interview and allow the Eligibility Worker to schedule the Client for follow-on appointments/referrals (e.g. medical referrals, scheduling FTW orientations and referrals to other programs) prior to completing the interview process (i.e. enable a multi-step process with dependencies).
- **Eligibility Determination** – The Benefits Eligibility Solution must support determining and communicating a Client’s eligibility, including capabilities such as rule-based eligibility determination, multi-program intricacies, audits, overrides, etc.
- **Enrollment and EBT Card Issuance** – The specific capabilities to manage the EBT card inventory, issue the Client an EBT card and activate the card with the EBT Vendor.
- **Ongoing Client Management** – The capabilities to support identifying changes to Client information, receiving changes submitted by the Clients (on-line, fax, email and paper) and prepare to make adjustments to the benefits received.
- **LIHEAP** – Capability specific to LIHEAP. As LIHEAP primarily supports an annual application process that is different than most others, these requirements have been detailed separately. All capabilities provided in this heading should be available to other programs as needed.

- **Benefits Issuance and Financial Management** – The capability to identify and issue benefits and track all payments made to Clients. This includes interfacing with the State of Hawaii’s accounting system for generation and tracking of all payments made to all Clients for all programs.
- **Manage Overpayments** – The capability to establish cases for overpayments, establish recoupment objectives and methods, track progress (balances) against these plans, and facilitate collection of all payments made against this plan. This includes the capability to receive checks and electronic payments.
- **Workflow Management, Documentation and Mail Processing** – The capabilities to support Eligibility Workers to manage the business programs. Workflow Management provides the capability to monitor cases and workload throughout BESSD. Documentation Processing provides the capability to digitize all paper documents received and Mail Processing captures the capabilities to print Client documentation, primarily sending information to the State of Hawaii (who will perform the bulk printing) and accepting incoming mail.
- **Appeals, Quality Control and Random Moment Time Sampling** – The capabilities to support business processes performed Department-wide. DHS performs the Appeals, QC and RMTS processes for BESSD, Med-QUEST and SSD.
- **Rules Management** - Rules Management allows BESSD users to manage the rules used throughout the eligibility determination process.
- **Reporting and Business Intelligence** – The capability to manage, analyze, query and generate reports from the data captured by the Benefits Eligibility Solution.
- **Enabling Requirements (Alerts and Notifications)** – These include back-end capabilities that support and enable the end-user functionality outlined above.

The ASI Vendor is required to understand and provide the most effective and efficient approach to meeting each Functional Requirement for the requested Benefits Eligibility Solution Engagement.

3.5.2.2 System Technical Requirements

DHS has developed and documented a set of Technical Requirements for the Benefits Eligibility Solution Engagement. These Technical Requirements are independent of any particular service provider’s solution type and are intended to better align the ASI Vendor’s Proposal with the overall DHS vision for integrated human services and the enterprise technology infrastructure being deployed.

The ASI Vendor must respond to the Technical Requirements and its approach to meeting them in Template T-8 – Technical Requirements and Template T-9 – Technical Requirements Approach.

The Technical Requirements are organized under the following categories:

- (i) **General System Behavior Requirements:** Requirements that are identified for each individual business activity and apply to a wide variety of such activities (e.g., performance, usability, etc.).
 - G1. Usability – These capture the capabilities required to support users efficiently and effectively interacting with the Solution.

- G2. Audit / Compliance – These requirements capture the capabilities Solution must have to track activities that occur within the Solution in support of audit and compliance activities.
 - G3. Performance – These capture specific requirements related to the performance of the Solution.
 - G4. Interface List – This is a list of interfaces that need to be developed to support the Solution functionality.
- (ii) **Technology Requirements:** Requirements that drive how the Solution should be designed and built in a way that provides for long-term use and reuse and related standards (e.g., enterprise architecture standards, interface standards, etc.).
- T1. Interoperability / Interfaces –These capture the capabilities required to build a Solution with the foundation to support interfacing/interoperating with external systems now and in the future.
 - T2. Scalability and Extensibility – These requirements capture the scalability and extensibility the Solution must provide to address DHS’ current and future needs.
 - T3. Regulatory and Security – These capture the capabilities required of the Solution in support of security and meeting applicable regulations.
 - T4. Solution Administration – These capture the capabilities required to administer the Solution, primarily focused on administering the data required by the Solution.
 - T5. Solution Management – These capture the technical capabilities the Solution must provide to support the maintenance and operations function.
 - T6. Enterprise Platform Alignment – This tab captures the State’s expectations regarding the reuse of components currently on the DHS Enterprise Platform.

3.5.3 Benefits Eligibility Solution Engagement Scope of Work

This section captures DHS’ expectations regarding the tasks and deliverables for the Benefits Eligibility Solution Engagement. ASI Vendors’ Proposals should align with these guidelines and any deviation should be addressed in their Proposals. The Response Templates allow the ASI Vendor to more fully detail its Proposal in each of these areas.

The following sections capture the activities DHS expects the ASI Vendor to perform and the resulting deliverables during the Benefits Eligibility Solution Engagement.

3.5.3.1 Benefits Eligibility Solution Implementation Overview

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 Benefits Eligibility Solution Project to show continued success by the ASI 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

DHS encourages the ASI Vendor to use industry best practices for project management and describe its recommended approach within the response templates. The Contract shall provide that the ASI Vendor shall not be paid until DHS has reviewed and approved each deliverable.

At a minimum, the following deliverables (or equivalent) must be created by the ASI Vendor during the Benefits Eligibility Solution Project. The ASI Vendor may propose additional deliverables as needed to achieve Project goals.

Table 16. List of Benefits Eligibility Solution Project Deliverables

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	Once for the initial release and updated for subsequent releases
	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	Once
	BI-13	Security Plan	Once
	BI-14	Technical Design Document	Once for the initial release and updated for subsequent releases
	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 Testing	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
	BI-23	Stakeholder Analysis Report	Once

Task	#	Deliverable	Frequency
Task 6 - Manage Organizational Change, Training and Knowledge Transfer	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

DHS anticipates other work products will be produced during the Project, however these will not be subject to the formal approval process. These deliverables are defined in the SOW.

3.5.3.2 Benefits Eligibility Solution Implementation Detailed Scope of Work

The following sections define the implementation services/tasks that the ASI Vendor must perform and the warranty services that are required to implement the Benefits Eligibility Solution.

The services are applicable to the scope information provided earlier in this document regarding the Functional and Technical Requirements and the proposed Solution architecture. The ASI Vendor must provide appropriate labor rates, hours and costs for its portion of the services, as specified in the Cost Proposal. The ASI Vendor may propose additional deliverables but must justify any deviations.

3.5.3.2.1 Task 1: Manage the Project

Project Planning

The ASI Vendor must perform the activities required to manage and lead the Project and the team through the entire Project lifecycle. During the initiation phase, the ASI Vendor will establish the processes and tools required to manage and control the Project. This includes facilitating a Kick-Off Presentation, preparing on-boarding materials for team members (DHS and ASI Vendor), producing a PMP and a Project Schedule.

All of the activities in this Task (and in all tasks) must align with, and coordinate with, activities that occur in other projects through the framework of the DHS Enterprise Program, described elsewhere in this RFP.

The ASI Vendor must develop and maintain a Project Information Library (PIL) that will be overseen by the Project Management Team in a single repository used to store, organize, track, control and disseminate all information and items produced by, and delivered to, the Project.

The PIL must include a file structure with defined access and permissions. It must also include an interface, such as a web page or portal, where individuals can view / manage Project information, the latest documentation, and input issues or comments to the Project team.

The PMP will include:

- **Scope Management Plan** —Outlines the processes required to ensure the Benefits Eligibility Solution and the Project meet all of the requirements outlined in the RFP and how deviations will be tracked and managed.
- **Schedule Management Plan** – Captures how the Project Schedule will be monitored for variances, what types of corrective actions will be taken to address schedule variances during the life of the Project and the process, roles, and responsibilities involved in making changes to the Project Schedule.
- **Project Change Management Plan** – How changes to the scope, schedule and budget are tracked, reviewed and approved.
- **Risk and Issues Management Plan** — Development of a Risk Management Plan is required. The ASI Vendor, with the support of State team members, must submit a baseline Risk Assessment to DHS' Project Manager within one (1) month of the project initiation.
- **Quality Management Plan** — Defines the Project approach to ensuring quality throughout the entire Project lifecycle.
- **Budget / Cost Management Plan** – Defines how the project management team will track all financial aspects of the Project.
- **Human Resource Management Plan** — Captures the projected resources required and the processes for identifying, qualifying and onboarding new team members, and removing a team member.
- **Acceptance/Contract Management** – Captures the processes, templates and roles and responsibilities for accepting deliverables.
- **Project Communication Management Plan** —Details the varying levels and needs of the Project's stakeholders for information regarding the project, status, accomplishments, impact on stakeholders, etc. and defines the communications vehicles.
- **Closure Approach** — Captures the activities the ASI Vendor will perform to formally close a release and the entire Project.

Each of the constituent plans must include a description of how the ASI Vendor will work with other vendors, and specifically the ESI, as described throughout this RFP. These descriptions must be created in cooperation with the ESI and must be updated through the Project and M&O periods as needed to reflect changes in the vendors and vendor relationships.

The ASI Vendor will develop a fully resource-loaded Project Schedule including both DHS resources and ASI Vendor resources broken into tasks no longer than 1 week in duration and 120 hours of effort. The Schedule, in coordination with DHS and partner vendors, must be integrated into a DHS Enterprise Program Schedule that will capture all development activities being performed on the DHS Enterprise Platform.

Prior to commencing requirements validation activities, the ASI Vendor will document its approach for software design, development and implementation, which captures the Project approach that will ensure the Benefits Eligibility Solution Project will meet all of DHS'

requirements. This will need to align with the Project schedule and be based on the materials captured in this RFP. To develop this document, the ASI Vendor will need to:

- Gain a deep understanding of the business processes and the functionality that the Benefits Eligibility Solution Project will provide
- Establish the guiding principles for the Project (e.g., minimize custom development)
- Update the DDI (SDLC) approach outlined in the RFP, if required. This includes an overview of the different SDLC phases and how this Project will approach the different phases
- Assess the end-user needs and DHS culture and finalize the methodology and tools that will be used to analyze and validate requirements (including interviews, workflow analysis, Joint Application Development (JAD) sessions, mock-ups, Usability Studies, etc.)
- Establish a requirements traceability plan to ensure all requirements are met including a process for tracking, updating and managing changes to the requirements traceability matrix throughout the lifecycle of the Project (including mapping requirements to design documents and test cases)
- Establish the mechanisms for managing the configurations and custom code through development
- Work with DHS to define how technical decisions will be made to ensure the Benefits Eligibility Solution Project aligns with the DHS Enterprise Platform
- Establish the ASI Vendor's internal processes to ensure the design is an integrated coherent Benefits Eligibility Solution (e.g., internal design reviews)
- Establish the approach to developing technical standards and confirming conformance to the standards
- Establish the strategy to ensure all requirements are met, while maximizing the use of COTS software to support the requirements and approval processes required to make changes (e.g., changes to business processes or migrating the Solution from COTS to custom)
- Work with DHS to define how DHS staff will work with the ASI Vendor's team for the duration of the Project
- Define the scope of the Project Releases and how overlap between releases (from a technical and project perspective) will be managed
- Establish which technical components will be deployed and source systems will be integrated with by release
- Identify major technical challenges the ASI Vendor must overcome to implement the Benefits Eligibility Solution
- Define the tools to be used to manage the DDI process (e.g. requirements repository, document repository)

Project Monitoring

The ASI Vendor Project Management Team will execute the processes outlined in the PMP for the duration of the Project to effectively control and manage the Project. As this project is part of the DHS Enterprise Program the ASI Vendor must coordinate with the ESI's SI / MVI team and DHS' PMO.

The ASI Vendor will maintain and update applicable portions of the Project Schedule no less than bi-weekly to reflect the current status of the Project against the Baseline Project Schedule.

The ASI Vendor will track and report the Project status on an ongoing basis. It will facilitate regularly scheduled status meetings between the DHS Project Management Team and the ASI Vendor Project Management team to discuss Project progress, issues, resolutions and next steps. The following standard reporting mechanisms will be used:

- Status reports
- Issues lists
- Risk management updates

As needed, the ASI Vendor will update previously approved deliverables to ensure they reflect the Benefits Eligibility Solution that has been implemented and the Medicaid E&E Solution that has been enhanced.

If DHS requests the Project scope to be changed, the ASI Vendor will analyze the request and provide estimated timelines and costs / savings for the change and will update all impacted Project documentation if the change is approved.

The ASI Vendor will store all work products and deliverables in the PIL for the duration of the Project.

Project/Phase Close Out

At the end of each release, the ASI Vendor will need to perform certain tasks to close out the Project. At least 60 days prior to the deployment and roll-out of the Benefits Eligibility Solution, the ASI Vendor will develop a checklist of all activities required to consider the Project complete. This includes confirming all Solution documentation is up to date, all deliverables for that phase have been approved and archived (and are owned by DHS), facilitating a Lessons Learned process, working with the M&O team to ensure a smooth transition, and related tactical activities (e.g., rolling people off the Project). Additionally, the Project Close Out deliverable will only be approved once HAWI, HARI, ePathOS and ECF have been retired and the data archived as defined in the design documents.

Deliverable BI-1 – Project Kick-off Presentation	
Required Delivery	Submitted for approval no more than 30 calendar days after Project commences
Frequency	Once
Description	<p>This deliverable is a presentation to the Project team members and stakeholders to familiarize them with the Project. The presentation will include, at a minimum, the following topics:</p> <ul style="list-style-type: none"> ■ Project Overview ■ Project Schedule (high level) ■ Objectives and Definitions ■ Process (including change management, change control, and issue/risk management) ■ Roles and Responsibilities ■ Keys to Success ■ Next Steps ■ Questions and Answers ■ Resources

Deliverable BI-1 – Project Kick-off Presentation	
References	N/A

Deliverable BI-2 – Project Status Report	
Required Delivery	No more than 3 days after the reporting period closes
Frequency	Weekly
Description	<p>The Project Status Report must capture, at a minimum, the status of the Project including:</p> <ul style="list-style-type: none"> ■ Graphical statuses of scope, schedule, and budget (red, yellow, or green) ■ Accomplishment of the last reporting period and objectives for the next reporting period ■ Client responsibilities for the next reporting period ■ Actual/projected Project Schedule dates versus baseline Project Schedule milestone dates ■ Projected completion dates compared to approved baseline key dates ■ Recovery plan for all work activities not tracking to the approved schedule ■ Escalated risks, issues (including schedule and budget), and action items ■ Key dependencies with other DHS Enterprise Platform efforts and activities ■ Disposition of logged issues and risks ■ Important decisions made and/or upcoming decisions ■ Any team member changes ■ Budgeted to actual budget figures, and estimated cost at completion (or similar forecast of remaining costs) ■ Pending scope change requests ■ One-page graphical summary of the Project Work Plan status of all major tasks and subtasks for each Phase in a Project Plan
References	N/A

Deliverable BI-3 – Project Orientation Training Materials	
Required Delivery	Submitted for approval no more than 30 calendar days after Project commences
Frequency	Once
Description	<p>The Project Orientation Training Materials provide materials for new project team members (DHS or ASI Vendor) to review to become familiar with the Project. This would include:</p> <ul style="list-style-type: none"> ■ Overview of the Project/Project background ■ Reference documents (with links) ■ Overview of relevant Project processes (e.g. status reporting) ■ Project team members and roles and responsibilities <p>These materials should be updated throughout the Project.</p>
References	Deliverable BI-4, BI-5

Deliverable BI-4 – Project Management Plan	
Required Delivery	Submitted for approval no more than 30 calendar days after Project commences
Frequency	Once
Description	<p>This deliverable will capture all of the project management processes, roles and responsibilities and templates which will be executed throughout the Project to effectively manage and control the Project. The approach shall be consistent with the PMI Project Management Methodologies stated in the PMBOK or equivalent. This plan will encompass the entire Project lifecycle from Project initiation to handoff to M&O. The PMP should, at a minimum, consist of the following sub-plans:</p> <ul style="list-style-type: none"> ■ Scope Management Plan —Outlines the processes required to ensure the Benefits Eligibility Solution and the Project meet all of the requirements outlined in the RFP and how deviations will be tracked and managed. ■ Schedule Management Plan – Captures how the Project Schedule will be monitored for variances, what types of corrective actions will be taken to address schedule variances during the life of the Project and the process, roles, and responsibilities involved in making changes to the Project Schedule. ■ Project Change Management Plan – How changes to the scope, schedule and budget are tracked, reviewed and approved. ■ Risk and Issues Management Plan — Development of a Risk Management Plan is required. The ASI Vendor, with the support of State team members, must submit a baseline Risk Assessment to DHS’ Project Manager within one (1) month of Project initiation. ■ Quality Management Plan — Defines the Project approach to ensuring quality throughout the entire Project lifecycle ■ Budget/Cost Management Plan – Defines how the Project management team will track all financial aspects of the Project ■ Human Resource Management Plan — Captures the projected resources required and the processes for identifying, qualifying and onboarding new team members, and removing a team member ■ Acceptance/Contract Management – Captures the processes, template, and roles and responsibilities for accepting deliverables ■ Project Communication Management Plan —Details the varying levels and needs of the Project’s stakeholders for information regarding the project, status, accomplishments, impact on stakeholders, etc. and defines the communications vehicles ■ Procurement Management Plan – Details how the ASI Vendor will manage its subcontractors and other suppliers ■ Closure Approach —Captures the activities the ASI Vendor will perform to formally close a release and the entire Project
References	N/A

Deliverable BI-5 – Project Schedule	
Required Delivery	Submitted for approval no more than 30 calendar days after each release commences
Frequency	Once for the initial release and updated for subsequent releases
Description	<p>This deliverable will include a resource loaded Baseline Project Work Plan and Schedule, including a Work Breakdown Structure, Gantt chart(s), and a Project calendar in Microsoft Project. The ASI Vendor shall document any changes from the schedule submitted with the ASI Vendor's original Proposal.</p> <p>The Project Schedule should breakdown the Project into tasks of no more than 120 hours of estimated effort and no more than one (1) week in duration and will include major milestones, checkpoints and go/no-go decision points.</p> <p>The Project Schedule must be integrated into the overall Program Schedule prior to approval.</p>
References	N/A

Deliverable BI-6 – System DDI Plan	
Required Delivery	Submitted for approval no more than 60 calendar days after the Project commences
Frequency	Once
Description	<p>The purpose of the System DDI Plan deliverable is to demonstrate the ASI Vendor has a strong understanding of DHS, integrated eligibility, and benefits management and a well-defined vision for how the Benefits Eligibility Solution will be developed, in alignment with the principles outlined in the Implementation Approach section of the RFP. It will capture the approach the ASI Vendor will follow to build the Benefits Eligibility Solution including:</p> <ul style="list-style-type: none"> ■ Requirements validation and requirements traceability ■ Release strategy ■ Solution design ■ Solution build ■ Testing ■ Piloting the Solution ■ Solution roll-out ■ SDLC methodology ■ Approach to interfacing and coordinating with the Governance Bodies and ESI ■ Plan for identifying and managing shared services which can be leveraged by other Divisions ■ Plan for ensuring the Benefits Eligibility Solution aligns with the established standards
References	N/A

Deliverable BI-7 – Completed Phase and Project Close-Out Check-List	
Required Delivery	The checklist must be approved 30 days prior to go-live. The deliverable, confirming all items on the checklist have been approved/accepted, must be submitted for approval no more than 90 calendar days after the release goes live.
Frequency	Once per release
Description	<p>The purpose of this deliverable is to ensure all Project activities and the migration to M&O are complete. This deliverable will be the completed check-list and include, at a minimum:</p> <ul style="list-style-type: none"> ■ Proof that all deliverables are up-to-date and approved including: <ul style="list-style-type: none"> <input type="checkbox"/> Functional Specifications and Design Documentation <input type="checkbox"/> System Architecture <input type="checkbox"/> Technical Design Documentation <input type="checkbox"/> Data Management and Synchronization Plan <input type="checkbox"/> Test Cases and Test Scripts <input type="checkbox"/> Training Manuals, End-User Guides, and Materials <input type="checkbox"/> Final versions of the System software files ■ Control of all Solution and training documentation has been transferred to the M&O team ■ Lessons learned ■ Tactical activities (e.g. returning Project team members' badges and removing systems access) ■ Ensuring hand-off of source code and State ownership of all source code and configurations ■ All regression test scripts have been completed and have been provided to the ESI to support future regression testing ■ Appropriate systems (ECF, ePathOS, HAWI and HARI) have been retired and the data archived
References	N/A

3.5.3.2.2 Task 2: Manage the Environments

This task includes all activities related to the technology infrastructure environments (e.g., Development, QA, Pre-Production, Production, Training and Disaster Recovery) required for the Project to succeed. The ASI Vendor will review the estimated user population and data volumes and other factors and develop a specification for the infrastructure (that will meet the SLRs) in the ESI's template. This specification will include items such as servers/processing capacity, storage, middleware (already part of the DHS Enterprise Platform) and licenses requirements. The specification will provide a date when the environments are required and provide the ESI enough time to provision the environments. The ASI Vendor will be responsible for coordinating with the ESI to ensure a common understanding of the requirements.

The ASI Vendor will review the environments provided by the ESI and ensure they meet required specifications. The ASI Vendor will develop change requests if any modifications to the environments are required and will provide change requests to the ESI via DHS' PMO.

If the ASI Vendor's Solution includes additional COTS software (that is not part of the DHS Enterprise Platform), the ASI Vendor must provide the infrastructure requirements to the ESI who will provide the infrastructure, however, the ASI Vendor will be responsible for installation and maintenance of the new COTS software.

Deliverable BI-8 – Technology Environments Specifications	
Required Delivery	Submitted for approval no more than 60 calendar days after detailed design is complete
Frequency	Once for the initial release and updated for subsequent releases
Description	The purpose of this deliverable is to define the infrastructure the ESI must provision to support the Project including, at a minimum, hardware, operating system, networking, and all COTS software. This will include specifications for each of the environments the Project will require, which will likely be provided independently throughout the Project.
References	Deliverable BI-12

3.5.3.2.3 Task 3: Develop the Solution Design, Development and Customization Requirements

In order to ensure that the ASI Vendor fully understands the Benefits Eligibility Solution Project requirements, the ASI Vendor must lead and facilitate the process for reviewing and validating the detailed Functional and Non-Functional Requirements documentation (Template T-6 – Functional Requirements and Template T-8 – Technical Requirements of this RFP).

The ASI Vendor will develop user interface mock-ups and perform usability tests to ensure the design delivers the anticipated efficiency and effectiveness improvements.

The ASI Vendor shall also conduct JAD sessions to fully explore and understand the design alternatives to meet the functional requirements and determine (with DHS representatives) whether gaps can be addressed through process changes or by developing custom functionality. Based upon the outcome of the JAD sessions, the ASI Vendor shall document in detail the design and development actions necessary to fully meet DHS’ requirements. Additionally, the ASI Vendor shall lead and facilitate the process for developing the Functional and System Design Document. This document must identify which functionality will be developed as a shared service, considering the CCWIS requirements and the person/family-centered model of practice, particularly consent management, shared case notes, notifications and alerts, referrals and shared case notes.

In addition to designing the functional Solution, during this phase the ASI Vendor will also facilitate sessions with DHS and their representatives to develop, review and approve the Data Management Plan (including working with data providers to develop the design for each of the interface) to ensure all security regulations and requirements are met/exceeded and the Solution Architecture.

The ASI Vendor will develop the technical and security architecture and the technical design. These documents will be vetted by DHS’ architecture/technical governance process, administered by the ESI’s SI / MVI team. During this process the ASI Vendor will collaborate with the ESI to establish the process for identifying and approving any changes and additions to the Platform and standards.

The ASI Vendor will develop the technical design and lead, coordinate and perform all Solution development efforts including the configuration of any middleware software and any required custom development. The ASI Vendor will develop the Solutions in alignment with the design documents produced through the detailed design process. These documents provide the framework essential to ensure that the Solution is constructed consistent with appropriate

software development methodologies and includes all the functionality required by the Contract. The ASI Vendor will perform peer reviews (or equivalent) to ensure quality development occurs.

During design and build activities, the ASI Vendor must ensure the Solution conforms to established standards and must collaborate with the ESI to develop / refine those standards as needed.

The deliverables developed during this phase, along with any subsequent updates, will be the basis for all testing activities.

Deliverable BI-9 – Updated and Validated Business Process Analysis Document and Requirements Traceability Matrices	
Required Delivery	Submitted for approval no less than 30 calendar days prior to detailed design is complete
Frequency	Once for the initial release and updated for subsequent releases
Description	The purpose of this deliverable is to confirm the design will capture the entire functional scope required. The BPA will be updated (to capture the agreed upon changes) and the Requirements will be updated (based on agreed upon changes) to clarify the scope and will be mapped to releases, technical components or equivalent.
References	N/A

Deliverable BI-10 – Functional and System Design Document	
Required Delivery	Submitted for approval prior to commencing System build activities
Frequency	Once for the initial release and updated for subsequent releases
Description	<p>The purpose of this deliverable is to provide a detailed design of the functionality in scope for the release prior to commencing development. This includes:</p> <ul style="list-style-type: none"> ■ System overview diagrams illustrating which Solution components provide what functionality, linking back to the functional capabilities ■ Design Use Cases (or equivalent) to map requirements to technical components ■ Functional specifications (or equivalent) for any custom development required ■ Recommendations on how to close specific gaps that require changes to DHS’ business processes ■ Business rules definition ■ Reporting capabilities and prebuilt reports ■ User profiles mapped to functionality ■ User Interface screens for the Solution including results of usability studies ■ Time studies capturing the anticipated efficiency savings with the new user interface design ■ Identification of functions or user roles that initiate workflow, receives the workflow, and any processes that occur as a result of the workflow ■ Identify functionality which will be developed as a shared service ■ List of assumptions made during the design as well as recommended next steps and required actions that shall be confirmed by DHS before the development
References	Deliverable BI-9

Deliverable BI-11 – Data Integration and Interface Design Document	
Required Delivery	Submitted for approval prior to commencing Solution build activities
Frequency	Once for the initial release and updated for subsequent releases
Description	<p>The purpose of this deliverable is to capture the integration approach and data design for the Solution, focused on the interfaces to external systems and the DHS Enterprise Platform. The Data Integration and Interface Design Document must include the following components:</p> <ul style="list-style-type: none"> ■ Interface definitions and design ■ Data Flow Diagrams ■ Integration interface protocol and interaction diagrams ■ Failure modes and recovery approach ■ Data Dictionary ■ Data Transformation and Loading ■ Processing controls ■ Processes to manage Solution installation and configuration and ongoing monitoring and incident management including items such as: <ul style="list-style-type: none"> □ Agreements with the third party application owner for how to resolve problems □ SLRs / contracts with partner □ Documenting roles and responsibilities □ Assumptions ■ Privacy requirements for different data elements ■ Security Controls <p>The data dictionary and integration/interface approach must conform to data standards established for the DHS Enterprise Platform.</p>
References	Deliverable BI-9, BI-10

Deliverable BI-12 – System Architecture	
Required Delivery	Submitted for approval prior to commencing Solution build activities
Frequency	Once
Description	<p>The purpose of this deliverable is to capture the System Architecture, which details the SOA model-driven framework being used that enables the development of service-oriented models to facilitate the interaction and communication of technologies. This document shall describe the set of technologies that support the Solution, detail the COTS software components, design patterns, technology infrastructure and the conceptual, logical and physical architectures for the Benefits Eligibility Solution. This System Architecture shall define and document:</p> <ul style="list-style-type: none"> ■ A conceptual architecture that will produce a design to fulfill stakeholder’s functional expectations ■ A logical architecture that identifies the SOA layers, Vendor, Service customers, service broker(s), and object dependencies. To complete the logical design model, the ASI Vendor shall define the interfaces for each service, and include data field definitions and their validation rules. ■ A physical architecture that defines the various services of the Benefits Eligibility Solution and how they shall be implemented. This shall also include details around the integration layers, potentially using Web Services, and various other integration technologies. ■ A list of COTS software to be implemented and how they will be integrated to produce a seamless user experience ■ A depiction of how the new Solution fits within the DHS Enterprise Platform and will reuse existing services and services that will be developed for reuse by other departments/Divisions ■ A detailed list of all the proposed production environment platforms, including Hardware, OS, Networking, and all COTS and third party systems/tools/ utilities, etc. ■ How the architecture design features ensure that the Benefits Eligibility Solution can scale as needed for future transaction volumes, storage requirements, and Solution usage expansion over the next 10 years ■ How the Benefits Eligibility Solution will ensure performance based on expected data and user loading/traffic, during peak transaction volumes and key critical business activities ■ How the Benefits Eligibility Solution will meet current capacity requirements and ensure the ability to scale ■ Availability and resilience controls such as redundancy, clustering, load balancing, failover capabilities, and fault tolerance ■ Mapping of Technical Requirements to the solution and design ■ Identification of components/objects that will be shared services ■ Confirmation that the architecture conforms to established standards
References	N/A

Deliverable BI-13 – Security Plan	
Required Delivery	Submitted for approval prior to commencing Solution build activities
Frequency	Once
Description	<p>The purpose of this deliverable is to capture and establish the approach to Solution security. It will include an overview of the risk scenarios and the approach to known risk threats and known vulnerabilities, It will provide the security architecture, processes and controls to meet State and Federal standards (including firewalls, zoning, encryptions, intrusion prevention, hardening, remote access, etc.) This deliverable should include, at a minimum:</p> <ul style="list-style-type: none"> ■ The technical approach to address and satisfy the following: <ul style="list-style-type: none"> <input type="checkbox"/> Network segmentation <input type="checkbox"/> Perimeter security <input type="checkbox"/> System security and data sensitivity classification <input type="checkbox"/> Intrusion management <input type="checkbox"/> Monitoring and reporting <input type="checkbox"/> Host hardening <input type="checkbox"/> Remote access <input type="checkbox"/> Encryption <input type="checkbox"/> Integration with Statewide active directory services for authentication and Oracle IAM <input type="checkbox"/> Interface security <input type="checkbox"/> Security test procedures <input type="checkbox"/> Managing network security devices <input type="checkbox"/> Security patch management <input type="checkbox"/> Secure communications over the Internet ■ Detailed diagrams depicting all security-related devices and subsystems and their relationships with other systems for which they provide controls ■ Security controls ■ The details of Security, Privacy and Consent Management ■ Approach to maximizing sharing of data (provided from any external source) while complying to all appropriate rules, regulations and policies ■ Approach to administering access, particularly administration access ■ User roles and security permissions ■ Confirmation that the Security Plan aligns with established standards
References	Deliverable BI-10, BI-11, BI-12

Deliverable BI-14 – Technical Design Document	
Required Delivery	Complete, consolidated document to be submitted for approval prior to commencing integration testing (modules/sections of the design document may be submitted for approval beforehand)
Frequency	Once for the initial release and updated for subsequent releases
Description	<p>The purpose of this deliverable is to provide the detailed technical design that addresses how the functional design will be implemented. This includes the COTS software being leveraged, the configuration of these components and the design of any custom development required.</p> <p>The Technical Design Document must include, at a minimum, the following components:</p> <ul style="list-style-type: none"> ■ A mapping of the functional design to the solution components ■ The configuration of any COTS software ■ The detailed design of any required custom development ■ Processes to manage Solution installation and configuration ■ Confirmation the technical design aligns with the established standards
References	Deliverable BI-10, BI-11, BI-12, BI-13

Deliverable BI-15 – Fully Configured and Developed System	
Required Delivery	Submitted for approval prior to commencing integration testing
Frequency	Once per release
Description	<p>The purpose of this deliverable is to confirm the successful build / configuration / development of the Solution prior to performing integration testing. This deliverable will include verification and validation that all Solution build activities have been successfully completed including any configurations and development that is captured in the Functional and Technical Design documents for the release.</p>
References	Deliverable BI-10, BI-11, BI-12, BI-13, BI-14

3.5.3.2.4 Task 4: Convert and Manage Data

The ASI Vendor will be responsible for understanding the data requirements during detailed design and gaining an understanding of the data available in legacy systems that may need to be converted. The ASI Vendor will understand how much historical data needs to be converted based on program policy and by case status. Once this has been understood and the design has been developed and validated by DHS, the ASI Vendor will develop a Data Conversion Plan capturing the approach to converting the data.

The ASI Vendor will lead data conversion activities including building a data conversion schedule, tracking each data element being converted, validating that all records/images converted equals number of records/images written to the new database, reporting progress against these tasks and ensuring adequate staff is assigned to the effort.

The ASI Vendor will collaborate with DHS to define a specification for the data to be extracted from the legacy systems. The ASI Vendor will implement and develop any tools required to convert the data into a format to be imported into the Benefits Eligibility Solution, cleansing and de-duplicating the data as it is integrated into the DHS Enterprise Platform. Additionally, all

images currently stored in ECF need to be migrated to the DHS Enterprise Platform. The ASI Vendor will perform a trial conversion(s) prior to performing UAT, will collaborate with DHS to resolve any data issues identified, and will provide tools for DHS to validate the data.

If required due to the release approach, the ASI Vendor will be responsible for implementing and testing a solution to synchronize data between the Benefits Eligibility Solution and the legacy systems.

Deliverable BI-16 – Data Conversion Plan	
Required Delivery	Submitted for approval no more than 30 calendar days after detailed design is complete
Frequency	Once for the initial release and updated for subsequent releases
Description	<p>The purpose of this document is to define the approach and plan for converting data from legacy systems into the new Benefits Eligibility Solution. This includes, at a minimum:</p> <ul style="list-style-type: none"> ■ Identifying the data elements that need to be converted and the source systems ■ The amount of historical data that will need to be converted (e.g. all open cases since 2005) ■ The relationships between the data that needs to be converted ■ Identifying the approach to conversion (e.g. automated) ■ Defining the approach to validating the converted data against legacy data and addressing any data discrepancies ■ Interim deliverables ■ Roles and Responsibilities ■ Tools used to perform the transformation ■ Tools/approach to track status/progress ■ If required due to the release strategy, the approach and details regarding integrating with legacy systems and data synchronization
References	Deliverable BI-10, BI-11, BI-12, BI-13, BI-14

Deliverable BI-17 – Validated Results of Data Conversion Testing	
Required Delivery	Submitted for approval prior to the start of UAT
Frequency	Once per release
Description	<p>The purpose of this deliverable is to verify the converted data has been tested and is ready for production prior to performing UAT. This deliverable will include confirmation that all data that needs to be converted for the release to go-live has been reconciled to the legacy system and verified by DHS.</p>
References	Deliverable BI-16

3.5.3.2.5 Task 5: Test the System

The ASI Vendor will be the lead and be responsible for the Solution testing effort. The ASI Vendor must define a testing methodology that includes multiple testing cycles, with the final tests occurring in conjunction with the ESI to ensure the entire Platform is functioning without issues.

The ASI Vendor's methodology must meet Federal funding partner requirements (e.g., FNS, CMS) and be aligned with industry standard methodologies such as Software Engineering Institute, such as the Capability Maturity Model, international Standards Organization, ISO9000 or the Institute of Electrical and Electronics Engineers (IEEE) or IEEE 829 Standard for Software and System Test Documentation and related standards. Please refer to the FNS Handbook 901 in the Procurement Library for detailed testing requirements.

The ASI Vendor, in collaboration with DHS, will be responsible for performing all testing required to fully test the Solution including (or something similar):

- Unit Testing – Ensure each “unit” performs as outlined in the technical design
- String/Link Testing – Ensure multiple “units” work in conjunction with each other without issue
- Integration Testing – Ensure the Solution supports end-to-end business processes
- Performance/Stress Testing – Ensure the Solution will meet DHS' performance needs

Once the Benefits Eligibility Solution or Medicaid E&E Solution has been fully tested and the ASI Vendor is confident the Solution is ready for production, the ASI Vendor will coordinate with DHS and the ESI, specifically the team responsible for SI / MVI activities, to perform final testing in an integrated environment. This testing will include:

- User Acceptance Testing – Performed by DHS end-users (DHS will develop test scripts leveraging the test scripts provided by the ASI Vendor, focusing on unconventional situations), coordinated by the ASI Vendor
- Regression Testing – Performed by the ASI Vendor, with the support of DHS testers, to ensure functionality currently in production continues to function. The ASI Vendor will coordinate with DHS and the ESI.
- Performance/Stress Testing – Performed by the ESI to ensure the entire Platform continues to meet DHS' performance requirements. The ASI Vendor will coordinate with DHS and the ESI.

The ASI Vendor must provide a testing tool/test harness/automated test framework which will support automated regression testing.

Prior to commencing any testing, the ASI Vendor will develop a strategy and plan to document the overall methodology. At a minimum, the Testing Plan should address: the types of testing to be performed; the organization of the test team and associated responsibilities; test database generation; test case development; test schedule; documentation of test results; acceptance testing; and, decision criteria. The decision criteria should be specific and measurable. The evaluation should include a summary of any outstanding issues/defects with the System and any other pertinent readiness issues. In addition, the Testing Plan is to include a contingency plan component which 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. The final test plan shall be submitted to FNS at least 60 days before testing begins. Before commencing testing, the ASI Vendor will define:

- Entrance and exit criteria for each testing cycle
- Interim milestones and work products
- The schedule for all testing activities
- The software tools required to track test status and defects through the resolution process

- The process for managing the test cycles such as test scheduling, defect tracking and running test scripts
- The approach to configuring the automated testing tool
- The approach to developing test scripts
- The process for managing testing environment and test data

The ASI Vendor, in collaboration with DHS, will be responsible for writing all test scenarios, cases, and scripts including required data and anticipated results. The ASI Vendor will be responsible for populating the test system(s) with the data necessary to ensure the validity of the testing for all testing cycles.

During the test cycles prior to UAT, the ASI Vendor will be responsible for executing the test scripts, tracking progress, tracking and resolving defects, and all other related activities. During UAT, DHS will execute the scripts, however, the ASI Vendor will be responsible for all other related activities. Prior to UAT, the ASI Vendor will coordinate with the ESI and ensure the Solution passes the Platform readiness test.

The ASI Vendor will be responsible for implementing an automated test management tool suite to manage, assess, track and perform the required test activities.

The ASI Vendor will provide automated test scripts. The ASI Vendor must document these scripts effectively as these will be used after the Project to deploy changes to components of the Platform.

The ASI Vendor will be responsible for mapping all requirements to test cases to ensure that test scripts address all of the Solution functionality. A written evaluation which justifies the DHS' decision to move forward or delay the project must be provided to FNS for approval to move from UAT to Pilot, and from Pilot to Rollout.

Deliverable BI-18 – Testing Strategy	
Required Delivery	Submitted for approval prior to the start of build activities
Frequency	Once
Description	<p>The purpose of this deliverable is to define the Testing Strategy for the Project and include, at a minimum:</p> <ul style="list-style-type: none"> ■ The test methodology to be employed for overall Solution testing ■ The automated method of populating the test systems with data ■ Development of test scripts for ongoing regression testing ■ Configuration of the automated testing system ■ Approach to management of test data ■ Processes and software-based tracking tools that will be leveraged to track testing progress and defect resolution ■ Planned testing cycles including: <ul style="list-style-type: none"> <input type="checkbox"/> Unit and integration testing <input type="checkbox"/> System testing <input type="checkbox"/> End-to-end testing <input type="checkbox"/> User acceptance testing <input type="checkbox"/> Performance and load testing <input type="checkbox"/> System regression testing <input type="checkbox"/> Security testing (including data access/sharing testing)

Deliverable BI-18 – Testing Strategy	
References	Deliverable BI-10, BI-11, BI-13, BI-14

Deliverable BI-19 – Testing Plan	
Required Delivery	Submitted for approval prior to the start of testing
Frequency	Once per release
Description	<p>The purpose of this deliverable is to define the detailed testing plan for each release. This plan will include, at a minimum:</p> <ul style="list-style-type: none"> ■ Types of testing to be performed ■ Test database generation ■ Test case development ■ Documentation of test results ■ Acceptance testing ■ The evaluation should include a summary of any outstanding issues/defects with the system and any other pertinent readiness issues ■ A contingency plan component which 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 ■ A list of test scripts to be run by testing cycle ■ The testing schedule and how the testing schedule will be managed ■ Specifics regarding the processes leveraged to track testing progress and defect resolution including items such as the definition of different test script status and, defect status ■ The organization of the test team and associated responsibilities (definition of roles and named resources who will perform each role) ■ Criteria for passing scripts (the decision criteria should be specific and measurable.) ■ Testing progress status reporting and interim testing milestones and associated reports ■ Definition of the Platform Readiness Test (this test must be passed prior to promotion to the pre-production environment) ■ Entrance and Exit criteria for each testing cycle (the decision criteria should be specific and measurable.) ■ Testing approach to performance and stress testing ■ Approach to regression testing
References	Deliverable BI-18

Deliverable BI-20 – Test Scenarios, Test Cases and Test Scripts	
Required Delivery	Submitted for approval prior to the start of integration testing
Frequency	Once per release
Description	<p>The purpose of this deliverable is to ensure the entire Solution will be tested by the test scripts to be performed and an adequate test data set has been prepared. This deliverable is confirmation that DHS has reviewed and approved all Test Cases.</p>
References	Deliverable BI-19

Deliverable BI-21 – Updated and Completed Detailed Functional and Technical Requirements Traceability Matrix	
Required Delivery	Submitted for approval prior to the start of UAT
Frequency	Once for the initial release and updated for subsequent releases
Description	The purpose of this deliverable is to ensure all of the requirements will be tested as part of the Solution. This deliverable will build on Deliverable 9 and map the functional and technical requirements to the Test Cases and Test Scripts.
References	Deliverable BI-9

Deliverable BI-22 – Testing Reports	
Required Delivery	Submitted for approval within business 10 days of completion of UAT and Pilot
Frequency	Once per release
Description	<p>The purpose of this deliverable is to ensure the entire Solution has been tested, and all rounds of testing are successful, prior to promoting the Solution to UAT. The ASI Vendor shall provide a formal Test Evaluation Report, which demonstrates the Solution's readiness to proceed to pilot and a Pilot Evaluation Plan which demonstrates readiness to proceed from Pilot to Rollout. The Testing Reports will include, at a minimum:</p> <ul style="list-style-type: none"> ■ Completed Test Scenarios, Test Cases and Test Scripts ■ Testing Milestone Reports and other status reports ■ Test Phase Final Results Report and Corrective Action(s) Plan ■ Platform readiness test outcome report <p>Each of the above must be successful, and must be approved by DHS and/or FNS.</p>
References	Deliverable BI-20

3.5.3.2.6 Task 6: Manage Organizational Change, Training and Knowledge Transfer

The ASI Vendor will lead all efforts to prepare DHS for the implementation of the Benefits Eligibility Solution Project. Early in the Project, the ASI Vendor will perform an assessment of all stakeholders, their needs, and current acceptance of the upcoming change. This will inform all Organizational Change Management (OCM), Training and Knowledge Transfer Activities. These activities must consider the overall DHS Enterprise Program and the impact to Project and Program stakeholders that may not be solely Benefits Eligibility Solution or Medicaid E&E Solution users, or BESSD or MQD workers.

Based on the findings captured in the Stakeholder Needs Assessment, the ASI Vendor will produce an OCM Plan and a Training and Knowledge Transfer Plan. This will be developed collaboratively with DHS to ensure the materials are aligned with DHS' culture. In these documents, the ASI Vendor will provide interim milestones to track progress (e.g., Knowledge Transfer Checkpoints).

The ASI Vendor will lead all OCM and external communications activities throughout the Project. It will provide an OCM framework to guide the OCM effort. DHS will provide support for this effort to help ensure all messaging is aligned with DHS' culture. The ASI Vendor will provide support and examples for DHS in any efforts to develop new job descriptions, duty statements, and any other human resources related tasks resulting from the Project.

Based on the Stakeholder Needs Assessment, the ASI Vendor will develop a Training Plan that defines the training approach to address the identified needs. The ASI Vendor will leverage a variety of training techniques to address these needs such as Solution demonstrations, classroom trainings, workshops, computer based trainings (mandatory), webinars, on-the-job training and informal sessions with super-users. In conjunction with defining the training techniques, the ASI Vendor will define its approach for developing user documentation, prototyping training materials, managing the training schedule (to minimize the impact on DHS, BESSD and MQD operations), environment, identifying facilities, training equipment, tracking attendance at/effectiveness of training sessions, maintaining training materials during and after the Project and other activities that will be required to complete a successful Training Plan. All of the materials will be developed by the ASI Vendor following the guidance provided by DHS staff.

The ASI Vendor will identify all training materials required and develop a Training Plan for each user type. The ASI Vendor will develop all training materials based on the Solution being configured/developed. Additionally, the ASI Vendor will develop documentation which users can refer to after the initial go-live including tools such as job-aides, user guides, and interactive on-line help.

The ASI Vendor will lead all training activities immediately prior to go-live. This includes providing the equipment and facilities (as required for field offices), scheduling the sessions, facilitating the sessions, surveying the participants, and analyzing the results to ensure adequate attendance and learning has occurred.

The ASI Vendor will also ensure Knowledge Transfer occurs to key DHS staff. This includes identifying key roles (e.g. support staff, training staff) early in the Project and actively engaging personnel throughout the Project to ensure they receive the knowledge required to fill the role. This includes providing checkpoints to ensure the required knowledge is being transferred and establish corrective action plans, if required.

Prior to Project close out, the ASI Vendor will ensure the BESSD Staff Development Office is fully capable of training users on the Benefits Eligibility Solution so they can perform on-going trainings for BESSD staff.

Deliverable BI-23 – Stakeholder Analysis Report	
Required Delivery	Submitted for approval no later than 30 days prior to completion of design activities
Frequency	Once
Description	The purpose of this deliverable is to ensure all Solution stakeholders are identified and their needs are understood. This will serve as the foundation for all OCM, Training and Knowledge Transfer. At a minimum, the Stakeholder Analysis Report must consider the Clients, BESSD end-users, DHS end-users, DHS executives, Federal partners, IT support staff, and external organizations interfacing with the Benefits Eligibility Solution and Medicaid E&E Solution.
References	N/A

Deliverable BI-24 – Organizational Change Management and Stakeholder Communication Plan	
Required Delivery	Submitted for approval no later than 30 days after the completion of design activities
Frequency	Once for the initial release and updated for subsequent releases

Deliverable BI-24 – Organizational Change Management and Stakeholder Communication Plan	
Description	<p>The purpose of this deliverable is to outline all OCM activities that will be performed throughout the Project. This includes, at a minimum:</p> <ul style="list-style-type: none"> ■ The OCM methodology that the ASI Vendor will employ ■ A definition of all communications outside of the Project team ■ Surveys and other mechanisms to capture the level of change acceptance with each stakeholder group ■ Milestones when the OCM approach effectiveness will be re-assessed and modified
References	Deliverable BI-23

Deliverable BI-25 – Training and Knowledge Transfer Plan	
Required Delivery	Submitted for approval no later than 30 days after the completion of design activities
Frequency	Once for the initial release and updated for subsequent releases
Description	<p>The purpose of the Training and Knowledge Transfer Plan is to identify the activities and define the curricula DHS needs to train the organization on the Solution.</p> <p>The Training Plan includes the following, at a minimum:</p> <ul style="list-style-type: none"> ■ Overview stating the purpose and scope of the Training Plan that meets the requirements of this RFP ■ The different training techniques to be used for each audience including: <ul style="list-style-type: none"> □ Individual one-on-one training sessions □ Solution Demonstrations □ Instructor-Led Classroom Teaching □ Instructor-Led Virtual Training □ Computer and Web-based training □ On-the-Job Training □ User Guides □ Informal training with super users ■ Knowledge Transfer approach for identified personnel who require additional Solution knowledge than end-users (e.g. super users, support staff, trainers) ■ Approach to ensure training goes beyond Solution navigation to training that supports end users in integrating the Solution as a decision support tool ■ Approach to prototyping and testing training materials with end-users ■ Training roles and responsibilities ■ Approach to ASI Vendor and DHS maintenance of training materials to address any Solution changes during the Project and after ■ Plan for managing the training environment ■ Plans for providing the training equipment, facilities and training data ■ Approach and plans for providing training to field offices (e.g. facilities, equipment) ■ High level training and knowledge transfer schedules ■ Approach to tracking attendance, effectiveness and progress of training and knowledge transfer
References	Deliverable BI-23

Deliverable BI-26 – Training Course Catalog	
Required Delivery	Submitted for approval no later than 30 days prior to training materials development commences
Frequency	Once per release
Description	<p>The purpose of the Training Course Catalog is to ensure adequate training materials are produced to prepare the organization for the Solution, identify all of the training materials development required (for planning purposes) and establish standards for the development. This deliverable will include, at a minimum:</p> <ul style="list-style-type: none"> ■ Documentation style standards for the development of the training materials ■ Training materials development approach ■ Description of the steps required to document and review the training materials ■ A description of all training materials that will be produced ■ Training curriculum by DHS user type
References	Deliverable BI-25

Deliverable BI-27 – Training Manuals, End-User Guides and Materials	
Required Delivery	Submitted for approval no later than 30 days prior to starting UAT
Frequency	Once per release
Description	<p>The purpose of this deliverable is to ensure all training materials have been reviewed and approved by DHS prior to commencing UAT (as these materials will be tested during UAT). This deliverable will include DHS approvals on all training materials outlined in the Training Course Catalog Deliverable.</p> <p>All requested updates from the previous release must be addressed and approved prior to deliverable submission.</p>
References	Deliverable BI-25, BI-26

Deliverable BI- 28 – Documented Evidence of Successful End-User Learning	
Required Delivery	Submitted for approval no later than 10 days prior to go-live
Frequency	Once per release
Description	<p>The purpose of this deliverable is to ensure the ASI Vendor’s training efforts have resulted in adequate end-user learning. This will be measured through the surveys provided after the training sessions have been completed, will confirm attendance (based on the Training curriculum by DHS user type outlined in the Training Course Catalog Deliverable) and confirm the audience developed an understanding of the Benefits Eligibility Solution required to perform their role.</p> <p>Should the survey results result in less than adequate knowledge of the training material by participants, the ASI Vendor must also demonstrate that it has provided additional or remedial education to bring attendee knowledge to an acceptable level.</p>
References	Deliverable BI-25, BI-26, BI-27

3.5.3.2.7 Task 7: Roll-Out the System and Go Live

The ASI Vendor shall lead the efforts to migrate the Benefits Eligibility Solution into the production environment through migration to a stable M&O phase. The ASI Vendor shall develop a plan that includes all activities from commencing the Pilot through to having the release rolled out to all users, including the deployment of the Benefits Eligibility Solution into production, final testing, validating the data synchronization with legacy systems, phased roll-out to the organization (with required trainings), how the Benefits Eligibility Solution will be managed after cut-over, key go-no go check points and how warranty fixes will be managed.

The ASI Vendor will lead the Benefits Eligibility Solution Pilot cycle. The ASI Vendor will coordinate all efforts and track the results including measuring efficiency gains and user satisfaction with the usability. The results must be included in the Documented Successful Completion of System Pilot in accordance with FNS requirements.

The ASI Vendor will provide a plan for deploying the Solution to the production environment including the identification of risks and any contingency plans/back-out plans. In developing the plan, the ASI Vendor will coordinate with the ESI, with the expectation that both organizations will own tasks required to complete the deployment successfully.

The ASI Vendor will provide the resources required to migrate users onto the Benefits Eligibility Solution. In addition to the training, this could include deploying additional software/hardware to field offices, enabling users in the new Benefits Eligibility Solution, migrating data from legacy systems/shutting off use of the legacy systems or other tasks.

The ASI Vendor will provide Project resources to support the Benefits Eligibility Solution immediately after it is deployed into production (cut-over support team). During this period, the ASI Vendor will provide interim support processes (e.g., a “war-room”) until DHS is comfortable that the number of issues/user issues has diminished to a level that can be managed by the more controlled and structured M&O processes (currently estimated at 90 days).

Deliverable BI-29 – Roll-Out Plan	
Required Delivery	Submitted for approval no later than 60 days prior to go-live
Frequency	Once per release
Description	<p>The purpose of this deliverable is to ensure the ASI Vendor has a plan to smoothly migrate users onto the new Benefits Eligibility Solution. This plan should include, at a minimum:</p> <ul style="list-style-type: none"> ■ Plan for rolling out the Solution to the organization ■ Plan for the Solution pilot to establish objectives, metrics, success criteria and other key planning information ■ Schedule for deploying the Benefits Eligibility Solution, training of end-users, and activating of users ■ Go/No-Go decision points ■ Contingency Plans
References	N/A

Deliverable BI-30 – Documented Successful Completion of System Pilot	
Required Delivery	Submitted for approval no later than 10 days prior to go-live
Frequency	Once
Description	The purpose of this deliverable is to ensure the pilot successfully demonstrated the improved usability and end-user efficiency and stability to both internal and external end-users in the field prior to going live. The pilot will be performed after UAT and will include identifying and resolving any issues identified during the Solution pilot. The deliverable will be considered complete once DHS confirms the Benefits Eligibility Solution will allow users to perform the end-to-end business processes without issues, improve efficiency/usability, and FNS has approved the results.
References	Deliverable BI-22

Deliverable BI-31 – Deployment Plan	
Required Delivery	Submitted for approval no later than 30 days prior to go-live
Frequency	Once
Description	The purpose of this deliverable is to ensure the ASI Vendor has a plan to smoothly migrate the Solution from testing to production. This plan should include, at a minimum: <ul style="list-style-type: none"> ■ Detailed, step-by-step plan to deploy the Solution into the production environment including key checkpoints ■ Site planning requirements ■ Cut-over risks and contingency plans ■ Rollback/back-out and recovery plans ■ Tested (during migration to the pre-production environment) scripts for migrating the Solution to production
References	Deliverable BI-23, BI-30

Deliverable BI-32 – Formal System Acceptance	
Required Delivery	Submitted for approval no earlier than 30 days after Solution go-live
Frequency	Once per release
Description	The purpose of this deliverable is to ensure the Solution is functioning effectively in production. Once the Solution has been migrated to production and rolled out to the entire organization, the Solution must be stabilized to allow support to be migrated from the cut-over support team to the M&O team.
References	Deliverable BI-31

3.5.3.2.8 Task 8: Warranty the System

After the Solution migrates to M&O (from the point of release which has been validated and approved by DHS to go into production), the ASI Vendor will fix any defects identified at no additional cost to DHS. The ASI Vendor will leverage the M&O processes to manage the issues/defects and fixes and will report progress as part of the M&O reports. Any costs and time required to address any warranty issues will be categorized separately.

At the end of the Warranty Period, the ASI Vendor will provide a report outlining all Warranty issues identified and fixed along with confirmation these were addressed within the SLRs outlined in the Response Templates.

Deliverable BI-33 – Completion of all Warranty Activities Report	
Required Delivery	Submitted for approval no earlier than 2 years after a release that is validated and approved by DHS to go-live
Frequency	Once per release
Description	The purpose of this deliverable will be to summarize all warranty fixes. This report, at a minimum, will include a summary of all defects fixed under warranty, the defect priority and the time between the defect being reported and a fix deployed into production.
References	N/A

3.5.3.3 Benefits Eligibility Solution Maintenance and Operations Overview

The ASI Vendor will support, maintain and operate the Medicaid E&E and Benefits Eligibility Solutions within the processes established by the ESI’s SI / MVI team. The ASI Vendor should also collaborate with the ESI to ensure the operational processes address its needs. As the ESI will be providing the DHS Enterprise Platform infrastructure, the ASI Vendor’s M&O will lead any Medicaid E&E Solution and Benefits Eligibility Solution focused support activities and provide assistance in performing any M&O activity related to the infrastructure. The ASI Vendor’s M&O responsibilities include, but is not limited to (all need to integrate into the DHS Enterprise Platform processes):

- Change and Release Management for the Medicaid E&E and Benefits Eligibility Solutions
- Configuration Management for items specific to the Medicaid E&E and Benefits Eligibility Solutions
- Capacity Management for the Medicaid E&E and Benefits Eligibility Solutions
- Performance Management for the Medicaid E&E and Benefits Eligibility Solutions
- Disaster Recovery support, including participating in DR tests and restoring the Medicaid E&E and Benefits Eligibility Solutions
- Incident Management for the Medicaid E&E and Benefits Eligibility Solutions
- Problem Management and Root Cause Analysis for Medicaid E&E and Benefits Eligibility Solution problems
- Application break-fix for the Medicaid E&E and Benefits Eligibility Solutions
- Minor Enhancements for the Medicaid E&E and Benefits Eligibility Solutions
- Management of any COTS solution that is implemented as part of the Benefits Eligibility Solution Project (e.g. any middleware not on the DHS Enterprise Platform) including database administration and patching.

The detailed ASI Vendor M&O requirements are captured in Template T-12 Maintenance and Operations Requirements.

The approach to providing M&O, including the expectation of the ASI Vendor and the ESI, is described in Section 3.4.8. The ASI Vendor should complete Template T-13 Maintenance and Operation Requirements Approach in alignment with these guidelines and explain and justify any deviations. The specific roles and tasks the ASI Vendor must perform are captured in Template T-12 Maintenance and Operations Requirements.

The following sections includes DHS' expectations on the services and deliverables to be provided by the ASI Vendor. The tasks include:

1. Medicaid E&E Transition Planning
2. Medicaid E&E Transition Services
3. Provide M&O Services, Report Status and Assure Quality
4. Implement Enhancements and Changes
5. Benefits Eligibility Solution M&O Migration
6. Transition M&O Services

Table 17. List of Benefits Eligibility Solution M&O Deliverables

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	Medicaid E&E and BES Enhancement/Changes Requirements and Cost Estimates	Once per release
	BM-8	Completed Medicaid E&E and 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

3.5.3.4 Benefits Eligibility Solution Maintenance and Operations Detailed Scope of Work

The following sections define the services/tasks that the ASI Vendor must perform to support the Medicaid E&E Solution and the Benefits Eligibility Solution.

3.5.3.4.1 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. DHS will provision support for the transition from the incumbent vendor. The incumbent vendor will provide assistance (e.g. knowledge transfer related to software, data, documentation, tools, processes, help desk operations) to the ASI Vendor as the M&O activities are transitioned to them (see the Procurement Library for additional details). The ASI Vendor will be responsible for reviewing and accepting the incumbent vendor's Turnover Plan and Requirements Statement that outlines the technical resources and requisite knowledge, skills and experience required. The Medicaid E&E Solution M&O Transition Plan must be collaboratively developed with DHS and the incumbent vendor, and aligned with the incumbent vendor's transition plan. This Task is expected to start approximately 6 months before the end of the incumbent vendor's contract.

The Plan should outline all key elements required to take over management of the Medicaid E&E Solution (and perform all requirements outlined in Template T-12 Maintenance and Operations Requirements) including, but not limited to:

- Organization structure including roles and responsibilities and staffing levels for the M&O processes. This includes a facilities plan, staffing plan/onboarding plan and training plan for all the staff required to perform the activities identified in this SOW and Template T-12 Maintenance and Operations Requirements
- Transitioning administration and ownership of tools and data supporting the Medicaid E&E Solution
- Performing M&O related to the Solution's components
- Identification of all relevant documentation (e.g., design, architecture, support processes) and transitioning maintenance of these documents
- Updating M&O documentation with changes resulting from the migration to the ASI Vendor's M&O team
- Execution and ownership of Medicaid E&E Solution related M&O processes including, but not limited to:
 - Change and Release Management
 - Configuration Management
 - Capacity Management
 - Performance Management
 - Disaster Recovery
 - Application M&O
 - System Operations and Administration
 - System Monitoring
 - Incident and Problem Management
 - Security Administration Approach

- Rules of engagement with respect to the ESI’s role in maintaining and operating the DHS Enterprise Platform, as well as managing and coordinating a multi-vendor environment
- Approach to Medicaid E&E Solution M&O reporting including status reporting, SLR Performance Reporting and reporting mechanisms
- Approach to security and confidentiality in alignment with all applicable Federal and State laws, policies and regulations

DHS assumes the transition will not occur all at once but rather the ASI Vendor will incrementally take responsibility for the Medicaid E&E Solution M&O activities throughout the transition period.

The transition plan shall be completed by senior staff who will be responsible for the transition and for the ongoing Medicaid E&E Solution M&O activities.

Deliverable BM-1 – Medicaid E&E Solution M&O Transition Plan	
Required Delivery	Submitted for approval no later than 6 months prior to the end of the incumbent vendor’s contract
Frequency	Once
Description	<p>The Medicaid E&E Solution M&O Transition Plan captures all of the activities the ASI Vendor must perform to establish the Medicaid E&E Solution support organization and migrate the M&O processes and tools to the ASI Vendor (outlined above). The Plan must include a schedule to complete the tasks prior to the end of the incumbent vendor’s contract.</p> <p>Scope of this deliverable includes:</p> <ul style="list-style-type: none"> ■ Documentation of the ASI Vendor’s proposed target state including: <ul style="list-style-type: none"> □ Proposed ASI Vendor staff □ Roles and responsibilities of all partners related to the Medicaid E&E Solution support and operations □ Proposed list of activities and processes to support the activities □ Acquisition, transition and need for tools ■ Training plans to ensure staff gain the required knowledge in alignment with the incumbent vendor’s Requirement Statement outlining the technical resources and requisite knowledge, skills and experiences required to transition M&O activities ■ Plan for coordinating roles and responsibilities between the ASI Vendor and the ESI ■ Plan for developing the Medicaid E&E Solution Design Assessment Report (Deliverable 3) ■ Approvals for plans by DHS and commitment to supply resources <ul style="list-style-type: none"> □ Note: It is the responsibility of DHS to ensure resources from DHS and third party vendors is sufficient ■ Staffing of target organizations and ongoing support through the duration of the Contract ■ Security and confidentiality plan

Deliverable BM-1 – Medicaid E&E Solution M&O Transition Plan	
	<ul style="list-style-type: none"> ■ Inventory and plan for all Solution hardware and software, documentation, supplies, facilities and other resources within the Contract ■ Plan for migrating all required documentation to the ASI Vendor ■ Plan to transition for all applicable development tools, processes and procedures and management tools (e.g., security management, systems management) <p>This deliverable must include measureable progress milestones/check-points so DHS can quantify the transition risk. This deliverable should also include the assumed level of support required from DHS and the incumbent vendor.</p> <p>The Medicaid E&E Solution M&O Transition Plan must include a Readiness Checklist (Deliverable 5) which captures all activities that must be completed prior to completing the transition of Medicaid E&E Solution M&O activities from the incumbent vendor, grouped by service to allow for incremental transition.</p>
References	N/A

3.5.3.4.2 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. This Plan will include all of the areas outlined in Task 1: Medicaid E&E Solution Transition Planning. DHS expects the ASI Vendor’s M&O team to have a significant on-site presence to ensure adequate knowledge transfer occurs and expects the ASI Vendor to lead these activities as a project, with a Project Manager to track progress against all tasks and highlight risks and issues that require DHS’ attention. DHS assumes it will be able to provide the State staff support outlined in the Plan and, as such, anticipates the ASI Vendor will be able to complete the tasks on schedule.

During the transition period, the ASI Vendor must track progress closely and accurately report progress to DHS. This includes weekly status meetings, Executive Steering Committee meetings and coordination with the IV&V vendor.

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. Proof that all required activities have been completed must be provided (and DHS’ approval received) along with a transfer or conversion plan for converting tools. A formal go / no-go decision will be performed to gain approval from DHS prior to transitioning the service.

For a period after the ASI Vendor has taken ownership of and responsibility for performing the Medicaid E&E Solution M&O activities, the incumbent vendor will maintain an advisory team as a contingency. This team will provide advice and recommend improvements. The ASI Vendor must cooperate with the incumbent vendor and implement the recommendations which DHS approves.

Deliverable BM-2 – Transition Status Report	
Required Delivery	Submitted throughout the transition period (6 months prior to the end of the incumbent vendor’s contract) through transition completion.

Deliverable BM-2 – Transition Status Report	
Frequency	Weekly
Description	<p>This deliverable will document progress against the Medicaid E&E Solution M&O Transition Plan and capture tasks performed, planned tasks, risks and issues and track progress against the Readiness Assessment.</p> <p>If tasks are not performed in accordance with the Medicaid E&E Solution M&O Transition Plan, the ASI Vendor will provide a recovery plan with updated projected dates.</p> <p>This deliverable must include mitigation steps being taken against any identified risks and any contingency plans.</p> <p>This deliverable must also highlight upcoming activities that must be performed by DHS and risks/issues which require DHS' involvement to resolve.</p> <p>This deliverable must include documentation confirming (and proof of DHS' approval) activities have been effectively initiated and completed.</p> <p>This deliverable will track progress against the Readiness Checklist to ensure all required activities are completed (and DHS' approval received) prior to transitioning ownership of any Medicaid E&E M&O activities.</p>
References	Deliverable BM-1

Deliverable BM-3 – Medicaid E&E Solution Design Assessment	
Required Delivery	The design assessment must be completed prior to transitioning M&O support
Frequency	Once
Description	<p>This deliverable provides an assessment of the current Medicaid E&E Solution and will:</p> <ul style="list-style-type: none"> ■ Highlight the ASI Vendor has a deep enough understanding of the Solution, processes and tools to take-over M&O responsibilities ■ Identify any areas where the Solution design can be improved from a technical perspective to improve scalability, extensibility, agility, performance, decrease costs, etc. ■ Includes recommendations for implementing potential changes with associated timeline <p>This deliverable will be deemed approved once it has been presented to State staff and they have agreed with the contents and recommendations.</p>
References	Deliverables BM-1, BM-2

Deliverable BM-4 – Medicaid E&E M&O Plan	
Required Delivery	The Medicaid E&E M&O Plan must be completed prior to transitioning of M&O support is completed
Frequency	Once

Deliverable BM-4 – Medicaid E&E M&O Plan	
Description	<p>This deliverable will include an overview of how the ASI Vendor is providing M&O services. This includes items such as processes, procedures, roles and responsibilities, hand-offs, tools, user guides and any additional information.</p> <p>This document will be maintained throughout the M&O period and will be accepted once it has been reviewed and accepted by DHS.</p>
References	N/A

Deliverable BM-5 – Completed Medicaid E&E Readiness Checklist	
Required Delivery	The completed and approved checklist must be submitted for approval no later than the end of the incumbent vendor's contract
Frequency	Once per hand-over of M&O service responsibilities
Description	<p>This deliverable documents that all activities required to transition Medicaid E&E Solution M&O services to the ASI Vendor is complete.</p> <p>This deliverable must be a completed version of the Transition Checklist included in the Medicaid E&E Solution M&O Transition Plan with documented proof that the activities have been completed.</p> <p>This deliverable must include documented proof that the ASI Vendor is trained to provide M&O services, documentation has been updated and processes have been transitioned including, but not limited to:</p> <ul style="list-style-type: none"> ■ Solution Components M&O ■ Ownership of all operational processes and tasks executed by the ASI Vendor ■ Management and operations of M&O tools ■ Incident Management ■ Break-Fix <p>This deliverable must include the completion of the Medicaid E&E Solution M&O Transition Plan.</p> <p>This deliverable is documentation to confirm that all Solution M&O reporting activities and the implementation of reporting and reporting tools and processes are complete, as described in the Medicaid E&E Solution M&O Transition Plan. This deliverable will be the completed checklist and include, at a minimum:</p> <ul style="list-style-type: none"> ■ Proof that all reports can be consistently generated based on requirements
References	Deliverables BM-1, BM-2, BM-3

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

For the duration of the M&O period, the ASI Vendor will perform the M&O activities in accordance with the SLRs. To ensure these activities are performed and the SLRs are met, the ASI Vendor shall:

- Maintain and implement account management structure, planning and procedures according to the plan
- Provide application service level reporting based on agreed upon SLR targets

Deliverable BM-6 – Monthly Status Report and Service Level Agreement Reporting	
Required Delivery	7 days after month end
Frequency	Reports generated monthly (specific SLRs reported according to the SLR reporting schedule)
Description	<p>Monthly report that captures the status of the ASI Vendor’s M&O activities including:</p> <ul style="list-style-type: none"> ■ Periodic report that details at least the SLAs in scope for that reporting period. This must include: <ul style="list-style-type: none"> □ A relevant history of the SLAs reported on in previous reporting periods □ All SLAs in scope for the current reporting period □ Progress on corrective action plans established in the last reporting period or since that time □ Any new corrective action plans established due to the current reporting period ■ Activities performed and planned <ul style="list-style-type: none"> □ M&O activities □ Planned/backlog of changes/defects ■ Operational changes and recommended changes ■ Documentation status ■ Hours spent by employee, broken down by warranty, M&O and enhancements
References	N/A

3.5.3.4.4 Task 4: Implement Enhancements and Changes

During M&O, it is anticipated that minor functional changes, modifications and maintenance service requirements will be identified for the Medicaid E&E Solution and Benefits Eligibility Solution. The ASI Vendor should anticipate the staffing requirements will fluctuate based on needs but will average multiple resources. The ASI Vendor will be responsible for:

- Implementing a formal Requirements Repository to track all required/requested changes.
- Attending service requests priority-setting meetings with DHS executive staff.
- Notifying DHS of any incorrect, incomplete, or ambiguous Solution or business requirements; this notification shall include recommendations for correcting the requirement to preserve correct and unambiguous requirements in the Requirements Repository.
- Developing a methodology for pricing service requests based on function points or equivalent.
- Collaborating to define the scope of a release based on the prioritization of the requested changes.

- Providing a development team for implementing modification and maintenance service requests to the Solutions. Application updates are implemented in releases.
- Implementing submitted maintenance requests in a timeline that satisfies the SLRs defined in this RFP for this SOW, in a timeline that addresses DHS' business needs. In addition to two (2) major Solution releases a year, off-cycle releases are required to be implemented by the ASI Vendor based on DHS' business needs and the requirement to meet the SLR resolution time standards.
- Completing modifications by the release date approved by DHS. The approved dates are established through a DHS prioritization process.
- Submitting all deliverables associated with the service requests and releases in a timeline to allow for the deliverable review and approval process described in this RFP.
- Maintaining and providing access for DHS to the methodology for capturing and documenting the Modification service requests as agreed to in the Change Management Plan deliverable.
- Interfacing with DHS and the ESI during the software development life cycle as it pertains to using and developing shared services and interfaces.
- Coordinating all testing activities with the ESI to ensure that Solution changes do not adversely impact the service delivery of the other service providers.
- Updating the DHS Requirements Repository with the requirements and design artifacts and implementing the traceability (as specified in the Software Specifications Standards and Guidelines) prior to the submission of the Release Test Plan deliverable.
- Delivering Solution documentation updated for the release deliverable for all components of the Solution in a central location easily accessible by DHS staff as changes are made. Documentation must be accurate, clearly written and consistent (e.g., definitions, process descriptions, etc.).
- Managing software and database configuration management for the appropriate physical environments through the levels of testing using industry standards, with the capability to rebuild against a historical baseline; procedures for labeling, naming, promoting, marking quality and merging artifacts must be specified in the Configuration Management Plan.
- Ensuring software maintainability and meeting quality requirements. The ASI Vendor must reduce the costs of application development and management through the continuous improvement of processes and productivity and increased code maintainability and reusability.
- Enforcing coding standards. These standards include the use of comments and code reuse. The process for enforcing coding standards must:
 - Include validations to ensure that code comments and in-line code documentation is properly implemented
 - Utilize a combination of code peer reviews, custom tools and third-party tools including open source tools
 - Include the production of reports demonstrating code standards enforcement and coverage across code base
 - Include specific processes to ensure code reusability and enforcement of code reusability standards

- Include support for the DHS quality assurance team to perform periodic or random audits and code reviews
- Updating Training Materials and developing a Training Plan, if required, for end users and IT support staff.

Deliverable BM-7 – Medicaid E&E and BES Enhancement/Changes Requirements and Cost Estimates	
Required Delivery	Before commencing any DDI activities for the release
Frequency	Once per release
Description	For each agreed upon release, the ASI Vendor shall produce the following deliverables: <ul style="list-style-type: none"> ■ Release Requirements/Scope (incl. list of requested changes) ■ Development Plan including: <ul style="list-style-type: none"> <input type="checkbox"/> Documentation (e.g. updates to specification or new specs) <input type="checkbox"/> Testing Plans <input type="checkbox"/> Change Management/Training Plans <input type="checkbox"/> Infrastructure impact <input type="checkbox"/> Staffing plan ■ Acceptance Criteria Check-List including items such as: <ul style="list-style-type: none"> <input type="checkbox"/> Testing results/Passed UAT <input type="checkbox"/> Updated documentation <input type="checkbox"/> Updated Operations Plan ■ Function Point and Cost Estimates
References	N/A

Deliverable BM-8 – Completed Medicaid E&E and BES Enhancement/Changes Release Check-List	
Required Delivery	Submitted once the release is completed
Frequency	Once per release
Description	For each agreed upon release, the ASI Vendor will produce the completed check list (defined in Deliverable BM-7)
References	Deliverable BM-7

3.5.3.4.5 Task 5: Benefits Eligibility Solution M&O Migration

The Benefits Eligibility Solution M&O Migration task includes all activities required to effectively provide M&O for the Benefits Eligibility Solution. 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.

DHS expect the ASI Vendor to start planning the migration 6 months prior to the go-live date. During those 6 months, the ASI Vendor will prepare the M&O team to support the Benefits Eligibility Solution. This will include, at a minimum:

- Identifying the skills and staffing level requirements

- Defining a strategy/plan to filling those gaps (e.g., training or hiring)
- Executing the staffing strategy including training
- Identifying any M&O process changes or tool changes required (e.g., a new escalation workflow may be required) and coordinate with the ESI's SI / MVI team

Deliverable BM-9 – BES M&O Migration Plan	
Required Delivery	Submitted no earlier than 6 months prior to each BES release
Frequency	Once per BES release
Description	<p>The BES M&O Migration Plan captures the planned changes required to the Medicaid E&E Solution M&O environment (staff, processes, procedures etc.) to support BES.</p> <p>It also includes the activities required to prepare the ASI Vendor's M&O team to support BES including solution training, process training, changes to team structure/staffing and process/procedure modifications.</p> <p>The BES M&O Migration Plan will include a plan to perform the required activities prior to go-live to ensure the team is ready to support the Solution when it goes live.</p> <p>The BES M&O Migration Plan will also include a check-list of activities required to ensure the M&O team is prepared to support the solution.</p>
References	N/A

Deliverable BM-10 – Updated Operations Plan	
Required Delivery	Submitted no later than 30 days after go-live
Frequency	Once per BES release
Description	<p>The ASI Vendor will be required to update the Operations Plan to accommodate any of the changes introduced by the BES going live. Prior to updating the operations plan, the ASI Vendor needs to understand the required changes and coordinate with the ESI. The Updated Operations Plan will be deemed accepted once DHS has reviewed and approved.</p>
References	N/A

Deliverable BM-11 – Completed BES Migration Checklist	
Required Delivery	Submitted after the M&O team has taken leadership in supporting the BES functionality that has gone live
Frequency	Once per BES release
Description	<p>This deliverable documents that all activities required to migrate BES into M&O has occurred.</p> <p>This deliverable must be a completed version of the checklist included in the BES M&O Migration Plan with documented proof that the activities have been completed.</p>
References	Deliverable BM-9

3.5.3.4.6 Task 6: Turn-Over M&O Services

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 necessary effort to assist with this transition including development of transition plans and provision of ongoing transition assistance.

The ASI Vendor will provide the necessary effort to assist with this transition including development of transition plans and provision of ongoing transition assistance. The ASI Vendor must continue to perform M&O services at the level required in the Contract, maintain staffing for Medicaid E&E Solution and BES M&O activities until all activities are completed, and must be integral in the transition activities.

Deliverable BM-12 - M&O Turn-Over Plan	
Required Delivery	Nine (9) months prior to Contract expiration or transition date
Frequency	Updated as needed or requested by DHS
Description	The Plan will comprehensively detail at least the following: <ul style="list-style-type: none"> ■ The activities needed to transition services to another provider, including roles and responsibilities throughout the transition ■ The coordination means, tools and artifacts to be used by all providers ■ The staffing transition plan including the methods for ensuring the ASI Vendor will provide adequate staffing until the other provider is prepared to take ownership ■ Process for monthly ASI Vendor assessments of all activities critical to the M&O transition and completion of ASI Vendor M&O activities
References	N/A

Deliverable BM-13 - M&O Turn-Over Assessment Report	
Required Delivery	Six (6) months prior to Contract expiration
Frequency	At least monthly during transition activities
Description	Reporting includes progress of transition activities by the ASI Vendor, DHS and other providers, as appropriate
References	N/A

3.5.4 Performance Measures and Appropriate Remedies

DHS and the ASI Vendor must agree that failure by the ASI Vendor to meet the performance standards and timelines set forth in this RFP will result in damages sustained by DHS and that it is difficult to quantify DHS' actual damages sustained by reason of such failure. It must be agreed by both parties that this RFP will establish the baseline measure for the ASI Vendor performance. It must therefore be agreed that DHS may require the ASI Vendor to pay Liquidated Damages for failure according to the following criteria to comply with agreed SLAs.

For failure by the ASI Vendor to meet an SLR, DHS may require the ASI Vendor to pay Liquidated Damages, and the ASI Vendor must agree to do so, until the SLR is met and accepted as corrected and approved by DHS. Liquidated Damages are not intended to be punitive, however DHS, at its sole discretion, may begin exercising the use of Liquidated

Damages at any point during the Project or M&O periods (to encourage behavior aligned with the business objectives) during which the ASI Vendor has failed to meet timeliness, performance standard, documentation, work product, or deliverable date(s), regardless of any previous actions.

The ASI Vendor's Proposal must include a response to the implementation SLRs (captured in Template T-10 Implementation Requirements) and the M&O SLRs (captured in Template T-12 M&O Requirements).

The ASI Vendor must understand they provide a sub-system of the entire solution (both technical solution and operational processes) which supports DHS' Clients and internal DHS employees. The ESI's SI / MVI team will be coordinating with all vendors to ensure all components of the solution perform at the level required so the entire solution meets the SLAs. DHS' expectation is the IE / BM Vendor must coordinate with the ESI's SI / MVI team and take appropriate actions (including the potential for establishing additional OLAs) to ensure the entire solution is providing the end-to-end solution at the agreed upon service levels to the end-users.

4.0 Proposal Evaluation

DHS will use a structured and objective evaluation process to select the successful ASI 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.

4.1 Evaluation Criteria

DHS wishes to receive a broad set of innovative responses to the Benefits Eligibility Solution Engagement SOW that will position it for a rapidly changing environment but still provide a low risk approach to more rapid development and deployment of the Benefits Eligibility Solution than has been the norm in the industry. Vendors are encouraged to propose the Solution and services, as applicable, that will best help achieve the needs and goals and requirements as stated in the RFP, including the extensibility and adaptability necessary to support DHS' envisioned integrated Human Services model of practice.

DHS will evaluate Proposals in the context of the best value overall approach for each SOW to ensure Proposals meet the entirety of the Solution capabilities and services requested. DHS will evaluate Benefits Eligibility Solution Engagement Proposals based on the following best value evaluation criteria:

Table 18. Benefits Eligibility Solution Engagement – Evaluation Criteria

Global Criteria	Weights	Sub-Criteria	Points	Mandatory Response Templates Evaluated
Minimum Mandatory Qualifications (Pass/Fail)	N/A	Vendor Qualifications and Other Mandatory Requirements (Pass/Fail)	N/A	T1 - Cover Letter and Executive Summary
Vendor Experience	20%	Organization Experience and Financial Stability	100	T1 - Cover Letter and Executive Summary T2 - Vendor Experiences
		Vendor References	100	T3 - Vendor References
Project Organization and Staffing	15%	Project Organization and Staffing Time Committed	50	T4 - Vendor Project Organization and Staffing
		Staff Experience	100	T5 - Staff Experience
Business Solution	45%	Functional	175	T6 - Functional RTM T7 - Functional Requirements Approach
		Non-Functional	150	T8 - Technical RTM T9 - Technical Requirements Approach
		Implementation	75	T10 - Implementations RTM T11 - Implementation Requirements Approach T14 - Work Plan
		Maintenance	50	T12 - M&O RTM T13 - MO Requirements Approach
Cost Response	20%	Total Cost Points Calculation	200	C1 - Cost Workbook

1000

4.2 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, and (2) minimum qualification requirements defined in Section 4.3. The RFP Response Checklist included in Template T-16 (Benefits Eligibility Solution Engagement SOW) 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 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.

4.3 Minimum Mandatory Qualifications

Vendors must demonstrate compliance with the below Minimum Mandatory Qualifications, aligned to the SOW the Vendor is submitting a Proposal, 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 4.5) and further evaluation of the Proposal will not be performed.

ASI Vendors (Prime and/or subcontractor) must clearly demonstrate compliance with the Minimum Mandatory Qualifications listed below before their Proposals will be further evaluated.

- The ASI Vendor (Prime only) must have at least three (3) years’ experience in software development that includes design, configuration, implementation and operation of an integrated solution, not limited to Medicaid and Human Services Programs.
- The ASI Vendor (Prime only) should submit references using Template T-3 to verify that ASI Vendor has experience in the design, development, implementation, maintenance and operations of integrated solutions in the past five (5) years, not limited to Medicaid and Human Services Programs.
- The ASI Vendor (Prime only) must demonstrate having sufficient financial resources to initiate and sustain a project of this size for a period of time. The ASI Vendor must include these details using Template T-2 – Vendor Experience.

4.4 Proposal Evaluation Process

DHS’ proposal evaluation team will evaluate the remaining Proposals and score each of the sub-criteria, except for the Cost response, as Excellent (5), Good (4), Acceptable (3), Marginal (2), and Unacceptable (1). These ratings will be converted into points as presented in Table 18 in Section 4.1. An Excellent (5) ranking will receive 100% of the allotted points. A Good (4) ranking will receive 80% of the points; Acceptable (3), 60%; Marginal (2), 40%, and Unacceptable (1), 20%. For example, an “Acceptable” rating on the Implementation sub-criteria (Table 18), which is allotted 75 points, will receive 45 points (60% x 75). 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 the maximum number of points allocated to this criterion as specified for each SOW. Other higher Cost Proposals will receive proportionally lower point values. All calculations will be rounded to the nearest whole number.

4.5 Oral Presentations and Site Visits

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 minimum 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 for the SOW as described in Section 4.1.

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 and solution offering of the Vendor, clarifications of the Vendor's Proposal, and the identified Key Personnel's ability to perform the work proposed in the Vendor's Proposal. The DHS POC will notify selected Vendors of the time and location for these activities and may supply agendas or topics for discussion. Note that Proposals may be accepted on evaluation without 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.

4.6 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 4.1.

5.0 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.

5.1 Contract Execution

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

The funds available for this project 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, Vendor 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 the contract on behalf of the successful Vendor.

5.2 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.

5.3 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.

5.4 Term of Contracts

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

The Contract term for each SOW is for an initial period of 48 months.

Unless terminated, Vendor and the State may extend the term of the Contracts for three (3) additional two-year periods (or parts thereof) for a total of ten (10) 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, Vendor shall be required to execute a supplement to the Contract for the additional extension period.

5.5 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.

5.6 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
Department of Human Services
Benefit, Employment & Support Services Division
820 Mililani Street, Suite 606
Honolulu, HI 96813
Telephone: (808) 586-7083

5.7 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;

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- 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.

6.0 Special Terms and Conditions

6.1 General Administrative

6.1.1 General

The following documents form an integral part of the contract between Vendors 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-15 for the Benefits Eligibility Solution Engagement), 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-HMS-904-17-01-S)
- 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.

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 Vendors to any tax imposed by any governmental entity.

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

6.1.2 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-15 for the Benefits Eligibility Solution Engagement). If awarded a Contract, the Vendor will be required to execute a Contract using the State Standard Form Contract which includes the General Conditions.

6.1.3 Contract Negotiation and Approval

DHS will require the successful Vendor to participate in contract negotiations regarding the terms and conditions of the Contract within the scope of all Mandatory Response Templates. Upon resolution of the final negotiations, DHS will prepare a final Contract. If for any reason DHS and the apparent successful Vendor are unable to reach agreement of the terms and

conditions of a contract, DHS may then proceed to negotiate a contract with the Vendor with the next highest rated Proposal. DHS may cancel negotiations 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.

6.1.4 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.

6.1.5 Warranty of Fiscal Integrity

Vendor warrants that it is of sufficient financial solvency to assure DHS of its ability to perform the requirements of a Contract. Vendor shall provide sufficient financial data and information to prove its financial solvency in Template T-2, Section 3.0.

6.1.6 Representations and Warranties

Vendor 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.

There is no disabling code or a lockup program or device embedded in any deliverables provided to DHS. Vendor further agrees that it will not under any circumstances, including enforcement of a valid contract right, (a) install or trigger a lockup program or device, or (b) take any step which would in any manner interfere with DHS' use of the deliverables and/or which would restrict DHS from accessing its data files or in any way interfere with the transaction of DHS' business.

The deliverables do not contain a computer virus, or other malicious code.

All of the technology-related components of the Solutions will be backward and forward compatible among versions and interoperable with other components/systems.

Vendor will obtain all necessary government authority or other third-party permissions, clearances, licenses, and consents to perform the services and deliver the deliverables, copies of which shall be provided to the Contract Administrator upon execution of the Contract and otherwise upon the Contract Administrator's request.

Throughout the term of the Contract, the services will be performed, and all deliverables will be developed and provided under the Contract, in compliance with all applicable Federal, State,

and local laws, rules, and regulations that may be applicable to Vendor's duties under the Contract.

Either: (a) Vendor is the owner of all Property that is to be transferred and assigned to DHS pursuant to the terms hereof or (b) otherwise has the right to grant to DHS the licenses granted herein without violating any rights to any third party.

As of the effective date of the Contract, 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 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.

If any deliverable is subject to a separate shrink-wrap or click-wrap license, DHS' operation of such deliverable (including, without limitation, opening the shrink-wrapped package or clicking "accept" or "OK" or the like) shall not limit any of DHS' rights or Vendor's obligations under the Contract, except as specifically set forth in the Contract or in a writing signed by DHS and Vendor.

Vendor may, only upon receipt of prior written approval by DHS, (a) incorporate any open source software into, or combine open source software with, the deliverables or use open source software to provide the deliverables; or (b) distribute open source software in conjunction with or for use with the deliverables.

Documentation provided by Vendor under the Contract shall be in sufficient detail so as to allow technical personnel of DHS to understand the operation of the deliverables. 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.

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

6.1.7 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.

6.1.8 Insurance

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, 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. Vendor shall complete and submit the Insurance Requirement Certification as provided in Template T-15 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 Proposals. It will be a requirement when 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, Hawaii Revised Statutes, 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 19. 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:

- “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 thirty (30 days) written notice has been given to the State of Hawaii, Department of Human Services.”

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

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, 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, Vendor, upon renewal of the policy shall promptly provide to DHS an updated Liability certificate of insurance.

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, Alfredo Lee (see Section 1.2).

Failure of 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 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, Vendor agrees to require its subcontractors to obtain insurance in accordance with this section.

6.1.9 Standards of Conduct

Vendor shall execute the Vendor's Standards of Conduct Declaration, a copy of which is found in Template T-15, and which shall become part of the Contract between the Vendor and DHS.

6.1.10 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.

6.1.11 Use of Funds

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.

6.1.12 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.

6.1.13 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, 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.

6.1.14 Sovereign Immunity

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

6.1.15 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.

6.2 Employees and Subcontractors

6.2.1 Vendor Employee Background Checks

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

6.2.2 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 Vendors performing services. Vendor shall complete and submit the Wage Certification as provided in Template T-15 of the RFP, pursuant to Section 103-55, HRS.

6.2.3 Subcontractors / Provider Agreements

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 Vendor enters into with respect to the performance under this Contract shall in any way relieve Vendor of any responsibility for any performance required of it by this Contract. 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. Vendor shall designate itself as the sole point of recovery for any subcontractor or provider.

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 6.3.1, 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 Engagement, Vendor must ensure that DHS is properly licensed for all software at no additional cost to DHS (other than as stated in the Proposal).

6.2.4 Employment of State Personnel

Vendor shall not knowingly engage any person(s) who are or have been employed within the past two 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.

6.3 Security and Confidentiality

6.3.1 Confidentiality of Information

In addition to the requirement of General Conditions 24 and 42, Vendor understands that the use and disclosure of information concerning applicants, enrollees or members is restricted to purposes directly connected with the administration of the Benefits Eligibility Solution Engagement, 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.

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

Access to any confidential information shall be limited by 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.

Vendor is responsible for knowing and understanding General Conditions 24 and 42, the confidentiality laws listed above, as well as any other applicable laws.

If determined applicable, Vendor is a "business associate" of DHS, as that term is defined under the HIPAA regulations, 45 CFR §160.103. Therefore, Vendor agrees to comply with the terms of the Business Associate Agreement (see Section 3 of Template T-15) which will be incorporated as part of the contract.

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.

Although DHS' desire is to share data between divisions whenever possible, Vendor will ensure the System will only share data between MQD and BESSD in compliance with all appropriate State and Federal laws and regulations.

6.3.2 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 System and Vendor's project team 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 (included in the Procurement Library, see Section 1.6), is provided to assist Vendor to develop and implement security controls in order to maintain a secure computing environment for the Engagement. Not all items on the Security Plan Checklist are mandatory, but each major section should be addressed in some form or another.

6.4 Invoicing, Payments, Taxes and Retainage

6.4.1 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. Proof of satisfactory completion, for purposes of this provision, will be made through a Deliverables Acceptance Document (DAD) prepared by Vendor. Signature blocks must be included for each deliverable, and it will be signed by 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.

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:

Mr. Alfredo Lee
Department of Human Services
Benefit, Employment and Support Services Division
820 Mililani Street, Suite 606
Honolulu, Hawaii 96813

6.4.2 Payments for Maintenance, Operations, and Modifications

In addition to the requirements of General Condition 17 of the General Conditions included in the Procurement Library, DHS will authorize payments of M&O services upon approved deliverables submitted by Vendor. M&O payments will be based on provisions for SLAs as described in Templates T-12 M&O Requirements of this RFP.

M&O payments will be aligned with the deliverables outlined in Sections 3.5.3.3 and 3.5.3.4.

6.4.3 Retainage

Vendor should be aware that DHS will retain 5% of the total amount due on each invoice subject to relevant laws.

6.5 Performance, Damages, Losses and Sanctions

6.5.1 Performance Bond

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

6.5.2 Liquidated Damages

When Vendor is given notice of delay or nonperformance as specified in General Conditions Section 13 (Termination for Default) and fails to cure in the time specified, it is agreed Vendor shall pay to the State as liquidated damages the amount as agreed to by the parties from the date set for cure until either (i) the State reasonably obtains similar goods or services, or both, if Vendor is terminated for default, or (ii) until Vendor provides the goods or services, or both, if

Vendor is not terminated for default. To the extent that Vendor's delay or nonperformance is excused under General Conditions Section 13d (Excuse for Nonperformance or Delayed Performance), liquidated damages shall not be assessable against Vendor. Vendor remains liable for damages caused other than by delay.

DHS may offset amounts due as liquidated damages against any monies due to Vendor under the Contract. DHS will notify Vendor in writing of any claim for liquidated damages before the date State deducts such sums from money payable to Vendor. Any liquidated damages assessed are in addition to and not in limitation of any other rights or remedies of DHS.

6.5.3 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.

6.5.4 Sanctions

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.

6.5.5 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.

6.6 Ownership, Certification, and Technical Requirements

6.6.1 System Ownership

In addition to General Conditions Section 26, Ownership Rights and Copyright, Vendor shall comply with 7 CFR 277.18(l), Ownership Rights and 45 CFR 95.617, Software and Ownership Rights.

The Federal Government reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish or otherwise use and to authorize others to use for Federal Government purposes, such software, modifications and documentation. The source code, documentation,

database schema, and other supporting components must be made available for Federal Government purposes such as system analysis and/or transfer.

6.6.2 Accessibility

All deliverables must be designed and implemented in compliance with the Electronic and Information Technology Accessibility Standards associated with Section 508 of the Rehabilitation Act. DHS reserves the right to test deliverables to validate claims regarding Section 508 compliance.

6.6.3 Conformance with Federal Regulations

Any provision of the Contract which is in conflict with the Federal statutes, regulations, or guidance is hereby amended to conform to the provisions of those laws, regulations, and policy. Such amendment of the Contract will be effective on the effective date of the statutes or regulations necessitating it, and will be binding on the parties even though such amendment may not have been reduced to writing and formally agreed upon and executed by the parties.

In addition to other agency, state or federal rules or regulations, Vendor must comply with the federal procurement clauses in Appendix F of the FNS Handbook 901.

6.6.4 System Testing

Vendor shall prepare a test plan for DHS approval and perform system testing in accordance to Sections 2.3.2.1.8 and 5.5 of the FNS Handbook 901. The types of testing to be performed, in conjunction with DHS personnel or third-party Vendors, must include, but are not limited to, unit testing, integration testing, performance testing, end-to-end testing, regression testing, UAT, and Pilot Testing. Go/No-Go Decision Points must be incorporated in the testing schedule. DHS or FNS may perform a System Functional Requirements Review before deployment of the software.

6.6.5 Inspection of Work Performed

In addition to the requirement of General Conditions 2.a., 45 CFR 95.615, Access to System and Records, and in accordance with HRS 103D-316, DHS and the Federal Government or their authorized representatives shall, during normal business hours, have the right to enter into the premises of the Vendor and/or all subcontractors and providers, or such other places where duties under the Contract are being performed, to inspect, monitor, or otherwise evaluate the work being performed. All inspections and evaluations shall be performed in such a manner as to not unduly delay the Vendor's work.

6.7 Operations

6.7.1 Operational Start Date

Vendor shall have the Solution fully operational on the date agreed in the final Contract. Fully operational means correctly processing all eligibility transactions, financial and other transactions; maintaining all system files; producing all required reports; supporting designated interfaces; and performing all responsibilities specified in this RFP for the maintenance and operation of the Solution.

Compliance with the date agreed in the final Contract is critical to the State meeting Federal requirements and deadlines. If, for any reason, Vendor does not fully meet the operational start date approved in the detailed work plan and a Contract modification delaying this date or

start-up of a portion of the processing requirements has not been approved, then Vendor shall be liable for all costs incurred by DHS to continue operation of the current legacy eligibility system (HAWI) as well as all Federal penalties. Vendor shall also forfeit all claims for reimbursement of monthly expenses or operational payments for that month and each month thereafter until DHS approves operational readiness. DHS recognizes that some functionality may be operational prior to the date agreed in the final Contract. If this occurs, the functionality may be activated early and Vendor will not be penalized for putting the functionality into operation if DHS approves operational readiness prior to the date agreed in the final Contract.

6.7.2 Rights Reserved

Once Vendor has been selected and the specific system configurations have been provided, DHS reserves the right to secure certain products from other existing State contracts if it is in its best interest to do so. This option is intended to enable DHS to take advantage of its purchasing power and would only apply to exact component(s) specified by Vendor in its Solution that the State can purchase with the same specifications. Examples might include a server or workstation productivity software specified by the Solution. If this option is exercised, then Vendor must be willing to integrate the acquisition and implementation of such products within the schedule and system under its Contract with no additional cost to DHS.

DHS' use of hardware or software obtained under this provision will not reduce or limit any of Vendor's obligations under the Contract or any of its warranties as to the performance or interoperability of all components of the Program or its warranties of deliverables (other than such third-party software or hardware provided by DHS).

6.7.3 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.

6.7.4 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.

6.7.5 Delivery and Schedule

During the initiation of the Engagement, 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 are 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.

6.7.6 Time is of the Essence

Time is of the essence with respect to Vendors' performances under the Contract.

As used herein "Time is of the essence" shall be defined to mean that Vendor will adhere to the mutually agreed upon schedule and milestones for Services, WorkProduct 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.

6.7.7 Quality Control

DHS may conduct quality control reviews throughout the term of the Contract to review and coordinate progress of the overall development and implementation of the Project. Vendor shall cooperate, participate and assist DHS in the performance of such quality control reviews. Such reviews may include, but are not limited to, design review, code review, architectural review, system performance review, a general review of each deliverable, and/or working with an IV&V Vendor or a ESI that has been assigned to the Project.

6.7.8 Application of Best Practices

In connection with the provision of all services and deliverables in connection with this Engagement, 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).

6.7.9 Re-Execution of Work

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 Vendor fails to comply, DHS reserves the right to engage in, and 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 Vendor.

DHS 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 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.

6.7.10 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 Vendor may be required. 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.

7.0 Glossary

A

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) APCS 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.

Advanced Encryption Standard (AES) A specification for the encryption of electronic data established by the NIST.

Advanced Security Option (ASO) A product of Oracle, ASO provides important preventive controls to protect sensitive data at the source.

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-to-Application (A2A) involves the exchange of messages between different systems / departments within one organization.

Application DDI Vendors refers to any and all vendors, such as the ASI Vendor and CCWIS Vendor, developing applications on the DHS Enterprise Platform.

Application System Integrator (ASI) Also refers to as the Integrated Eligibility / Benefits Management (IE / BM) Vendor provides DDI and M&O services to DHS applications.

Arizona Health Care Cost Containment System (AHCCCS) An Arizona Medicaid Agency with which DHS has an intergovernmental agreement with to use its Medicaid Management Information System to provide State of Hawaii required enrollment capabilities.

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 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.

Benefits Management (BM) The set of capabilities that support the identification, planning and tracking of benefits for DHS clients.

Best and Final Offer (BAFO) An optional activity (at the discretion of DHS) in this procurement to allow one or more vendors to provide a revised and more competitive proposal. It may be accompanied by revisions to scope or schedule based on events that occur during the procurement cycle.

Breast and Cervical Cancer Treatment and Prevention (BCCTP) Medicaid coverage available to individuals under age 65 with cancer or pre-cancerous conditions of the breast and cervix as allowed by Public Law 106-354.

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 Associate Agreement (BAA) A contract between a HIPAA covered entity and a HIPAA business associate (BA) that is used to protect health information (PHI) in accordance with HIPAA guidelines.

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.

Business Process Re-engineering Project (BPRP) A change initiative aimed to improve how BESSD delivers its services.

C

Case A Case is the collected information about an individual or household who have applied for or are receiving benefits or services. All members of a household are included in a single case under a designated case name who is assigned a case number. All other household members are linked to the case name and number. Each member of a household is associated with a case ID number.

Center for Consumer Information and Insurance Oversight (CCIIO) The Center for Consumer Information and Insurance Oversight is charged with helping implement many reforms of the ACA. CCIIO oversees the implementation of the provisions related to private health insurance. In particular, CCIIO is working with states to establish new Health Insurance marketplaces.

Centers for Disease Control and Prevention (CDC) A federal agency within the United States Department for Health and Human Services.

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

Child Support Enforcement Agency (CSEA) CSEA is a division of the Department of the Attorney General. The Hawaiian works in partnership with the Federal Office of Child Support Enforcement and other State and local agencies.

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.

Client Quality Management Assessment (CQMA) Assessments performed to capture the level of quality being delivered to the Client.

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 systems without the need for customization.

Connector Hawaii's State Based Insurance Exchange model, which is currently in the process of being closed down and the functionality moved to a special Federal partnership model.

Contract The binding agreement between DHS and the awarded Vendor.

Contract Administrator The role responsible for management of the Contract between DHS and the awarded Vendor.

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

Customer Relationship Management (CRM) Covers a broad set of applications and software to help organizations manage Client data and interaction.

D

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

Deliverables Expectations Document (DED) A document approved by DHS to guide the development of deliverables created by the Vendor.

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.

Department of Labor and Industrial Relations (DLIR) The State of Hawaii Department of Labor and Industrial Relations administers programs designed to increase the economic security, physical and economic well-being, and productivity of works, and to achieve good labor-management relations, including the administration of workers' compensation, employment security, apprenticeship training, wage and hour, and industrial relations laws. DLIR also develops, prepares and disseminates information on employment, unemployment and general labor market conditions.

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

DHS Enterprise 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

Disaster Recovery (DR) The use of alternative network circuits to re-establish communications channels in the event that the primary channels are disconnected or malfunctioning, and the methods and procedures for returning a data center to full operation after a catastrophic interruption (e.g., including recovery of lost data).

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, Blind, 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.

EBT Vendor The EBT Vendor manages the EBT and Direct Deposit transactions on behalf of BESSD. Currently, JPMorgan is BESSD's EBT Vendor, however it may change depending on future procurements of the service.

Electronic Case Folder (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.

Electronic Disqualified Recipient System (eDRS) The system maintains a database of SNAP recipients who have been disqualified for program violations.

Eligibility and feed for Enrollment (E&E) The capabilities to process applications from Medicaid or Child Health Insurance Program (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 Content Management (ECM) A formalized means of organizing and storing an organization's documents, and other content, that relate to the organization's processes.

Enterprise Platform Services Engagement The scope of work that provides hosting and M&O of the DHS Enterprise Platform and systems integrator / multi-integration services.

Enterprise Service Bus (ESB) A software construct found in a SOA that provides fundamental services via a messaging engine.

Enterprise System Integrator (ESI) Also referred to as the 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 Engagements and other in-stream initiatives

Extract, Transform and Load (ETL) A process in database usage and especially in data warehousing that: Extracts data from homogeneous or heterogeneous data sources; Transforms the data for storing it in proper format or structure for querying and analysis purpose; and Loads it into the final target

F

Federal Data Services Hub (FDSH) A tool used to facilitate the Patient Protection and Affordable Care Act health coverage program.

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.

Federally-Facilitated Marketplace (FFM) operates in states that have chosen not to build their own insurance Marketplace. The FFM developed by CMS is meant to be easily adapted to meet the needs of any state that chooses to utilize this model on a temporary or permanent basis.

Fee-For-Service (FFS) A payment model where services are unbundled and paid for separately.

Financial Accounting Management and Information System (FAMIS) FAMIS is the State of Hawaii accounting System.

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 Health Connector (HHC) A nonprofit legal entity created by Hawaii Legislature in 2011 that is responsible for complying with the mandates required within the ACA, including the implementation of a Health Insurance Exchange to facilitate access to affordable health insurance coverage for all citizens of the State of Hawaii.

Hawaii Prepaid Medical Management information System (HPMMIS) A system operated by the Arizona Health Care Cost Containment System that processes plan enrollment rules, generates plan rosters including capitation payment calculations for health plans, and generates enrollment notices for Medicaid beneficiaries. HPMMIS also processes claims and encounters for MQD, Public Safety and the Hawaii Youth Correctional Facility.

Hawaii Random Moment Study (HRMS) An application that tracks system usage so costs can be allocated between programs based on usage.

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

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.

Human Resource Management Information System Enterprise system which manages information related to the employees of an organization including benefits administration, payroll, recruiting and training, and performance analysis and review into one package.

I

Independent Verification and Validation (IV&V) Third party vendor that oversees the Project to ensure quality and timely delivery.

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.

Informed Consent A process by which the Client and another entity (e.g. a provider) agrees to the use of the Client's protected or personal information. The resulting agreement must stipulate at least the persons / entities authorized to use the information, what the information is authorized to be used for, the dates within which the information may be used and acceptable overrides, caveats, exceptions, etc.

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 / Benefits Management (IE / BM) Vendor The awarded ASI Vendor 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.

Interactive Voice Response (IVR) IVR is a technology that allows a computer to interact with humans through the use of voice and DTMF tones input via keypad.

Internal Revenue Service (IRS) Tax agency for the federal government

Internet Protocol (IP) Method or protocol by which data is sent from one computer to another on the Internet.

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).

KEIKI KEIKI is Hawaii's Child Support Enforcement Agency's (CSEA's) automated system.

Key Performance Indicators (KPIs) is a type of performance measurement that evaluates the success of an organization or of a particular activity in which it engages.

L

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

Level 1 Support Register and classify received Incidents, triage and undertake an immediate effort in order to restore a failed IT service as quickly as possible. Level 1 support will resolve incidents where possible (e.g. password resets). If no solution can be easily identified, Level 1 support will transfer the Incident to Level 2 support. Level 1 support also keeps users informed about their Incidents' status at agreed intervals.

Level 2 Support Manage incidents which cannot be solved immediately with the means of Level 1 support. This team typically has multiple years of experience with the technology. If necessary, it will request external support (e.g. from software or hardware manufacturers) if required.

Level 3 Support Level 3 support is typically comprised of specialists in a specific technology, provided as part of a third-party supplier's support contract. Its services are requested by Level 2 support if required for solving an Incident.

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.

Master Data Management (MDM) is a technology-enabled discipline in which business and IT work together to ensure the uniformity, accuracy, stewardship, semantic consistency and accountability of the enterprise's official shared master data assets. Master data is the consistent and uniform set of identifiers and extended attributes that describes the core entities of the enterprise including customers, prospects, citizens, suppliers, sites, hierarchies and chart of accounts.

Med-QUEST (MQD) A division within the State of Hawaii DHS, it provides Medicaid and Child Health Insurance Program 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.

Medical Evaluation Service Provider CYRCA, Inc. is the Vendor who is responsible for providing medical and psychiatric evaluation and medical board determination services for the Benefit, Employment and Support Services Division to determine and certify an individual's disability, if a GA, TANF or TAONF adult recipient is disabled and the extent of the disability.

Medicaid Management Information System (MMIS) The primary claiming and payment system for a Medicaid agency.

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 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 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.

On-line Analytical Processing (OLAP) Client and server-based analysis tools, allowing for complex analytical and ad-hoc queries with a rapid execution time.

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

Payment Error Rate Measurement (PERM) An audit conducted by the Centers for Medicare and Medicaid Services, the PERM audit reviews improper payments based on eligibility determinations, data processing and medical necessity of claims paid.

Personally Identifiable Information (PII) Information that can be used on its own or with other information to identify, contact, or location a single person, or to identify an individual in context.

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.

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 negotiation 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”

Project Information Library (PIL) A comprehensive collection of Project documentation.

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.

Project Plan Also referred to as a work plan, it is a formal, approved document used to broadly guide project execution and facilitate communication among stakeholders. The project plan describes in general scope, cost, and schedule baselines.

Proposal The document submitted by interested vendors that outlines their solutions to meet the needs of DHS as outlined in the RFP and the cost to do so.

Protected Health Information (PHI) Any information about health status, provision of health care, or payment for health care that can be linked to a specific individual.

Public Assistance Reporting Information System (PARIS) Through a federal-state partnership, the PARIS provides a list of individuals who may have or are receiving benefits in other states. Through this listing, states are able to ensure the integrity of the public assistance programs by detecting and deterring improper payments to individuals who are located in other states and may be receiving benefits through that state as well.

Q

Quality Assurance (QA) This is a process-centered approach to ensuring that the organization is providing the best possible products or services.

Quality Control (QC) This is a procedure (or set of procedures) intended to ensure that product and service delivery adheres to a defined set of quality criteria.

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.

Recovery Point Objective (RPO) is the age of files that must be recovered from backup storage for normal operations to resume if a computer, system, or network goes down as a result of a hardware, program, or communications failure.

Recovery Time Objective (RTO) is the targeted duration of time and service level within which a business process must be restored after a disaster (or disruption) in order to avoid unacceptable consequences associated with a break in business continuity.

Remote Access (RA) The ability to access a computer or network from a remote distance/location.

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.

Role-Based Access Control (RBAC) An appropriate to restricting system access to authorized users.

Root Cause Analysis (RCA) is a method of problem solving that tries to identify the root causes of faults or problems. A root cause is a cause that once removed from the problem fault sequence, prevents the final undesirable event from recurring.

S

Scope of Work (SOW) The scope of the products and services requested through this procurement as outlined in the 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) An agreement between two parties of the level of service one will provide to the other.

Service-Level Requirement (SLR) 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.

Service Provider Service Provider is any third party service provider, program or entity who may provide services directly to a Client.

Siebel Customer Relationship Management (CRM) An Oracle application that combines transactional, analytical, and engagement features.

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.

Supplemental Security Income (SSI) A program through the SSA that pays benefits to disabled adults and children with limited income and resources.

Support Services Plan (SSP) Signed, written agreement between the Client and the Department that outlines the services to be provided by the Department.

Systemic Alien Verification for Entitlements (SAVE) SAVE is the U.S. Department of Homeland Security's service that helps federal, state, and local benefit-issuing agencies, institutions, and licensing agencies to determine the immigration status of benefit so only those entitled to benefits receive them. The SAVE Program has access to immigration status information from more than 100 million records contained in the Department of Homeland Security databases.

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.

Third Party Liabilities The legal liability of third parties to pay for services provided under a plan.

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. Also called beta testing, application testing, and end-user testing

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 award winning vendor.

Virtual Local Area Network (VLAN) A network of computers that behave as if they are connected to the same wire even though they may actually be physically located on different segments of a LAN.

W

Web Services Description Language (WSDL) An XML-based language that provides a model for describing Web Services.

Wide Area Network (WAN) A computer network that covers a broad area (i.e., any network whose communications links cross metropolitan, regional, or national boundaries).

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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