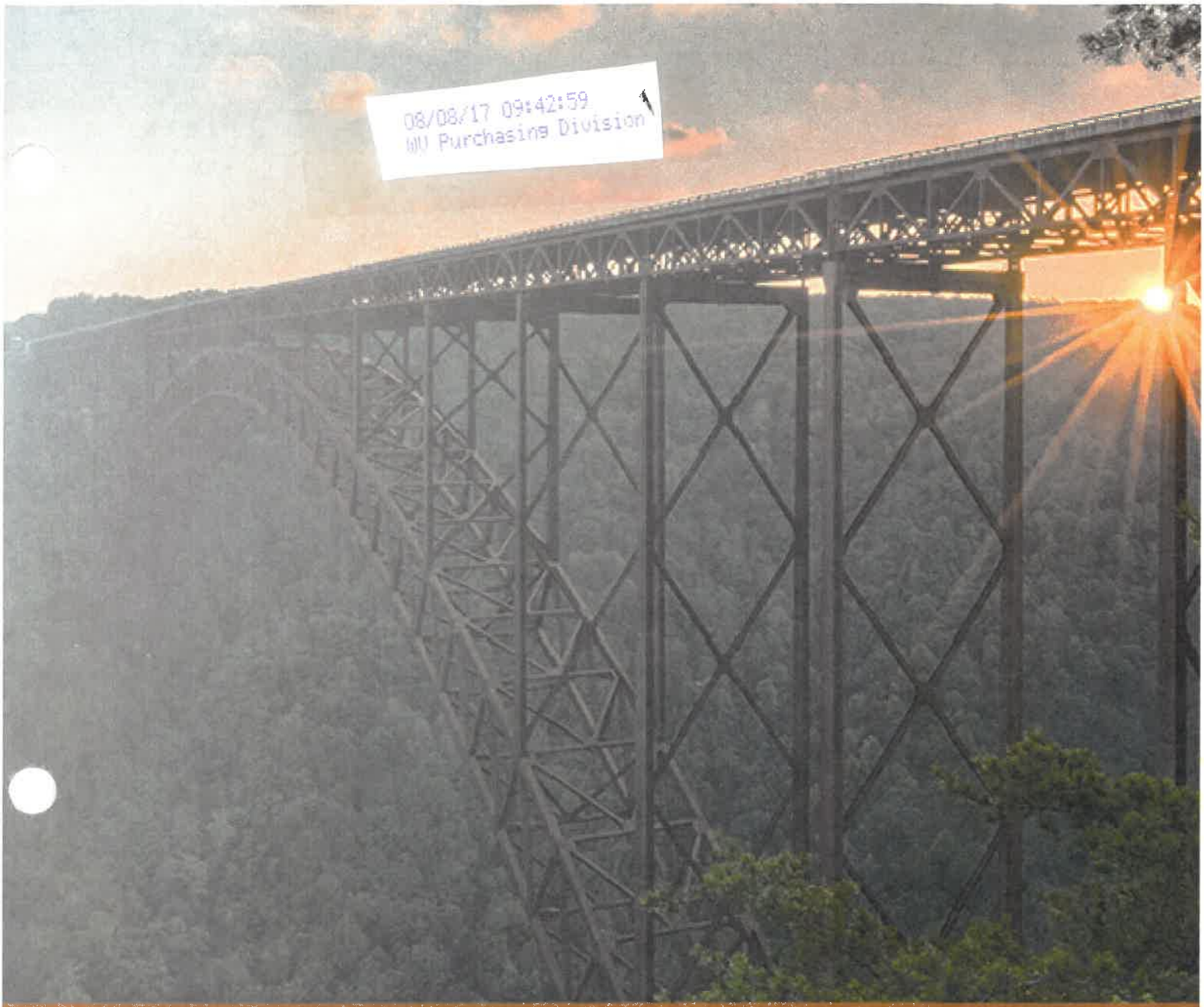


State of West Virginia

Department of Health & Human Resources

Date
August 8, 2017

Integrated Eligibility Solution (IES)

Technical Proposal
Solicitation No.: CRFP 0511 HHR1700000004

Contact
David Smith
VP, Business Development
Optum
The Geary Plaza
700 Washington Street
Charleston, WV 25301
T. (770) 329-8101
tdavid.smith@optum.com

At a glance...



The Optum Difference

Optum will be your strategic partner. We will adopt your passion, urgency and commitment to achieve better outcomes for West Virginians across all their health and human services' needs.

Page 1

Achieving Shared Use

The Integrated Eligibility Solution (IES) proposed by Optum will enable broad shared use of proven, modular components and leveraging technology already in place supporting DHHR today.

Page 41

Modernization

Our proposed IES includes independent modules that will provide you the flexibility to quickly configure added functionality, and modify modules as you face program additions and rapid policy change.

Page 68

Governance

Our governance model provides an overall framework to achieve your business outcomes for West Virginians and DHHR staff, in addition to excellence in system operations.

Page 104

Functional Requirements

Our proposed WV IES will meet all of your system requirements through an architecture that will support flexibility and lower maintenance costs for the life of the system.

Page 219

11000 Optum Circle | Eden Prairie, MN 55344 | phone: (888) 445-8745 | fax: (952) 917-7878 | www.optum.com

August 8, 2017

Ms. April Battle
Department of Administration, Purchasing Division
2019 Washington Street East
Charleston, WV 25305-0130

RE: Integrated Eligibility Solution (IES) – CRFP 0511 HHR1700000004

Dear Ms. Battle:

Optum[1] is pleased to submit this response to West Virginia's Integrated Eligibility Solution (IES) RFP.

Optum greatly values our relationship with the State of West Virginia, Department of Health and Human Resources. As your partner supporting your current integrated eligibility system, RAPIDS, we have demonstrated that we will consistently adopt your urgency and commitment to achieve better outcomes for West Virginians. In collaboration with you, we accomplished a seamless transition of RAPIDS in less than one month, and have successfully delivered results desired by DHHR throughout our relationship over the past year and a half.

We appreciate the opportunity to propose an innovative strategy for the future of your Integrated Eligibility Solution (IES). The Optum solution was built to meet your and CMS' objectives to leverage existing, proven, modular technologies, giving you the flexibility to continuously modify capabilities or meet changing federal and State requirements for the life of the IES. We offer our solution with a team of partners including CGI, Flexi, HCL, and PCG. Together, we will use our understanding of your needs, your technology environment, to achieve your goals for shared use and modernization of your IES.

Optum serves the entire health and human services system: those who need care, those who provide care, and those who pay for care. We are a $83 billion company with nearly 132,000 employees providing health and human services solutions that are used by more than 47 states and the District of Columbia. Optum has successful experience with large, high-visibility, Health and Human Services (HHS) technology projects with very strict deadlines and budgets. Our national experience includes work for healthcare.gov and four states to oversee, manage, design, and implement complex eligibility systems integration projects, all of which were completed on time and on budget.

We have received recognition from these clients for our unique ability to manage very complex implementations while focusing on the operational, business and customer impacts of new technology. We will take that same governance approach to your IES. We will focus on achieving your business outcomes for citizens and DHHR staff with your broader stakeholder audience, in addition to achieving best practice in system operations.

Lastly, Optum brings you the broadest set of capabilities to help you to impact health and human services delivery in West Virginia than any other partner you can select. We are proud

[1] The legal name of the bidder is OptumInsight, Inc. and has adopted the brand "Optum" as part of a leading health services business. Optum includes business under three Optum divisions OptumInsight, OptumHealth, and OptumRX.

of our in-state local presence. More than 500 West Virginians work for Optum and our parent organization, UnitedHealth Group, including employees and contractors of Optum companies. UnitedHealth Group chose Charleston as a hub for our national nurse advice line service. The Lewin Group has supported West Virginia in administering its Medicaid program for more than 15 years. Through Urgent Care MSO, an Optum company headquartered in Morgantown, we provide administrative support to MedExpress. MedExpress is a neighborhood urgent care medical center with 27 locations in West Virginia and many more nationally.

Optum is pleased to have the opportunity to invest in West Virginians on the current RAPIDS integrated eligibility project, as well as other projects. Recently we invested more than $1.5 million to lease and upgrade office space in Charleston and we will expand this space if awarded this contract. UnitedHealth Group's annual investment in West Virginia is over $33 million, and United Health Group Foundation was proud to provide $500,000 to help Launch Homes in West Virginia rebuild homes and communities affected by flooding. We are the committed partner West Virginia is looking for over the next 10 years.

Please contact David Smith, our Client Relationship Executive, if you require further information or have any questions regarding our proposal. You can contact Mr. Smith by email at TDavid.Smith@optum.com or by telephone at (770) 329-8101.

Sincerely,

Jean C Benson

Jean Benson

Senior Vice President, Optum Corporate Finance

Title Page

RFP Subject	Integrated Eligibility Solution (IES)
RFP Number	CRFP 0511 HHR1700000004
Vendor's Name	OptumInsight, Inc.
Business Address	The Geary Plaza 700 Washington Street Charleston, WV 25301
Telephone Number	(770) 329-8101
Fax Number	(202) 383-6412
Contact Person	David Smith
E-mail Address	TDavid.Smith@optum.com

Jean C Benson

Vendor Signature

August 8, 2017

Date

Table of Contents

Title Page iii
Table of Contents iv
3. Attachment A: Vendor Response Sheet 1
3.1 Corporate Qualifications and Experience 1
3.1.1 Business Organization 6
3.1.2 Vendor Capacity, Qualifications, References and Experience 8
3.2 Project Staffing 20
3.2.1 Key Staff 21
3.2.2 Support Staff 25
3.2.3 Other DDI Staff 27
3.2.4 Staffing Vendor Response Requirements 33
4. RFP Section Four: Goals 40
4.1 Goal 1: Shared Use 41
4.1.1 Objective: Interfacing with the Data Warehouse 43
4.1.2 Objective: Reusability 47
4.2 Goal 2: Modernization 68
4.2.1 Objective: Enterprise Hosted Solution 69
4.2.2 Objective: Proven Solution 82
4.2.3 Objective: Design, Development, and Implementation (DDI) Schedule 90
4.2.4 Objective: Automation 98
4.3 Goal 3: Common Governance Structure 104
4.3.1 Objective Project Management 106
4.3.2 Objective: Quality Management 115
4.3.3 Objective: Requirements Analysis and System Design 123
4.3.4 Objective: Development 135
4.3.5 Objective: Testing 143
4.3.6 Objective: Data Conversion 158
4.3.7 Objective: System User Training 169
4.3.8 Objective: Implementation Readiness 176
4.3.9 Objective: Operations 181
4.3.10 Objective: Turnover and Closeout 192
4.3.11 Objective: Inventories of Reports, Forms/Notices/Letters, and Alerts 197
4.3.12 Objective: Business Process Models/Mapping 199
4.3.13 Objective: Enterprise Reporting Capability 205
4.4 Goal 4: Completion of Functional Requirements 219
4.4.1 Alignment of Business Areas to Solution Modules 222

4.4.2 Client Management Module 223
4.4.3 Service Management Module 240
4.4.4 Financial Management Module 249
4.4.5 Training Management Module 258
4.4.6 Enabling Services Module 261
4.4.7 Service Level Agreements Appendix VIII 280
5. Attachment B: Mandatory Specification Checklist 1

List of Figures

Figure 3.1-1. Who We Serve: Current Optum State Government Clients. 1
Figure 3.1-2: Optum Platform Connections. 2
Figure 3.1-3: Partners for WV IES. 3
Figure 3.1-4: Optum Team Experience 5
Figure 3.1-5: Optum Business Landscape 7
Figure 3.1-6: Optum Corporate Organization Chart. 8
Figure 3.2-1: DDI Organization Chart. 34
Figure 3.2-2: M&O Organization Chart 35
Figure 4.1-1: The new WV IES. 41
Figure 4.1-2: OIL 42
Figure 4.1-3: WV IES Modules 43
Figure 4.1-4: Interfacing with the data warehouse 44
Figure 4.1-5: Solution Context Diagram 48
Figure 4.1-6: Proposed multi-tier service architecture for the Optum WV IES platform. 50
Figure 4.1-7: ESB Interaction with the Business Rules Engine (BRE). 53
Figure 4.1-8: Business Rule Editor Module 54
Figure 4.1-9: Business Rule Editor Module 54
Figure 4.1-10: Tasks Book an Appointment Page. 56
Figure 4.1-11: Book an Appointment Confirmation Message. 56
Figure 4.1-12: Demographics Dashboard. 59
Figure 4.1-13: The Child Support Dashboard. 60
Figure 4.1-14: Integration Strategy and Points. 62
Figure 4.1-15: Module Diagram and Integration Strategy 62
Figure 4.2-1: Optum Hosting. 72
Figure 4.2-2: N-Tier Technology. 73
Figure 4.2-3: Enrollment Review Process. 77
Figure 4.2-4: Application submission process. 78
Figure 4.2-5: Workflow Management Process. 79
Figure 4.2-6: Optum ID. 80

Figure 4.2-7: WV IES Modules. 82
Figure 4.2-8:The Child Support Client Portal Homepage. 84
Figure 4.2-9: Project Timeline. 97
Figure 4.2-10: Client Portal Web Page Example. 101
Figure 4.2-11: Current DHHR access. 101
Figure 4.3-1: Optum's Corporate Mission. 106
Figure 4.3-2: Optum PMO Team and Administrative Activities. 108
Figure 4.3-3: Integrated Project Management and Governance Model. 109
Figure 4.3-4: Project Health Status. 111
Figure 4.3-5: Issue Escalation Process. 111
Figure 4.3-6: Optum Delivery Model. 112
Figure 4.3-7: Project Management Plan. 113
Figure 4.3-8: Integrated Master Schedule Development. 113
Figure 4.3-9: Optum Quality Processes and Standards. 116
Figure 4.3-10: Optum Quality Processes. 116
Figure 4.3-11: Quality Management Tools—Example Dashboard. 119
Figure 4.3-12: Optum decision process. 124
Figure 4.3-13: SAFe Framework. 126
Figure 4.3-14: Requirements Analysis Overview 130
Figure 4.3-15: DevOps integrated eligibility framework. 138
Figure 4.3-16: Test Execution by Test Phase Identification and Tracking Tool. 145
Figure 4.3-17: Rules Engine Testing Approach. 147
Figure 4.3-18: Sample Quality Testing Process. 151
Figure 4.3-19: Automation Testing Framework 153
Figure 4.3-20: Defect Management Process. 155
Figure 4.3-21: Sample Test Progress Report. 156
Figure 4.3-22: Day-Over-Day Report 157
Figure 4.3-23: Optum Data Conversion Methodology. 159
Figure 4.3-24: Continuous Quality Improvement Approach 171
Figure 4.3-25: Implementation Planning Approach. 178
Figure 4.3-26: Optum Operations Approach. 182
Figure 4.3-27: Optum Service Delivery Model. 183
Figure 4.3-28: Optum Routine System M&O Activities. 184
Figure 4.3-29: Types of Changes. 186
Figure 4.3-30: CommunicationForce Technology. 188
Figure 4.3-31: Visual Report Example. 188
Figure 4.3-32: Impact Communicator 189
Figure 4.3-33: Optum EquiKNOX Turnover Methodology. 194

Figure 4.3-34: MITA Lifecycle Model. 200
Figure 4.3-35: Approach to creating new Business Process Models. 201
Figure 4.3-36: MITA Business Architecture Elements Relationship. 202
Figure 4.3-37: BPM Management Process. 205
Figure 4.3-38: Approach to Enterprise Reporting. 207
Figure 4.3-39: Consolidated Reporting User Interface. 207
Figure 4.3-40: Applications Dashboard. 212
Figure 4.3-41: Applications Processing Dashboard. 213
Figure 4.3-42: Demographics Dashboard. 214
Figure 4.3-43: CMS Performance Indicator Dashboard. 215
Figure 4.3-44: TANF Work Participation Rate Dashboard. 216
Figure 4.3-45: TANF Case Closure Report. 217
Figure 4.3-46: SNAP Payment Error Rate Dashboard. 218
Figure 4.4-1: Optum WV IES Framework. 223
Figure 4.4-2: Client Portal. 224
Figure 4.4-3: Member Entry into the Client Portal. 224
Figure 4.4-4: Client Portal Benefit Catalog. 225
Figure 4.4-5: Child Support Calculator. 225
Figure 4.4-6: Social Services Journey: Overview 227
Figure 4.4-7: Agency Portal Tasks. 229
Figure 4.4-8: Agency Alerts. 229
Figure 4.4-9: Application Intake Page. 230
Figure 4.4-10: Single-click Navigation. 230
Figure 4.4-11: Optum IE BRE SNAP Eligibility Rule. 232
Figure 4.4-12: Link Case. 238
Figure 4.4-13: Case/Application Assignment Workflow. 239
Figure 4.4-14: Placement Request Page Example. 243
Figure 4.4-15: NYTD Survey Details Page Example. 245
Figure 4.4-16: Example of a Legal Action. 246
Figure 4.4-17: Legal Action Example for Court Hearings. 247
Figure 4.4-18: Creating an Adoption Case. 248
Figure 4.4-19: Adoptions Checklist. 249
Figure 4.4-20: Accounts Payable Processing. 251
Figure 4.4-21: Establishing DHHR Services. 255
Figure 4.4-22: Viewing Payment Requests Roster. 256
Figure 4.4-23: Setting a Repayment Plan. 257
Figure 4.4-24: Payment Adjustments. 257
Figure 4.4-25: Organization Change Management Process. 260

Figure 4.4-26: Business Correspondence Workflow. 269
Figure 4.4-27: Access to Documents through the Client Portal. 270
Figure 4.4-28: Client Portal Messaging. 271
Figure 4.4-29: Notice Access through the Agency Portal. 271
Figure 4.4-30: Uploading Documents from the Client Portal. 272
Figure 4.4-31: Uploading Documents from the Agency Portal. 273
Figure 4.4-32: Technical Support Call Center Overview. 278

Appendices

Appendix 1: Certification and Signature Page
Appendix 2: Addendum Acknowledgement Form
Appendix 3: Purchasing Affidavit
Appendix 4: Resumes, Staff Certifications, and Letters of Intent
Appendix 5: Appendices VI, VII
Appendix 6: Project Management Plan Draft Deliverables
Appendix 7: Exceptions and Clarifications
Appendix 8: WVIE System Context Diagram
Appendix 9: Vermont Case Study

3. Attachment A: Vendor Response Sheet

3.1 Corporate Qualifications and Experience

Our mission is to help make Health and Human Services (HHS) work better for everyone: those who need services, those who provide services, and those who pay for services.

Optum provides market-leading capabilities focused on tackling the biggest HHS challenges. The Optum platform delivers a low-risk, innovative, high value, outcomes-based solution. We can manage very complex implementations while focusing on the operational, department, bureau and customer impacts of new technology.

Our platform enables government customers of every size and complexity to efficiently run their HHS programs. Over the 10 years of this West Virginia Integrated Eligibility Solution (WV IES) contract, DHHR will benefit from the platform capabilities Optum will continually improve. Our size, scale, investments and long-term commitment to HHS in both West Virginia and the broader state marketplace make us the best vendor to deliver your IES. We are an $83 billion company with nearly 132,000 employees. In 2016, we invested nearly $3.2 billion in technology and innovation including multi-millions in our integrated eligibility platform. Optum has more than 25,000 technology professionals. More than 2,000 of these professionals have skills sets relevant to the scope specified in this RFP. Our HHS platform solutions are used in 47 states and the District of Columbia. We work with HHS entities in 110 state, federal and municipal agencies, as well as many non-profit associations and organizations.

Optum has successful experience with large, high-visibility, HHS technology projects with strict deadlines and budgets. Our recent eligibility systems and operations experience includes managing multi-vendor engagements. This includes serving healthcare.gov as the prime contractor and operator of the Federal Data Services Hub. We have worked with Massachusetts, Vermont, Maryland and West Virginia to oversee, manage, design and implement complex eligibility systems integration projects. We delivered on all of these projects on time and on budget. **Figure 3.1-1** shows our state clients for all solutions and services.

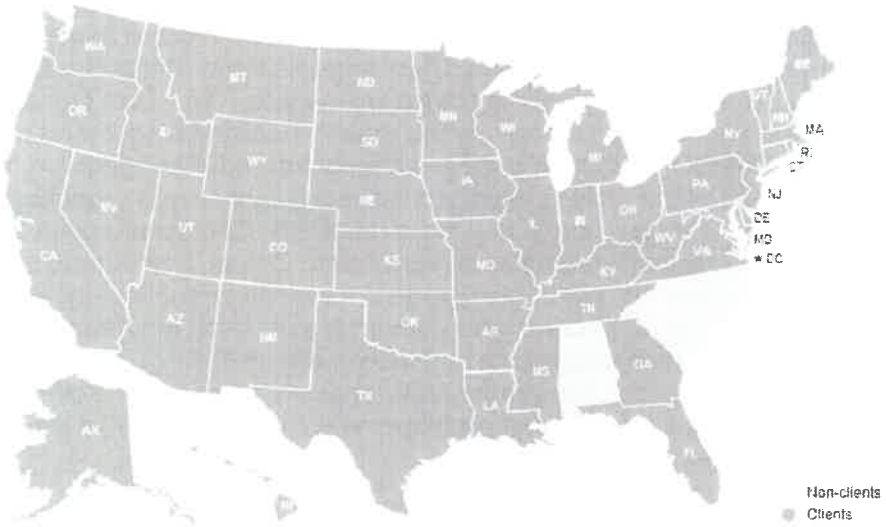


Figure 3.1-1. Who We Serve: Current Optum State Government Clients.
Optum currently supports HHS programs in 47 states and the District of Columbia.

We understand that the HHS platform needs to enable State workers and engage members to improve outcomes. In addition to our WV IES, we are separately investing in infrastructure to address the social health determinants that are critical to an individual's well-being. We will continue to innovate throughout this contract by providing infrastructure that enables community providers to be more effective and help individuals live healthier lives. We foresee a day when the new WV IES will interact with other Optum platform services such as the ones shown in **Figure 3.1-2** to improve outcomes for West Virginians.



Figure 3.1-2: Optum Platform Connections.
Optum's platform strategy includes connecting individuals and families to needed services.

Optum is certified by CMS as a Quality Improvement Organization (QIO)-like entity. This means that CMS recognizes that we operate with quality and operational excellence from both a systems and service delivery perspective. We have many quality-related certifications, including NCQA and URAC. We also are CMMI level IV certified and follow ITIL and IEEE standards. We will bring a combination of technology and operational best practices to the new WV IES.

Optum has a broader set of capabilities to help impact HHS delivery in West Virginia than any other partner you can select. We are proud of our local State presence. More than 400 West Virginians work for Optum and our parent organization, UnitedHealth Group. UnitedHealth Group chose Charleston as a hub for our national nurse advice line service. The Lewin Group, an Optum affiliate, has supported West Virginia in administering the State's Medicaid program for more than 15 years. Through Urgent Care MSO, an Optum company headquartered in Morgantown, we provide administrative support to MedExpress. MedExpress is a neighborhood urgent care medical center with 27 locations in West Virginia and many more nationally. Centers are open 12 hours a day, 7 days a week to meet customers' urgent care needs. With Optum, DHHR has an opportunity to enhance access to the new WV IES in MedExpress' locations throughout the State for MedExpress visitors who may be eligible for HHS benefits. Optum is submitting the Vendor Preference Certificate in our cost proposal response in connection with its IES bid, pursuant to Section 3, Item 15 in the RFP. Optum is claiming the vendor preference on the basis of Urgent Care MSO, LLC, the wholly owned management services organization and Optum subsidiary which has an office and more than 100 employees in West Virginia.

Optum is pleased to have the opportunity to support West Virginians through the current RAPIDS integrated eligibility project, as well as other projects. Recently, we invested more than $1.5 million to lease and upgrade office space in Charleston. We will expand this space if awarded this contract. UnitedHealth Group's annual investment in West Virginia is over $33 million. The United Health Group Foundation was proud to provide $500,000 to help Launch Homes in West Virginia rebuild

homes and communities affected by flooding. We are the committed IES vendor that West Virginia needs for the next 10 years.

Our Partners

Optum has selected partners who have experience working successfully with your systems in the State of West Virginia. Our partners are CGI, Public Consulting Group (PCG), Flexi International Software (Flexi), and HCL Technologies (HCL). This team, led by Optum, provides DHHR the most comprehensive expertise and talent serving the HHS market. In **Figure 3.1-3**, we describe our five-module solution, including the four mandatory modules prescribed by DHHR and the partners responsible for each. CGI, Flexi, and PCG are our partners in providing these modules. As stipulated in the RFP, no partner provides more than half of the mandatory modules and no partner provides more than two of the mandatory modules. Additionally, we are including HCL to assist with modernization of OSCAR.

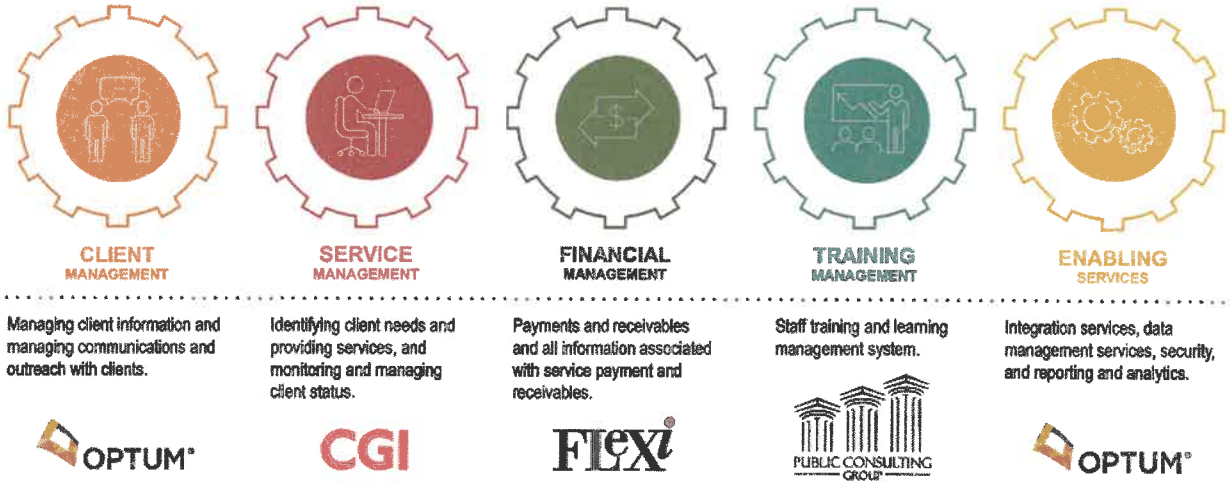


Figure 3.1-3: Partners for WV IES.
We selected partners with experience working with West Virginia systems.

CGI: Founded in 1976, CGI Group Inc. is one of the largest information technology (IT) and business process services firm in the world with Can$10.7 billion in annual revenue and 70,000 staff members worldwide. CGI's priority is meeting the needs of clients and implements technology that transforms business environments. CGI offers services within focused industries where extensive domain expertise supports the needs of users. CGI partners with clients to anticipate and deliver solutions that address ever-changing industry norms.

Customer **Quote**

"By replacing nearly 100 different administrative systems with wvOASIS, we are ensuring that West Virginia remains a model of fiscal responsibility, financial stability, and accountability to our citizens."

—Governor Tomblin, 2004

Government is the largest customer base for CGI, including hundreds of U.S. states, federal and large county agencies. Currently, CGI delivers more than 1,000 projects annually and has engaged in projects of similar size and complexity as the WV IES project since the late 1970s. The firm's significant HHS and Child Welfare experience promotes specialized expertise and in-depth technological knowledge.

CGI provides a full range of IT and business process services that include enterprise architecture, technology planning, application implementation and integration, project management, custom solutions design and application maintenance. This technical expertise combines with a strong foundation of business and program expertise in key HHS domains, including Child Support,

Medicaid, Eligibility Determination, and Child Welfare. CGI's priority is to empower our clients to achieve their programmatic and technology goals.

In 2011, West Virginia selected CGI as the prime vendor to implement wvOASIS, the State's Enterprise Resource Planning (ERP) system. Using a five-phased implementation roadmap, CGI's solution replaced and introduced new business functionality for budget development, human resources, payroll, procurement, financial, transportation and treasury management. It also replaced a number of systems maintained by agencies to track items, such as inventory, fixed assets, time and leave management, and real estate. The statewide implementation and deployment of wvOASIS was successfully completed in May 2017. The only functionality remaining to complete is Phase E, which is the Federal Highway Administration (FHWA) certification at the Department of Transportation. The benefits of wvOASIS include the following:

- Consolidating aging redundant administrative systems into one integrated system
- Providing significantly enhanced statewide reporting across state government
- Standardizing core business processes to improve access to information

Flexi: Flexi provides financial management solutions that incorporate the latest technological innovations. It offers a non-proprietary, feature-rich solution that is scalable to handle millions of transactions, yet remains flexible enough to handle the unique requirements of any customer. Flexi considers openness critical and its software applications can easily integrate with any system. With 25 years of experience and Flexi solutions installed at more than 800 locations worldwide, the firm has a long and successful record that customers rely upon for their financial management needs, even in the most complex environments.

Flexi's comprehensive financial management solution simplifies and automates the entire accounting workflow process, without compromising security. Its open, cloud-based architecture meets even the most stringent security requirements and allows data to flow seamlessly with any system, as business needs dictate. The captured data can be translated into meaningful, easy-to-understand information, enabling customers to make better financial decisions with confidence. Flexi solutions help increase productivity, reduce costs and provide the analytics needed to make informed decisions. In West Virginia, Flexi software is used within the MMIS solution implemented by Molina. Flexi provides software and consulting support as needed.

HCL: HCL is a leading global IT services company offering customers technology solutions that redefine their business operations for the digital age. The firm focuses on innovation and value creation, offering an integrated portfolio of services, including software-led IT solutions, remote infrastructure management, engineering and research and development, and business services. HCL leverages its extensive global infrastructure and network of offices in 32 countries. HCL provides holistic, multi-service delivery in key industry verticals, including financial services, consumer services, public services, and health care and life sciences.

HCL has many subject matter experts and offers services and solutions in the critical areas of population health management; health care analytics; patient support programs; member experience management; mobile health (mHealth) applications; fraud, waste and abuse management; ICD-10 transformation; drug discovery and development; clinical development; regulatory compliance; drug safety; and pharmacovigilance. At HCL, innovation is not just another word; it is part of the organizational heritage. The journey began in 1976 and continues to power the firm today.

PCG: PCG is a management consulting and technology firm dedicated to helping public sector health, human services, education, technology and other government clients achieve their performance goals and better serve populations in need. Over 95 percent of the firm's work is with state and local governments within the United States. PCG has assisted state HHS agencies plan, manage and implement their integrated eligibility, child welfare, child care subsidy management and

child support projects in 18 states. This includes providing PMO, feasibility study, procurement support, IV&V, quality assurance, training, organizational change management, and cost allocation services.

With offices in Charlestown and Morgantown, PCG has had a phsycial presence in West Virginia for over 15 years and has worked with DHHR since as far back as 1993. PCG has performed numerous strategic planning, revenue management and cost savings engagements on behalf of DHHR. These include revenue maximization services for the child welfare program; child support fund account reconciliation services; behavioral health system redesign; third party identification and recovery; and operation of the school based health services program. PCG's subsidiary, PPL, has been continuously supporting West Virginia since 2007 by providing fiscal/employer agent services for Medicaid HCBS participant-directed programs.

Optum Team HHS Experience

Together, Optum and our partners have the expertise and domain knowledge required to deliver a comprehensive solution set to DHHR. As **Figure 3.1-4** shows, our team has the experience required for a successful WV IES.

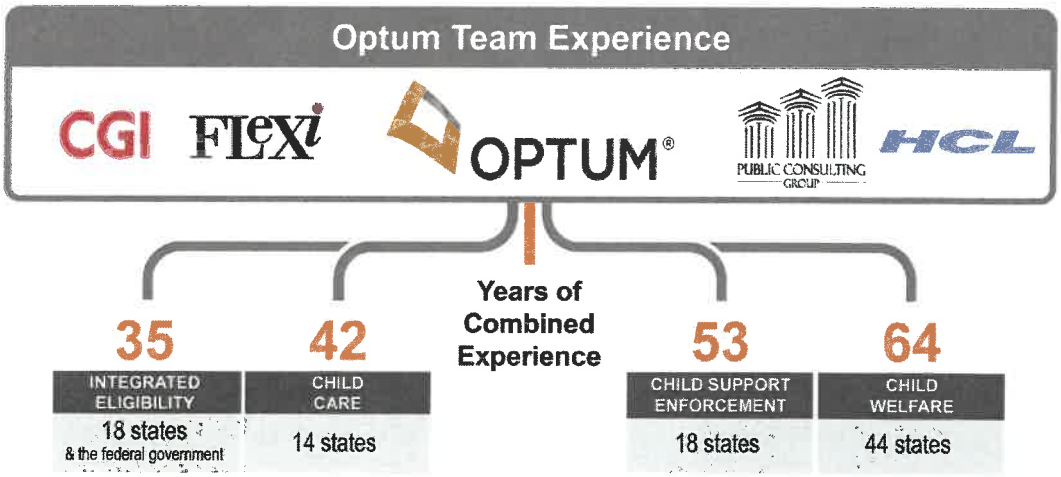


Figure 3.1-4: Optum Team Experience
Together with our partners, we have solution experience in the HHS programs relevant to the WV IES project.

Along with our partners, we position well to continue supporting West Virginia in the following ways.

ENABLING COLLABORATION

As we do in our work with you today, we will promote collaboration with DHHR, the bureaus, the project management vendor and other stakeholders. We will continue our MIS team meetings and enhance these with additional stakeholders.

MANAGING QUALITY & COST

We are committed to managing cost and quality. We will continue to look for opportunities to improve the worker experience and drive efficiencies. In 2016, we increased quality and found a return on investment of over $5 million through modernizing your current systems.

INNOVATING SOLUTIONS

We will continue innovating the platform with additional services for DHHR. Our shared opioid service module is an example of our capabilities that we will continue to bring forward to provide tools that help DHHR deal with real issues.

ENHANCING VALUE

DELIVERING RESULTS

Our platform solution is not a custom system that was developed 20 years ago, but a platform that was architected for the next 20 years. The value of the new WV IES will grow over time and the services we provide are flexible and scalable to new policy and initiatives.

We will deliver a successful WV IES. We have proven our ability to implement complex technology projects that help provide better outcomes for the most vulnerable citizens. We are an outcomes-based organization and we know we are not successful unless you are successful. DHHR has the support and commitment of the entire Optum organization to the success of this project.

3.1.1 Business Organization

Business/Company Name	OptumInsight, Inc. (Optum)
Change in ownership within the previous five years	We have not had a change in ownership within the previous five years.
Current office headquarters	Our local office is 700 Washington Street, Charleston, WV. Our headquarters is 11000 Optum Circle, Eden Prairie, MN.
Background of the parent and/or subsidiary company, its size, lines of business, and personnel and technical resources	Our parent company is UnitedHealth Group, Incorporated, a publicly traded Minnesota corporation listed on the New York Stock Exchange (NYSE:UNH). With 2016 revenues of $184.8 billion, UnitedHealth Group is ranked sixth of the Fortune 500. UnitedHealth Group has a work force of more than 260,000, with more than 39,000 global technology professionals. Optum is the HHS platform leading information and technology-enabled health services business dedicated to modernizing the system and improving the health of people and communities. With 2016 revenues of $83 billion, Optum has a work force of nearly 132,000 employees, with more than 25,000 global technology professionals.
Date established	October 13, 1993
Primary business	Our mission focuses on modernizing the HHS system. We have a comprehensive platform that includes a portfolio of products and services, enabling us to serve government, commercial payers, providers and consumers while driving improvements for the broader HHS system. Our scale and expertise allow us to provide states with comprehensive capabilities, including: **Health IT and operational services to modernize infrastructure** • HIT operations and technical systems integration • Integrated eligibility systems • Enterprise data warehousing • Contact center outsourcing and overflow management • Services-based Medicaid administration and health management • Analytics services for actionable insights and added resource capacity **Care delivery and specialty networks to support new delivery models** • Benefits and case management

	• High-risk case management and care coordination • Behavioral health networks and medical/behavioral integration • Medical services for complex conditions • Substance use disorder and peer support and recovery services • Long-term care support and services • Intellectually and developmentally disabled services
Total number of employees	Nearly 132,000 employees
Number of individuals involved in human services computer systems maintenance, transfer and development	We have approximately 25,000 technologists (employees with an IT job code). More than 2,000 of those professionals have human services skill sets relevant to the scope specified in this RFP.
Litigations and claims made against professional liability insurance (pending or settled) or the collection of performance bonds which have occurred within the past three years	Claims have been made against our corporate insurance policies. Details regarding these claims are considered confidential. Our quarterly financial statements provide a summary of material litigation. We have not had a claim against any of our performance bonds.
The site or sites from which the Vendor and subcontractors, if any, will perform the relevant tasks listed in the proposal	Our primary base of operations for this engagement will be our 700 Washington Street, Charleston, West Virginia location. Our Basking Ridge, New Jersey and Eden Prairie, Minnesota offices will support our software-as-a-service WV IES. We will host the solution in our data centers in Chaska and Elk River, Minnesota.

Optum has three primary business and delivery units: OptumHealth, OptumInsight and OptumRx, as **Figure 3.1-5** shows. OptumInsight is the business unit that will deliver the new WV IES to DHHR.



Figure 3.1-5: Optum Business Landscape.
We help make the HHS system work better for everyone.

Figure 3.1-6 is an Optum organization chart. This provides further detail about how delivery of the WV IES fits within our corporate structure.

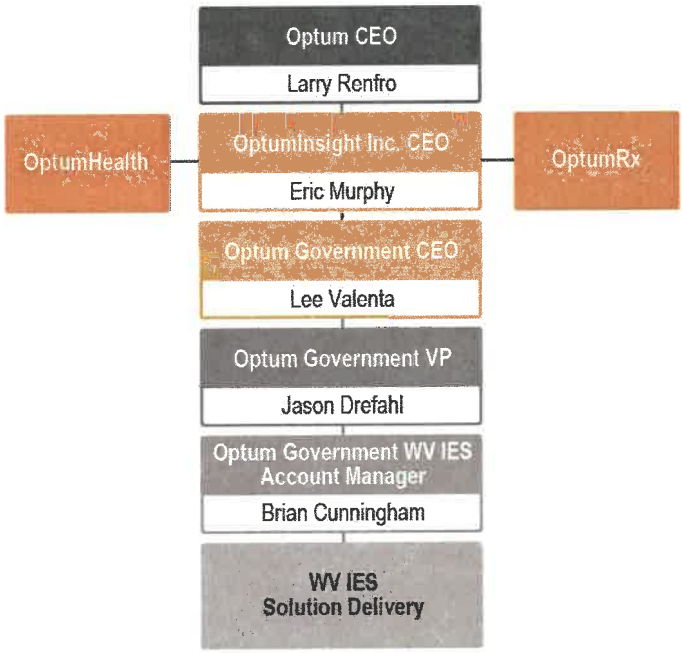


Figure 3.1-6: Optum Corporate Organization Chart.
Our WV IES delivery will have multiple layers of executive oversight.

3.1.2 Vendor Capacity, Qualifications, References and Experience

In this section, we describe four examples of state eligibility projects where we are the prime contractor. This includes experience with large Medicaid projects as applicable for this requirement. Three are current customers and one is a former customer. These engagements demonstrate our experience implementing and maintaining a Web-based hosted solution for Family Assistance, Social Services or Child Support systems. Each of these projects includes design, development, implementation, maintenance, operations, data warehousing, Enterprise Service Bus (ESB), Business Rules Engine (BRE) and Master Data Management (MDM) integration.

Project Number 1: West Virginia RAPIDS (Current Customer)	
Customer	State of West Virginia, Department of Health and Human Resources (DHHR)
Description of Work	Optum currently performs M&O and enhancement for West Virginia's legacy eligibility system, Recipient Automated Payment and Information Data System (RAPIDS), which administers federal and state family assistance and social services programs at the State level. RAPIDS is an integrated automated benefit eligibility system for that supports the following programs: Temporary Assistance to Needy Families (TANF), Supplemental Nutrition Assistance Program (SNAP) Disaster SNAP (D-SNAP), SNAP Employment and Training Program, Medicaid, CHIP, work programs, emergency assistance, refugee assistances, Low Income Energy Assistance Program (LIEAP), non-emergency medical transportation, and West Virginia school clothing allowance. In addition, Optum is currently supporting the Department with enhancements designed to bring the Families and Children Tracking System (FACTS) into compliance with the Fostering Connections to Success Act of 2008 and facilitate provider rate changes. FACTS is a large and comprehensive customized statewide automated administration and case management system for all Child Welfare, Child Care, and Adult Service Programs. FACTS was established for the administration of Title IV-E Child Welfare Programs (i.e., child protective services, foster care services, independent living services, family preservation services, and adoption services). Optum is also assisting the department with modernization of the Online Support Collections and Reporting System (OSCAR) to align with new federal regulations while delivering efficiency and automation. On behalf of the WV Bureau for Child Support Enforcement, OSCAR helps track and facilitate the appropriate collection and payment of child support. The Department leverages an MDM solution as well as a BRE.

Project Number 1: West Virginia RAPIDS (Current Customer)

	The MDM is composed of three inter-connected domains: individual, provider and employer. Each source system integrates with the MDM to allow the systems to search, create and update master data. They also receive golden record updates based on other systems' activities. In addition, another technical module leveraged by RAPIDS is the Corticon business rules engine, which underpins the state and federal guidelines used to determine Medicaid eligibility. RAPIDS connects with the Federal Data Services Hub (FDSH) through an enterprise service bus to verify income, citizenship, age and other variables.
Scope of Systems ✓ More than 400 reports ✓ 13 programs and applications ✓ 600, 000 member records	RAPIDS is a highly complex system consisting of 22 subsystems. It resides on an IBM BC (business class) z12 model 2828-S02 Enterprise Server Mainframe. It uses DB2 as the database with 1,790 COBOL OS/390 & VM source programs (646 CICS programs, 978 batch programs, and 166 subroutines) with data stored and accessed on more than 460 database tables. The system interacts with 27 exchanges and interfaces with various State and federal agencies. We currently lead the following M&O activities for the RAPIDS system: application maintenance and enhancement services, incident management, program management, change management, release management, event management, knowledge management, master data management and access integration services. **Scope of the RAPIDS system:** • Application entry and eligibility Determination • Benefit issuance • Integration with FDSH and other outside systems • Identity management • Notice generation • Customer and case worker portals • Eligibility Business Rules Engine – BRE (Corticon) • MDM (Informatica) • Business intelligence (Cognos) • Oracle ESB **Member/Provider statistics:** • 600,000 individuals enrolled through the system • 40,000 providers • More than 400 standard and ad hoc reports
Measures for System Performance	We had our first meeting with the State on January 29, 2016, and successfully completed transition of the RAPIDS system from the incumbent vendor in eight weeks. We deployed our core team in one business day, demonstrating our commitment to meeting the State's goals. The following are some of the agreed Service Level Agreements (SLA). **Application availability:** 99% uptime **Incident Management Service Level Agreement (SLA):** 100% compliant for the last 10 months **Application performance:** Simple queries – four seconds; complex queries – six seconds
Outcomes associated with Four Required RFP Modules	 Optum currently manages the training environment for eRAPIDS. The application version on this environment is kept up-to-date so that the Department can conduct continuous training for new and existing staff.  Optum triages system-related issues for clients not receiving benefits or those that have received incorrect benefits. We analyze and resolve all incidents based on a pre-defined SLA to minimize any adverse system related impacts to the client benefits. We are providing updates and enhancements to both the FACTS and OSCAR systems.  Optum previously supported eRAPIDS Help Desk functionality and incident management Statewide with custom-developed software named Automated Tracking System (ATS). Optum is also helping the State move to a more ITIL-centric model of service management through the implementation of Service Now and ITIL-centric

Project Number 1: West Virginia RAPIDS (Current Customer)	
	processes for incident and problem management. We report and manage incident resolution timeframes for every incident reported through the help desk. It meets or exceeds the State-defined SLA for these items.  Optum manages all financial disbursements for TANF, SNAP, Emergency Assistance and Medicaid programs by computing the client benefits and sending that data to wvOASIS, which is the State's ERP system. We generate State and federal reports that aggregate the payments to help maximize the federal reimbursement rates.

Project Number 2: Vermont Health Services Enterprise and Vermont Health Connect (Current Customer)	
Customer	State of Vermont Agency of Human Services, Department of Vermont Health Access
Description of Work	Optum designed, developed, implemented, maintains, operates and hosts Vermont Health Connect (VHC), built upon the Health Services Enterprise Platform (HSEP). The State of Vermont HSEP is hosted in the Optum data center. This system currently determines QHP, MAGI Medicaid, CHIP and dental eligibility for Vermont's social service programs and participation in the Affordable Care Act (ACA). The HSEP will eventually support all human services programs in addition to the ACA as the Agency migrates from its legacy mainframe eligibility system and MMIS. We currently lead the following activities for Vermont's Health Services Enterprise (HSE) and VHC: application maintenance and enhancement services, incident management, program management, change management, release management, disaster recovery, event management, capacity management, availability management, knowledge management, service asset and configuration management, escalations Customer Relationship Management (CRM) system management, legacy IE integration, identity and access management services, and enterprise content management services. The Vermont Health Services Enterprise platform uses the Oracle Service Bus to broker calls between COTS products Siebel, external verification services and internal Financial, Legacy System ACCESS Human services, and Enrollment Systems.
Scope of Systems ✓ 100 + reports ✓ 3 programs and 74,800 applications ✓ 160,000 member records	Optum supports more than 250 servers spanning seven environments as part of HSEP. **Scope of the Health Services Enterprise:** • Case management back office • Case management front office • Enterprise content management • Oracle ESB and service architecture • Integration with CMS FDSH and external verification systems • Oracle Policy Automation -BRE • EDI integration with carrier and trading partners • Financial system (WEX health) • Identity and access management • Notice generation and fulfillment • Customer and case management portals • Siebel (CRM) Platform • Business and eligibility rules engine • Oracle MDM • Business intelligence and reporting • Hosting the entire HSEP in Optum data centers • Security wrapper • Disaster recovery **Member/Provider statistics:** • More than 200,000 Medicaid and QHP covered lives • 2,000 to 3,000 average inbound/outbound calls handled per month for Change of Circumstance (COC) and life events • More than 249,500 premium processor transactions in 2016, representing enrollment changes • 4,000 average monthly application-like transactions for COCs and annual renewals
Measures for System Performance	We use several tools to measure system performance. These include HP OpenView, Oracle Enterprise Manager, DynaTrace, Splunk, ITSM automation with ServiceNow!, and associated SIEM plugins. Data and KPIs collected by these tools are used to verify adherence to contractual and expected SLAs, as well as provide operational reporting and root cause analysis if needed. Typical measures include:

Project Number 2: Vermont Health Services Enterprise and Vermont Health Connect (Current Customer)

- Transaction response/completion times
- Page load times
- Module startup and load times
- Query response time
- CPU
- RAM utilization
- Storage
- Availability
- Network latency
- Network load/availability incident, problem and service request ticket status
- Incident notification and restoration
- Transaction performance
- Reconciliation
- POA&M item generation

Outcomes associated with Four Required RFP Modules



Working side-by-side with State staff, Optum mobilized and trained 180 staff members to handle operational issues and trained another 220 agents on processing COC requests. The State and Optum handled more than 51,000 outbound calls, 22,000 inbound calls and 21,000 COC requests in less than five months.



Working with the State, we enhanced the Seibel CRM to provide intake agents and caseworkers a comprehensive view of individuals for health and human service programs. The Medicaid call center vendor, the State and Optum use the platform to process applications and manage cases.



Optum assumed management of all system components, as well as completion of development and implementation of COC functionality. The new functionality we provided dramatically reduced the amount of time to process COC requests. Prior to the upgrade, staff members were required to re-enter the entire health insurance application (often more than 100 fields of data). They worked with additional teams to transmit and update the information into as many as six different systems over a period of weeks. The new functionality automated this process and provided integration to all relevant systems.

Optum remediated various critical security issues on the HSE POA&M so that the HSE and VHC could conform to CMS regulations and reconnect to the FDSH in time for 2015 Open Enrollment. We established a Project Management Office (PMO). The PMO worked with the State to develop an assessment, document, make recommendations for the future, develop a quality assurance program, and build a governance structure for the HSE and VHC.



We deployed several releases in 2015 and 2016 that provided significant additional functionality to VHC. This included financial integration with COC processing, automated renewals processing, reconciliation and retroactive change processing with full integration to the VHC financial system financial services partner (WEX health).

Project Number 3: Massachusetts Health Connector (Current Customer)

Customer	Commonwealth of Massachusetts, Executive Office of Health and Human Services, Massachusetts Health Connector
Description of Work	The Massachusetts Health Connector engaged Optum to provide Maintenance & Operations and technology support beginning in January 2014. In March 2014, the Commonwealth decided to contract with Optum as the primary systems integrator. We also host the Massachusetts Health Connector solution in our data center, meeting CMS, IRS and State security requirements to protect consumer information. The Health Connector portal is a Web-based application that integrates the Medicaid and health insurance exchange eligibility intake and determinations. The Health Connector eligibility platform

Project Number 3: Massachusetts Health Connector (Current Customer)	
	integrates with existing MA21 and Beacon systems that continue to perform further eligibility determinations for HHS programs. Integration is provided with the Department of Transitional Assistance (DTA) to renew the Medicaid applications for those on family assistance programs. This avoids the need for the system to make any specific calls to HUB or RRV (SSA, IRS or Medicare) and check the current status of the individuals within DTA to renew the Medicaid applications. We run business rules within the system to renew the Medicaid applications and send the appropriate transactions to the MMIS.
Scope of Systems ✓ 100 reports ✓ 4 programs and 400,000 applications ✓ 2,362,838 member and 19 provider records	Optum currently performs DDI and ongoing M&O for the Massachusetts Connector. Approximately 170 servers support the four Connector applications, hCentive and AVV. There are 11 non-prod environments for hCentive and four non-prod environments for AVV. Software includes Oracle Enterprise Edition and Oracle RAC, JBoss, Optum ID, F5, Datapower, Physical & Virtual firewalls, Akamai, Siteminder, Guardium, and ArcSight. **Scope of the Massachusetts Health Connector:** We lead the following activities for the Connector: application maintenance and enhancement services, incident management, program management, change management, release management, event management, capacity management, availability management, knowledge management, MDM, security and access integration services. We have successfully moved Medicaid business/processing membership rules of legacy platforms, including COBOL. For Massachusetts, we migrated Medicaid rules from a legacy application into the DROOLS BRE that we provide through a vendor application to replace the Commonwealth's exchange system. The Massachusetts Health Connector uses Fuse ESB to perform plan loading and broker calls to the FDSH for citizen verification. • Case management back office • Case management front office • Enterprise content management • FUSE ESB and service architecture • Integration with CMS FDSH and external verification Systems • DROOLS -BRE • EDI integration with carrier and trading partners • Financial system (WEX health) • Identity and access management • Notice generation and fulfillment • Customer and case management portals • Siebel (CRM) Platform • Business and eligibility rules engine • Oracle MDM • Business intelligence and reporting • Hosting the entire HSEP in Optum data centers • Security wrapper • Disaster recovery **Member/Provider statistics** • Implemented new solution to support the exchange marketplace in less than six months • Performed between 24,132 and 73,396 eligibility system determinations each week, for 536,719 determinations made for MassHealth or Health Connector plans • Received 57,208 unique website visits during open enrollment's opening weekend; resulting in approximately 13,700 accounts created, 8,336 applications submitted and 12,000 consumers deemed eligible for coverage • Supported 334,108 unique visitors to the Connector's website in the first full week of Optum Cloud operations, meeting all website performance standards • Experienced 4,833,894 unique website visitors with 100% up-time
Measures for System Performance	Existing measures covers both application transaction and server health measures (tools involved include ServiceNow, DynaTrace, DCRUM, Sitescope and BSM). Data and KPIs collected by these tools are used to verify adherence to contractual and expected SLAs, as well as provide operational reporting and root cause analysis if needed. Typical measures include the following: • Transaction response/completion times • Page load times • Module startup and load times • Query response time • CPU • RAM utilization • Storage • Network latency • Network load/availability incident, problem and service request ticket status • Incident notification and restoration • Transaction performance • Data Reconciliation

Project Number 3: Massachusetts Health Connector (Current Customer)	
	• Availability
Outcomes	 Preparing for the launch of a new eligibility system in November 2014, we facilitated operational readiness for more than 500 customer service representatives (CSRs) for both State agencies and third-party vendors. We prepared user guides and facilitator guides for the new system and provided train-the-trainer sessions for all training teams. We also trained and managed 250 CSRs to augment state and third-party resources in processing of applications, verifications and other eligibility documentation.  Optum developed two applications to address outstanding needs of CSRs. We developed a tool to manage and track the progress and status of escalations from both internal and external sources. This enabled the escalations team to address priority items in a timely manner to assist member eligibility. Based on State requirements, Optum also developed a tool to address open needs for viewing of eligibility details and tracking of eligibility verifications for both CSRs and the State Appeals team.  Optum assumed management of all system components, as well as completion of development and implementation of COC functionality. The new functionality we provided dramatically reduced the amount of time to process COC requests. The new functionality automated processes and provided integration to all relevant systems. Optum remediated various critical security issues on the HSE so that the HSE could conform to CMS regulations and reconnect in time for 2015 Open Enrollment. We established a Project Management Office (PMO). The PMO worked with the State to develop an assessment, document, make recommendations for the future, develop a quality assurance program, and build a governance structure for the HSE.  We deployed several releases in 2016 that allowed Massachusetts auto enrollment functionality. This included financial integration with COC processing, automated renewals processing, reconciliation and retroactive change processing with full integration to the financial system financial services partner. We completed a biannual IRS security audit in 2017.

Project Number 4: Maryland Health Benefit Exchange (Former Customer)	
Customer	Maryland Health Benefit Exchange (MHBE)
Description of Work	MHBE engaged Optum to provide operations and IT support beginning in December 2013. Our IT-related responsibilities included providing overall leadership for system stabilization, new project/release management and testing processes. We performed a technical assessment of the initial system and evaluated potential options for supporting MHBE. Optum maintained system functionality and helped chart the course for the next Open Enrollment period. The Web-based and hosted solution determined QPH and MAGI Medicaid eligibility for Maryland's Social Service programs. The solution included a portal, plan shopping (Connecture) and enterprise services bus (EXACT), supported by three separate environments; development, test and production. We supported interfaces to the Federal Data Services Hub (FDSH), Maryland's MMIS, and the human services eligibility system operated by the Maryland Department of Human Resources (now the Department of Human Services). Optum oversaw data analytics and reporting to CMS and IRS, and provided overall leadership for system issues, operational support and testing processes.
Scope of Systems	In February 2014, Optum replaced the prime systems integrator and instituted leadership for

Project Number 4: Maryland Health Benefit Exchange (Former Customer)

✓ 100+ reports ✓ 2 programs and applications ✓ 340,000 member records	system stabilization, DDI and M&O, new project/release management and testing processes, data analytics reporting/oversight, and operations. Key focus areas included eligibility analytics support, life events processing, verifications and renewals support. MHBE requested that Optum takeover the full life events end-to-end processing operation as well. **Scope of the Maryland Health Benefits Exchange:** • Enterprise Service Bus-ESB (EXACT) • Integration with FDSH and other outside systems • Financial system (EngagePoint) • Identity management (IBM Tivoli) • Notice generation • Portal (custom) • Oracle (CRM) platform • Business rules engine –BRE (Curam and Corticon) • MDM (look up to CIS system) • Hosting In 2015, we led the evaluation recommending that MHBE transition the existing IT solution to an alternative platform. **Member/Provider statistics:** • 80,000 QHP and 260,000 Medicaid enrollees • Users: 1,200 State employees • More than 135 IT staff members at peak • Oversaw data analytics and reporting to CMS and IRS
Measures for System Performance	System performance measures were for both application transaction and server health. New Relic was the primary tool used. **Availability:** Application availability greater than 99.9% **Performance:** 90% of all transactions have an elapsed duration of 2 seconds or less; 99% of all transactions have an elapsed duration of 10 seconds or less **Restoration:** Priority 1: restoration of service within four hours; Priority 2: restoration of service with eight hours
Outcomes associated with Four Required RFP Modules	 Working side-by-side with State staff, Optum mobilized and trained 180 staff members to handle operational issues; trained another 220 agents on processing change-of-circumstances (COC) requests. The State and Optum handled more than 51.000 outbound calls, 22,000 inbound calls and 21,000 COC requests in less than five months.  Designed a process to execute COC changes that leveraged the Optum contact center, the exchange call center, navigators, and the exchange's existing CRM system. We triaged and matched individual reference numbers so that individuals could access Medicaid.  Took over an existing BRE (Curam) and ESB (EXACT), successfully completed the integration of these existing components and established M&O procedures for ongoing management. In Maryland, EXACT was the custom developed ESB. The purpose was to connect both COTS products, CURAM and Connecture, as well as to make internal and external Web service verification calls, including eligibility verifications with the FDSH and other local State sources.  Supported interface between the Maryland Health Benefits Exchange and external systems, including enrollments and payments to issuers. Provided EDI and carrier support to address 834 errors. Managed the EngagePoint financial module.

Appendix XI: Table 42 - Vendor Reference Form

We provide the following vendor reference forms.

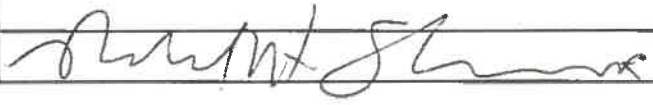
Vendor Reference Form #1

Name of Reference	Cynthia Green-Edwards, Director, MDHHS Compliance Office
Name of Referencing Organization	Michigan Department of Health and Human Services (MDHHS)
Address of Referencing Organization	333 S. Grand Ave Lansing, MI 48909
Telephone Number of Referencing Organization	517-284-1035
E-mail of Referencing Organization	edwardsc@michigan.gov
Title of Project	Michigan Business Intelligence Services
Description of Project	Optum has performed services for the State of Michigan (the State) since 1994 related to the State's data warehouse. Optum's understanding of integrating many different HHS programs through the use of the State's data warehouse gives us unique insights at the data level. More than 10,000 individuals across the State currently use the State's data warehouse. It supports stronger fact based decision making among public health, human services, medical care, social services, behavioral health and long-term care staff and organizations. The State's data warehouse integrates health and human services program data from more than 60 state and federal sources. Examples include: • Medicaid beneficiary data • Medicaid provider data • Medicaid claims/encounters • Immunizations • Blood lead testing • Behavioral health • Child Protective Services • Child support • Child and Family Services data • Services provider data • Social Security Administration • Public assistance eligibility • Cash assistance history • Public assistance payment history • Child development and care • Child development and care payment history • EBT data (SNAP) • Vital records • WIC • Homeless agency data The State has received national recognition using the data warehouse from numerous third parties, including the National Governors Association, National Association of State Chief Information Officers, The Data Warehousing Institute, and numerous business and trade publications. Following are examples of MDHHS data integration solutions that Optum has been involved in. **CareConnect360** CareConnect360 is a care management tool and internet portal. MDHHS initially launched the initiative to coordinate care and improve health outcomes for Michigan Medicaid beneficiaries. CareConnect360 made integrated physical and behavioral health-related information – along with other human services information – available to the state's health plans that serve Medicaid beneficiaries. CareConect360 has since expanded to include access for MDHHS foster care and juvenile justice workers and supervisors, allowing them to review a child's medical history before a home visit or other interaction.

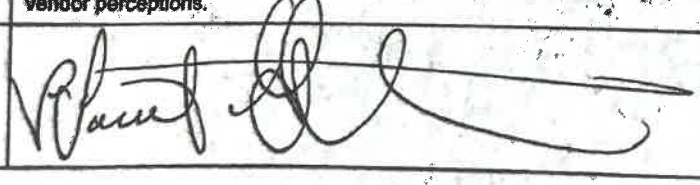
	BRIMM More than 1,000 Department of Health and Human Services (DHHS) county managers in 115 offices use technology created in partnership with Optum that includes analytic capabilities, easy-to-understand reports, and dashboards to strengthen caseworker productivity. This solution enables social workers to view and analyze multiple cases associated with family members living in the same household to better understand the entirety of the household's needs and provide integrated services (food, medical, housing, etc.). **ISD** The Integrated Service Delivery (ISD) Initiative will provide an intuitive experience that allows community partners, program applicants and program participants the ability to electronically participate in self-service change reporting, personal needs assessment, single point of application for public Health and Human Service benefits, and ability to view existing benefits with renewal dates. This solution provides the ability to maintain a secure, common profile of individual information used throughout a holistic application process. ISD is scheduled for pilot implementation in September 2017. **SHADoW Homeless cross Agency data integration project** SHADoW was a collaboration between MDCH and MDHS (the two former departments that are now combined into MDHHS) and MSHDA (the State's homeless authority). SHADoW combined information from Human Services, Medicaid and hundreds of private homeless assistance providers to create a much more complete view of what works and what doesn't in homelessness prevention. By matching data from all three sources and then eliminating identifying information, SHADoW makes it possible to identify and track people who have received homelessness prevention assistance and determine what has happened to them afterward. For example contrary to some expectations, SHADoW validated that emergency rental assistance helps to keep families in their homes on a long term basis. **MDM (Master Data Management/ Master Person Index)** Allows the state to identify a single individual and that person's enrollment in any plan or program. It facilitates the harmonization of an individual identifier across all source systems and supports recognition of people who have different identifiers on different source systems. Individuals can be recognized and tracked at the unique individual level, not as separate people on separate systems. The MDM capability Optum delivered as part of the Department of Health and Human Services project has now been selected as the state-wide MDM solution. **Child Care** The State Court Administrative Office (SCAO) and the Michigan Department of Human Services (MDHS) instituted a program aimed at measuring and improving performance and accountability in cases involving child abuse, neglect, foster care, adoption, and legal guardianship among the (then) 16,000 children enrolled in child welfare services in Michigan.
Start Date of Project	Current Contract: December 21, 2010–December 20, 2019 The original contract started in 1994.
End Date of Project	Current engagement
What was your experience with this vendor?	Optum has been a long-term partner. They always deliver on their promises and collaborate with us on new ideas and initiatives. They deliver practical solutions that help us innovate with our changing programs and budget. Optum's expertise in data management, programing and solutioning has been critical to the success of MDHHS programs and carrying out the vision of the department and State of Michigan. Optum's experience integrating data on the data warehouse from

	various sources, in varying formats, opened the door for Michigan to effectively manage multiple programs. Optum's innovated solutions for visualization and accessibility of the integrated data was key integrated care across multiple disciplines and entities.
Were there delays in the project? What caused the delays?	No delays over a long history of working with Optum for over 20 years. Delays in projects were the result of MDHHS resources or change in priorities. When this has occurred, Optum provided alternative or temporary solutions that allowed projects to continue to move forward.
Describe a situation where the vendor disappointed you, and how they responded?	Never been disappointed. They are very sensitive to our needs, and work very closely with our staff (so closely that some of our State staff don't even realize the Optum staff are contractors/vendor staff).
What are some things you wish the vendor would do differently?	Nothing at this point. The Optum staff are very client-focused, well-versed in MDHHS's business, and actively involved in identifying and providing solutions to support our business needs.
Reference Signature	Cynthia Green Edwards

Vendor Reference Form #2 (Former Client)

Name of Reference	Robert Shriver Director, Marketplace Innovation, Policy, and Operations
Name of Referencing Organization	District of Columbia Health Benefit Exchange Authority
Address of Referencing Organization	1225 I (Eye) Street NW, 4th Floor Washington, DC 20005
Telephone Number of Referencing Organization	(202) 741-8820
E-mail of Referencing Organization	robert.shriver@dc.gov
Title of Project	Design, development, implementation, maintenance, and operations support for the DC Health Benefit Exchange Authority (DCHBX)
Description of Project	In January 2015, Optum began an engagement with the District of Columbia Health Benefit Exchange Authority (DCHBX) to provide operations support stemming from challenges with the then-current IT solution, InfoSys. Optum provided an operational assessment and deployed staff support to focus on strategic process improvements. Optum has also provided additional support for IT modifications to address DCHBX's escalated case backlogs, other internal operational issues, and communication gaps with external partners. In April 2015 and August 2015, Optum was awarded additional contracts to continue to provide operation support and process development work.
Start Date of Project	1/15/2015
End Date of Project	Ongoing
What was your experience with this vendor?	Optum has been an essential resource for our Exchange operations. It has consistently provided high quality consultants who have not only augmented staff in areas of need, but have also improved and documented processes to assist in our sustainability and facilitate staff taking over the work.
Were there delays in the project? What caused the delays?	No delays. Optum has always delivered timely results, throughout its entire time with us.
Describe a situation where the vendor disappointed you, and how they responded?	Optum has not disappointed at any stage of the project. It has been a huge asset and a key to our success as an Exchange. Optum consistently seeks feedback for any areas where it can improve, and I typically have trouble identifying any such areas.
What are some things you wish the vendor would do differently?	Though we wish they could charge us lower rates, we are willing to pay them because they have been so value-added to our overall operations.
Reference Signature	

Vendor Reference Form #3

Name of Reference	Louis Gutierrez Executive Director, Commonwealth Health Insurance Connector Authority
Name of Referencing Organization	Commonwealth Health Insurance Connector Authority (CCA) for the state of Massachusetts
Address of Referencing Organization	100 City Hall Plaza Boston, MA 02108
Telephone Number of Referencing Organization	(617) 933-3060
E-mail of Referencing Organization	Louis.gutierrez@state.ma.us
Title of Project	Design, development, implementation, maintenance, and operations support for CCA and MassHealth (state's Medicaid unit)
Description of Project	The Massachusetts Exchange is a web-based application that integrates the CCA and Medicaid eligibility intake and determinations. Optum currently performs Design, Development, and Implementation and ongoing Maintenance & Operations for both agencies in compliance with the ACA and state regulations. The exchange is hosted on the Optum Cloud, meeting CMS, IRS, and state security requirements to protect consumer information.
Start Date of Project	12/16/2013
End Date of Project	Current contract runs through 12/31/18
What was your experience with this vendor?	I've worked over many years with major systems vendors. I find Optum to be refreshingly responsive and accountable for project success. They walked into very difficult circumstances in 2014, and have, over the course of the last three years, worked to deliver a system for comprehensive eligibility determination and enrollment for MAGI Medicaid and Exchange populations. During the periods in the project that were seven days a week, all hours of day and night, Optum was a committed partner. We are now stabilizing with solid end-to-end functionality, and Optum's steadfast partnership has been a key ingredient to this positive outcome.
Were there delays in the project? What caused the delays?	The Health Insurance Exchange (HIX) project has been, by far, the largest and highest-risk (because of size, and time constraints) systems project for us, inauspiciously launched with a total failure by our prior vendor. In the joint work with Optum to salvage the effort, and stand up a comprehensive MAGI eligibility system under tight time constraints, both customer (CCA) and vendor (Optum) learned a lot about how to size releases, how many parallel release efforts could be handled simultaneously, (system) environment management, and SDLC/QA efforts in the context of massive, urgent, code deliveries. But from CCA's perspective, priorities were flexibly adjusted to insure the success of our major annual business processes, supporting Open Enrollment on the state insurance exchange. I would say that while the priorities for certain system functionalities have shifted under tight circumstances, the vendor kept an eye towards the big picture delivery imperatives.
Describe a situation where the vendor disappointed you, and how they responded?	Optum has consistently shown willingness to "do what's needed" to correct for client disappointments. I would say that early in the project, Optum – which has roots as an internal service organization for United Health – allowed some of the internal divisions to show (e.g., operations vs. analysis/design/delivery reporting through different Optum units). After the last Open Enrollment, where we felt as if we were bearing more integration management effort than we ought, we discussed issues with Optum, and through a pretty comprehensive set of organizational and staff re-alignments are in a very different (and very satisfied) place this year.
What are some things you wish the vendor would do differently?	The things we have wished improvements in, we've worked pretty well with Optum to address - joint improvements in SDLC and quality assurance, and adjustments to team skills and key personnel as needed. The next to-do (for both parties) is some refinement of invoicing practices. When there are difficulties the discussion goes very quickly to how to remedy – we don't spend time in standoffs over customer vs. vendor perceptions.
Reference Signature	

3.2 Project Staffing

As detailed in proposal Section 3.1, Qualifications and Experience, we provide services to health and human services (HHS) organizations in 47 states and the District of Columbia. Our solutions improve care for Temporary Assistance for Needy Families (TANF), Children's Health Insurance Program (CHIP), Aged, Blind and Disabled (ABD), Long Term Care (LTC), and Dual Eligible (Medicare-Medicaid) populations. We understand the resources required to staff a project as complex as the West Virginia Integrated Eligibility Solution (WV IES) on time and on budget. Our operational and service delivery experience positions us to support your goals for this critical project.

We have assembled a team of experienced professionals with comprehensive knowledge of IE, HHS programs, reporting, and health care. Our proposed IES account manager, Brian Cunningham, is a West Virginia native with almost 17 years of experience working directly with State leadership and key stakeholders. He knows and understands your culture, values, programs, and goals. Our WV IES Project team members will work seamlessly with you under his leadership. Our business delivery lead, Mark Kurten, is a West Virginia resident and senior director with 15 years of IT senior management experience. He leads a team in West Virginia that supports your legacy integrated eligibility system, giving him an understanding and appreciation for your State's operations, culture and people. The Optum team is familiar with your data and systems, have a clear understanding of your vision for the WV IES, and will respond to your changing needs over time. Our team understands the importance of the WV IES Project, and will meet or exceed all staffing requirements described in the RFP.

We commit both organizationally and individually to our core values of integrity, compassion, relationships, innovation, and performance. You will see our WV IES Project team put these values into action every day. They have long-term experience that is directly transferable to their WV IES project roles, reducing project risk while facilitating project delivery. Through our current role as the Maintenance and Operations (M&O) vendor for the RAPIDS system, we understand the business challenges you face and the complexity involved in delivering your IES. The combined experience of our key staff members for the WV IES includes eligibility engagements in West Virginia, Vermont Health Connect (VHC), the Massachusetts Health Connector (Connector), and other state HHS systems; and eligibility determinations for Medicaid, qualified health plans (QHPs), social service, and family assistance programs.

3.2.1 Key Staff

Our proposed key staff will lead DDI activities to provide a successful transition to the Operations Phase. The following table provides a summary description of the roles and responsibilities of each key staff member and the experience that qualifies them for their roles in this project.

The following table describes the relevant experience of our proposed key staff.

Staff Member Project Role	Responsibilities	Relevant Experience and Qualifications
Brian Cunningham **IES Account Manager**	• Serves as the senior representative for the contract and the liaison to the WV IES Project Sponsor • Establishes and maintains close relationship with DHHR to build consensus and foster strong communications related to the WV IES • Responsible for the scope of work under the contract • Manages integration across HHS programs and updates DHHR on project status • Attends meetings in person as needed, including government hearings, to stay informed and maintain strong relationships with DHHR and key stakeholders	A native West Virginian, Mr. Cunningham has nearly 17 years of experience with federally funded HHS providers, public health insurance eligibility and enrollment, care coordination, rural health financing strategies, and Medicaid managed care. He has expert knowledge and understanding of DHHR's programs and goals and established relationships with DHHR's key stakeholders. Mr. Cunningham has eight years of experience large integrated eligibility settings through his tenure with the West Virginia Primary Care Association (WVPCA), eligibility related support to the Bureau of Medical Services through the Lewin Group, his service as an AmeriCorps health fellow, and his current role as the Executive Client Manager for the West Virginia M&O project.
Stephen Secrist **IES Deputy Account Manager/Operations Manager**	• Serves as the point of contact for the WV IES Project Manager • Responsible for day-to-day project activities and managing all issues, concerns and requirements including integration management and solution components • Responsible for M&O activities for the IE enterprise • Provides support for all federal reviews, CMS processes, federal certification processes, and other agreed upon critical functions and processes • Maintains M&O-related communications with DHHR including project management, scheduling, and status reporting • Fulfills the account manager's responsibilities in the account manager's absence	Mr. Secrist has 20 years of leadership experience in operational management and development. This includes six years of experience managing large healthcare organizational units for a MMIS fiscal agent organization serving the state of West Virginia. He serves as a subject matter expert on CMS Medicaid certification, provider management and enrollment, claims processing, financial management, constituent services, and data file management. He has experience with Microsoft SQL Server, QNXT, FileNET, Agile, and Scrum. In his position with Molina, Mr. Secrist served as deputy account manager for West Virginia. His expertise includes collaborating with state government customers and multiple stakeholders and vendors to build positive working relationships. He is skilled at achieving organizational objectives and improving financial performance for complex enterprise projects involving multiple vendors.
Partha Mukhopadhyay **IES Project Manager**	• Provides overall direction and project management for the WV IES project team in the implementation, enhancement and operations of the solution and its components • Coordinates the completion of deliverables across functional areas • Provides subject matter expertise in project methodology, resource allocation, and facilitation	Mr. Mukhopadhyay is a PMP with more than 20 years of IT experience that includes 10 years of project management experience. He has 11 years of integrated eligibility experience and extensive knowledge of Medicaid Management Information System (MMIS) and various other interfaces. This includes nine years of experience as a manager of an organizational unit

Staff Member Project Role	Responsibilities	Relevant Experience and Qualifications
	• Serves as the primary point of contact for DHHR regarding DDI and M&O project management activities • Provides support for all federal reviews, CMS processes, federal certification processes, and other agreed upon critical functions and processes	within an integrated eligibility engagement in the United States and 11 years as a manager of an organizational unit within a human services agency in a U.S. state or territory, which included project management of IT project(s) that encompassed the full system development life cycle from initiation through post implementation. He served as one of the two on-site delivery managers for the Illinois integrated Eligibility System (IES) development project. The IES supports several human services programs that include SNAP and TANF. For New Hampshire, Mr. Mukhopadhyay led the implementation of an IE system that coordinates policy, eligibility, and benefits determination for SNAP, Medicaid, and TANF programs. He also worked on the Client Assistance and Re-employment System project for the Wisconsin Department of HHS. He directed the system development and implementation activities. This is a large-scale, online family assistance information system that supports SNAP, TANF, Medicaid, Child Care, and the JOBS programs in the State of Wisconsin. For the Vermont health insurance exchange, he managed all aspects of the project execution activities for multiple teams that numbered 140+ staff. He has extensive experience managing all life cycles of system development projects, from contract initiation to delivery, using various PMBOK processes.
Mike Mikulay **IES Line of Business Manager (Integrated Eligibility)**	• Validates that the integrated eligibility solution aligns with the line of business • Interacts with the line of business as needed • Manages configuration activities for development, modification and enhancement of solution components or applications managed • Gathers requirements for M&O and modifications to the WV IES	Mr. Mikulay is an applications development director with 26 years of IT leadership experience, including four years of HHS program management experience. He has more than one year of implementation experience with the functionality we are proposing. He oversaw development for the program determination and MMIS interface of the Massachusetts Connector for Optum and is responsible for delivery of the client portal, rules engine, and reporting components of our IE product. He is knowledgeable in quality assurance/control procedures, and has strong documentation, a reporting background, and demonstrated proactive problem management skills, and experience with change and incident management.
Joseph Simms **IES Line of Business Manager (Child Care)**	• Validates that the integrated eligibility solution aligns with the line of business • Interacts with the line of business as needed • Manages configuration activities for development, modification and enhancement of solution components or applications managed • Gathers requirements for M&O and modifications to the WV IES	Mr. Simms is an executive manager and PMP with more 30 years of experience in HHS program management, information technology, and quality assurance and control. He has more than 24 years of Child Care subsidy experience which is the functionality we are bidding for WV. Mr. Simms is knowledgeable in reporting and strong documentation. He takes a proactive approach to problem management, change management, and incident management. He has held leadership positions in state

Staff Member Project Role	Responsibilities	Relevant Experience and Qualifications
		health insurance exchange and integrated eligibility systems for states that include Massachusetts, Rhode Island and Delaware.
Joe Baile **IES Line of Business Manager (Child Welfare)**	• Validates that the integrated eligibility solution aligns with the line of business • Interacts with the line of business as needed • Manages configuration activities for development, modification and enhancement of solution components or applications managed • Gathers requirements for M&O and modifications to the WV IES	Mr. Baile is a program manager and PMP with more than 14 years of HHS experience and nine years of experience in the Child Welfare functionality we are bidding for WV. He has nine years of Statewide Automated Child Welfare Information System / Comprehensive Child Welfare Information System (SACWIS/CCWIS) experience. He is knowledgeable in quality assurance and control, strong documentation, and reporting. He is also proactive in problem management and experienced with change and incident management. He has more than one year of implementation experience with functionality we are proposing. Since 2001, Mr. Baile has worked as a project manager/technical lead on engagements in areas that include child welfare systems, CCWIS replacement, early intervention, IT support and services, and TANF Welfare-to-Work. He has in-depth knowledge of HHS programs specific to child welfare.
Erica McGill **IES Line of Business Manager (Child Support Enforcement)**	• Validates that the integrated eligibility solution aligns with the line of business • Interacts with the line of business as needed • Manages configuration activities for development, modification and enhancement of solution components or applications managed • Gathers requirements for M&O and modifications to the WV IES	Ms. McGill is a Systems Analysis Program Management Consultant with more than 15 years of experience in systems architecture, process improvement, system integration, business and system analysis, and requirements gathering. She has four years of health and human services (HHS) program management experience and has over three years of experience with the functionality we are proposing for the WV IES. She has strong experience in quality assurance, control procedures, documentation, reporting, change management, and incident management skills.
Janelle McDonald **IES System Manager**	• Responsible for planning, developing, testing, implementing, and maintaining the WV IES • Oversees systems maintenance and modification activities, job scheduling, reporting maintenance, testing and implementation of system modifications, and maintaining system connectivity • Manages the modernization DDI and required federal reviews • Oversees the conversion of West Virginia eligibility data for import into the modernized solution • Responsible for all aspects of the data conversation, including design, development, testing, and implementation of the data conversation approach throughout DDI and Operations	Ms. McDonald is a PMP, director, and executive consultant with 15 years of experience delivering large-scale IT and business process model solutions for state health and human services clients. She has more than eight years of experience as manager of an organizational unit within a human services agency and manager of an organizational unit within an integrated eligibility (IE) engagement performing operations in a U.S. state. She specializes in entitlement modernization, strategic business development, operations/management and communications. Ms. McDonald identifies program goals, objectives and resource needs within time, resource and budgetary limitations. She has been consistently recognized for delivering continuous quality service, improved productivity, qualified staff and developing organizational expertise.

Staff Member Project Role	Responsibilities	Relevant Experience and Qualifications
Brett Masek **Test Manager**	• Manages WV IES testing activities • Responsible for identifying, categorizing prioritizing, assigning, resolving, verifying and closing defects found during testing • Oversees unit testing, system testing, readiness testing, and other testing as needed for the WV IES • Involves DHHR and key stakeholders in WV IES testing to complete activities with State approval and within agreed upon timeframes • Reports testing results to the State in the agreed upon format (e.g., dashboards) in a timely fashion	Mr. Masek has 18 years of IT management and quality assurance testing experience. At Optum, Mr. Masek delivers testing solutions to address service oriented architecture (SOA) standards and best practice needs while supporting conversion to and from client solutions. Mr. Masek evaluates technologies against business needs and analyzes the cost and benefit implications with the business drivers. His expertise includes process improvement, strategic testing optimization, mobile testing, internal and external auditing, test operations, and security testing. Mr. Masek has more than four years of experience in the last eight years managing the complete testing lifecycle in an eligibility or related commercial of the shelf (COTS) solution.
Michael Buckley **Security Manager/HIPAA Officer**	• Manages security of the WV IES architecture, infrastructure and network and its multi-platform environments • Responsible for verifying security is a primary focus during DDI • Responsible for compliance of staff with HIPAA and other state and federal security standards • Communicates any identified security issues or incidents to DHHR and leads security solution development as needed	Mr. Buckley is a PMP, a computer and information security products architect, a Certified Information Systems Security Professional (CISSP), and senior manager with more than 20 years of IT security experience in infrastructure/network and multi-platform environments for projects of similar scope to West Virginia's. He has familiarity with technical and risk assessment techniques, tools, and practices. He is also experienced working with federal security and privacy requirements. Mr. Buckley is a Certified Information Systems Security Professional (CISSP), CSA Certificate of Cloud Security Knowledge (CCSK), and U.S. Navy Submarine Qualified veteran. Mr. Buckley has a record of leading cross-functional security product development teams from concept through delivery. He has delivered IAM, VPN, PKI, EPCS and endpoint security solutions to Fortune 500 enterprises; commercial customers; state, federal and local governmental bodies; and health care and pharmaceutical customers.
Senthil Kannimar **Change Control Manager**	• Manages the change control process for all changes to project scope, schedule, or cost • Validates that changes comply with the change control process • Develops and maintains the Change Management Plan and validates compliance with the plan • Supports the Change Control Board and oversees corrective actions • Verifies that WV DHHR and key stakeholders stay informed on changes as they progress through the change control process	Mr. Kannimar is a PMP, Certified Scrum Master (CSM) and program manager with 22 years of experience leading all phases of technology projects and delivering implementations for multiple industries. He has 15 years of experience managing the change request and approval process as part of his project management responsibilities, including more than five years of experience managing change requests for large-scale health and human services (HHS) projects. Mr. Kannimar's background includes responsibility for project management, change management/control, configuration management, estimating tools, resource management, release management, and risk and issue management for multiple projects.

Staff Member Project Role	Responsibilities	Relevant Experience and Qualifications
Kalyan Guntupalli **Deliverables/ Requirements Manager**	• Manages the development, delivery, and approval of project deliverables during DDI through to testing • Validates that deliverables meet DHHR requirements	Mr. Guntupalli has more than 13 years of health care IT experience, including requirements management, architecture, analysis, design, deployment, IT support and process design and implementation in an n-tier system. The last four years he has been managing of deliverable development, submission, review, and acceptance tasks for State eligibility and enrollment systems in Massachusetts and Vermont. He implements ITIL processes, including incident, problem, change, and release management for state government projects. He has strong collaboration skills and builds successful operations through automation, reporting, innovative strategies, technical expertise, and retaining high-performing teams.

3.2.2 Support Staff

We selected our support staff members according to specific skills or expertise required for certain stages during the contract. Each key support staff role is a full-time position, and is filled by one staff member only. These staff members will be 100 percent dedicated to the project for the time in which their services are required on the West Virginia account, will hold no other concurrent positions (on this or any other project), and will be located on-site in the Charleston facility.

The following table describes the relevant experience of our proposed support staff.

Staff Member, Project Role	Responsibilities	Relevant Experience and Qualifications
Mark Kurten **Business Delivery Lead**	• Serves as a bridge for knowledge migration from legacy systems and operations • Supports the account manager and deputy account manager/operations manager in client interactions, stakeholder alignment, and issue management • Acts as an integral component of validating milestones and delivery	Mr. Kurten is a West Virginia resident and senior director with 15 years of IT senior management and enterprise-class application development experience, which includes one year of experience in a large health care integrated eligibility setting. He leads a team in West Virginia that supports its legacy integrated eligibility system, giving him an understanding and appreciation for the State's operations, culture and people. Mr. Kurten is a technically sophisticated management professional with a career combining strong leadership qualifications with hands-on application development experience. He maintains focus on achieving bottom-line results while formulating and implementing advanced technology and business solutions to meet diverse customer needs. His areas of expertise include enterprise-class application development, team building and coaching, strategic and tactical planning, budget management, customer relationship management, implementation, vendor negotiation and management, and staffing.
James Marine	• Oversees WV IES interface design and development • Validates that required interfaces integrate with external	Mr. Marine is a senior consultant with 24 years of experience in health care IT, specializing in system integration architecture and

Staff Member, Project Role	Responsibilities	Relevant Experience and Qualifications
Interface Manager	systems and data sources to meet DHHR requirements • Responsible for all aspects the external interfaces to include design, development, testing, and implementation	solutions. He has 20 years of experience managing and performing system integration, messaging modules, and interface development. Mr. Marine's area of expertise includes developing strategies to implement specific vendor product components to support an integrated technical architecture. He provides in-depth knowledge of a specific family of technologies, such as enterprise application integration (EAI), service-oriented architecture (SOA), master data management (MDM), business intelligence (BI), message-oriented middleware (MOM), Big Data/NoSQL solutions, and integration engines. He has experience with EDI; Extract, Transform, Load (ETL); business intelligence; data warehouse and system integration.
Jeff Downes Data Architect	• Responsible for identifying data and defining how it will be stored, consumed, integrated and managed • Designs data parameters and components to meet all DHHR specifications throughout the life of the project • Responsible for cleaning, transforming, modeling, and analyzing data • Performs development and testing to meet DHHR requirements • Validates that data is secured in compliance with federal requirements as needed • Communicates and reports findings to DHHR enterprise • Provides support for all federal reviews, CMS processes, federal certification processes, and other agreed upon critical functions and processes • Maintains M&O-related communications with DHHR including project management, scheduling, and status reporting	Mr. Downes is an IT professional with more than 30 years of experience in data architecture design, database development, and tuning for operational and analytic database systems. He has broad experience with business process modeling and process improvement using case design and object modeling. He uses complex SQL to both query and update databases. Mr. Downes has database design experience on multiple platforms including SQL Server, DB2, Oracle and Teradata. Mr. Downes has more than six years of experience implementing enterprise data architecture infrastructures in health IT environments, data modeling and architecture, (including expertise data language standards and middleware, data transfer standards, Web-based architecture, and entity relationship diagrams), and data warehouse architecture and building data structures.
Shubi Kamerkar Data Architect	• Responsible for identifying data and defining how it will be stored, consumed, integrated and managed • Designs data parameters and components to meet all DHHR specifications throughout the life of the project • Responsible for cleaning, transforming, modeling, and analyzing data • Performs development and testing to meet DHHR requirements • Validates that data is secured in compliance with federal requirements as needed • Communicates and reports findings to DHHR enterprise • Provides support for all federal reviews, CMS processes, federal certification processes, and other agreed upon critical functions and processes	Ms. Kamerkar is an IT professional with more than 15 years of experience developing logical and physical data and process models. At Optum, she leads the data architecture team for data modeling in the data management services area. She is responsible for creating and implementing strategies for government and commercial clients' information management. Ms. Kamerkar participates in systems development, new business development, and client-server implementations for Optum. She has extensive experience managing projects involving requirements gathering and analysis, creating standards documentation, and training personnel. Ms. Kamerkar has six years of experience implementing enterprise data architecture infrastructures in a health IT environment(s), data modeling and architecture, (including data language standards and middleware, data transfer standards, Web-based architecture, and entity relationship diagrams), and data warehouse architecture and

Staff Member, Project Role	Responsibilities	Relevant Experience and Qualifications
	• Maintains M&O-related communications with DHHR including project management, scheduling, and status reporting	building data structures

3.2.3 Other DDI Staff

The following table shows the roles, responsibilities, and FTEs we propose for the other DDI staff.

DDI Org Chart Role	Responsibilities	*Location	FTEs	
			IE Release	**CW & CS Releases
Chief Architect	Responsible for the development of key deliverables and configurations. Reviews key deliverables, configurations, and systems for accuracy	Off-site	1	
Solution Architects/Solution Leads	Provides solution designs, development and support; provides solution leadership as needed	Off-site	9	7
Integration Architects	Designs and develops the integration of solution components and software for the WV IES	Off-site	5	6
Technical Writers	Gathers, analyzes, and translates technical information into documents that technical and nontechnical personnel can use and understand	Off-site	3	3
BA/SA Managers/Leads	Oversees and manages the businesses analyst's and system analyst' work and deliverables; reviews key deliverables for accuracy and suitability	Off-site	2	3
BA/SA Teams: Business Analysts (BA)	Works collaboratively with users to gather business requirements; defines business rules and translates them into software specifications	Off-site	6	5
System Analysts (SA)	Works collaboratively with users to gather system requirements and translate them into software specifications	Off-site	5	5
Development Managers	Manages development of key deliverables and configurations; reviews deliverables, status reports, configurations, and systems for accuracy	Off-site	4	4
Application Development Teams: Java Developers	Designs and configures Java solution components according to industry standards to meet DHHR specifications.	Off-site	10	21
Rules Engine Developers	Designs and configures rules engine components according to industry standards to meet DHHR specifications	Off-site	15	1
UI Developers	Designs and configures user interface components according to industry standards to meet DHHR specifications	Off-site	7	8

DDI Org Chart Role	Responsibilities	*Location	FTEs	
			IE Release	**CW & CS Releases
Natural and COBOL Developers	Designs and configures solution components using natural language and COBOL programming languages according to meet DHHR specifications	Off-site	2	2
Data Conversion Managers/Leads	Manages the collection, validation, and verification of all data flowing into and out of the system; validates that data converts as expected	Off-site	2	2
Data Conversion Team: ETL Developers	Creates the ETL transformations, workflows, and jobs to support the data conversion using Informatica	Off-site	8	5
SQL Developers	Creates the SQL to be used in ETL transformations, workflows, and jobs to support the data conversion	Off-site	4	3
Interface Development Team: ESB (OIL) Developers	Develops enterprise service bus components in MuleSoft according to industry standards to meet DHHR specifications	Off-site	8	8
ETL/SQL Developers	Creates the ETL transformations, workflows, and jobs to support batch interface development	Off-site	2	3
Training Manager	Oversees the training development and delivery and manages the trainers	Off-site	1	1
Trainers	Develops and presents training programs for WV IES end users; develops and maintains training documentation and materials	Off-site	7	7
Reporting Manager	Responsible for the development and delivery of reports defined by the State and the WV IES project team, including ad-hoc reports	Off-site	1	1
Report Development Team: Cognos/Tableau Developers	Generates and delivers reports defined by the State and WV IES project team using Cognos and Tableau	Off-site	2	2
ETL/SQL Developers	Assists in the generation of reports defined by the State and the WV IES project team using ETL and SQL	Off-site	1	1
QA Leads	Responsible for quality assurance activities and testing the proposed solution including unit testing, system testing, readiness testing	Off-site	3	3
QA Analysts - Functional	Performs quality assurance activities and functional testing of the WV IES	Off-site	15	18
QA Analysts - Performance	Performs quality assurance activities and performance testing of the WV IES	Off-site	4	4
QA Analysts - Security	Performs quality assurance activities and security testing of the WV IES	Off-site	1	1

DDI Org Chart Role	Responsibilities	*Location	FTEs	
			IE Release	**CW & CS Releases
Quality Architect/ Automation Lead	Responsible for the automation quality assurance activities and testing	Off-site	1	1
Automation Analysts	Performs quality assurance activities and automation testing of the WV IES	Off-site	2	2
Quality Data/ Environment Manager	Manages the collection, validation, and verification of data flowing into and out of the system; responsible for maintaining the solution environment	Off-site	2	2
Data Center Manager	Oversees WV IES data center operations; manages system administrators, database administrators, and their work	Off-site	1	1
System Administrators	Responsible for the operating systems, virtual environment, and COTS application tools; performs monitoring, performance tuning, and testing of software patches and upgrades	Off-site	3	3
DBAs	Maintains the performance, security, backup, and recovery of the database; responsible for system administration tasks; oversees database management, ETL work, system configurations, and performance monitoring	Off-site	2	2
Technical Project Managers/ Project Managers	Responsible for coordinating the DDI delivery of the solution	Off-site	5	5
Account Manager	Serves as the subcontractor's primary point of contact for Optum and DHHR	Off-site	4	4
Implementation Director	Responsible for the subcontractor's implementation activities and deliverable	Off-site	4	4
TOTALS			152	149

*Off-site resources will travel to the Charleston facility as needed. **The resources identified here may vary based on information discovered during Implementation.*

Other M&O Staff: The following table shows the roles, responsibilities, and FTEs we propose for the M&O other staff.

M&O Org Chart Role	Responsibilities	*Location	**FTEs
M&O Leads/Project Management	M&O primary point of contact for DHHR; provides reporting statuses, measurements, system improvements, prioritization, application impacts, and metrics; leads Touch Point meetings, process walkthroughs, process setups and escalation reviews	1 on-site 1 off-site	2
Service Managers	Primary ownership of the individual application maintenance; engages cross-functional teams to validate appropriate staff are engaged to achieve successful service delivery outcomes	1 on-site 3 off-site	4

M&O Org Chart Role	Responsibilities	*Location	**FTEs
Service Coordinators (IES Business Leads)	Works with the service manager and takes secondary ownership of the application; includes Line of Business managers; owns functional modules end-to-end; reviews incidents; serves as technical and functional SME for production support.	2 on-site 3 off-site	5
Senior Application Support Analyst	Technical and functional SME to provide Level 1, 2 and 3 support; performs root cause analysis, triages complex issues, automates repetitive tasks, and performs data analysis and data remediation; manages incident restoration.	2 on-site 7 off-site	9
Application Support Analyst	Technical and functional SME to provide Level 1, 2 and 3 support; records incidents/problem tickets, performs first line of triage, and manages input/output feeds and batch processes; debugs codes and manages incident restoration	2 on-site 10 off-site	12
Technical Writer	Gathers, analyzes, and develops technical information to support the solution; translates technical information into documents that technical and nontechnical personnel can use and understand	Off-site	1
ITIL Process Analyst	Serves as primary point of contact for ITIL process compliance; manages M&O process flows and the operating model	Off-site	1
Metrics & Reporting Expert	Generates and distributes reports outlined in the Operational Procedures Manual; performs ad-hoc queries and analysis	Off-site	1
M&O Quality/Testing Analyst	Reproduces issues in non-production environments; helps level 3 support staff validate fixes and data remediation scripts; performs validation for problem ticket fixes and vendor fixes for COTS products before deployment; performs smoke tests and deployment validations and checkouts	Off-site	2
Data Center Resources	Responsible for the operating systems, virtual environment, and COTS application tools; performs monitoring, performance tuning, and testing of operating system and software patches/upgrades	Off-site	2
DBAs	Maintains the performance, security, backup, and recovery of the database; responsible for system administration tasks; oversees database management, ETL work, system configurations, and performance monitoring	Off-site	2
Application Support Manager	Provides day-to-day management of the subcontractor scope of work. Knowledgeable of all issues, concerns, and requirements.	On-site	1
Technical Call Center Representatives	Handles technical calls from providers and system users concerning the provider enrollment application and software; handles initial system issues; processes requests for login IDs and security switch settings for the application	On-site	6
Trainers	Develops and presents training programs for WV IES end users; develops and maintains training documentation and materials	On-site	1
E-Learning Support	Assists training staff by tracking training requests and evaluations; maintains the Learning Management System (LMS), calendar, and other training tools	On-site	0.5
QA Analyst	Conducts QA reviews for the subcontractor to assess departmental compliance with internal, State, and industry standards	On-site	1
TOTALS			50.5

**The resources identified here and their locations may vary based on information discovered during Implementation.*
***M&O headcounts reflect average headcount over the nine years of M&O (base plus option years)*

Other Optum Staff

The WV IES Project will have the support of more than 100 additional resources from our shared services organization, which provides technical resources and subject matter experts that Optum shares across projects and project phases. These resources provide WV IES additional support over and above the dedicated resource already mentioned for areas such as database administration, system administration, data architecture, systems administration, data modeling, and security. For example, our project-based security team is supported by multiple corporate security resources. These individuals work with each dedicated delivery team to drive continuity, integration and performance in security and privacy controls across the enterprise. Additionally, Optum has nearly 132,000 employees, which enables us to draw upon specific expertise when needed and provides staffing flexibility to support the WV IES Project. You have the commitment from the entire Optum organization to deliver on your new WV IES.

Additional Support
Optum Resources

More than 100 additional resources from our shared services organization will support the WV IES Project.

The areas of support are:

- Infrastructure
- QA and testing
- Security
- IES product development

Optum Advisory Committee

Access to industry thought leaders for advisory oversight is crucial for the success of complex, enterprise-wide integrated HHS solutions like the WV IES. We will strengthen our project organization with our Optum Advisory Committee. The committee will include HHS policy and program experts with extensive technical, government, health care, and Medicaid/HHS experience. These experts will be available to DHHR and Optum project staff to address and resolve project and business issues, concerns, or questions. The committee will provide direction and support throughout all stages and phases of the WV IES contract. The following table describes the experience of each committee member.

Committee Member	Relevant Experience
Lisa Chimento	Ms. Chimento is the chief executive officer of the Lewin Group, an Optum company, and chief product officer for Optum Government. In her Optum role, she has oversight for the Optum integrated eligibility product that is the foundation of the solution we propose for the WV IES. She brings our team deep understanding of DHHR's programs, history, and needs. Under her leadership, the Lewin Group has been a partner to the State for more than 15 years, supporting management of West Virginia's Medicaid managed care program. She is uniquely positioned to help our WV IES team support DHHR in accomplishing its goals for its HHS programs. She also offers West Virginia extensive knowledge of integrated eligibility in the post-ACA environment. Ms. Chimento oversees the consulting portion of the Optum engagements with Massachusetts, Maryland and the District of Columbia to resolve systems issues in these health insurance exchanges. Her other recent consulting engagements include directing a multi-year federal project on Medicaid care management and performance improvement, working directly with nearly 20 states. She earned a bachelor's degree in economics from the University of Virginia and a master's degree in public and private management from Yale University.
Scott Dunn	Mr. Dunn is the director of the Optum HHS Programs and has more than 37 years of HHS program experience at the national, state, and local levels. He provides HHS domain expertise and policy guidance for our data analytics and business intelligence initiatives with a focus on developing enterprise wide integrated HHS solutions. He has a thorough understanding of the needs of state HHS agency systems, management, budget, and intergovernmental issues. His background includes policy analysis and program evaluation. Mr. Dunn has a unique perspective on state requirements for developing and implementing HHS systems. As the administrator of the Food and Nutrition Service (FNS), U.S. Department of Agriculture, he administered all federal government domestic food assistance programs including the

	SNAP and the Special Supplemental Nutrition Program for Women, Infants, and Children (WIC). He directed the FNS strategic planning, budget development, and policy planning and analysis for Agency programs. He served as the FNS deputy administrator for the Food Stamp Program managing all aspects of the national program. He developed and approved the first state initiated food stamp Electronic Benefit Transfer project in the country. He served on the oversight committee that reviewed, approved, and monitored Advance Planning Documents for state IT systems. Before these appointments, he served as the policy coordinator for the Deputy Secretary of the U.S. Department of HHS and as the professional staff member with the U.S. Senate Committee on the Budget for the Income Security function of the Congressional budget. He holds a master's degree in public administration from the University of Southern California and a bachelor's degree with a double major in economics and political science from Claremont McKenna College.
Brian Wilbon	As the business product owner of integrated eligibility at Optum, Mr. Wilbon is responsible for the overall solution strategy, product build, and approach to the marketplace. With more than 20 years of Medicaid and Medicare experience, he knows the changing landscape of HHS delivery and the impacts and requirements it has on government agencies. Mr. Wilbon understands that a successful WV IES will optimize individuals' access to services they need to reach self-sufficiency. He was responsible for program management for our engagement supporting the Maryland Health Benefit Exchange (MHBE). He provided strategic direction to the MHBE project management office (PMO), overseeing the Tier II call center support, and managed the takeover of the system integrator role from MHBE's previous vendor. Before joining Optum, Mr. Wilbon served as Secretary of the Maryland Department of Human Resources, Director of the Department of Human Services in the District of Columbia and Chief Operating Officer for the Department of HHS for Montgomery County. His responsibilities in these roles included oversight for Medicaid, TANF, juvenile justice, foster care and adoption, offender re-entry initiatives, shelter for homeless persons, and other social human services programs. As DHR Secretary in Maryland, he provided leadership of a multi-year modernization initiative for a government HHS department. He oversaw a multi-faceted enterprise-wide initiative to revamp the business processes, operating model, and technology. Mr. Wilbon understands the far-reaching impact technology has on daily operations for HHS programs.
Julie Trottier	Ms. Trottier, Senior Consultant, joined the Lewin Group in 2013. She has more than 25 years of experience in HHS program development, care coordination, disease management, and quality assurance and improvement. She began her career in direct service with the Homeless Healthcare Project and Vermont's welfare-to-work program. As an administrator with the Department of Vermont Health Access (Vermont Medicaid Agency), she led and contributed to programs including the Vermont Chronic Care Initiative and Medicare/Medicaid integration efforts in Vermont. With the Vermont Department of Aging and Independent Living, she managed a federal transportation grant program in collaboration with senior and disability advocates and public transportation providers around the state. She has served on leadership teams for new and expanding supported housing and chronic care management programs in an evolving effort to bridge gaps within HHS systems. In her work with Vermont's Blueprint for Health, she served as a liaison between the state and Medicaid providers to develop best practices for enrollees. She was the project coordinator for a foundation-supported Learning Collaborative with a dozen state Medicaid programs sharing innovative patient-centered medical home, community health team, and other health care system transformation ideas and experiences. Ms. Trottier holds a bachelor's degree in Psychology, a master of science in Administration and is certified through NCQA as a Patient Centered Medical Home content expert.

3.2.4 Staffing Vendor Response Requirements

In addition to the requirements described in RFP Section Four, Subsection 3, we include a succinct description of our proposed project team in this section to demonstrate our ability and capability to provide knowledgeable, skilled, and experienced personnel to accomplish the scope of work as described in this RFP. We will provide all resources necessary to fulfill the requirements as specified in this RFP.

We will mobilize the right team of IE and HHS professionals that align with your specific requirements for the WV IES Project. We developed our proposed staff and initial organizational charts based on our experience with multi-stakeholder environments and previous integrated HHS projects of similar size and complexity. We understand we are expected to lead the project, optimize the use of DHHR staff, and make the best use of your staff members' time.

Organization Charts

We provide an organizational chart for each phase of the WV IES Project in Figure 3.2-1 and Figure 3.2-2. The charts show all staff members we will assign to each project phase, including staff that will work off- site from the local work location and subcontractor staff. The charts clearly indicate which staff members are key personnel, off-site staff, and subcontractor staff. We have clearly identified key staff in the organizational charts and throughout this proposal with a key symbol.

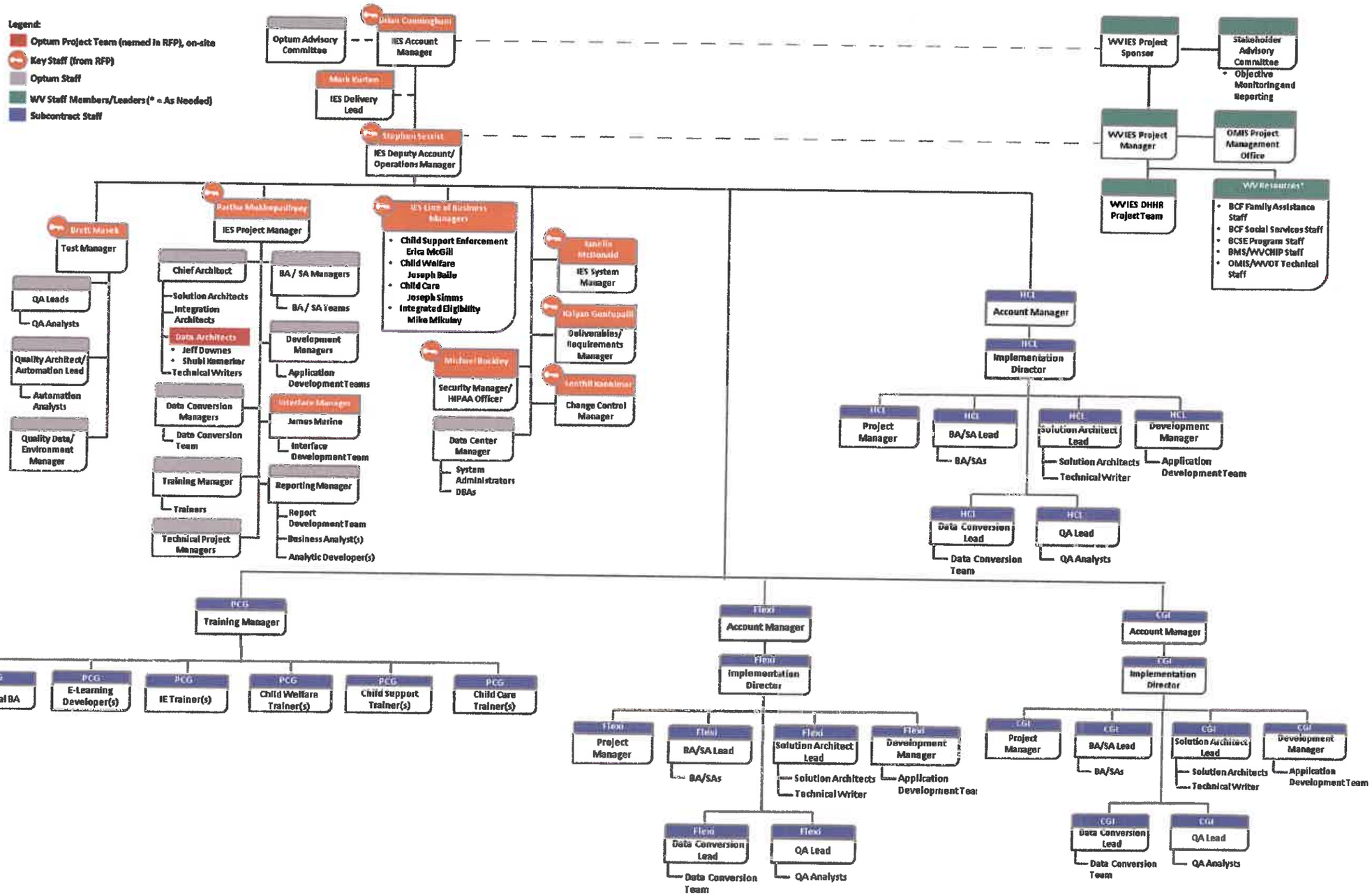


Figure 3.2-1: DDI Organization Chart.

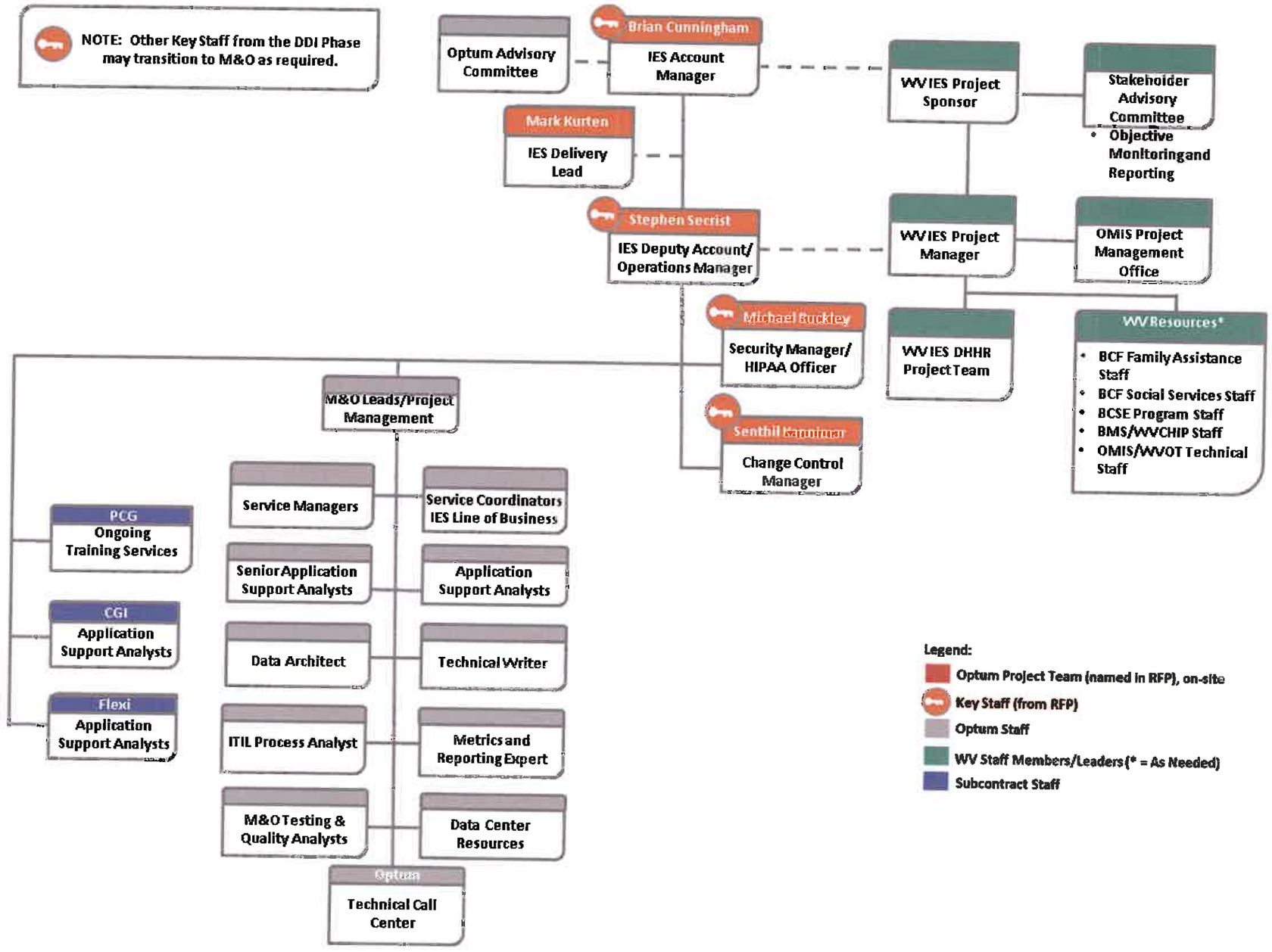


Figure 3.2-2: M&O Organization Chart

Staff Organization

We have aligned our organizational structure and staff to allow for flexibility within the WV IES releases. In preparing our response to the RFP, we reviewed the requirements and designed a solution and approach to successfully deliver the functionalities you have requested. Our WV IES Project approach consists of three separate, yet integrated program-specific projects, to be executed in parallel to support your business objectives. These three programs are for the Child Welfare, Child Support, and Integrated Eligibility (IE) functionality. The Child Care component will be absorbed as part of the IE project, with eligibility and benefits determination functionality being contained within the IE solution and the child care licensing, compliance, and quality functionality contained within the Client Services Module. Each program will consist of several interim releases, which will incrementally build up to the final WV IES. This approach will allow us to minimize delivery risk by dividing the work into smaller, more manageable efforts. It will also provide a phased approach that will allow your staff more time to adjust to the new system.

Please see proposal Section 4.2.3, Design, Development, and Implementation Schedule for more information on our proposed release approach and schedule for the WV IES.

DDI organization: A key feature of our organization for DDI is the alignment of the lines of business managers for Child Support Enforcement, Child Welfare, Child Care, and Integrated Eligibility to the major WV IES areas of service as described in Figure 8 of the RFP: Bureau for Children and Families (BCF) Family Assistance, BCF Social Services, Bureau for Child Support Enforcement (BCSE) Program, and the Bureau for Medical Services (BMS) plus WVCHIP. The staff members of these groups will interact as needed with these lines of business. We expect the Office of Management Information Services (OMIS) and West Virginia Office of Technology (WVOT) Technical Staff members will be involved with all lines of business. Our IES account manager will serve as the liaison to the WV IES Project Sponsor who will work with the Optum Advisory Committee. The Optum WV IES deputy project manager/operations manager will serve as the point of contact for the WV IES Project Manager.

M&O organization: Our operations team will work with you to manage and maintain the WV IES with a focus on customer service, cost-containment, and continuous improvement. We will provide consistent, uninterrupted service as you achieve steady state operations. We will right-size the staff for operational services while providing customer service excellence and operational efficiency. As part of our staffing approach for the WV IES, CGI application support analysts will be available to Optum support as needed.

Our experienced team knows how to interface with other vendors, organizations, and teams to bring projects to successful conclusion. We will follow our proven governance approach to provide interaction points for the project at the strategic, managerial, and operational levels. Appendix 6, Staffing Management Plan describes our governance approach in more detail.

Key Staff and Support Staff Resumes

Refer to Appendix 4 for our proposed key staff and support staff member resumes, including their licenses, credentials, and experience. We have included letters of intent with our proposal submission for two staff members who are not current employees.

Our success on the WV IES Project will rely on our ability to effectively mobilize the right team of skilled staff. Our proposed key staff has extensive business and technical experience in the complete life cycle of large-scale, enterprise government and commercial implementations. This helps reduce project risk. The resumes we provide in this response demonstrate that our proposed key personnel have the skills and experience required to deliver your WV IES on time and within budget.

Quality and Timeliness of Off-site Work

For work we perform off-site, including work of subcontractor(s), we have put into place a Quality Assurance Plan to assure quality and timeliness of the work performed off-site.

All Optum employees are subject to our staff retention and continuity processes described later in this section. Quality and timeliness of work will be part of each staff member's goals. Their supervisors will assess deliverable quality and progress regularly against project plans, regardless of the staff member's location. We will also make sure that team members have direct access to the experience of peers and subject matter experts to augment their own skills and capabilities. Any subcontractors we use will be subject to your requirements. See Appendix 6, Staffing Management Plan, for more information on our use of subcontractors.

We will address quality throughout the implementation, deployment, and on-going services. We will assign quality assurance (QA) leads and QA analysts to every effort. They will validate that the agreed to standards are adhered to, processes are adhered, our WV IES defined test strategy is adhered to and results of all testing efforts are captured and assessed for each effort.

Our QA leads will also determine measures and metrics for each effort that they are assigned to indicate the quality being delivered. Metrics may include criteria such as number of eligibility rules created, number of rules tested, and number of defects identified by priority. Our WV IES quality controls and assurance activities are detailed in Section 4.3.2. For more information on our WV IES Test Approach please refer to Section 4.3.5.

Our Approach to Personnel Management

Hiring staff, firing staff, and relocation: As a leading provider of health services for federal and state agencies, we have a record of accomplishment. This demonstrates our ability to recruit, hire and retain employees with the skills and talent required to fulfill your requirements. To bring the best and brightest talent to Optum, we depend on our professional human resources organization, our IT leadership, and talented employees.

We have human capital professionals dedicated to employee services throughout the United States. We position our teams strategically to meet the staffing requirements of each engagement. Working with our human capital professionals, we will hire staff for the WV IES Project whose education, experience and background meet contract requirements. We will prioritize qualified talent in the Charleston area based on recommendations from our local staff and local staffing organizations. We will only assign staff to the project with your advance approval. We will submit resumes to you and make candidates available for interviews.

We will only assign experienced staff to the WV IES. If DHHR or Optum identifies a staff member whose work is unacceptable, we will work with you to get the individual back on track. If that is not possible and we need to remove an individual from the project, we will notify you in writing in advance. We understand that removing key staff, assigning replacements, changing staffing levels or skill levels can only happen with your advance written permission.

To make sure we engage the best staff, we will support relocation of qualified candidates. We will follow our corporate relocation policy for staff members wanting to relocate to Charleston and join the WV IES Project. We will only consider staff members for relocation if they meet your contract requirements. For new hires, we will authorize relocation through the staffing process. Current employees will work with their Optum management for relocation authorization. See Appendix 6, Staffing Management Plan, for more information on recruitment.

Staff Training: Our commitment to excellence in staffing extends to our attention to detail in training and development. We provide many types of employee training that will benefit you. This includes new hire training, ongoing system and business knowledge training, training for staff transitioning to new roles or phases, project management training, and mandatory annual training

on topics such as privacy and security. Our employee training will help us provide knowledgeable and effective support for the WV IES Project while protecting your information assets and the confidentiality of your private information.

Our approaches for staffing and development include training, collaboration, and communication within the project team. We will provide project staff with the tools, resources, and mentors required to perform at advanced levels throughout the life of the project. See Appendix 6, Staffing Management Plan, Section 2.1, Recruitment Strategy, for a complete review of our training tools. They include project-specific vendor or product training, project-specific functional training, certification training, and our Web-based training portal. We also require annual training on topics including privacy and security.

Staff retention and continuity: A key factor in retaining staff and providing continuity for our customers is hiring the right people. We hire people who share our cultural values of integrity, compassion, relationships, innovation, and performance, which align with the values we see in your mission. These common principles result in cohesive groups of individuals committing themselves to excellence in their work and in their lives. Our staff possesses the appropriate combination of expertise and versatility to adapt and respond to changing customer needs. For the WV IES Project, we will provide staff continuity throughout the life of the project by:

- Dedicating our staff to the project for applicable phases
- Executing well-established development, staffing, and employee satisfaction programs that result in low turnover and high retention
- Implementing a smooth transition with overlap
- Using local partners, subcontractors, and the Optum human resources organization to acquire replacement staff in a timely manner as needed

For more information on our staff retention and continuity policy, see Appendix 6, Staffing Management Plan.

Staff performance monitoring: Performance management is one of our employee focused management practices. Optum conducts annual employee performance reviews that include input from employee peers and managers. Management also monitors employee work throughout the year. We stay in touch with project team members, the customer, and stakeholders to make sure employee performance is acceptable.

Succession planning, staff replacement, and backup: As part of our standard operating procedures, we will require all staff assigned to the WV IES to participate in job rotation and cross training. This will help us maintain continuity in the event of planned and unplanned absences. We will augment this cross training with support from our corporate training staff as needed. This will keep applicable information and training documentation current and minimize the impact of staff changes throughout the contract.

Additional staff support: Optum has established relationships with many subcontractors and staffing organizations in the Charleston area. If Optum and DHHR decide that additional staff is needed to the support the WV IES Project, we will follow our standard staffing procedures to obtain qualified staff and maintain adequate staffing levels.

Knowledge transfer: An Optum cultural value is relationships. Our Account Manager Brian Cunningham has built meaningful relationships with West Virginia leadership and key players in your community over the last two decades. The WV IES Project team will build on our close relationships with DHHR. We will determine your specific needs for essential knowledge transfer at the individual DHHR staff member level; whether the individual requires knowledge following a new release, the completion of a project, or as part of staff transition off of the project. We will make sure your technical staff members have knowledge they need to be successful. Knowledge transfer is an ongoing process that starts during DDI and continues through the life of the project. We achieve this

by working collaboratively with you; being transparent in all that we do; keeping accurate, updated documentation and artifacts available to authorized users; and by conducting routine end user training. A comprehensive knowledge transfer plan will guide the implementation of our structured knowledge transfer methodology. This approach will enable DHHR to absorb knowledge and use lessons learned associated with your WV IES business processes and community stakeholders.

4. RFP Section Four: Goals

Our approach for the West Virginia Integrated Eligibility Solution (WV IES) allows DHHR to meet your four project goals while maximizing reuse of business, information and technical architectures. This is achieved through alignment with the Medicaid Information Technology Architecture (MITA) 3.0 and CMS' Seven Conditions and Standards. With this guidance incorporated into the solution design, the Optum WV IES facilitates system-to-system data sharing, interoperability and collaboration across multiple programs and bureaus. This design enables the Optum WV IES to minimize customization by promoting reusability across the DHHR enterprise.

We provide business processes, architecture, and an operations framework that allows adaptive and deliberate progression to higher maturity level and instill this discipline in the design, development, and implementation (DDI) phase. We also include organizational and cultural change components for those enterprise business, technology, and operational elements affected by higher levels of maturity.

We will help DHHR meet your goals in the following ways:

Shared Use

The WV IES maximizes DHHR shared use and changes focus on outcomes. We orchestrate these results by providing multiple, pre-configured, secure, integration points allowing flexibility, multi program capabilities, and increased self-service function opportunities. An interconnected system will also provide the ability for improved reporting and analytics promoting data driven business decisions supporting your programs.

Modernization

The modern, modular WV IES we propose will deliver better outcomes, help you better serve members, and improve the caseworker workload. It incorporates a modular design that provides easy interactions with several state and federal systems, including FedHub, MMIS, CHIP, Department of Correction, and vital statistics. The modular design will allow flexibility to interact with any legacy or modern applications based on various technologies within DHHR and are hosted on a modern hosting platform with enhanced security.

Common Governance

Our governance model will deliver consistency and align the same procedures across the WV IES Project. Our governance approach focuses on achieving your desired business outcomes for citizens and Department of Health and Human Resources (DHHR) staff, and standardizing and optimizing system operations. We look forward to extending our current positive partnership with DHHR to all WV IES stakeholders.

Functional Requirements

We designed the Optum WV IES to support West Virginia-specific business rules and workflow per the Business and Technical Specifications in RFP Appendices VI and VII. We will meet each of the individual 2,731 requirements. Ninety percent of these will be achieved natively (51 percent) or though configuration (39 percent).

4.1 Goal 1: Shared Use

We architected the Optum WV IES platform to promote shared use and provide the capability to integrate support for programs administered by any other State agency, United States territory, or political subdivision.

We built the innovative Optum WV IES on proven technologies. As a fully modular solution, it overcomes limitations of custom-developed solutions currently serving the IES market. Our WV IES isolates the components into modules for maximizing reuse across the enterprise and to make sure DHHR is only paying once for specific modules. **Figure 4.1-1** shows our approach for organizing the new WV IES for maximum shared use opportunities.

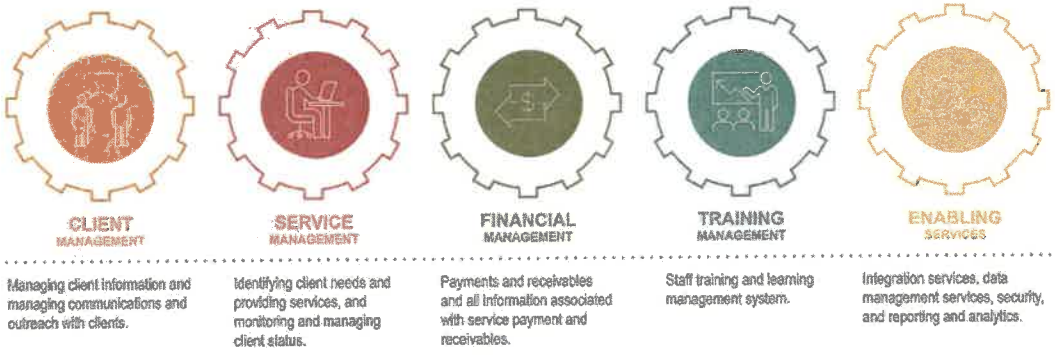


Figure 4.1-1: The new WV IES.
Our modular approach meets DHHR's mandatory requirements articulated in the RFP. The new WV IES is based on Optum's re-use of West Virginia, partner, and Optum modules.

Our solution isolates the components into the following five modules:

1. Client Management Module
2. Service Management Module
3. Financial Management Module
4. Training Management Module
5. Enabling Services Module

Our approach meets the following DHHR mandatory requirements related to modules:

- Four mandatory modules are listed and must be proposed as part of the Vendor's solution.
- The proposing Vendor, as defined in RFP Section 3, Subsection 2.9, must not own the majority (more than half) of these four mandatory modules.
- No Vendor partner or partners can own/provide more than two of the mandatory modules.
- Even if more than the mandatory modules are proposed, no Vendor or Vendor partner(s) can own the majority of the mandatory modules.

This approach maximizes DHHR shared use and changes focus on outcomes. We orchestrate these results by providing multiple, pre-configured, secure, integration points allowing flexibility, multi program capabilities, and increased self-service function opportunities. An interconnected system will also provide the ability for improved reporting and analytics promoting data driven business decisions supporting your programs. We interoperate each module through our Optum Integration Layer (OIL).

Optum Integration Layer (OIL)

As part of Enabling Services, OIL reduces costs by deploying a COTS foundational system that is configurable, adaptable, and modular. OIL allows for integration that promotes a standardized processes across each of your Health and Human Services (HHS) areas.

OIL is a key differentiator of our platform. It provides you with the flexibility to interoperate and modernize over time while maximizing existing investments and reuse DHHR capabilities. For example, within the programmatic administration modules, you may decide to use the existing Hyland OnBase solution for document management and existing mailroom facilities for a period of time. You may also decide in the future to use Optum program integrity services. They can help you identify potential fraud, waste, or abuse during the eligibility determination process. These services are accessed through the integration layer.

We will accomplish shared use through use of open interfaces and exposed application programing interfaces (APIs), separation of business rules from core programming, and the availability of business rules in both human and machine-readable formats. **Figure 4.1-2** shows how OIL orchestrates transactions across WV IES modules. We present details on the technology stack supporting OIL in Section 4.1.2, Reusability.

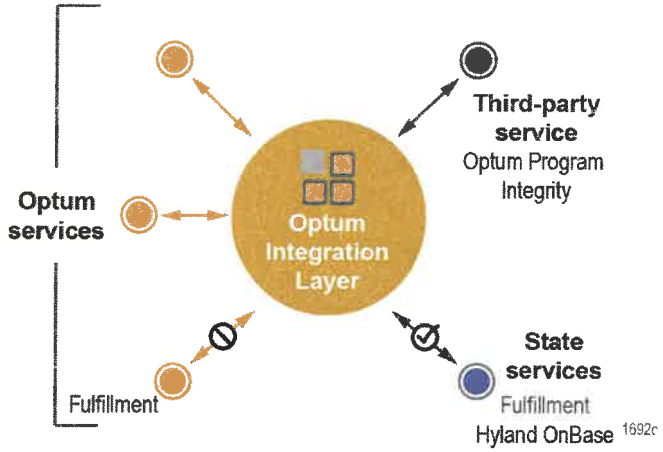


Figure 4.1-2: OIL
OIL orchestrates transactions across modules in the WV IES.

The following table shows the services provided with OIL.

Optum Integration Layer (OIL) Services		
File Transfer Gateway	**Web Service Gateway**	**Integration Services**
Authentication	Authentication	Transformation
Secure File Transfer	Threat Protection	Aggregation
File Transfer Monitoring		Splitting
		Throttling
		Validation
		Scheduling
		Protocol Conversion

Our five-module solution combines modular components from proven HHS partners into a flexible, comprehensive IES system that meets the individual functional requirements defined by the State of West Virginia. **Figure 4.1-3** show the four mandatory WV IES modules are orchestrated by the non-mandatory Enabling Services module that includes the OIL capability.

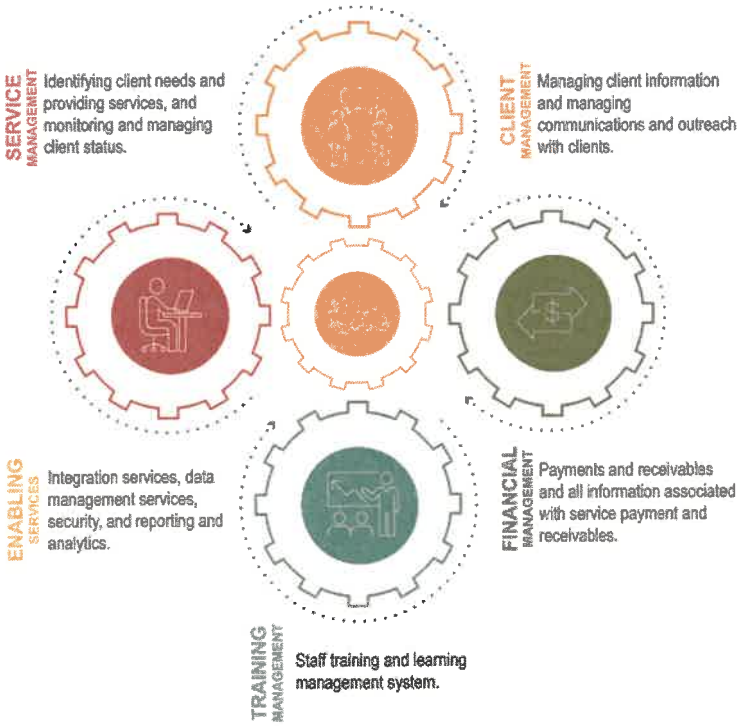


Figure 4.1-3: WV IES Modules
The Optum platform contains five modules for the new WV IES.

4.1.1 Objective: Interfacing with the Data Warehouse

Optum has successfully developed Medicaid and Enterprise Data Warehouse (EDW) solutions in more than 10 states, including Michigan, Illinois, California, New York, and New Jersey. Our data warehouse solutions manage billions of health care claims, tens of millions of family assistance and program decisions, and millions of members. In Michigan and New Jersey, we harmonized Medicaid and family assistance data to provide a simplified end-to-end view of assistance touch points by program, family, case and individual. All of our data warehouse engagements, including those in California and Illinois, incorporate multiple integration points for other programs and business functions. In Michigan, we support more than 1,000 Department of Human Services (DHS) case workers. Our analytic capabilities, easy-to-understand reports, and dashboards enable DHS county managers in 115 offices to more cost-effectively manage their human services programs.

We will help you minimize risk and facilitate enterprise data governance while interfacing with the existing RAPIDS, OSCAR, and FACTS data marts in the West Virginia-hosted environment. We will update your data marts so they have accurate information to generate reports, such as new and rejected enrollments. Additionally, we will leverage the DHHR proven Informatica ETL, Master Data Management (MDM) and data quality tools that we have used in over 10 states to promote consistent and reliable ETL, MDM, and data quality processes. We currently manage this as part of the WV IES Maintenance and Operations contract.

This will provide traceability to the source systems in order to improve data quality at the source. We will encrypt data both at rest and in motion. We will log data sent and received in accordance with HIPAA rules.

Optum provides encrypted, secure file transfers using our corporate file transfer platform called Enterprise Customer Gateway (ECG). ECG supports secure file transfer (FTP encrypted with

transport layer security and secure sockets layer), HTTPS (Web protocol encrypted by secure sockets layer) and AS2 (encrypted file transfer protocol). Our ECG service is currently used for similar secure file transfers for over 5,600 external customers across various product lines. On average, more than four million files per month, for 30 terabytes of data, are processed by this enterprise file transfer platform, which is distributed across multiple data centers. Optum monitors the system regularly and increases capacity as required. We have an existing encrypted Virtual Private Network (VPN) tunneling through the public Internet to your West Virginia data center from our ECG.

We will first migrate the existing transactional databases to new databases within the Optum Data Center so that you realize the most efficient use of your resources. This will include:

- Migrating the existing RAPIDS and eRAPIDS databases to the new WV IES database
- Migrating the existing FACTS database to the new Child Welfare database
- Migrating the existing OSCAR database to the new Child Support database

We detail the migration process in proposal Section 4.3.6, Data Conversion. After the migrated databases go into production, we will execute our plan to interface with the data warehouse and maintain updates in accordance with the approved schedule. **Figure 4.1-4** shows our overall approach to interfacing with the existing data marts and MDM.

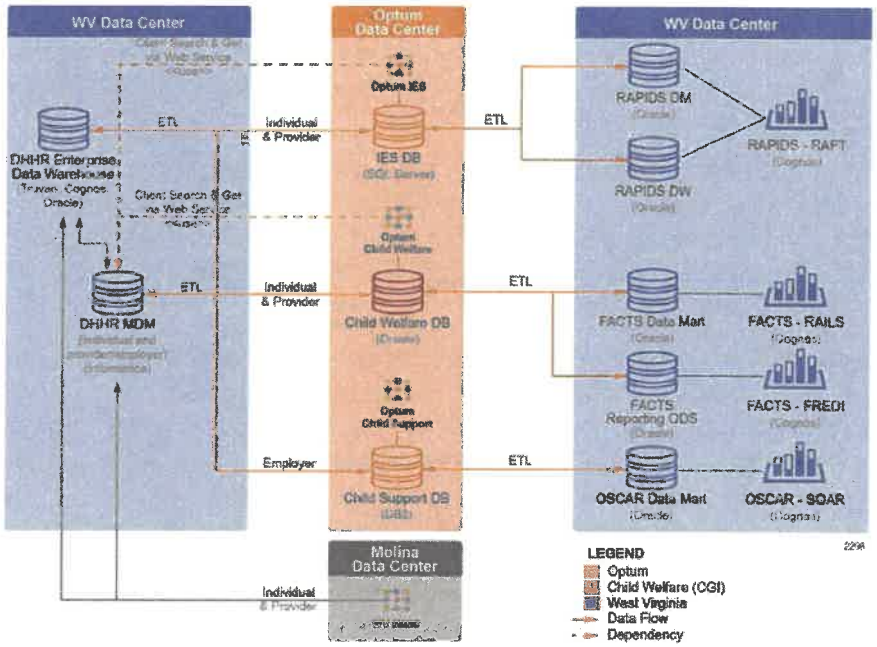


Figure 4.1-4: Interfacing with the data warehouse
Optum will integrate data from three new databases with the existing data marts.

The diagram shows four boxes. The center box, labelled Optum Data Center, shows the three applications and their associated databases which we will host at the Optum Tier III data center. The left and right boxes, labelled WV Data Center, show the West Virginia MDM, EDW, data marts, and data stores. We divided these into two boxes to make the diagram easier to read. The fourth box, Molina Data Center, shows the Medical Management Information System (not related to this RFP) that connects to the MDM system we will operate. Although not shown in the diagram above Optum is planning to work with DHHR to bring the MDM service into the Optum data center as part of this contract.

Solid orange lines show data flows through schedules ETL processes. Dotted orange lines show dependencies implemented by web services. Solid grey lines show the data connections between business intelligence tools (Cognos) and their data stores.

The Optum WV IES will Transmit Data to the Existing Data Marts

The Optum WV IES will encompass all databases migrated to and housed at Optum, including the IES, Child Welfare, and Child Support databases. We have a stable repeatable process for creating and operating data connections. The relevant steps include the following:

Identify required interfaces and their data transfers: During the design, development, and implementation (DDI) phase information we will identify needed data connections and their content. The three required connections are:

- Integrated Eligibility System
- Child Welfare
- Child Support

We will keep this current through ongoing governance and change management activities.

Migrate existing data quality rules to the new instance of Informatica: An important part of the ETL process is data quality and that DHHR uses Informatica for ETL. We use Informatica ETL for data mart projects in more than a dozen states. We will migrate as many of the data quality rules as feasible into the new solution. We will enhance the existing data quality rules with cross-checking our understanding of DHHR business needs. The new instance of Informatica will provide a solid foundation for ETL processing for the new WV IES.

Create interface control documents (ICDs) with necessary details to implement those connections: For the integrated eligibility system, the child welfare system, and the child support system we will produce details of what has to happen to make it work. We will do so transparently, giving you the opportunity to comment and approve. We will store the results in the SharePoint site for reference. Steps in our process include:

- **What is to be transferred:** Specific identification of the data to transfer, including volume estimations and data dictionary information, including code sets.
- **How often the data is to be transferred:** We expect data transfers to take place daily, scheduled at a time for minimal impact on the data marts. This will be used to develop a production schedule to be followed by operations personnel.
- **How the data is to be transferred:** We will transfer the data by creating an extract at our data center using Informatica and transferring it to the landing zone at the West Virginia data center using an encrypted virtual private network (VPN) tunneling though the public Internet from our ECG.
- **Validation and feedback mechanisms:** Optum is presently responsible for operations and maintenance at the West Virginia data center under a different contract. Data extracts received at the West Virginia data center will be loaded into the relevant data store using Oracle Warehouse Builder. Error handling and controls will include:
  - **Fatal errors:** Identifying errors that require rejection of the entire record. These are logged and sent back to the application owner at the Optum data center for analysis and correction.
  - **Warning errors:** We log non-fatal errors, such as codes that do not match reference data. These are made available to data quality staff and to the governance operation to do a statistical analysis of data problems. This is an input for continuous improvement with the intent of detecting repeating patterns that identify problems to fix.
  - **Control totals and other batch validation mechanisms:** We transfer data with a manifest so that we can check that the number of records transferred matches the number of records in the manifest.

- **Correction mechanism:** We will not load any records with fatal errors and include corrections in later updates.
- **Logging:** We log all transmissions and receipts. The level of detail is determined by both compliance needs and desired reporting on the logs.
- **Compliance:** We are extremely familiar with both Federal and West Virginia requirements from prior work. We will implement security and privacy controls applicable to the transmission, such as authentication and means of encryption and logging.

Develop ETL code to implement the interface control documents: We will develop ETL code to implement transmission and receipt. This will include adding or migrating relevant data quality rules to the new instance of Informatica as well as developing scripts and protocols for validating that successful data transmissions have taken place. The ETL code will update the MDM as appropriate. All project activities will be fully transparent to DHHR. We will have weekly project meetings and give authorized staff access to deliverables through our SharePoint site. For example, work products identified as milestones on the integrated master schedule will be accessible through the SharePoint site for DHHR formal review.

Test the ETL code: We will test ETL code thoroughly using test data approved with UAT. This will include testing that the MDM is updated as a result of new data.

Go into production: After you approve test results, we will go into production with the schedule you approved.

We will make sure this process meets all of your requirements.

The Optum WV IES will Receive and Store Data from the Existing Data Marts

Receiving and storing data from the existing data marts will follow the same process as detailed above. New interfaces will be identified by governance and go through the change management process. This includes:

- **Developing ICDs identifying what is to be transferred and how:** This will detail what is being moved and the schedule.
- **Identify and document the storage location:** As these operational databases will be in a new data center, we will decide on a storage location and update metadata management and technical documentation so that developers will have no difficulty using that data in an application.
- **Develop and test ETL code:** We will develop Informatica code to receive the data being sent from the data marts.
- **Operating that ETL code over a secure network:** When the ETL code works properly, we will put it into production and begin regular transmissions.

Because data to be received is presently not specified, we will carry out a discovery process in the DDI phase to learn what data needs to be copied to the IES and on what schedule.

The Optum WV IES will Transmit Data to the DHHR EDW

We will follow the same process detailed above for developing ETL code to transmit data to the EDW, after we determine what data needs to move and have sufficient information to develop complete interface control documents. New interfaces will be identified by governance and go through the change management process. This includes:

- **Developing ICDs identifying what is to be transferred and how:** This will detail what is being moved and the schedule.
- **Develop and test ETL code:** We will develop Informatica code to receive the data being sent from the databases. We will check for possible effects on the MDM system and deal with them.

- **Operating that ETL code over a secure network:** When the ETL code works properly, we will put it into production and begin regular transmissions.

The Optum WV IES will Receive and Store Data from the DHHR EDW

Receiving and storing data from the existing EDW will follow the same process detailed above. New interfaces will be identified by governance and go through the change management process. This includes:

- **Developing ICDs identifying what is to be transferred and how:** This will detail what is being moved and the schedule.
- **Identify and document the storage location:** As these operational databases will be in a new data center, we will decide on a storage location and update metadata management and technical documentation so that developers will have no difficulty using that data in an application.
- **Develop and test ETL code:** We will develop Informatica code to receive the data being sent from the EDW.
- **Operating that ETL code over a secure network:** When the ETL code works properly, we will put it into production and begin regular transmissions.

Because this is presently not specified, we will carry out a discovery process in the DDI phase to learn what data needs to be copied to the IES and on what schedule.

Data Received from the DHHR EDW will Integrate with the MDM Solution

We will operate the MDM solution and will develop a process to verify that the data received from the EDW is properly reflected in the MDM solution. If data received from the MDM solution is not reflected in the EDW, the MDM solution will be updated appropriately. We will retrieve client data from the MDM solution through standards-compliant Web services interfaces. These Web services APIs will be available to other IES components and DHHR systems.

4.1.2 Objective: Reusability

Shared Use and Modularity

The WV IES design uses service-oriented architecture (SOA) built around modular commercial-off-the-shelf (COTS) components and modules as the foundation to eliminate barriers between different applications, processes and diverse data types.

Our multi-tier SOA provides the ability to leverage and integrate with almost any existing solution, asset or system. An example of our use of these architectural principles is the Vermont Health Service Enterprise (HSE) platform, which services Vermont Health Connect (VHC). The HSE architecture uses an Enterprise Service Bus developed and implemented by Optum. It connects a COTS eligibility and enrollment module for Medicaid and qualified health plans with custom-developed EDI, CRM, verification, business intelligence, and content management modules and a legacy IE and MMIS solution.

The new WV IES for DHHR has the same SOA guiding principles. **Figure 4.1-5** shows the solution context diagram.

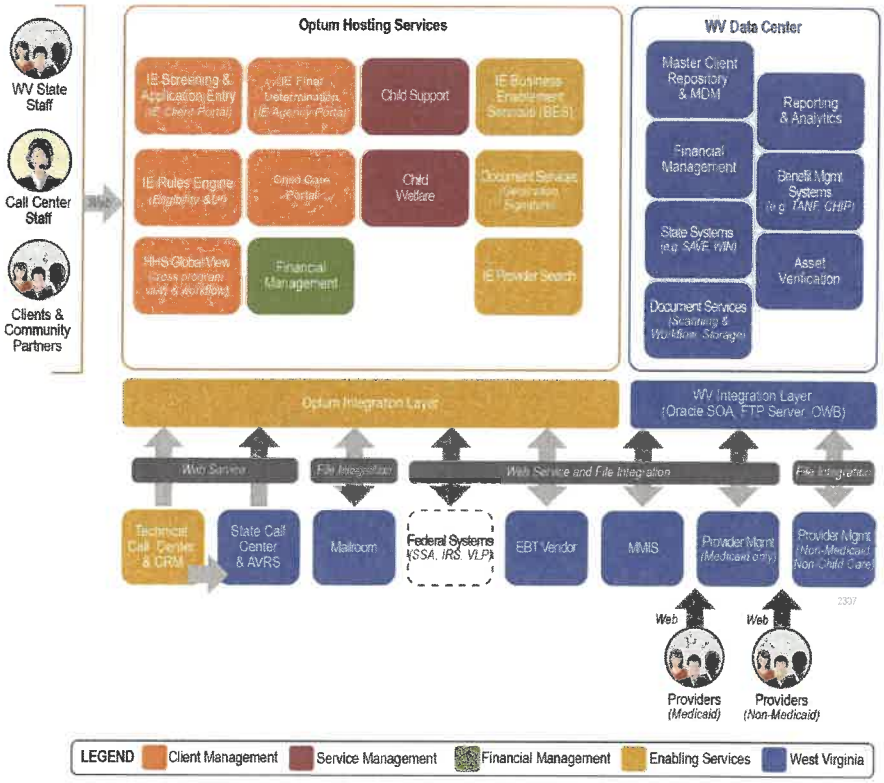


Figure 4.1-5: Solution Context Diagram.
The Optum WV IES incorporates five modules into distinct business components for DHHR.

SOA architecture enabled by OIL communicates to other systems versus a point-to-point connection. DHHR has the option to use Optum services or to extend the solution to leverage State and third-party assets. This provides the highest level of solution flexibility and modularity while minimizing costly and labor-intensive custom system developments that other IE vendors deliver.

Flexible and Adaptable Solution Architecture

This architecture enables shared use, flexibility, adaptability, and cooperation to respond quickly to changing business needs or regulatory requirements. In this section, we detail the underlying technical hardware and software architecture that will promote shared user across the enterprise.

Optum N-Tier Solution Enables Complete Separation of the Data Layer, the Application Layer, and the Presentation Layer

The technical architecture for the WV IES is an n-tier SOA, implementing OIL at its core, enabling complete separation of the data, application, and presentation layers. OIL acts as the service integration layer and can leverage and integrate with almost any existing solution, asset or system. OIL will orchestrate message communication and transformation via legacy file transfer, batch methods or modern transactional Web services, such as representational state transfer (RESTful) application program interfaces (APIs). OIL has an HHS-specific design, including a canonical data model and interface library built on the X12, HL7, and FDSH APIs. We originally designed it to integrate legacy platforms with modern systems in these domains. It is well suited for use in an enterprise like the WV IES consisting of both types of systems. The following table shows examples of how OIL might interface with existing West Virginia systems.

Existing System	Integration Method to OIL
Oracle Service Bus	Web services

WV Asset Verification System	Web services
Federal Data Services Hub Verification Services	File transform to canonical model with file or Web service integration
FACTS Migration	File transform to file integration
wvOASIS	File transform to custom data model with Web services integration
Hyland OnBase	File and Web service integration

This broad integration ability uses implementation-specific adapters or service proxies that communicate with the OIL core. Each service proxy exists between a modern or legacy enterprise system and a standard OIL service supporting an HHS-specific data format and transaction technology. The layer currently supports several standards, including the ASC X12 health care standard transactions, FDSH verification, Health Level 7 (HL7) standards, and other domain-specific data sets. This approach is more robust and is better suited to support modularity and interoperability than a general-purpose ESB implementation. It is also optimized for HHS business functions.

OIL further extends this design pattern by implementing canonical models for each of the supported data sets in its core. Once the data is transformed to a standard model by the producer proxy service, additional workflow and orchestration inside of the service layer uses the standard model. At the consumer end of the integration, a service proxy is implemented if needed to convert the data to any non-standard output format. Therefore, extensions to the platform need to focus on proxy development, not core changes.

In addition to the variety of service types and data sets supported by the OIL core, it provides the following features:

- Service orchestration
- Federation
- Transaction queueing
- Transformation

Coupled to the OIL core are industry-leading API and file gateway services integrated with the Optum security and disaster recovery layer. These features make the OIL platform secure, auditable and suited for HHS environments. We designed and developed OIL to comply with the governance frameworks of NIST 800-53 (MARS-E 2.0) FIPS, PCI DSS, and IRS pub 1075. Benefits of the OIL approach include:

- The service proxy design pattern results in a flexible, rapidly adaptable architecture because extensions to existing integrations often require modest changes to the proxy wrappers, rather than to the standard services or data models normally found in custom deployments.
- Use of the service proxy design pattern means that new integrations focus on developing new service proxies rather than entirely new services and workflows.
- Integration with producer or consumer systems that natively use one of the supported data sets or transaction technologies from the core library will be achieved out of the box with simple workflow customizations.
- Integration from legacy file or batch systems to transaction-based systems is a straightforward implementation of proxy adapters, transaction workflows, and transaction queueing. In contrast, legacy integrations typically involve ingest of COBOL copybooks, ASCII or other flat files, transformation to X12 XML EDI formats, and delivery to consumer systems using a SOAP or RESTful Web service.
- By implementing the X12, HL7 and other domain standards, coupled with the use of common interface technologies, services are readily reused. Typical examples include re-use of FDSH verification services across IE and health information exchange platforms, or re-use of a case

service from a customer relationship management system or an eligibility service from a rules engine.

The portal functionality in the Optum WV IES (e.g., DHHR Client Portal and DHHR Agency Portal) illustrates the benefits of OIL. These portals are part of the reusable Optum Portal Reference Architecture framework presented in **Figure 4.1-6**. The Optum Portal is a reusable reference architecture that serves multiple constituents and channels using the same code base. At run time, the system provides various personas depending on the business capability that it delivers. This architecture is common and sharable across portals.

As shown in Figure 4.1-6 below, the SOA enables system-to system data sharing, interoperability and collaboration across multiple programs, bureaus and partners.

Figure 4.1-6 shows a sample of the business capabilities that the portal supports. Each one of the layers shown outlines the application services provided within the Optum WV IES architecture.

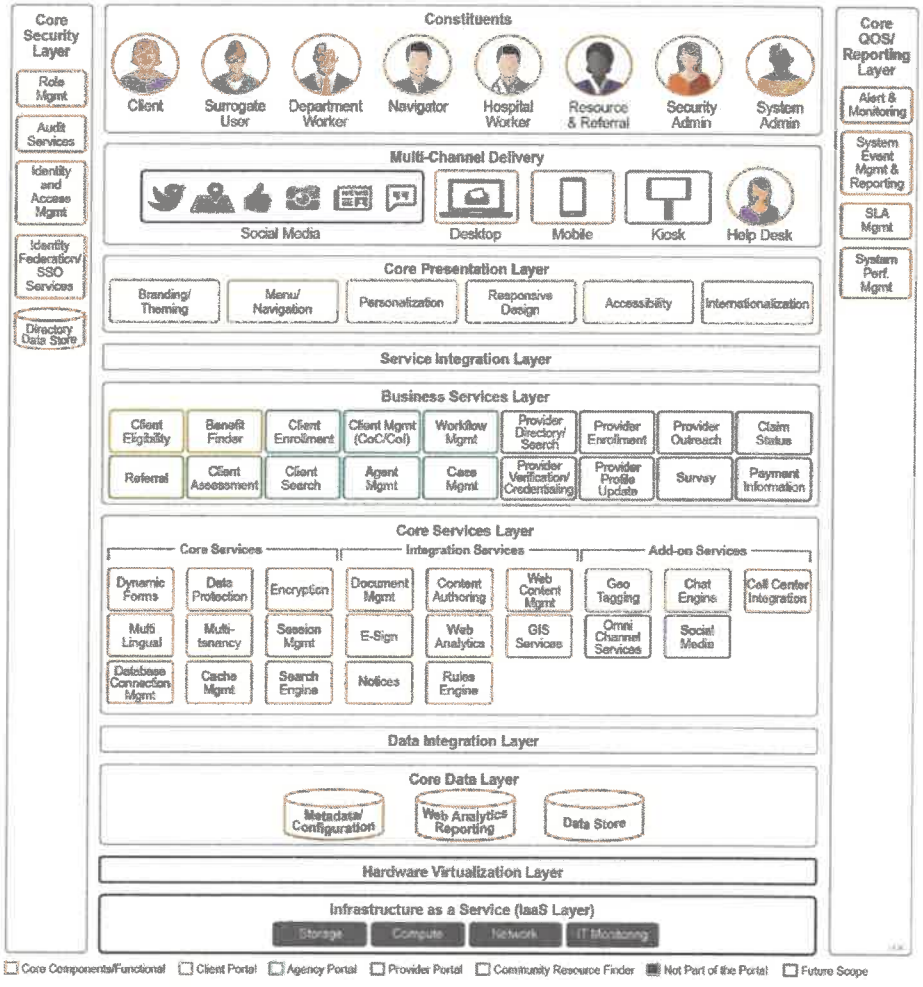


Figure 4.1-6: Proposed multi-tier service architecture for the Optum WV IES platform.
The modular approach of our architecture supports a variety of business capabilities.

The following table describes the layers in the Portal Reference Architecture supporting business capabilities.

Layer	Description
Core Security	Centralized security layer based on industry standards to secure all constituents, devices and all touch points.

Layer	Description
Core Presentation	This is the Web user interface layer used to access data and interact with the portals on multiple devices, such as desktop browsers and mobile devices.
Service Integration	This layer exposes the data and functionality through Web services. For the majority of data needs, Web services will connect to Client Enterprise Systems through interfaces provided by the client. Web services can connect to the local portal data repository.
Business Services	This layer contains components applicable to specific business domains adding value to the business.
Core Services	This layer provides common capabilities that are shared across multiple WV IES modules and portals.
Data Integration	SOA services expose functionality and data from the source system. SOA services are designed in a business enabled way and aligned to the consuming portal application and decoupled from source systems.
Core Data	This layer consists of the Enterprise Information Systems running at the Optum data center where the data related to business process is stored. There is also a portal repository where data local to the portal is stored.
Infrastructure	This is the compute, network, and storage layer that supports the entire solution.

We also discuss mapping between the application modules, tiers and services in Section 4.2.1, Enterprise Hosted Solution.

Enterprise Service Bus that Provides Open, Standards-based Connectivity for a SOA

At the core of the Optum Integration Layer is an ESB that provides open, standards-based connectivity for an SOA. It is built upon industry-leading and proven Mulesoft[1], RabbitMQ, and Talend technologies that enable modularity and provide the following benefits to DHHR.

Design flexibility: Through its library of core integration capabilities, canonical data model, and the use of proxy services, it will leverage the integration library and allow rapid design, development, testing, and integration of new services. All modules and systems that attach to the ESB need only be capable of communicating with an OIL proxy adapter.

Scalability: The architecture is designed to scale both vertically (i.e., VM and JVM sizing and capacity) as well as horizontally (i.e., adding additional application servers with fail-over and load balancing.) The architecture is also capable of supporting multiple tenants, both discrete tenants within an enterprise and multiple enterprise tenants when governance requirements allow. The use of automated configuration and deployment tools verifies that we can add or remove middleware capacity as needed to support operational needs. The use of operating system and application stack configuration automation verifies this as well. As enterprise modules are scaled or added, the OIL platform can scale to meet these needs.

Simplified modules: The OIL SOA relies on the understanding and implementation of well-defined APIs. Each component module or system must implement such an API or a wrapper, providing it must be developed. This is essential to the successful implementation and ongoing governance of the proposed platform and OIL middleware layer.

Distributed development: Distributed development with varied and different System Development Lifecycle (SDLC) models and realizations is implied in an SOA. The OIL platform provides this flexibility. Through the use of standardized APIs and implementation specific proxy adapters, a development team or project lifecycle can focus on the source and destination file formats or APIs.

[1] Mulesoft is a leader in the Gartner Magic Quadrant for Full Life Cycle API Management, October 2016.

The internal structure or architecture of either the module or OIL is less important as long as the requirements inherent in the API are met. For example, we built the core OIL platform using an Agile SDLC model. We have implemented it in client engagements using Agile and waterfall approaches for development of platform modules. As long as platform dependencies are met, each team—whether it is module, core, proxy, or platform—can develop with independence.

Independent versioning: The use of standards-based APIs and proxy adapters allows for modules to be built using independent SDLCs and to be versioned as needed. The APIs can evolve and are versioned as needed to support the module and integration.

Independent development and testing: The use of versioned and standardized APIs, as well as the use of proxy adapters in the OIL implementation, allows isolated system module development and testing, if required. Modules only need to implement the API and corresponding testing can use a black box testing method from the perspective of the API.

Distributed deployment: The adoption of sufficient infrastructure capacity, proper API construction, and choice of communication fabrics allows for distributed deployment of modules. It also enables deployment of the required middleware across data centers or cloud providers, as needed, to meet your platform needs and non-functional requirements. The scalability, configuration and deployment automation of the OIL promote this capability.

The platform's ability to support distributed development, independent module versioning, and development and testing isolation will allow independent teams to develop modules. This serves as a truly modular approach to your business, which is a different approach to costly custom system changes the other IES vendors have delivered to this market.

Standards-based Interoperability Technologies

Web Service Definition Language (WSDL), Simple Object Access Protocol (SOAP), Extensible Markup language (XML), and Java: The use of industry standard technologies, such as description language-based Web services and transfer of XML messages by SOAP, are intrinsic capabilities of OIL. The OIL capability that sets it apart from the basic capability other vendors offer is its internal use of a canonical HHS data model based on X12 and HL7 standards and the adoption of the proxy service architecture pattern.

The interface technologies currently supported include secure file transfer by SFTP or FTPs, file transfer by shared file system or pipe, SOAP by Web service, WSDL by Web service, JSON by Web service, HTTP by Web service, as well as RESTful services using XML, HTML, or JSON, and logic based on Java. OIL also supports JMS and AMQP queueing not only for interface transactions, but also for workflow orchestration and flow control.

Open-source Rules Engine and a Configurable, Web-based Business Rules Management System (BRMS)

Open-source Rules Engine: Optum will use Drools by Red Hat, an open source rules engine, as part of the Enabling Services Module to manage workflow. Using Drools, we separate coding logic from the business rules that control the transitions and activities for given workflows. This is important as we have found that embedding these workflow rules in the eligibility determination rules, as we have seen in other IE systems, will reduce throughput and performance of the complete eligibility determination process.

The definition of rules in Drools uses a declarative approach that gives the key advantage of making it easy to express solutions to difficult problems and enabling rules to be verified by business users. By creating object models and domain-specific languages that model your problem domain, you can set yourself up to write rules that are very close to natural language. They lend themselves to logic that is understandable to non-technical and domain experts as they are

expressed in human-readable form. Ideally, rules are so readable that they can also serve as documentation.

By using Drools as our BRMS, you create a repository of knowledge (a knowledge base) which is executable. This means it is a single point of truth for business policy. Other value includes providing business user focused rules creation, rule management, rule deployment, collaboration, analysis and end user tools. Using an open source BRMS like Drools, gives you the lowest total cost of ownership while at the same time enabling our IES business enablement services with speed, scalability, agility, and centralized rules management.

The eligibility determination rules engine is managed by IBM's Operational Decision Manager (ODM), formerly known as iLog or JRules. ODM has been successfully implemented and proven in New Hampshire, Nevada, and Washington for HHS Enrollment and Eligibility systems; in California for the Unemployment and Disability Insurance system; and in Texas for the Child Support Enforcement system. ODM is also used as the enterprise business rules and business events platform for CMS.

We selected both Drools and IBM ODM based on our product knowledge, experience with and understanding of other business rules engine limitations, and our success in using these products for more than five years. For example, we use ODM extensively in many Optum commercial products. Examples include our Claims Editing System, Contract Manager, and Prospective Fraud Detection. The applications Optum supports with both Drools and ODM execute more than 50,000 rules each day. This includes successfully moving Medicaid business/processing membership rules off legacy platforms, including COBOL. **Figure 4.1-7** shows how the ESB interacts with the rules engine service to enable modularity and reuse.

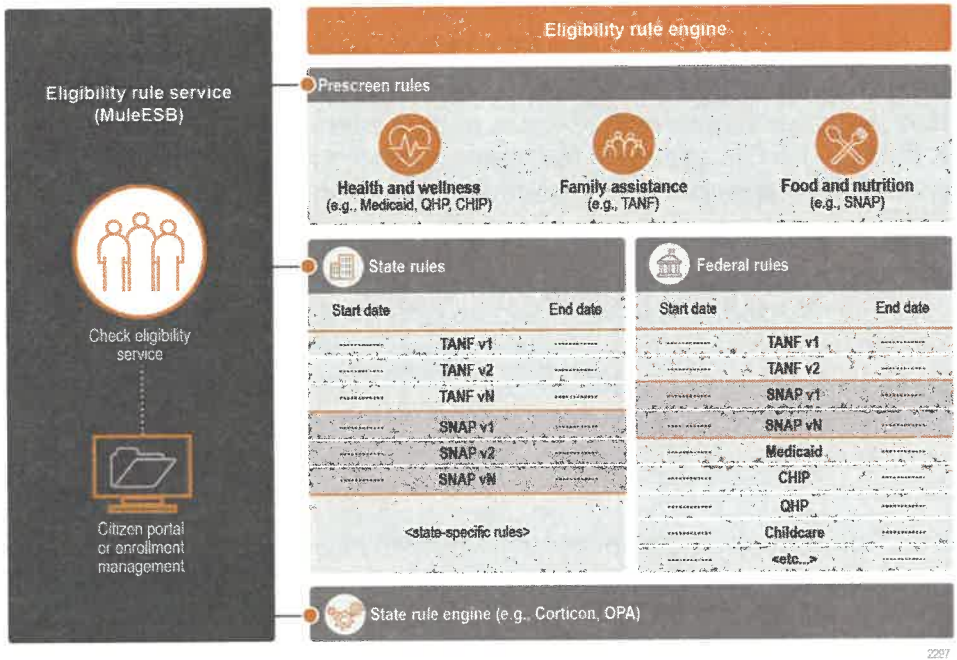


Figure 4.1-7: ESB Interaction with the Business Rules Engine (BRE).
The Optum WV IES will support leveraging existing rules services through the WV IES modernization.

Figure 4.1-7 shows that the Optum WV IES includes a base set of federal rules available to extend to state-specific variations. Through the ESB, the rules engine can orchestrate between multiple rules engines, including Drools for workflow, and Corticon that DHHR currently uses. The Optum WV IES enables modularity and reuse.

Any rules specifically developed in whole or part for DHHR will become public domain and Optum will assist in the shared use of those assets with other states. This will allow DHHR to share work products going forward.

Configurable, Web-based Business Rules Management System (BRMS): The WV IES enables trained business users to configure and modify business rules through this Web-based interface. This tool does not require technical coding skills or knowledge. Instead, trained users can develop, update, and deploy rules in a human readable format.

Each rule can link back to the policy to which it refers as shown. This allows users to correlate the rules to the policy. Each rule is also titled with the associated policy number. **Figure 4.1-8** shows our business rule editor module that trained business users will leverage to modify rules.

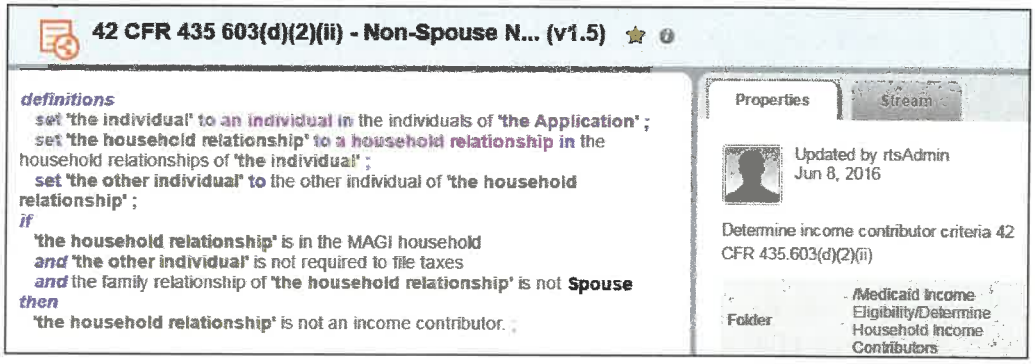


Figure 4.1-8: Business Rule Editor Module
The Optum WV IES will support linking rules back to policy.

If desired, designated DHHR program staff can view or update rules using the rule editor module. While users will require some training, it is very intuitive for the business or system analyst to maintain the ruleset. **Figure 4.1-9** shows how trained business users can modify individual rules in our business rule editor module.

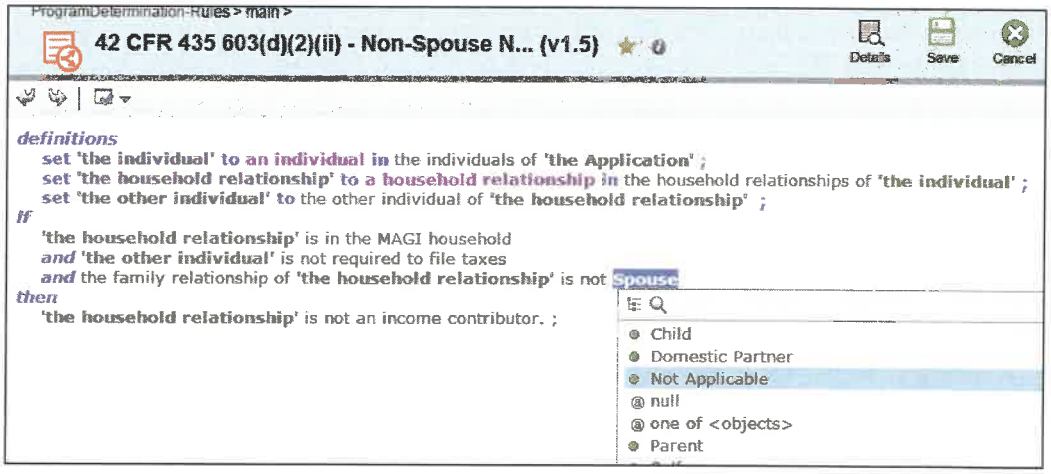


Figure 4.1-9: Business Rule Editor Module
The Optum WV IES will support DHHR editing, if desired.

The Optum WV IES provides the ability to track and view the history of changes to business rules over time. This includes the rule version, the person who made the modification, when the change was made, and comments about the change. DHHR and Optum can compare the changes from one version to the next to keep track of the work completed. It also allows multiple users to work on different business rules at the same time promoting efficiency from your current system.

The rules consistency checker included in the WV IES checks for errors throughout each step of the rule writing process. At the rule level, the system checks for syntax, domain, and format to make sure the rules are written correctly. On the project level, we can check for redundancies and conflicts in rules. Examples of consistency checks include equivalent rules, rules that never apply, and conflicting rules.

Reports can be generated based on any information included in the system. This includes rules, action rules, business rules, decision tables, decision trees, functions, resources, rule artifacts, rule packages, rule flows, simulations, smart views, technical rules, templates, test suites, and other variable sets. Users can create custom reports and store them for future use. The Optum WV IES includes a user interface that gives you the ability to generate reports on demand, enabling better business decisions that support your business.

The WV IES provides cognitive technology that will enable you to respond to real-time data with intelligent, automated decisions. The solution is designed so that IT and business users can manage the business decision logic that is used by operational systems within an organization. Business rules are contained within a business rules repository and are accessible for viewing and tracking with integrated, easy-to-use tools.

Electronic Documentation Management and Content Workflow

The Optum Document Management Service is a reusable module that provides the operational consistency you are looking for in your business. The system can generate notices, letters, documents, and glossy print materials, and store them in a content repository. The document integration service that provides the adapter and simplified interface to the Optum Document Management Service allows the solution to orchestrate with or reuse DHHR's document management solution – Hyland OnBase and Compass. Optum will reuse Hyland OnBase functionality deployed for the Bureau for Children and Families (BCF), Family Assistance Division, and the Bureaus of Child Support Enforcement (BCSE), and complete the FACTS functionality. Optum will leverage the existing platform deployed in West Virginia.

The WV IES will initiate the content workflow functionality using a variety of triggers, including inbound communications from DHHR staff, members, caseworkers, community partners, call center, and providers. We will receive information through various channels, including the Web portal, email, LiveChat, phone, U.S. mail, or walk-in.

We will work with DHHR to set up business processes to automatically trigger based on a preset or predefined schedule. Driven by your business requirements, triggers that can initiate content workflow for eligibility may include a member turning a predetermined age or the upcoming end of a program benefit period for a member. The trigger may initiate a member-specific letter or a routine mailing to members in a preselected benefit program announcing a change in program coverage parameters.

The service will also have the ability to create reports for you to use to follow the number of letters or notices generated. We will continue to reuse and leverage the WVOT fulfillment center. Additionally, a copy of each letter and notice is maintained in the WV IES and is associated to the specific member. If an exception, error, or deviation from normal processing occurs during these workflows, we will notify the Optum and DHHR operations team to respond in an expedited manner.

Enterprise scheduling: The Optum WV IES provides an intuitive appointment scheduling feature giving clients the option to schedule appointments at the time of application submission or at the client's convenience. This feature streamlines the application processing time, providing better service to clients.

Applicant/client appointment scheduling: Clients can use the Optum WV IES Client Portal to schedule appointments with staff. The scheduling is available through the portal using the My Tasks – Book an Appointment Section Web page.

Available appointments for the client: The Optum WV IES will display appointment options to clients for their selection. These options include available appointment type, setting and time. The options will vary based on your predetermined business rules, including program type and the client's enrollment status. For example, an option for a phone interview will not be available for clients who have applied for SNAP benefits. Instead, they must complete a face-to-face interview to complete the application process. Based on the type of appointment selected and the requested language by the client, available date and times will display. To confirm and schedule an appointment, clients must provide their contact information if not previously provided. Clients can modify appointment settings according to their preferences, including notification and language preferences. **Figure 4.1-10** provides an example of the Book an Appointment function.



Figure 4.1-10: Tasks Book an Appointment Page.
Predefined required fields will prompt the user to enter data.

Figure 4.1-11 provides an example of the Book an Appointment confirmation message.

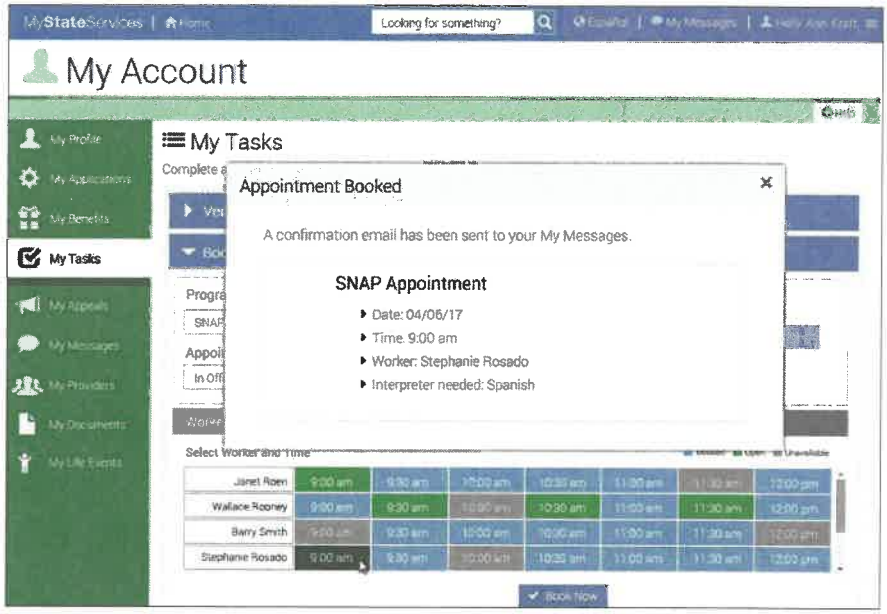


Figure 4.1-11: Book an Appointment Confirmation Message.
An appointment confirmation message is sent the client's My Messages page in the Client Portal.

Update of resource availability for appointment scheduling: Real-time worker availability is maintained in the WV IES to offer clients the most up-to-date information for appointment availability. The solution updates as appointments are scheduled, rescheduled or canceled. The system will also comprehend worker availability changes.

Confirmations of scheduled appointments and reminders of upcoming scheduled appointments are sent to clients. The notifications are issued according to the client's preferred method of communication.

When an interpreter is requested, the system tracks the request and triggers a task to the caseworker to take necessary actions so that an interpreter is present at the scheduled appointment. If the agency does not complete the task within the time frame that DHHR predefines, reminder alerts will be triggered.

Client appointment rescheduling: Clients may reschedule appointments by accessing their account through the Client Portal. Rescheduling of appointments will follow your predetermined business rules. You may request that the client reschedule an appointment if resources and availability change. Other DHHR staff members may receive access to schedule and/or reschedule appointments per the client's request.

You have the ability to leverage system alerts to notify the worker when the client arrives for an appointment and when a client misses a scheduled appointment.

Clients can schedule interview appointments with DHHR staff through the Client Portal in the My Tasks—Book an Appointment section. Appointment options display for the client to select. Options vary based on predetermined business rules, including program type and the client's enrollment status. Clients can modify appointment settings, such as notification and language preferences.

In addition, the business team can easily configure the WV IES to schedule and launch business processes to support renewals, notices for expirations, mass updates, and other various batch processes. Business processes can be scheduled to automatically occur on a repeating basis or one time only. For example, our solution supports benefit issuance for required programs on a daily, monthly, and emergency basis to meet the needs of DHHR programs and your clients. We achieve this through daily and batch file payment requests and client information submitted in an EBT claim file from the Agent Portal. The claim file is applied to the designated program and account and stored in claim history. After payment is scheduled and authorized, a payment file disburses to a third-party EBT vendor to process the payment to a client's EBT account. Payment information is then received back from the third-party vendor to confirm payment, which is tracked in the client transaction history. Our solution can also authorize payments outside of the recurring schedule to support emergency benefit issuance to a client.

MDM Containing a Master Client Index (MCI)

MDM is a reusable module based on the industry leading Informatica MDM[2] platform that RAPIDS, OSCAR, and FACTS currently use. It provides data ingestion abilities, identity matching, identity resolution, data governance, and a master repository for the golden record, including the MCI. The data integration service that provides the adapter and simplified interface to the Optum WV IES enables us to reuse the current DHHR MDM solution.

Successful MDM is very important to a state's HHS enterprise. MDM allows you to follow individuals across their enrollment in any plan or program. DHHR can follow an individual geographically regardless of which system provided the relevant attribute. The harmonization of an individual identifier across the source systems supports recognition of the individual, who will typically have a different identifier on the different source systems. The individual can be recognized and tracked at the unique individual level, not as a separate person on each system. We have accomplished this in

[2] Informatica is a leader in the Gartner Magic Quadrant for Data Quality Tools, November 2016.

states, including Michigan and New Jersey, and have greatly simplified the cross-program analysis work in those states. We can effectively support your MDM effort and add value based on our experience.

We will leverage DHHR's existing MDM solution deployed in West Virginia.

Master Client Index (MCI)

The ability to track the experience of individual members across time, eligibility spans, programs, delivery models, geographies and agencies is central to meeting your project goals. It is important to create and maintain a MCI to achieve this objective. It is also important to maintain accurate and comprehensive member profiles to improve continuity in communications and enrollment, improving member quality of care.

Members seeking State benefits commonly receive multiple identification numbers. For example, when an individual applies for eligibility in different counties at different times using a new last name. It is also common for multiple members to be assigned a single identification number in error. For example, when newborns are temporarily receiving care under their mother's identification number. Therefore, the MCI is critically important to accurate program eligibility determination and enrollment.

The Optum WV IES will reuse West Virginia's Informatica MDM MCI table. The solution incorporates a probabilistic matching algorithm that is highly flexible to avoid false positives. The complete member profile solution will be built around the business rules established in collaboration with your stakeholders during the project. This includes creating an information source hierarchy that aligns to your data governance determination of which source system provides the most accurate source for each data element.

Optum has created an MCI in many data warehouses with Medicaid and human services data. In one project, we created an MCI that links data from 19 separate data feeds with plans to add still more sources. In that application, the MCI is also being used as the source file for MDM activities across the enterprise. In support of the CMS Multi-Payer Claims Database (MPCD) project, we are maintaining a Unique Client Identifier (UCI) that spans numerous payers, including Medicare and Medicaid data. These MCIs enable cross-program studies that facilitate analyses built upon visibility to a client's benefits and experience across multiple programs and services.

Our work for the Michigan Department of Health and Human Services (DHHS) illustrates the near unlimited breadth of an MCI effort and the analytical power of an MCI. DHHS uses the EDW as a broad-based business intelligence solution to manage its HHS programs and outcomes. Optum has integrated 12 separate HHS-related program areas and 34 separate data sources into a single EDW. This is a critical integration because many of DHHS's members are enrolled in more than one program.

Our substantial experience with the complicated exercise of creating an MCI will accelerate your progress and help you find creative solutions for the challenges that lie ahead. As we have accomplished for other states, we will help you achieve the following:

- Standardize data and address data quality issues from disparate and often outdated legacy source systems before matching
- Use enhanced algorithms including use of match windows, hierarchical matching rules, grading, transposition allowance, phonetic character recognition and geocoding—the results should replicate a human review
- Establish a plan to manage large amounts of data on a population that tends to move often
- Development of matching rules for every data source
- Iterative analysis of the match results in search of remaining issues to achieve the best MCI results

Enterprise Reporting Solution Supporting Standard and Ad Hoc Reporting

Enterprise reporting is a reusable module based on the industry-leading Cognos platform that RAPIDS, OSCAR and FACTS currently use. The data integration service that provides the adapter and simplified interface to the Optum WV IES enables us to reuse the current DHHR enterprise reporting solution and data marts for ad hoc reporting and analytics. The reporting capabilities are further discussed in Section 4.3.13, Enterprise Reporting.

Replicating reports and reporting capabilities: We understand that the DHHR data marts serve an important reporting and business intelligence function enabling you and your team to make business decisions based on shared data. As part of the DDI process, we will analyze and document all of the reporting functions from the RAPIDS, OSCAR, and FACTS data marts in our requirements documentation. Optum will develop an inventory of your existing reports and make recommendations to consolidate various reports. We will address them in a detailed system design document, which we will submit for your approval. We will conform and use your definitions at the database, semantic and report level as we jointly agree.

Demographics Dashboard: The Demographics Dashboard enables management to understand household and client demographics across programs and geographic locations. Filters provide ability to slice data and drill down in many ways to visually discover trends and make meaningful comparisons across social and demographic factors associated with program and client outcomes. **Figure 4.1-12** shows an example Demographics Dashboard.

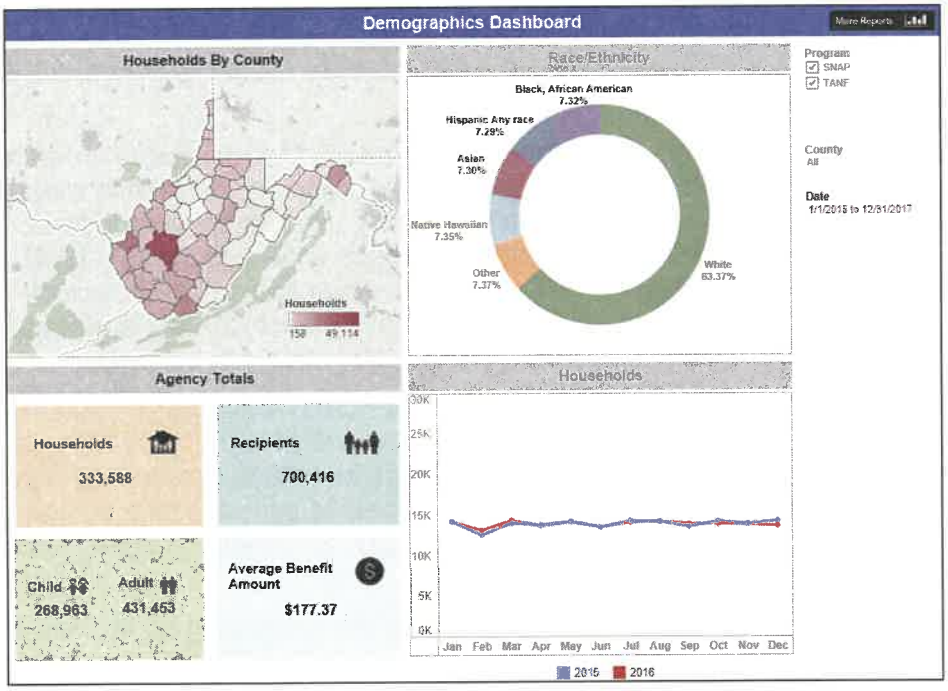


Figure 4.1-12: Demographics Dashboard.
Our Demographics Dashboard provides real-time visual representation of applications by status, processing times and decisions.

Child Support Dashboard: The Child Support dashboard allows client users to quickly review their payments. This will reduce unnecessary calls to DHHR county workers and improve customer service for West Virginians. **Figure 4.1-13** below is on example of self-service capabilities Optum will provide as part of the new WV IES.

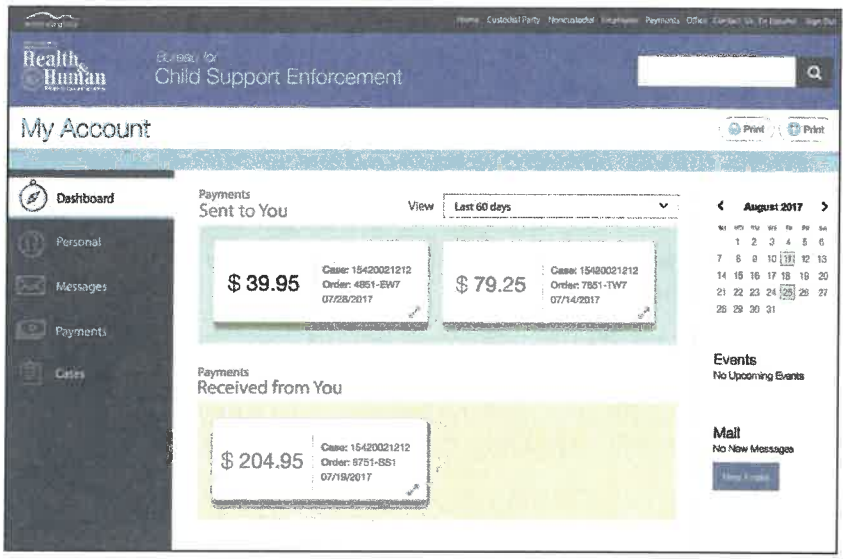


Figure 4.1-13: The Child Support Dashboard.
Client users will have a high-level overview of payments made and received by case

Ad Hoc Reporting: Our ad hoc reporting features will enable DHHR to create, edit and deliver ad hoc reports in a simplified and user-friendly way. Unlike traditional reporting systems commonly used across government agencies, our system creates opportunities for technical and non-technical users to maximize the use of data to analyze trends and use results to produce real-time dashboards. Authorized ad hoc report users can modify existing reports, including colors, data visualizations, tables and data elements. Through access provisioning, DHHR can designate multiple levels of access to ad hoc report users to address variations in access across the system users.

In addition, we will replicate existing report data sources at the published data and semantic layer, which minimizes or eliminates the need for report re-writes. This approach will enable you to use familiar and new data collections to enhance DHHR ad hoc capabilities supporting the various efficiencies you are looking to gain with the new system. The reporting capabilities are further discussed in Section 4.3.13, Enterprise Reporting.

Role-based Access

Optum ID provides user authentication for the WV IES. Granularity of user roles allows you to segregate duties to support any task- or case-based activities.

The WV IES directory services are based on the open, vendor-neutral, industry standard application protocol Lightweight Directory Access Protocol (LDAP). WV IES has the ability to integrate to any central directory storage to retrieve and store user names, passwords and groups used during the authentication and authorization functions. LDAP enables WV IES to map the stored groups in the directory to user roles, which are used for fine-grained authorization and access control within the WV IES.

Optum ID

We currently use Optum ID authentication and the RSA token along with smart card for all 260,000 UnitedHealth Group employees.



The Commonwealth of Massachusetts eligibility and enrollment platform also employs Optum ID to secure user authentication to its site.

Access to information systems and data is managed using prevailing identity and access management technologies. Some of the methods we use to validate appropriate user access and to meet minimum acceptable guidelines are role-based access control (RBAC) or attribute-based access control (ABAC), single sign-on, multi factor authentication, and others.

Through the creation of configurable user roles, our solution allows access control at the modular level and all the way down to the individual data group level as required. The Back Office, or User Portal, is used to map users to roles. This mapping can then be used to control user access to the portals, user access to screens within portals, user access to options within the screens, and user access to specific data groups. The administrative module can retrieve lost account information and reset passwords online. This feature aligns with the Optum ID component within the solution's Integration Services. Optum ID capabilities include managing complex credential requirements, account lockout after defined failed login attempts, self-service account recovery, and challenge response as secondary authentication.

Optum ID delivers centralized, secure identity management that enables a single sign-on to all integrated applications. Users register for an Optum ID once and use that Optum ID to access all provisioned applications seamlessly. Within the Optum ID application, users can access self-service tools for password and Optum ID recovery, and they can maintain their profiles.

Through Optum ID, we can automatically and manually disable or delete inactive accounts either programmatically, by workflow, or by batch processing. Our Identity Management solution can detect if the supplied user name is already in use. If so, the user will have the ability to recover the account credential. Additionally, through a periodic entitlement review of user access, unused privileges are removed, duplicate accounts detected and removed as appropriate, and validation of privileges assigned is completed.

The Optum WV IES includes integration strategy and integration points between modules, including the reusable functionality across modules.

Module Integration

We accomplish the integration strategy in the Optum WV IES through OIL functionality. OIL acts as the service integration layer within the architecture and has the ability to leverage and integrate with almost any existing solution, asset or system. This layer can orchestrate message communication and transformation through legacy file transfer, batch methods or modern transactional Web services and representational state transfer (RESTful) APIs.

Whether the module is in the WVOT data center, Optum data center, or external to both, the file transfer, Web service, or other interfaces will communicate through OIL to enhance your current SOA. This broad integration ability uses implementation-specific adapters or service proxies that communicate with the OIL core. Each service proxy exists between a modern or legacy enterprise system and a standard OIL service supporting an industry specific data format and transaction technology. **Figure 4.1-14** shows a sample representation of the integration points that occur between the modules and the layer. This illustrates the Optum WV IES integration strategy.

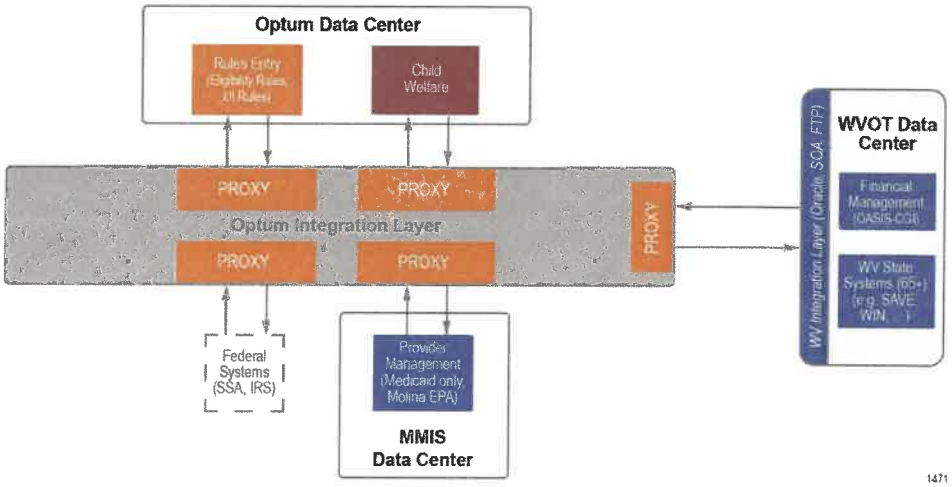


Figure 4.1-14: Integration Strategy and Points.
The Optum Integration Layer orchestrates communication across modules, regardless of location.

In some cases, the existing service architecture is already in place for DHHR enterprise modules. When appropriate, we will reuse existing Oracle SOA in accordance with the design objectives of reusability, shared use and modularity to achieve your WV IES objectives.

Figure 4.1-15 provides a complete picture of the module diagram, including the placement of OIL within the overall WV IES and describing the integration strategy and integration points between modules, including the reusable functionality across modules. OIL acts as the orchestrator of communication between the layers.

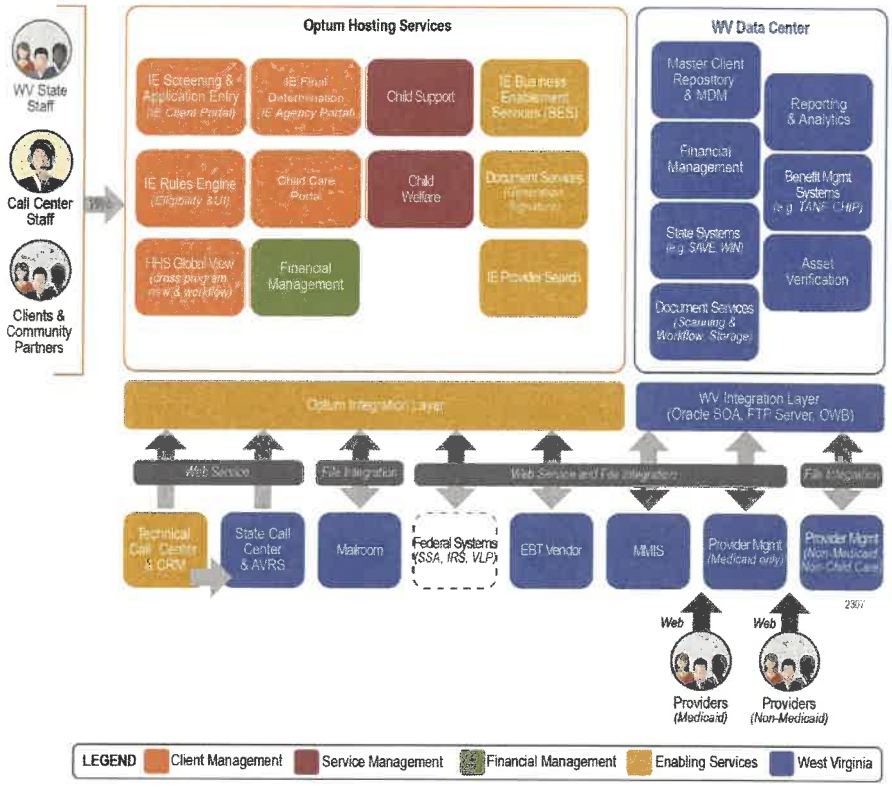


Figure 4.1-15: Module Diagram and Integration Strategy.
Integration points between modules, including the reusable functionality across modules

All modules within the new WV IES will communicate with reused modules through OIL. All modules within the Optum data center will communicate with third-party modules, such as the EBT vendor, fulfilment vendors and FDSH through OIL.

We have segmented the modules below to further describe the business utility they will provide DHHR by allowing modules to remain independent, yet share communication and information across the WV IES enterprise. For a more detailed WV IES architectural context diagram, please refer to Appendix 8 where we visualize the various data flows and module interactions.

User Interaction Modules

This reusable reference architecture serves multiple constituents and channels using the same code base. The system provides various personas depending on the business capability it delivers. This architecture is common and sharable across multiple portals. Three portal modules provide access and functionality for the WV IES.

Client Portal: Optum provides a secure portal to assist members in managing the various aspects of their human service program needs. This includes benefit finder and online application for eligibility. We also provide a provider search capability.

Agency Portal: The portal is used by State and county workers to perform client and service management functions. The capabilities of the platform include user security management, workflow configuration, and automated task management for the State and county workers. The user-friendly solution provides efficient data entry processes and intuitive user interfaces.

Child Care Provider Portal: Optum's Child Care Provider Portal is the secure means for the workflow of Child Care Providers application submission (including supporting documentation) and review. The portal is also used to facilitate investigations, inspections and tracking of child care centers by type.

Program Administration Modules



Our client management module will support case creation and status management, unique case and client identification, case assignment, forms tracking, client data management, and client communication and outreach with the Client, Agency, and Child Care Provider Portals. We will power the eligibility and enrollment functionality with the business rules engine. Our teams have used it for more than five years in HHS projects across the country.



Our service management solution will support provider selection and referrals, outcome tracking, case management (including employment services, utilization management, and benefit issuance), case conferences and plans, and court and legal activity (including child placement and adoptions). We will leverage the CGI Child Welfare solution for child protection, adult protection and related programs. The Optum service management component will support all other programs, such as TANF, SNAP, and childcare subsidies. We will be modernizing the OSCAR code base for Child Support Enforcement.



Optum will partner with Flexi International Software to provide the Financial Management Module (FMM) component to support all DHHR integrated programs. Flexi Software, founded in 1991, develops enterprise accounting software components, deployed by its partners, to various state governments. Flexi's solution serves as the financial accounting backbone of many state's health and welfare programs across the US. The FMM is a comprehensive financial transaction and payment processing system that interacts with the State's master general ledger to simplify and enhance the recording of events, the processing of transactions, and the reporting of financial information at program, agency, provider and member levels. Flexi is proven as part of the existing West Virginia MMIS financial module that integrates with wvOASIS.

Enabling Services Module



These shared services modules will be available services across the DHHR enterprise.

Integration services: Optum Integration Layer (OIL) acts as the service integration layer within the architecture and has the ability to leverage and integrate with almost any existing solution, asset or system. This layer can orchestrate message communication and transformation through legacy file transfer, batch methods, or modern transactional Web services and RESTful APIs. For example, the Optum Document Management Service is a reusable module as part of integration services. It provides the ability to generate notices, letters, documents, or glossy print material, and store them in a content repository. The document integration service that provides the adapter and simplified interface to the Optum Document Management Services allows the solution to orchestrate or reuse and leverage DHHR document management solution (e.g., Northwood's Hyland OnBase and Compass).

Data management services: The MDM solution is a reusable module based on the industry leading Informatica MDM platform. Currently used for RAPIDS, OSCAR and FACTS, it provides enhanced data ingestion abilities, identity matching, identity resolution, data governance, and a master repository for the golden record, including the MCI.

Reporting and analytic services: The Reporting and Analytic Services leverage your existing investment in Cognos for ad hoc reporting and analytics.

Verification services: Optum will leverage OIL and ODM to provide verification services. The ODM rules engine uses data collected from a variety of third-party sources—including the FDSH, SSA, and the state court system—to verify client-attested data and confirm that verification conditions are met. Asset verification leverages your existing investment using the existing West Virginia asset verification solution.

Alignment with CMS Conditions and Standards

Optum has developed and implemented solutions that align with the Medicaid Information Technology Architecture (MITA) framework from its first version to the current 3.0 framework. MITA provides a framework for states to establish modern Medicaid IT systems to address the CMS Triple Aim of cost, quality, and efficiency. We know from experience that each state has considerable variations in MITA readiness and maturity. Achieving higher levels of MITA maturity require states to implement operational and infrastructure changes. To help you achieve your project vision, we will deliver a WV IES that aligns with CMS Seven Conditions and Standards, as we highlight in this table.

CMS Seven Conditions and Standards	Optum WV IES Feature
Modularity Standard	1. Offers human and machine-readable business rules 2. Uses SOA and application programming interfaces (APIs)
MITA Condition	3. Assists the State of West Virginia in aligning with MITA to mature business, data and technical architectures
Industry Standards Condition	4. Complies with HIPAA security and privacy regulations 5. Supports X12 health care transactions and HL7 standards
Leverage Condition	6. Supports multiple programs and incorporates data across the enterprise to create a single master data record for each member 7. Offers scalability to meet changing program enrollment as DHHR matures West Virginia HHS programs

CMS Seven Conditions and Standards	Optum WV IES Feature
Business Results Condition	8. Increases business productivity by making sure actions are performed efficiently through automated workflows in a Web-based environment
Reporting Condition	9. Leverages leading business intelligence tools to provide automation from its foundational layer all the way to its knowledge delivery tools
Interoperability Condition	10. Allows for a high degree of coordinated interaction to maximize value and minimize burden and costs to DHHR stakeholders, members and providers

The WV IES aligns with all seven CMS Conditions and Standards. We discuss the three most closely associated with shared use in more detail below.

Modularity Standard

Business architecture (user interaction, program administration, shared service, and management service): The WV IES uses proven Optum, partner, and existing DHHR modules. Our solution isolates the components into five modules to maximize DHHR shared use. This separation allows us to develop DHHR-specific modular components. An example of shared use using an existing DHHR capability within the Enabling Services Module is using the Hyland OnBase solution for document management, existing mailroom facilities, and the wvOASIS financial system. Optum is partnering with CGI, the current wvOASIS vendor, and Flexi, which provides the financial management for the MMIS, to extend their existing capability provided to DHHR. We will be able to integrate the WV IES with other platform services like Microsoft Dynamics.

Information architecture (data warehouse and MDM): The WV IES information management strategy uses existing DHHR Informatica, Oracle, and Cognos software, capabilities and industry standard data modeling tools to facilitate and enhance the development of usable information and data. The conceptual and logical data models are designed for reuse and ability to extend the information sets with minimal impact to existing data structures while supporting data integrity. We will use canonical data model best practices, promoting shared use. The WV IES information architecture is based on a set of industry leading standards that are aligned with MITA guidelines for information identification.

Technical architecture (hosting): As described in other sections of our proposal, the WV IES technology stack includes a set of proven, industry-leading components including Oracle, Informatica, Security powered by Axway, CA API Gateway, Optum monitoring services, and Optum hosting environments. These tools enhance access and delivery by providing components that are open standards-based and SOA capable. WV IES is a set of layered services and components enabling a reusable, modular, and highly scalable set of solutions that will meet DHHR's demands today and in the future. These tools use virtual servers running on scalable hardware, connected by a secure, flexible network fabric within our data centers.

Interoperability Condition

Business architecture (user Interaction, program administration, shared service, and management service): As part of the implementation process, we will work with DHHR and your stakeholders to document new WV IES business processes. We will recommend business diagrams, definitions, and ultimately architectures that allow a common understanding of business processes that are outside of, but conceptually related to, the new WV IES. This is particularly true for program and plan eligibility and enrollment because consumers of DHHR services are also consumers of the publicly available information assets provided by the new WV IES. The WV IES also promotes the maturity of the Modularity Standard through SOA, the reuse of business processes and business rules, and the use of common interfaces which are all business benefits and outcomes you detailed in your RFP requirements. We have assisted other states in realizing

their goals. For example, in Vermont, Optum has developed a service catalogue of more than 100 SOA services that can be leveraged in their Health Services Enterprise platform. We will follow a similar approach to mature, shared SOA services across DHHR as part of the new WV IES.

Information architecture (data warehouse and MDM): WV IES will be an ideal source of information for a wide variety of users. We have developed our approach with your goals in mind to provide you a system that promotes productivity, and makes your existing data more meaningful to your overall HHS programs. Our plan to enhance underlying master data repositories for members and providers will make the WV IES an ideal candidate for provisioning data for Health Information Exchange systems if you require a source of high quality master data for that or other purposes. The WV IES includes enterprise-quality business intelligence tools and the industry-leading health care and human services data enrichment components. These WV IES components make the secure provision of data a viable and extensible solution for future DHHR needs.

Technical architecture (hosting): We have designed the WV IES to support exchange of data and interactions between users through a secure Web portal. The exchange of data and information is limited only by the approved protocols between DHHR and your target audiences. Our solution will improve the interaction with other agencies with minimal code or solution changes.

Leverage Condition

Business architecture (user interaction, program administration, shared service, and management service): The WV IES provides DHHR with an excellent opportunity to reuse business processes within the State. During implementation of the solution, we will help you advance data governance by standardizing data quality among various programs. We will enhance the existing and proven MDM solution. Optum will leverage the work we have performed in Michigan, New Jersey, and California in coordinating and collaborating across the Medicaid and human services enterprise to improve outcomes for individuals and families. We will also leverage components of the Child Welfare system that members of the Optum team developed for Ohio as part of the WV IES. We will be able to find opportunities to leverage the State of West Virginia's investment in other platform services like Microsoft Dynamics.

Information architecture (data warehouse and MDM): Optum provides an outstanding opportunity to advance your Leverage Condition maturity because the WV IES is designed to promote data standards. By conforming incoming data to a standard format and storing these data in appropriate forms, DHHR can leverage standard tools and processes to access and use this data, regardless of the source. The WV IES will also reduce duplication in underlying client, provider and service records. To access this data, we will use a small number of powerful COTS tools instead of many tools and processes for different data. Providing enhanced operation reporting WV IES will be one example of this approach.

Technical architecture (hosting): The WV IES will leverage the existing and proven DHHR Corticon BRE, Informatica MDM, Oracle (RAFT, OSCAR, and FACTS) data marts, Northwoods content management, and the State's wvOASIS financial system. The WV IES will also leverage existing provider data and data relationships to establish consolidated metadata content. Optum's integrated multifactor security authentication solution will leverage the existing authentication and authorization solutions through an enterprise integrated Security Assertion Markup Language (SAML) solution.

The technology stack supporting the WV IES is a hardened infrastructure that is supported by well-established administrative and operation support models. We leverage our data center's existing security and network solutions to provide a stable and secure hosting environment for the entire solution. We currently provide hosting services to Vermont, Massachusetts, New York, Tennessee,

and Arkansas. Our primary data center is Certified Tier III Gold Standard by Uptime Institute[3]. We may also leverage a FedRAMP certified Cloud Service as part of the solution.

Shared Use outside West Virginia

Specifically, related to the WV IES the following Optum WV IES platform programs, the business rules and other modules will be made available to be leveraged for other states. We will work with DHHR to facilitate the sharing of these capabilities through setting up an approved method of distribution. Optum desires to be a proactive partner in the sharing and reuse nature of West Virginia and federal investments for the common good for modules, including:

- D-SNAP
- Child Care
- Emergency Assistance
- Refugee Assistance
- WV SCA
- Work Programs
- NEMT
- Burial Assistance

[3] Uptime Institute's Tier Classification System for data centers has evolved from a shared industry terminology into the global standard for third-party validation of data center critical infrastructure.

4.2 Goal 2: Modernization

With more than a billion real-time transactions processed weekly within our mission-critical health and human services (HHS) platform, our infrastructure is built to the requirements necessary to support HHS systems and data security considerations. The modern, modular West Virginia Integrated Eligibility Solution (WV IES) we propose will deliver better outcomes, help you better serve members, and improve the caseworker workload.

The Optum WV IES provides DHHR a path forward that takes advantage of modern hosting technology to reduce the time associated with critical system modifications and your use of legacy technology.

Based on our current maintenance and operations (M&O) work for you, we understand your concern about the risk and cost of maintaining a legacy mainframe approach to support your growing State health and human services (HHS) programs. Modernizing legacy applications enhances the end-user experience and provides accelerated delivery while reducing the cost of long-term maintenance. As discussed in proposal Section 3.1, Qualifications and Experience, we have helped 47 states and the District of Columbia modernize through commercial-off-the-shelf (COTS) deployment, integration, and hosting.

We understand your desire to move to a modern platform that enables you to eliminate the risks you have identified in your current system. As we work together to modernize your mainframe legacy system, you will realize benefits by not having to support a system that is difficult to manage and maintain. As your chosen business partner, we will work with you to understand your current system inefficiencies and focus on helping you reach your business goals. We are well-positioned to assist because of our current M&O work for you.

Modernization
Project Example

We migrated the Massachusetts eligibility and enrollment platform and Vermont's Health Service Enterprise into the Optum hosting environment. In both cases, we successfully maintained the legacy environments as we built new capabilities.

We will take over the existing licenses and systems running in parallel during the transition and modernization period as required in the RFP.

We will pair our organizational change management approach discussed in proposal Section 4.4 with smart business process enhancements. This will help you have a better end-user experience, and provide an accelerated delivery while reducing the cost of long-term maintenance. The modern, modular WV IES we propose will provide the multi-program capability, flexibility, and agility you desire, and help you better serve members and improve caseworker workflow.

A key component in modernizing a system is avoiding service interruptions while maintaining a legacy system. In 2014 and 2015, we migrated the Massachusetts eligibility and enrollment platform and Vermont's Health Service Enterprise into the Optum hosting environment. In both cases, we successfully maintained the legacy environments as we built new capabilities. We will do the same through the modernization effort for the WV IES. Our familiarity with the RAPIDS, FACTS, and OSCAR environments along with our current M&O support provides DHHR a low-risk approach to transitioning to the new WV IES.

Another important factor in modernizing an environment is having the experience to identify any unknown costs. As we perform the migration and modernization effort, we will continue to support the current environments. Optum has performed a thorough review of your current licensing and computing costs (i.e., mainframe and other system costs) using documents contained in the Procurement Library. We will take over the existing licenses and systems running in parallel during the transition and modernization period as required in the RFP. We will not pass on additional

hidden costs as other vendors often do by not committing to these responsibilities or proposing unrealistic and risky transition plans in order to reflect an artificially lower cost.

Modern Hosting Technology

You state in your RFP that you are seeking a hosted solution that is modern, improves efficiencies, and eliminates fragmentation between your business units. The resources and facilities we have created demonstrate our capability to effectively and securely host applications and data. Our Elk River, Minnesota data center is a Tier III rated facility and has received a Gold Certification for operational sustainability by the Uptime Institute. Our accredited tier designers have subsequently carried forward certification compliance requirements for quality, reliability, redundancy, and strength into our Chaska, Minnesota data center. These data centers annually process more than 900 million claims and 80 billion transactions. Our platform will help you improve outcomes across multiple dimensions; focus on modularity, flexibility and reuse; and reduce total cost to maintain and enhance a solution over its lifetime. We discuss our hosting approach for the WV IES in more detail in proposal Section 4.2.1, Enterprise Hosted Solution.

Optum leverages the Optum Tier III data centers and FedRAMP-compliant cloud services as necessary in delivering you the modular, COTS-based system you desire.

Modern Design Technologies

The Optum WV IE offers major modern design functionalities to help you meet changing needs of DHHR program delivery as outlined in the following table.

Feature	Functionality
Modular design	The modular design provides easy interactions with several state and federal systems, including FedHub, MMIS, CHIP, Department of Correction, and vital statistics. The modular design will allow flexibility to interact with any legacy or modern applications based on various technologies within DHHR.
Cost reduction	The solution provides a unique way for identifying a member within different applications in a centralized repository like the master data management (MDM) feature. This will minimize the data conversion need and result in long-term cost reduction/saving.
No duplicate members	The MDM feature will verify one golden record per member, avoiding duplicate members in various systems and helping reduce program waste, abuse, and fraud.
Reduction in ad hoc reports	Modern technologies like online analytical processing (OLAP) used for developing data mart and reporting analytics. Cognos and Tableau technologies will allow users to create on-the-fly reports.
Data quality enhancements	Strict front-end validations, such as address standardization, will improve the data quality through Informatica and reduce rework for back-end applications.
Ease for future modernization	We developed the Optum WV IES using industry-standard technologies to accommodate future technology changes.
Compatibility	The solution has built-in compatibility with government application architecture, such as MITA, which can increase the federal reimbursement rate.

4.2.1 Objective: Enterprise Hosted Solution

The Optum WV IES hosted solution will integrate all programs across the eligibility enterprise, including Family Assistance, Social Services, and Child Support. The solution will take advantage of modern hosting technology to reduce the time associated with critical system modifications and reduce DHHR's use of legacy technology.

Having a flexible, modular system that better coordinates the programs you offer to your constituents is critical. With changing federal and State requirements driving program eligibility

guidelines and benefit modifications, DHHR is looking for the ability to make system changes in an effective and efficient manner. The Optum WV IES will enable you to act on changes promptly and with less resource usage. It will also help to reduce the number of errors made in member data by incorporating multiple sources from legacy mainframe systems into one master record for use across the agencies.

You will be able to take advantage of our industry experience as a leading HHS company. We operate within the rigorous controls of HIPAA; safeguarding Protected Health Information (PHI), with a strong focus on security, resilience and excellence in operational continuity. We have expertise in setting up and hosting large systems like the WV IES. We are experienced in handling PHI of more than 100 million Americans each year while still providing the benefits found in the modern data center. We help minimize disruption and mitigate business risk in critical program migrations. These include large-scale initiatives, such as your modernization project, that involve moving from legacy applications to a modern service-oriented architecture (SOA). We will help DHHR through optimized capacity, increased resiliency and IT transformation. Optum will deliver on these strategic elements through staged lifecycle development, iterative delivery, and collaboration.

We will transfer the legacy data securely and systematically. Upon completion of Design, Development, and Implementation (DDI), we will retire services from the legacy mainframe environment. Upon contract execution, Optum will assume the hardware and software costs related to the legacy systems.

Approach to Migration from the State Mainframe

Optum will assume the cost of using the existing State infrastructure during the modernization period.

Optum supports your business objective through a coordinated, planned approach as you migrate from a mainframe system to a system that reduces costs, improves efficiencies, and effectively consolidates client information. We will provide the expertise to refresh your technology platform.

Migration plan: To migrate from the current mainframe to our enterprise-hosted solution, we will plan the migration in cycles for the duration of the entire program. Similar to an Agile project process of iterations, a migration cycle is a time-bound iteration, and the entire migration program is a set of cycles. For the migration cycle, we will plan and then migrate a set of application components, repeating this process until completion.

Proven Solution

Data Center Stats

70	**Data centers worldwide**, and IT space in more than 900 office buildings
30K	**Virtualized servers** and process 80 billion health care transactions annually
25PB	**Primary storage**. A petabyte is 1,000 terabytes, or 1,000,000 gigabytes.
31M	**Personal health records**, securely exchanging more than 78 terabytes of data with external organizations

Optum properly defines planning and governance units, as well as the criteria leading to design and sequencing of migration cycles. For the design and sequencing of the migration cycles, establishing the set of criteria that guides this activity is an important prerequisite. We will establish these criteria during the migration planning cycle.

Optum-hosted solution: We provide expertise for every level of data center creation from conceptual, design, construction to certification. The greatest strengths we offer you include our capabilities for implementing strong processes and procedures, constructing and upgrading hosting solutions, and industry best-practice methodology.

You will be able to draw on our industry experience and qualifications to help reach your business goals. Our scale and proven in-house data center experience are unique in the HHS industry. We currently host the Medicaid data warehouses for Arkansas and Washington and are in the process of implementing an Optum-hosted data warehouse for the State of New York All Payer Database project. Optum is also the hosting vendor for Vermont Health Service Enterprise (HSE) platform and for the Massachusetts Health Connector and Vermont Health Connect (VHC) State-based

exchanges. Optum also serves VHC as the hosting contractor for the State of Vermont to assist with disaster recovery, security monitoring, and server provisioning. Through this contract, Optum hosts the VHC-related applications. We specifically designed our data centers to serve only HHS customers, so we have proven capabilities and services (e.g., security services) already in production that DHHR will use.

We will provide an efficient, highly secure hosting solution. Our proposed solution, including the system architecture, combines the highest degree of performance with the lowest level of risk. As an HHS-focused company, we are committed to offering integrated eligibility solutions through our Optum hosting services. We optimized our hosting facilities for the complexity of HHS programs. Our Tier III data centers are TIA 942 compliant, host 44,000 servers, and provide more than 32 petabytes of primary storage. They support more than 4,500 applications and maintain business processes for 783,000 contracted providers and 5,950 contracted health care facilities.

We own and operate these data centers and hosting processes with a security-first mindset that follows security architecture guidelines to protect customer data. These guidelines include those issued by National Institute of Standards and Technology (NIST) and International Organization (ISO) 27018 and HIPAA. The hosting environment will support the core WV IES with the exception of case management functions.

The table below shows Optum hosting components.

Component	Description
Cisco UCS 5108	• **I/O Module:** 2 UCS 2208XP I/O modules per chassis (8 10Gb FCoE ports each) • **Servers:** 8 half width blades (or 4 full width)
Blade Servers	• **Model:** UCS B200 M3 • **Processors:** 2 x Intel Xeon E5-2680 series processors per blade (32 Cores) • **Memory:** Twenty-four (24) DDR-3 RDIMM slots per blade (256 GB) • **Network Adapter:** UCS Virtual Interface Card 1240 (modular Onboard LOM)
Fabric Interconnect (FI)	• 2 x UCS 6296UP Fabric Interconnect (48 x 10Gb FCoE fixed universal ports each) • **Expansion Modules:** 3 per FI - UCS 6200 Unified Port Expansion (16 10Gb FCoE ports each) • **Network Uplinks:** 4 x 10GbE per FI • **SAN Uplinks:** 2X 8GbFC per FI (where X is the number of chassis)

Our data centers are highly scalable for future needs, fully maintainable with zero scheduled downtime. Redundancy is a key design principle in our hosting facilities. For example, **Figure 4.2-1** shows the underlying design of our network and Optum hosting services.

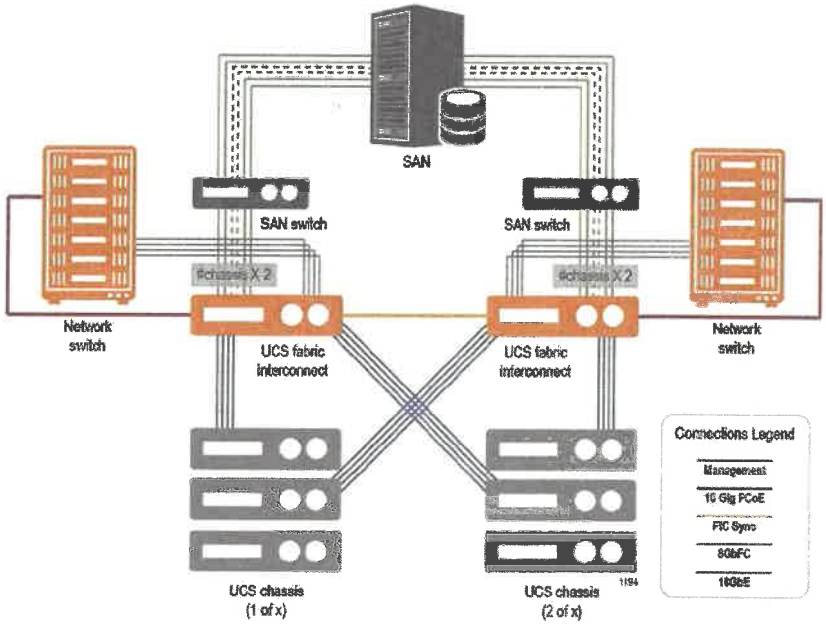


Figure 4.2-1: Optum Hosting.
Highly scalable for future needs, our data centers are fully maintainable with zero scheduled downtime.

Because your migration involves maintaining a legacy system while you migrate to our hosted solution, we designed our solution with full redundancy. Components in this architecture are located in the two geographically diverse Optum data centers where either site can fully support the production application and recover in the event of a disaster with minimal intervention. Features of our data center facilities include:

- Tier III Gold Certified for Operational Sustainability
- 60,000 plus square feet of raised floor space
- Full UPS and battery failover
- Nine megawatts of usable power
- 10–12 diesel generators installed in an N+2 configuration
- On-site fuel for 96 hours of run-time at full load plus four-hour fuel delivery
- Multiple carrier rings for network connectivity
- Approximately 44,000 servers
- 4,500 plus applications
- Provide more than 32 petabytes of primary storage

Optum proposes solution that mitigates cloud vendor lock-in protection parameters.

Lock-in protection parameters: Optum leverages the Optum Tier III data centers and FedRAMP-compliant cloud services as necessary in providing the WV IES. This solution mitigates cloud vendor lock-in.

- We developed containers from the ground up for easy portability between multiple cloud environments. In the container world, the operating system, application, and code are packaged into a container. The container is moved between environments, such as development, test, stage, and production. The container will be the same in all environments barring any configurations related to environment or data. The container technology allows us to move easily between any cloud infrastructures and does not lock us with one vendor or another vendor.
- Optum has also developed a hybrid cloud architecture supported by industry-proven COTS products that can be ported to other hosting environments, thereby avoiding a lock-in situation.

Optum Hosted Solution System Tiers

We enable our proposed WV IES with n-tier technology that provides logical and physical distribution of the layers of the solution to gain a high degree of scalability, performance, and security.

In proposal Section 4.1.2, Reusability, we illustrate the detailed infrastructure and hosting architecture, which includes a n-tier architecture and associated modules that will support the WV IES. It applies the fundamental SOA design pattern of segregating the presentation, business logic, and data of the application.

This segregation aligns with the Web, application services, database services, and data tiers along with the ETL/Data Processing (DP) services that we describe in this section. Wrapping around these tiers are disaster recovery and security services. **Figure 4.2-2** provides an illustration of the mapping between the solution component, tiers, and services.

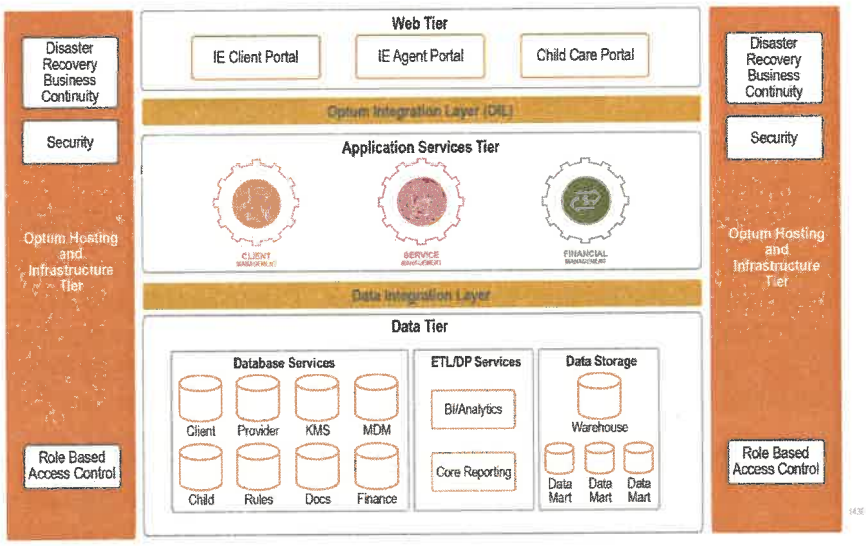


Figure 4.2-2: N-Tier Technology.
Our solution uses a tiered design pattern that segregates presentation, business logic, and data layers while providing security, disaster recovery, and reporting services.

We discuss each of the system tiers (Web, application services, database services, data, ETL/data processing services, and disaster recovery) in our WV IES in the following narrative.

Web Tier

The WV IES will use a zoning model to isolate tenant information assets. The Web tier includes Web servers used for the delivery and presentation of information in the form of browser viewable content. Each zone is logically separated by firewalls with an explicit rule set for source and destination hosts.

Load-balanced Web user interface services: Shared infrastructure F5 appliances are configured as hardened devices in a redundant pair. These pairs reside in the different tiers of the environment including Web, App, and Tools DB, from public-facing to the application and tools layers. Most rules use a Secure Socket Layer (SSL) redirect assuring traffic encryption for a public/private key issued from the State. SSLv3 has been disabled in favor of transport layer security on all configured virtual IPs. F5 monitoring rules will detect when a service is available again and automatically resume client traffic to the designated server in the respective pool.

Secure sockets layer encrypted communication: We use symmetric encryption algorithms at 256-bits and asymmetric algorithms at a minimum key length of 2048-bits SSL encrypted

communication. This is double (two times) the security requirement in the RFP. We use standard algorithms, such as the Advanced Encryption Standard (AES) or RSA, to encrypt data in transit and at rest. Key lengths vary by encryption cipher types, symmetric and asymmetric. We have multiple levels of prevention and detection, including network and application firewalls; intrusion detection system monitoring; secure transport of data through SSL certificates and public key infrastructure signatures; encryption of data at rest, and integrating single sign-on (SSO) and authentication tools.

Application Services Tier

The application services tier provides key business functions within the Optum WV IES. The tier resides in the demilitarized zone (DMZ), sometimes known as the perimeter network. It is a physical or logical subnetwork that contains and exposes an organization's external-facing services to a larger and untrusted network such as the Internet. For example, an applicant who wants to view the childcare benefit information on the Web pages available through the Client Portal uses the presentation tier. The presentation tier will interact with the application services tier in order to retrieve and display the benefit information the applicant has selected to view. No matter which authorized user accesses this benefit information through the presentation tier, the childcare module will interact with the data in order to accomplish what is being requested. This provides reusability of the module for authorized users within and across State programs.

Middle-tier services: The integration services, in conjunction with application services, will serve as a middle tier between the Web and database services tiers. They provide the flexibility to reuse existing functionality and execute complex transactions between the Web and database tier. The applicant fills out and submits the online application, available through the Client Portal, to verify program eligibility. After routing the data contained in the application through the Business Rules Engine (BRE) process for program eligibility determination, the WV IES returns the decision approving the applicant for the requested program. This information is routed back to the Client Portal so the applicant can view the final decision. The BRE also works with the Document Management module within integration services to generate the appropriate welcome letter and ID.

SOA interface: Integration services use reusable APIs for access to key business functions. Our systems allow the reuse of business functions, separately from other functions, supporting SOA interface principles. Our SOA is based on an ESB and provides added layers on top of a message broker, such as routing, transformations, and business process management. It mediates between applications, integrating Web services, REST endpoints, database connections, email, and FTP servers. It is a high-level integration backbone that orchestrates interoperability within a network of applications that speak different protocols.

Database Services Tier

The database services tier sits on top of the physical data, enabling us to secure and regulate access to that information.

Consistent data model logical view: This tier provides a common standard interface for accessing data, regardless of its physical implementation. The common interfaces are based on pre-defined canonical message models that represent a set of data entities for a business event. This provides a consistent logical view of the data model. The WV IES supports business events, including application submission, change of circumstances/life events, eligibility determination, verification results, and notices.

Data integration and security: We provide reusable services to access key information stored in our physical repositories. We secure these with authentication and authorization mechanisms so that systems and users have proper privileges to access the data. The data services tier provides a data integration point for the solution's data to enforce a single source of truth. This feeds other modules such as reporting, analytics, financial management, and master data management. The

database tier serves as a security layer by limiting the calling applications access to the physical data model.

Role-based security: The Optum WV IES provides role-based access control (RBAC) to the database services. When the user logs in to an application, the solution defines authorization based on pre-determined logic in the RBAC. Based on this authorization, we safeguard access to database services according to user role and functional group alignment.

Data Tier

We designed the Optum WV IES to be flexible in data acquisition and processing, and to handle Web service data feeds in real time as well as periodic updates. We aim for data refreshes that are minimally intrusive to source systems and achieve the required degree of data synchronization. We will employ flexible and scalable data models that enable growth. These data models also facilitate the retention of your data over the life of the project.

Data marts with a roadmap to integrated data warehouse: The three legacy data marts will be supplied data from the new applications replacing the feeds to those data marts. We will submit source-by-source database design and interface control plans for data acquisition, retention and outbound interfaces. We will follow the predefined project plan, along with updating and delivering the appropriate requirements, design, and documentation deliverables. We understand the importance of the Interface Control Document, which describes the technical details of the way data is exchanged and the interfaces between systems. This will help us verify that our processes are flexible and implemented to accommodate needed changes. We will develop the requirements for an integrated enterprise data warehouse in compliance with your data governance. We will be able to interface with the enterprise data warehouse using Informatica Extract, Transform, and Load (ETL) tools that are part of the WV IES.

Role-based security: We manage role-based security, the multi-factor authentication user access, using RBAC mechanisms from prevailing authorization and authentication technologies. RBAC, using existing roles and responsibilities, will enforce appropriate data segregation and isolation based on department, role, or work effort. We invest significant resources in our information security program and use various network, security monitoring and encryption technologies to protect our environment and maintain the confidentiality and integrity of the data and information entrusted to us. Our information security policies, procedures, technical protocols, and operations protocols help maintain the control of secured information. Encryption methods include encrypting all disk arrays, laptop disks, and removable media, storing passwords, and challenge responses using a one-way hashing algorithm rather than clear text. We also encrypt all data during transmission between the Web browser and the Web server using SSL 256-bit encryption validated as FIPS 140-2 conformant. Our solution will encrypt data in motion and at rest in all parts of the system that will include all transfers from the Data Providing Entities.

ETL/Data Processing (DP) Services

The technical architecture for our proposed WV IES is a multi-tier SOA, implementing the Optum Integration Layer (OIL) as the core. OIL acts as the service integration layer within the architecture and can leverage and integrate with almost any existing solution, asset, or system. This layer orchestrates message communication and transformation through legacy file transfer, batch methods, or modern transactional Web services and RESTful APIs.

Real-time EDI and batch ETL updates: We originally conceived and designed OIL to integrate legacy platforms with modern systems and is well suited for use in an enterprise like the WV IES, which consists of both types of systems. OIL can transform any file format into X12 XML EDI formats and deliver to other consuming systems in real time through a SOAPy or RESTful Web service. It has a built-in ETL functionality that we will leverage to process batch ETL updates to any legacy or modern systems within the WV IES platform.

Disaster Recovery

Planning for disaster recovery is essential to mitigating risk for your overall business. Our solutions include designing and implementing the appropriate disaster recovery (DR) infrastructure capability, as well as creating the supporting recovery documentation (e.g., the DR Plan, critical contact lists, application recovery scripts, and validation procedures), and eventually exercising the DR solution.

Automated failover: Supporting your vision to not experience disruption as you modernize, Optum leverages geographically dispersed resilient operations and data centers to perform critical business functions in order to minimize any single points of failure. We refresh DR plans as changes occur, but no less than once per calendar year. We designed our WV IES for DHHR as Active/Standby where the production instance and the stage instance are located in two geographically separate data centers. As part of the WV IES requirements around DR testing, we do have live DR capacity for all applications and databases. The DR is automated failover to a hot secondary site. Each data center contains sufficient infrastructure to fully support the production load requirements of the WV IES. We configure the application servers as Active/Standby while the database servers typically use a replication tool, such as Oracle Data Guard or SQL Replication. If an issue occurs on the active application instance, we can use the stage or standby instance to maintain full functionality.

Our WV IES will benefit DHHR by offering modernized functionality across the following business process components:

- Enrollment and review process
- Self-service (provider and member)
- Automated Voice Response System
- Workflow management
- Enhanced identify and access management
- Enhanced network segmentation
- Enhanced cyber security operations/monitoring

Enrollment and review process: We will provide an enrollment and review process that eases State staff workload through automated processes. This minimizes manual processing and thereby increases consistency, decreases errors, and reduces the amount of time between application completion and eligibility determination. Intuitive screens will make navigation easy along with easily understandable messages, help, and reporting capabilities that alert DHHR staff to situations that are of concern. This empowers workers, supervisors, and managers alike to make informed decisions and take appropriate actions. The WV IES will help DHHR reduce the current error rates created by the legacy system and enable easier error diagnosis between all modules of the system. **Figure 4.2-3** illustrates the enrollment and review process.

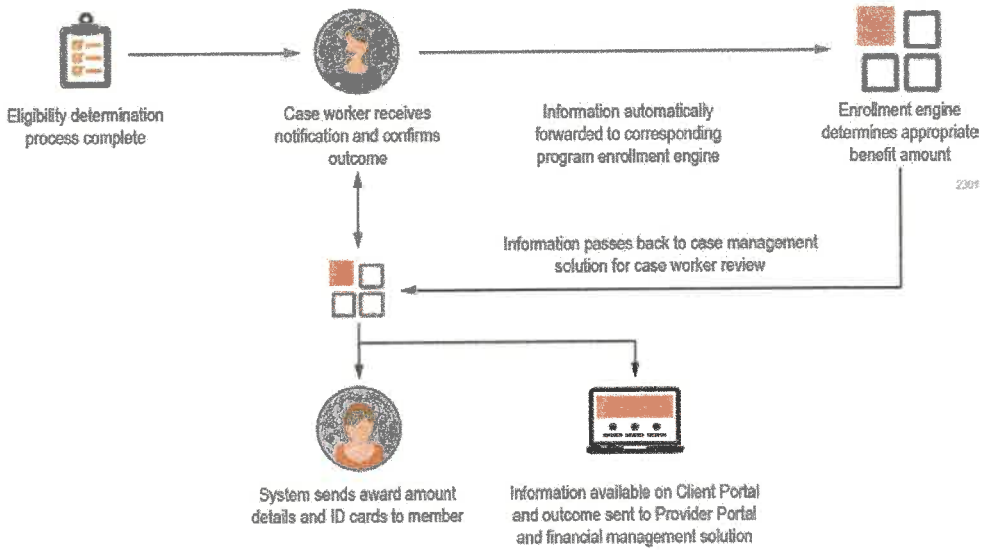


Figure 4.2-3: Enrollment Review Process.
We use automated processes to ease State staff workload during the enrollment and review process.

As **Figure 4.2-3** illustrates, a caseworker receives a notification upon completing an eligibility determination process by the rules engine. The caseworker then confirms the outcome, which then triggers the collection of all of the appropriate client information. The system automatically forwards the information to the corresponding program enrollment engine using an 834 transaction through the MMIS. The enrollment engine determines the appropriate benefit amount based on various determining factors associated with a member's case. This information passes back to the case management solution for a caseworker to review for the awarded benefit amount and related details and then confirms the amount and details. The system sends the award amount details and appropriate identification cards to the member in a welcome package, which may be through electronic or U.S. mail. This information will also be available on the Client Portal exclusively for the member involved.

Provider and member self-service: The WV IES Child Care Provider Portal will enable providers to view information and complete program work through an online portal. This Web access offers the convenience of completing administrative tasks when it is most convenient for their schedule. The Child Care Provider Portal will enable actions including: provider and services inquiries; prior authorizations; claim query, viewing, and submission; referrals; claim attachment uploading; provider directory and search; provider training; claim appeal; EOB and ERA query and viewing and download; and provider account administration.

The Client Portal offers your members and applicants secure, online access to West Virginia HHS program information. It provides one stop for applicants to explore the benefits catalog and guide them toward membership. It offers information on enrollment program; enrollment period; benefit explanation and disbursement details; financial information; and program-specific rule details.

The Client Portal enables WV IES applicants to provide information online one time for applying to multiple programs—saving time and enhancing an applicant's ability to achieve an appropriate program membership match. Online application extends the hours of access for applicants, reduces the need to travel to local offices, and streamlines eligibility determination services. **Figure 4.2-4** depicts the process flow in the Client Portal to submit an application and verify program eligibility.

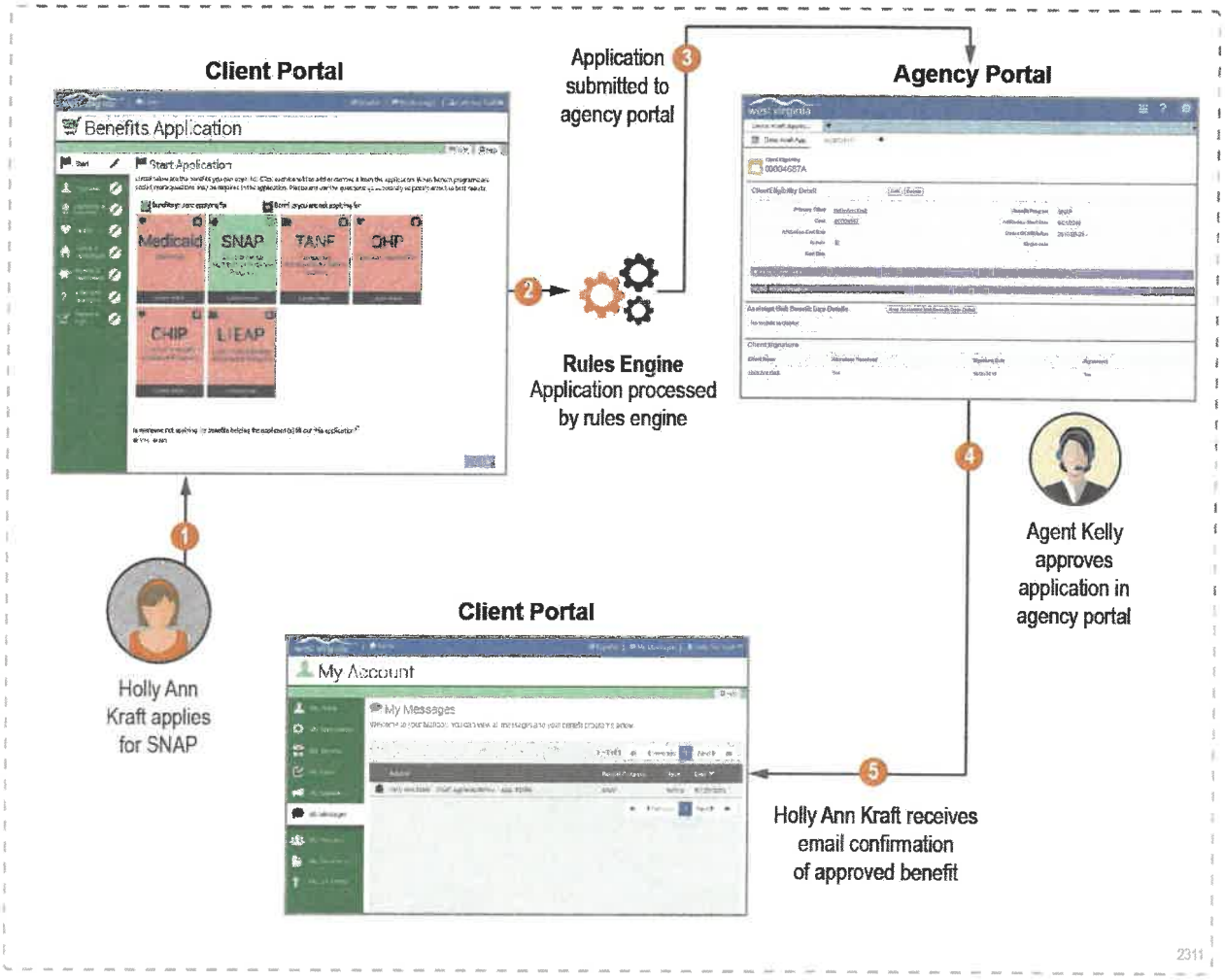


Figure 4.2-4: Application submission process.
The applicant will use the Client Portal to submit an application for program enrollment with eligibility determination accomplished through the rules engine and final approval by DHHR.

The Client Portal will automatically display member information after the program benefits are approved through the enrollment engine process. Members can make profile changes on select data fields, search for providers, manage program-related tasks, and use a secure messaging feature for communicating with their caseworker. Please also refer to proposal Section 4.2.4, Automation, for more detail.

Automated Voice Response System: Optum has Automated Voice Response System/Interactive Voice Response (AVRS/IVR) and technical support experience with large-scale Medicaid operations in 26 states. Integration of the call center base infrastructure and phone networks (Cisco IP phones, ServiceNow, and Avaya product suite) enables callers to transfer to the State AVRS, either through a live agent during call center hours or via a menu option at all times including after hours. This experience will enables us to provide West Virginia call center services that meet or exceed performance standards and minimize disruption of services to clients, providers, and State users. The AVRS/IVR solution is a tool primarily for the State users to help service providers with enrollment questions. It promotes extensive self-service response services to providers, State users, and clients. Providers accessing the AVRS self-service feature will have immediate access, at any time, to client eligibility and client case detail and queries for the copayment requirement for a service, through touch-tones or voice activation. Through the AVRS, providers have self-service, secure, toll-free access to information through a standard touch-tone telephone 24 hours a day, seven days a week.

The AVRS provides incoming call management and enhanced capabilities, including intelligent call routing, automated voice solutions, and comprehensive real-time and historic reporting. This enables easy navigation through a set of menu trees to obtain desired information. We built our call center solution upon a flexible and reliable architecture, with an open standards solution and compatibility with the State's phone systems for ease of integration. We maintain an expandable call architecture handles and tracks a high volume of calls. The call queue structures allow call center management staff to restrict who can answer particular call types. The architecture also enables us to route calls that do not require technical support directly to DHHR to answer callers' questions. DHHR will be able to handle general inquiries from child services providers and clients and assign them to the appropriate queue. Our call center software integrates with all of the systems to connect State specialists or Optum technical support specialists with the appropriate information. The technical support call center facility will be located in Charleston, West Virginia, using our CRM. Please refer to proposal Section 4.4, 6, Enabling Services Module, Technical Support Call Center Services, for additional information.

Workflow management: The Optum WV IES will help you increase productivity over your existing system by making sure actions are performed efficiently through our automated workflow management solution. The workflow will leverage queues created in the embedded workflow management tool. It will provide you the ability to efficiently delegate and track workloads among and between DHHR staff members. Workload tasks will be automatically assigned to workers using the task queue function environment, which will increase job efficiencies. **Figure 4.2-5** shows the workflow management process.

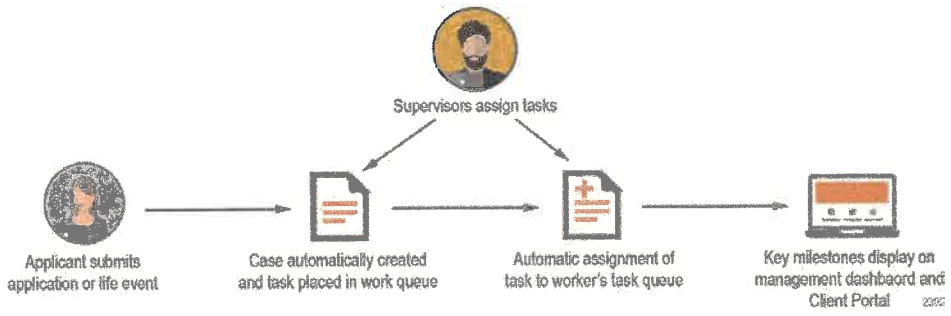


Figure 4.2-5: Workflow Management Process.
The automated workflow management solution will increase productivity.

The eligibility process will automatically initiate when an applicant submits an application or life event. The system will create a case and place the related task in a work queue. Assignment of the task to a worker's task queue occurs automatically based on the workload velocity of the agency staff. Supervisors can also easily assign and reassign tasks by dragging and dropping. Key milestones display on the management dashboard and within the Client Portal. The system also generates alerts according to metric milestones. This workflow, unlike your current system, makes it easy to configure and support different users, processes, programs, and changes as needs change over time and provides the modularity DHHR is looking for in an efficient system.

By the Numbers
Optum ID

8M	Serves over eight million users
12M	Processes over 12 million sign-ons per month
200K	Adds more than 200,000 new users each month
24/7	Covers all servers 24x7x365

Enhanced identity and access management: Optum ID access management offers seamless SSO authentication, for authorized users, across the multiple interfaces of the WV IES. We will use prevailing identity and access management technologies to manage authentication to information systems and data and safeguard against unauthorized users. These include:

- CA Strong Authentication for user risk base authentication
- SiteMinder for Portal security

- PingFederate® for Security Assertion Markup Language (SAML) and OpenID Connect support

Our identity and access management will provide the following:

- Network intrusion detection systems and intrusion prevention systems are in place, along with monitoring processes, covering all servers 24 hours a day, 365 days a year
- Firewalls with proper port/IP restrictions are in place between the Internet and the DMZ, as well as between the DMZ and the database servers; Internet-facing firewalls are stateless
- Web application and database servers are hardened per the UnitedHealth Group and industry standards
- Support OpenID Connect and SAML integration protocol

Optum ID is a centralized, secure identity management service providing a federated identity and hosted authentication service to identify and authenticate users. It has Network Intrusion Detection Systems and Intrusion Prevention Systems in place, along with monitoring processes. Optum ID and the WV IES support multi-factor identification with analytics monitoring.

All data is encrypted at rest and in transit using SSL 256-bit encryption. Because Optum ID uses a one-way encrypting algorithm, passwords and challenge responses are not visible and cannot be unencrypted. Simply put, Optum ID authenticates and validates the user, and then sends the user to the application, as illustrated in **Figure 4.2-6**.

Optum ID

We currently use Optum ID authentication and the RSA token along with smart card for all 260,000 UnitedHealth Group employees.



The Commonwealth of Massachusetts eligibility and enrollment platform also employs Optum ID to secure user authentication to its site.

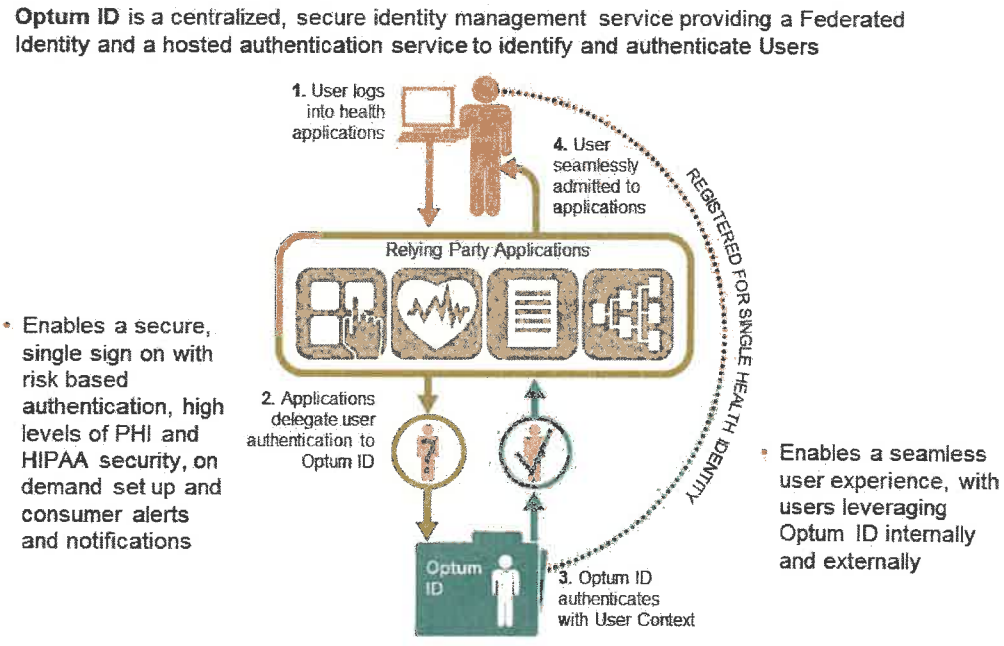


Figure 4.2-6: Optum ID.
Optum ID enables SSO with risk-based authentication, PHI and HIPAA security, on-demand setup, and alerts and notifications.

Optum ID provides the following features and benefits:

- Physical and electronic access controls to company data

  - Servers reside in a secure, guarded Optum managed data center, monitored by qualified security personnel.
  - Non-production servers (development, test, and staging) are separate from production servers. Production data is not stored on non-production servers and vice versa.
  - Web application and database servers are not shared with unaffiliated companies.
  - Access to data and servers is restricted to authorized individuals based on job function and business requirements.
- Application security audits
  - New or modified source code undergoes a third-party security source code review prior to implementation and following any non-static code changes.
  - Third-party penetration test conducted at least once annually.
- Infrastructure security audits
  - Infrastructure reviews are conducted annually and include vulnerability scanning and penetration tests.
  - Reports are created outlining the checks performed, basic findings, and recommendations made
- Basic and reasonable authentication/account management security guidelines:
  - Registration process, Optum ID syntax, password syntax, and failed logon attempts

We will use identity proofing and structured registration, authentication, RBAC, and SSO to verify appropriate WV IES user authentication, help prevent unauthorized entry, and meet minimum acceptable guidelines.

Enhanced network segmentation: The overall network/telecom architecture is designed to have zero single points of failure through all layers, including fully load balanced, redundant network connections. The network/telecom feeds run on two separate fiber optic rings sharing a pair of diverse Main Distribution Frames (MDF) rooms and a pair of diverse building entrance paths by carrier. Each MDF room contains an optical multiplexer from each carrier to protect from a catastrophic MDF failure. We maintain intense network security, continually monitoring the network using sophisticated tools to confirm proper network function, including redundant switching and routing. We deploy multiple network layers, with firewalls and routers segregating the environment to aid the control of connectivity between different network zones. We manage lists of permitted and denied locations, which confirm that only authorized users and applications can access the network and its resources. We deploy host-based intrusion detection and prevention systems; network protection including embedded inspection and control points, network intrusion detection; system/network intrusion protection system (NIDS/NIPS), deep packet inspection, and denial of service (DOS) protection; and we routinely scan for vulnerabilities in order to patch platforms and applications.

Enhanced cyber security operations/monitoring: Supporting security for your new hosted system, Optum's Cyber Defense Support group provides continuous security monitoring and network security monitoring 24 hours a day, seven days a week. This multi-layered monitoring comprises leading-edge firewalls, intrusion detection and prevention, virus detection, and log ingestion from machine data and multiple other sources into a centralized Security Incident and Event Management (SIEM). It also includes a collection and sharing of threat intelligence from various open sources and subscribed threat vendors. Additional protection technologies prevent data leakage and reduce malware attacks throughout the network and its ingress and egress point. This includes data loss prevention (DLP), email security with antivirus technology, and malware protection. We are also proactive using ethical hacking techniques to monitor the WV IES for possible vulnerabilities.

4.2.2 Objective: Proven Solution

The Optum WV IES is the combination of proven modules and partners providing similar systems who are already trusted by West Virginia, other states, and Optum.

This section presents our proposed major components, by module group, highlighting the proven functionalities successfully implemented and currently in operation in other states. Our partners include CGI, Flexi, PCG, and HCL. CGI will be responsible for client services and provides the Oasis system in West Virginia. Flexi will provide financial management and currently provides the financial module for the MMIS in West Virginia. PCG will provide training management and has deep human services knowledge, training expertise, and experience with DHHR programs. HCL has modernized legacy systems with Optum for more than 10 years.

WV IES Modules

Figure 4.2-7 shows the five modules that the WV IES will comprise.

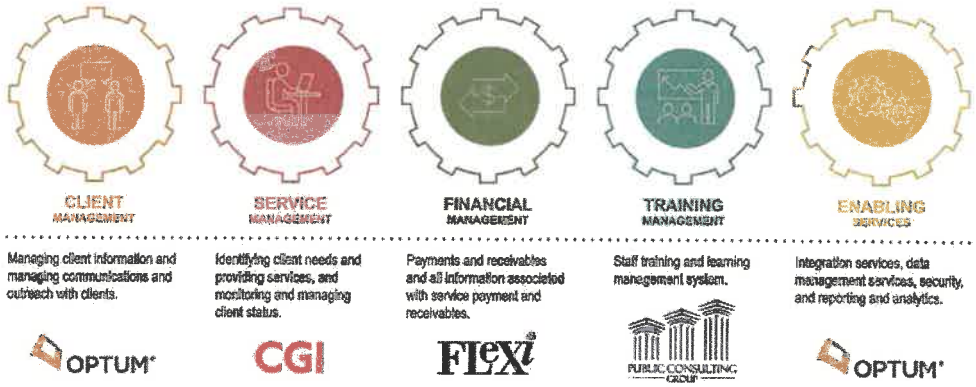


Figure 4.2-7: WV IES Modules.
The Optum WV IES has five modules, including the four required in your RFP.

Client Management



Today, our Client Management Module supports nearly 5.8 million members participating in Medicaid and CHIP plans, special needs plans, and other federal and state health care programs in support of our parent company. This module also supports approximately 11.2 million members in our Medicare Advantage plans, Medicare D plans, and Medi-gap supplement plans, which cover all 50 states, D.C., and the U.S. territories. In our role, we securely maintain eligibility information in order to provide access to these needed health care services. Some prominent uses of the Optum platforms provide customer relationship management, clinical assessment (including vision and hearing), complex population health management, wellness program management, and provider network management. We have more than 70 solutions in production built on the Optum platform and over 50,000 various users of the platform.

DHHR Client Portal: We will provide a secure portal to help West Virginia members manage the various aspects of their HHS programs. This includes secure online access to member-specific information such as a searchable provider directory, e-ID card, coverage status, benefits search, health care services history, online health assessment/personal health profile, and a downloadable member handbook. We currently provide this service in more than 20 states. In Delaware, we offer a member portal that focuses on behavioral health topics. The site makes it simple for members to find articles on a variety of wellness and work topics, take self-assessments, locate community resources, and identify network clinicians and facilities. Members can explore topics under LiveWell, including information related to symptoms, diagnoses, tests, treatment, and prevention for

conditions. BeWell topics help members manage and take control of life challenges. Three million visitors have used our well-established portal, accessing 100 million page views and conducting seven million transactions. The website ties to the State's emphasis on smoking cessation.

DHHR Agency Portal: Primary uses for these applications include clinical care coordination, case/issue management, and member and provider relationship management (e.g., provider credentialing and demographic mgmt.). Instances that support state government programs include Massachusetts LTSS, Arkansas LTSS, United Healthcare Community & State Medicaid MCO business (specifically Kansas and Ohio).

DHHR Child Care Provider Portal: This Web portal, which is currently used for more than 20,000 providers in Massachusetts, includes a configurable workflow for the childcare license application process, including the application, submission, review, approval/denial notification, issuance of license, and revocation of license. The license types supported include initial, provisional, registration, and regular licenses. The provider types supported include family childcare home, family childcare facility, childcare center, Head Start/Child Care Center, and out-of-school time. The Child Care Provider Portal also allows service providers to complete and submit a letter of intent, as well as a needs assessment, before completing an application. Providers may also use this secure portal to submit and review applications for quality tier ratings, as well as requests/applications for distributions of funds to support the cost of accreditation or to request a mentor through the Center Accreditation Support Services (CASS) program. Finally, the portal will store the results of childcare provider background checks, including criminal history record, child or adult protective services records, and sexual offender registry. It is configurable to prevent the registration or licensure of any home or facility and can be set up to notify the Child Care Resource & Referral when the application for registration or approval has been denied. Within the portal, State users can flag licensing requirements as needing follow-up and assign configurable time frames for completion.

Eligibility and enrollment: We will power the eligibility and enrollment functionality with the IBM Operational Decision Manager (ODM), which our teams have used for more than five years in health care projects across the country. It is also the rules engine in many Optum commercial products and is in use in multiple HHS organizations, including:

- **New Hampshire's** Department of Health and Human Services and Division of Family Assistance uses New HEIGHTS, which uses ODM. This automates benefit eligibility/issuance, client scheduling, and reporting. It acts as a driver flow for eligibility for 32 programs. This BRE allows New Hampshire to easily make changes to eligibility rules and reduces implementation time.
- **State of Washington's** Department of Social and Health Services (DSHS) provides services for more than 2.1 million children, families, and seniors. The DSHS Automated Client Eligibility System uses ODM for managing over 50,000 business rules to determine eligibility, issue benefits, and for the sharing of data between agencies.
- **Nevada's** Division of Welfare and Supportive Services implemented a BRE in 2014 using IBM ODM to store all eligibility rules for the entire State's publicly subsidized health coverage programs. This allows easy access for individuals shopping for health coverage from multiple entry points, such as the Health Insurance Exchange (HIE).
- **CMS** also uses the IBM ODM tool as its enterprise BRE.

Service Management

The Service Management Module includes case management, payment management, and reporting services. These services help thousands of caseworkers focus time and energy on protecting children and helping families, rather than on processing paperwork. This component provides comprehensive support of the case lifecycle, mobile options to support case managers in the field, and a next-generation technological platform. It



minimizes disruption to the mission-critical work of child welfare, child support, and other HHS programs. The majority of the Service Management Module will be in the child welfare capability of the Optum WV IES. We will partner with CGI to enhance and deliver case management, payment management, and reporting functionalities as part of the child welfare capability. Our partner HCL will be modernizing the child support capability.

The Service Management Module will support child welfare workers in providing case management, provider services, client referrals, client tracking. This includes reporting where needed or required, case conferences, removal, placement, service authorizations, case plans, interfaces with external agencies, and support for court and other legal actions.

We will leverage our partnership with HCL to modernize the OSCAR Child Support System by transforming the existing code from Natural to Java and providing a modern and efficient user-interface for internal and external users. This effort will enable you to move from the existing mainframe environment. This will facilitate flexibility to enhance the system going forward, increasing caseworker productivity and efficiency, and saving time and resources. The Service Management Module will allow Child Support workers to provide general case management services to their clients. This includes support for the intake process, referrals, tracking client actions for next steps, and compliance with court orders. It will provide interfaces with external agencies for verifications and enforcement, and facilitate the court process for paternity, establishment, modification, and enforcement actions.

With this modernization, however, the Optum team will enhance the current OSCAR capabilities. The set of user interfaces related to the system, which have been built by various vendors over time, will be replaced with a single cohesive interface [portal] which is part of the overall WV IES. For example, clients will be able to view information on and make child support payments, and employers will be able to submit and manage income withholding. The modernized child support functionality will enable online in place of application for services, replacing the inherent inefficiencies that a paper-based process brings to both clients and State workers. Batch processes will be more efficient with modernized code. Total cost of ownership, cited as a key reason for this RFP, will be lowered. In addition, future enhancements or changes will be made easier with the modernized version of the OSCAR functionality. In Figure 4.2-8 The Child Support Client Portal Homepage provides users with general information about the child support program, the ability to estimate what their child support obligation may be, the ability to sign in to make payments or view there account and the ability to apply for services by submitting an application online.



Figure 4.2-8:The Child Support Client Portal Homepage.
Provides users with general information about the child support program.

Workers will access the Service Management Module through the Agency Portal, which will direct them to the appropriate service management tools based on their defined security roles.

This will provide a foundation for future growth and the meeting your quest for a unified and consistent Service Management Module.

Case management: The case management function includes support for capturing client demographics, case details, and case notes. It will support users with workflows, notifications and alerts, reducing the amount of time and effort spent on deciding which cases need attention and the next action to take.

Payment management: The payment management function includes support for viewing payment history and status. This includes obligation types, amounts owed (to determine where payments are distributed), to whom amounts are owed, amounts paid, missed payments, past due amounts (arrears), payment arrangement details, payer/payee contact information, and any adjustments made to payments or the payment history. In the child support system, this payment information is used to determine appropriate enforcement actions.

Reporting services: These services include support for data requests, Cognos online reports, a custom data mart that is incrementally updated via Informatica jobs, decision management summary dashboards with drill through capability, and all federal reporting requirements.

Optum will leverage CGI to deliver the Service Management Module. The CGI solution is currently implemented and active in the following states.

Ohio: CGI built the solution in 2007 for the Ohio Department of Job and Family Services (ODJFS) to support county and Public Child Service Agencies (PCSAs) across 88 counties for approximately 8,000 users. In 2009, ODJFS began a partnership with CGI to enhance and maintain the Child Welfare application, built in 2007, through incremental modernizations. The application supports county and Public Child Service Agencies across 88 counties for approximately 8,000 users with an average of 23 million transactions per month. To date, CGI has delivered more than 89 deliverables on time and on budget with a 99 percent or higher customer satisfaction score.

Tennessee: In 2008, the Tennessee Department of Children's Services acquired an earlier version of the CGI proposed Child Welfare solution. This version was used as a baseline for developing the Tennessee child welfare application that is in operation today.

Michigan: In 2011, the Michigan Department of Health and Human Services acquired an earlier version of our proposed Child Welfare solution. This version was used as a baseline for developing the Michigan child welfare application that is in operation today.

Financial Management



The Financial Management Module (FMM) component, powered by Flexi, is a comprehensive, multi-program financial transaction and payment processing system. Flexi Software, founded in 1991, develops enterprise accounting software components, deployed by its partners, to various state governments. Flexi's solution serves as the financial accounting backbone of many state's health and welfare programs across the US. The FMM allows you to perform bookkeeping at program, department, agency, and provider and member levels. Our FMM solution provides enhanced financial reporting and general accounting procedures for processing accounts payable and accounts receivables against the Chart of Accounts. The solution supports multiple DHHR program workflows, including family assistance, childcare, child welfare, and child support programs. The FMM interacts with the State's master general ledger while simplifying the recording of events, processing of transactions, and reporting of financial information to support the DHHR integrated programs. This feature will improve your effectiveness in supporting the people you serve.

The FMM uses a dual-entry accounting system designed to meet the challenges states face in a multi-program environment. It clearly tracks the movement of money from source to destination and enables DHHR staff to request, approve, issue, and recover benefits, providing an intuitive and easy to use platform for the automation of financial operations.

With over 25 years of experience and Flexi solutions installed at more than 800 locations worldwide, the firm has a long and successful record that customers rely on for their financial management needs. In West Virginia, the State uses Flexi software within the MMIS.

Training Management



PCG is our Training Module partner. As we mentioned previously, PCG has assisted state HHS agencies plan, manage and implement their integrated eligibility, child welfare, child care subsidy management and child support projects in 18 states. This includes providing PMO, feasibility study, procurement support, IV&V, quality assurance, training, organizational change management, and cost allocation services. PCG's traing experience is significant and a great addition to the Optum team that will benefit DHHR. Here area some example of their proven training accomplishments.

Integrated Eligibility: For the Maine Office for Family Independence, PCG trained both staff and supervisors on how to operate the new technology driving their Integrated Eligibility System. Trainings included an explanation of each change to the eligibility process, live demos in the new eligibility system and hands-on training exercises with quick reference guides. These trainings highlighted eligibility specialists' role in the new system, including a library of resources for step-by-step instructions on how to do their job in the model, such as effectively handle client calls, take action on cases, complete interviews and queue walk-in traffic, ensuring flexibility and adaptability of staffing in the new model. After the statewide rollout, PCG provided ongoing support to ensure the new system was used according to the Standard Operating Procedures and that the desired behavior change was working.

PCG trained more than 1,200 users on major integrated eligibility system enhancements as part of a major business process redesign effort with the Massachusetts Department of Transitional Assistance (DTA). Classroom and computer lab trainings were specific to the staffing roles (e.g. case managers, clerks, supervisors, etc.) attending each session, and PCG provided over-the-shoulder support during launch. In addition to conducting more than 300 classroom and lab sessions, PCG produced a robust set of training materials for staff to reference on the job. DTA administers the SNAP and TANF programs.

Child Welfare: For the Arizona Department of Child Safety, PCG leads the training efforts related to the AZ Guardian system implementation (Arizona's new CCWIS). PCG developed video clips for specific training modules for the new system and for using new tablets for mobility to show end users how to use the tools to complete their casework, and the videos were uploaded to the DCS learning management. PCG also developed quick tips, as a way to help workers troubleshoot issues they may be having before they call the help desk. PCG provided in-person training for 22 train-the-trainer facilitators that included 22 people, and 1,400 end users were ultimately trained over 47 classes.

Child Care: For the Pennsylvania Department of Human Services, PCG provides training support for the Office of Child Development and Early Learning (OCDEL) for the child care subsidy program. Child Care Works (CCW) is the sub-system that OCDEL uses for management and control of the subsidy program. PCG provides training for each software release (approximately four instructor-led trainings per year) that are specific to the impacts the new release has on the program. In addition, PCG maintains training materials available on the web and on the DHS internal network drive. These materials consist of Adobe Captivate training sessions that are self-directed training modules, recorded web conferences, and documentation that includes

presentations, tip sheets, and communications. For each release, PCG scans the library materials to determine which will require an update in conjunction with the release. Our training audience includes the OCDEL staff, business partners from 42 CCIS (Child Care Information Services) offices, 217K relative providers, 4,800 child care centers, 2,300 family homes, and 734 group homes. PCG provides training for conferences and events throughout the year that are not corresponding to a software release. This year, for example, we are providing training at the Early Learning Conference in October that is focused on the Provider Self-Service portal. Specific topics will include submission of attendance invoices, updating public location profiles, complaint management, management of correction action plans, and certification and licensing management.

Child Support: PCG's team members bring a wide array of impressive training experience, such as experiencing managing implementation services for the New Jersey Office of Child Support Services Child Support System, NJKIDS. This included statewide system training of all child support workers, supervisors, managers and stakeholders. The training scope included curriculum development, stand-up classroom training as well as standing up a state portal with a customized Learning Management System. Over 450 state staff received initial training and nearly 300 participated in remedial training. The state also received train-the-trainer training to support new worker and ongoing training. Also, PCG's team members led Child Support Enforcement Training for the Massachusetts Office of Child Support Enforcement during the implementation of the MACSE system. The scope of that training included training curriculum, state train the trainer and LMS.

As we migrate you to a hosted environment, it is important to provide you and your team training so you can quickly benefit from the features the new system has to offer. Optum will use a Learning Management System (LMS) to train your team. Annually, 60,000 users use the LMS, and we have held thousands of training events for state, provider, and system users. With the eLearning system already in place, the Optum team's proven LMS solution and our experience providing technical and operational training across West Virginia and in its established training center in Charleston provide a proven solution already successfully implemented in the State.

Our WV IES Organizational Change Management (OCM) approach, as part of the training management module, will leverage industry-leading organizational OCM methodology combined with our best practices to deliver an integrated project plan and approach that is seamless for our clients. Our Optum OCM Team comprises certified Practitioners with practical application experience to provide our clients with highly skilled, industry-leading professionals. There are four distinct phases in our approach to OCM: Getting Started, Preparing for Change, Managing the Change, and Reinforcing the Change. These phases are integrated within the project management lifecycle, making sure project and people deliverables are aligned and thoughtfully considered for an integrated implementation experience. This goes deeper than traditional OCM by starting with the premise that those being transitioned still have a day job to do while they are adapting to new systems and processes and simultaneously training the employees on the new operations.

Enabling Services



Integration services: We based our integration solution for the WV IES on OIL, which is equipped with a library of service adapters and data models that we preconfigure to integrate solution modules with internal, other government, or third-party systems. OIL supports integrations of all types, from simple connections to complex interfaces that require data translation and/or proxies. We anticipate some 120 external systems will require integration with the WV IES. OIL is currently used for the State of Wyoming and will be leveraged for the State of Nebraska's new MMIS service.

Security: More than 20 states have used our security services over the last 20 years for HHS systems. Our security measures include both SSO and RBAC. SSO is currently active across our

projects, offering secure access for a variety of technology users—State staff members, account support, clients, providers, and other authorized program stakeholders. Users can access the information appropriate according to the predefined RBAC using a single login and password. System access and authorization is based on the principle of least privilege and enforced by RBAC is one of the steps in our component hardening process. Our privacy and security programs support compliance with federal and state regulations. These include HIPAA and CMS's Acceptable Risk Safeguards (ARS), and NIST 800-53 compliance.

Data management services: The Optum MDM solution is reusable and based on the Informatica platform. Currently used for RAPIDS, it provides enhanced data ingestion abilities, identity matching, identity resolution, data governance, and a master repository for the golden record (including the master client index). We have operated MDM services in Michigan, New Jersey, Vermont, West Virginia, and New York for larger HHS projects.

Reporting and analytic services: With Optum as your business partner, you will be able to take advantage of our economies of scale around reporting. We will leverage your current capability and enhanced capabilities as part of the WV IES. Our data warehouse solutions manage billions of health care claims, tens of millions of family assistance/program decisions and millions of members. All of our data warehouse engagements, including the ones in Michigan and New Jersey, support human services and family assistance programs and have multiple integration points for other programs and business functions.

We know HHS programs from a domain perspective and have significant systems integration experience in very complex HHS projects. In Michigan, we support over 1,000 Department of Human Services (DHS) caseworkers. Our analytic capabilities, easy-to-understand reports, and dashboard information have helped DHS county managers in 115 offices achieve workload efficiencies. In 2004, workers managed an average of 200 cases. Today, the number has soared to an average of 600 cases per caseworker. A single caseworker can assist clients with multiple benefit programs.

In New Jersey, we produce the Temporary Assistance for Needy Families (TANF) report for the Division of Family Development. Our shared data warehouse allows these reports to be run on demand and enables users to prospectively develop strategic plans to meet changing TANF requirements. These reports are the repository for weekly and monthly updates on TANF work participation rates and allow supervisors and caseworkers to proactively manage their caseloads. This results in higher federal funding and sanction avoidance.

Examples of tools that we use include:

- **Oracle:** We use Oracle software to support data management in our New York, New Jersey, Washington, Arkansas data warehouse and decision support system projects.
- **Informatica ETL**: Optum currently uses the Informatica ETL in our AME DSS and Service project. We also use Informatica COTS tools for our Indiana, New York, New Jersey, and Arkansas data warehouse and decision support system projects.
- **Cognos-based reporting (leveraging West Virginia's tool):** We are familiar with, and use, the Cognos query and reporting software in more than a dozen state projects. This includes projects in New Jersey, Arkansas, Indiana, and California.

Leveraging West Virginia Resources

We will leverage various existing West Virginia State resource technologies to reduce the probability of unexpected conditions from affecting services, promote system efficiency, and enhance fiscal responsibility through reuse.

Working with West Virginia modules: The following table highlights how we will leverage your existing resources.

Capability	West Virginia Resource	Modernization Plans
Reporting and analytics	Cognos Analytics and IBM SPSS	Our plan to leverage the existing report and analytic capabilities will provide a similar user experience and consistent look-and-feel for DHHR users while migrating to our reporting and analytics solution, OTAAS.
Integration services	West Virginia integration (Oracle SOA)	We will maintain the existing ESB integration to legacy systems deployed within West Virginia's data center. For interoperability, we will integrate the existing ESB with OIL. The two ESBs will communicate with each other providing a loosely coupled interaction.
Data marts	RAFT, RAILS, FREDI, and SOAR	Optum will leverage the existing data mart assets (RAFT, RAILS, FREDI, and SOAR). The WV IES will send data to and accept data from these data marts.
Master client repository and Master Data Management	Informatica Suite (MDM and PowerCenter) and Oracle	We understand the need to focus on the clearing of existing duplicate assist in verifying data consistency. We will enhance and optimize MDM and ETL processes.
Mailroom	West Virginia	We will explore the opportunity to use existing mailroom for printing, distribution of IE-related information to members and providers.
Child support	OSCAR	Optum will modernize the OSCAR code base to Java, improve the current application workflow, and user experience. The new capability will be part of the WV IES in the Optum data center.
Financial management	wvOASIS	We plan to integrate our IE solution to the existing FM platform, using the WV ESB and OIL.
Document management	Hyland Onbase (Northwoods)	We plan to integrate WV IES with the current Hyland Onbase (Northwoods) document management.
Internal DHHR Platform	MSDynamics	As applicable as opportunities present itself during modernization

Working with West Virginia partners: To create a WV IES that meets your current and future needs, we bring a team of partners that you know and trust today—Optum, CGI, Flexi, PCG, and HCL. By engaging experienced team members, along with existing technology and operations, we will maintain uninterrupted service in functional areas that provide outstanding service to you today. Optum will build on current knowledge and targeted experience to expedite and maintain the WV IES Project for DHHR. Our affiliate, the Lewin Group®, has been a partner to the State for more than 15 years, supporting management of the Medicaid managed care program. This relationship enhances our understanding of your program needs and demonstrates our long-term commitment to West Virginia. In line with CMS Seven Conditions and Standards, Optum reviewed and analyzed the current West Virginia State resources to consider leveragability, reuse, and sharing. We determined capabilities that would produce efficiency in the WV IES Project and reduce duplicative costs and resource use when possible.

CGI's presence in West Virginia is apparent through its partnership with the State of Virginia to implement wvOASIS, the State's Enterprise Resource Planning (ERP) system. In 2011, West Virginia selected CGI as the prime vendor for this mission critical project. Using a five-phased implementation roadmap, CGI's solution replaced and introduced new business functionality for budget development, human resources, payroll, procurement, financial, transportation, and treasury management. It also replaced a number of systems maintained by agencies to track items such as inventory, fixed assets, time and leave management, and real estate. The statewide implementation and deployment of wvOASIS successfully completed in May 2017.

Blending the strengths and experience of these vendors, we will successfully deliver on your unique requirements and modular approach for the WV IES Project.

4.2.3 Objective: Design, Development, and Implementation (DDI) Schedule

We reviewed the requirements for the WV IES and designed a solution and approach that will successfully deliver the functionality you have requested. Our proposed timeline will incorporate three major releases, splitting the DDI phase into at least two releases as suggested in the RFP. We will deploy these releases in our WV IES hosted environment.

Project Approach

Our WV IES Project approach consists of three separate, yet integrated program-specific projects, that we will execute in parallel to support your business objectives. These three programs are for the Child Welfare, Child Support, and Integrated Eligibility (IE) functionality. The Child Care component will be absorbed as part of the IE project, with eligibility and benefits determination functionality being contained within the IE solution and the childcare licensing, compliance, and quality functionality contained within the Client Services Module.

Each program will consist of several interim releases, which will incrementally build up to the final WV IES. This approach will help us to minimize delivery risk by dividing the work into smaller, more manageable efforts. It will also provide a phased approach that will allow your staff a longer period of time to adjust to the new system. This incremental methodology avoids the big bang approach. For example, we have divided the 12 HHS programs within the WV IE project into three releases based on existing program interrelationships and dependencies—cash assistance programs, health care programs and other family assistance programs. We will deploy these specific components and programs into our WV IES hosted environment. We based the planned releases for each of the major programs (Child Welfare, Child Support, and Integrated Eligibility) on an assumed start date of September 25, 2017, (Third Quarter). The following table summarizes the releases.

Release #	Release description	Release date	What business functions will this release enable?
Child Welfare			
R1	This release will provide Centralized Intake, Investigation, Assessment, Case, and System Administration capabilities for Child Welfare, Adult Protection Services (APS), and Youth Services.	September 2018	Full Statewide Automated Child Welfare Information System (CCWIS) including functionality for Adult Protective Services and Youth Services
R2	This release will provide Finance and Provider capabilities for Child Welfare, Adult Protection Services, and Youth Services.	August 2019	
Child Support			
R1	OSCAR legacy modernization	September 2019	Full Child Support enforcement functionality, including new, modernized UI and codebase
Integrated Eligibility			
R0	Base technology configuration (common functions)	June 2018	Security management (authentication and authorization), user profile management, workflow management, administrative unit management, reference data management
R1	Data collection user interface (UI) All Programs	September 2018	User interface for clients (self-service) and agency workers to enter information needed during HHS program application process

Release #	Release description	Release date	What business functions will this release enable?
R2-PI1	Program Increment 1: Implementation of these functionalities: • Caseload management • TANF cash • SNAP (including expedited SNAP) • D-SNAP • SNAP Employment and Training Program/ABAWD • TANF/WV WORKS/60-month Clock • Child Care	August 2019	Application of TANF, SNAP, and Child Care programs of assistance. Will support application, re-determination, change of circumstances, and reactivation of TANF, SNAP, and Child Care assistance groups after release on the new system. In addition to TANF and SNAP functionality, this release will support all caseload management functions for the State workers.
R2-PI2	Program Increment 2: Medicaid and CHIP Programs • Medicaid • CHIP	November 2019	Workers will be able to process Medicaid applications, redeterminations, change of circumstances, reactivation of Medicaid, CHIP after this release on the new system.
R2-PI3	Program Increment 3: Other Family Assistance Programs • LIEAP • Emergency Assistance • Refugee Assistance • Non-Emergency Medical Transportation • WV School Clothing Allowance • Client scheduling, periodic reporting and Data exchange (Federal Hub)	February 2020	Workers will be able to process LIEAP, Emergency & Refugee Assistance, School Clothing Allowance programs on the new system after this release. In addition, client scheduling, periodic reporting and data exchange functionality will be moved to the new system.
R3	Reporting, document and financial management • MDM • Reporting • Document management & client notices • Financial management (benefit issuance, recovery and OASIS interface) • Fair hearing • History maintenance	August 2019 November 2019 February 2020	All reporting, MDM, client notices, and payment functionality moved to new system in conjunction with the corresponding R2 program releases (R2-PI1, R2-PI2, and R2-PI3).

Factors Determining our Approach

We will use an iterative approach to prove our solution in a pilot county on incremental functionality before statewide implementation. This will help us to train workers more effectively on the new system, reducing a high volume of incidents and problems related to unfamiliarity.

We based our iterations on the RFP requirement and software engineering best practices. They leverage the interdependencies between various HHS business programs that must be implemented as a cohesive unit. For example, we have considered the interdependencies between TANF benefits and SNAP budget and those between Medicaid categories of assistance and the cascade process for designing our software releases. Our approach to reducing risks of this implementation includes:

- Delivering Child Support and Child Welfare in two separate programs to maintain program integrity for the two child services components
- Maintaining a technology framework that enables integrated application and review processing for TANF, SNAP, Medicaid, Child Care, and Emergency Assistance applicants

- Reducing impact to worker caseload by providing an integrated presentation of the application functionality throughout the pilot and interim phases of the project
- Enabling a low-risk rollback of new functionality, if needed, through our solution architecture; allowing a rollback of pilot functionality at any point in time, maintaining a solid strategy throughout the implementation phases

Child Welfare Releases (including Adult Protective Services and Youth Services)

The Child Welfare, Adult Protective Services, and Youth Services program-level release work effort will begin immediately after project initiation. It will consist of two major releases and will be completed in 23 months. This approach enables DHHR to begin deploying the Child Welfare solution within the first year.

Release 1 will focus on deploying and configuring the Centralized Intake, Investigation, Assessment, Case, Adoption and System Administration modules. The Child Welfare solution will leverage the environment provisioning within our data center, leveraging the existing connectivity between the Optum and West Virginia data centers. This includes base software configurations specific to West Virginia such as security and administration. The Release 1 pilot will begin in September 2018, assuming a September 25, 2017 start date, and will integrate with the existing West Virginia modules to provide uninterrupted service delivery.

Release 2 will focus on deploying and configuring the remaining Financial, Provider, APS and Juvenile Justice modules. The Release 2 pilot will begin before the end of year two. We will provide a unified user experience and responsive design to empower caseworkers to complete their work from Internet accessible office and mobile devices. The Child Welfare release is expected to go live 23 months after the project start, in August 2019, assuming a September 25, 2017 start date. We will complete the three major releases in 23 months as estimated in the following table.

At end of Release:	Release 1	Release 2
Centralized Intake	100%	100%
Investigation & Assessment	100%	100%
Case Management	100%	100%
Adoption	100%	100% (Child Welfare Only)
Provider	0%	100%
Finance	0%	100%
Interface	50%	100%
Reporting	50%	100%

Each pilot will run for two months and will target a broad cross-section of volume and use cases to validate that the specific release is ready for a statewide rollout after each pilot.

Child Support Releases

The Child Support project will begin immediately after Project Initiation and will be completed in 24 months. It will consist of one functional release with two major work streams dedicated to modernizing the OSCAR user interface and legacy codebase.

We will replace your existing OSCAR user interface with a modernized user experience that will give users a new, unified look-and-feel. In addition to this focus on the user experience, we will also develop a SOA-based integration layer between the UI layer and the underlying business logic.

The second work stream within this release will involve the replacement of the existing legacy codebase. We will leverage industry-leading code conversion technology from one of our strategic business partners to transform the OSCAR code to Java. This will include migrating the existing data model, database and reporting infrastructure. Once the code has been ported to Java, we will refactor the code to conform to our modular architecture. This approach allows you to meet CMS' desire for modularity while being largely transparent to the user.

The Child Support release is expected to go live 24 months after the project start in September 2019, assuming a September 25, 2017 start date. The following table summarizes functionality completion over the estimated 24-month period.

At end of Release:	Release 1
User Interface	100%
Integration to Legacy code base	100%
Child Support functionality on new code base	100%
Interfaces	100%
Reporting	100%

Integrated Eligibility Releases

The Integrated Eligibility program-level release will begin immediately after Project Initiation, consist of four major releases, and will be completed in 29 months. The platform deployment work, which we designate as Release 0 in the project schedule, will be in place before the three-program implementations. This release will focus on deploying and configuring the core technology components that will support the overall solution. This also includes environment provisioning within the Optum data center, leveraging the existing connectivity between the West Virginia and Optum data centers, and base software configurations specific to West Virginia, such as security and administration.

In Release 1, we will replace your existing user interfaces for application intake for IE programs with a unified user experience for both self-service and DHHR agents. As such, this release will provide a quick win for DHHR by giving the users a new, unified look-and-feel for application intake. Because this release only focuses on the user experience for applying to HHS programs (intake), the effort involved will mainly focus on screen design and navigation. Similarly, the data collected during this process will still be processed by the legacy RAPIDS system. An effort to integrate the data back into the legacy systems for processing will occur. We expect only minimal data conversions, reporting changes or modifications to other technical modules.

Release 2, the primary release of the project, will focus on rolling out the various IE programs in three logical groupings. We refer to these groupings as Program Increments (PI). As noted earlier, three releases are based on existing program interrelationships and dependencies—cash assistance programs, health care programs and other family assistance programs. PI-1 will have a cash assistance focus. It will include the SNAP programs (e.g., SNAP, D-SNAP, SNAP Employment & Training Program), TANF/WV WORKS and Work Programs, as well as Child Care functionality. PI-2 will focus on health care programs, including Medicaid and CHIP. PI-3 will roll out the remaining family assistance programs, including LIEAP, the Emergency and Refugee Assistance programs, Non-Emergency Medical Transportation, and the WV School Clothing Allowance program. As estimated in the following table, the full Optum solution functionality will be in place in Release 3. This offers you and your stakeholders the ability to become familiar over a predefined time frame with the new system and features.

At end of Release:	Release 1	Release 2			Release 3
		PI-1:Cash Programs (SNAP, TANF & Child Care)	PI-2: Healthcare (Medicaid & CHIP)	PI-3: Other Family Asst. Programs	
User interface for DHHR program application intake	100%	100%	100%	100%	100%
Assistant unit determination	0%	25%	50%	75%	100%
Eligibility determination	0%	25%	50%	75%	100%
Benefit calculation	0%	25%	50%	75%	100%
Agency processing	0%	25%	50%	75%	100%
Generate enrollment data	0%	25%	50%	75%	100%
Send to downstream system	0%	0%	0%	0%	100%
Reporting	0%	50%	75%	100%	100%

We will conduct five pilots. The first will be after Release 1, User Interface (UI) for DHHR program application entry intake. This pilot will focus solely on the new user experience for application entry and will exercise our data integration from the UI layer to your backend legacy system, RAPIDS. The next three pilots will sequentially implement the program specific groups (PI-1, PI-2, and PI-3), with each pilot building on the functionality of the previous release. This approach will minimize both the technical and organizational impact to your existing people, processes, and technology. It also will reduce the impact on the end user with the transition of programs from RAPIDS to the new WV IES. We accomplish this by taking advantage of the modular architecture of our solution, allowing us to enable business rules and functionality systematically.

The solution architecture during these pilots will incrementally move from legacy RAPIDS to your WV IES and the legacy RAPIDS. As such, the user experience and underlying data synchronization aspects of these pilots will consider the impact on the end user, namely, your DHHR staff. At the UI layer, we will loosely integrate the new UI screens and functionality with your legacy UI in order to minimize the need to work within dual systems. Similarly, at the data integration layer, data synchronization between the two systems will also minimize the need to work within dual systems.

As we configure and finalize each PI in Release 2, we will also undertake several associated parallel efforts. These will include the following:

- Dedicated work streams for data conversion, migration and synchronization
- Integration development between OIL, the West Virginia ESB, and downstream systems
- Implementation of document management and notices

The timing and functionality contained within these parallel efforts will enable us to conduct a pilot after each release. Each pilot will run for one to three months depending on the release. It will target a county that has a broad cross-section of volume and use cases to validate that the specific release is ready for a statewide rollout after each pilot.

The final release, R3: MDM/Reports/Doc Mgmt., implements the underlying modules for MDM, reporting, notices, document management, and financial management as related to the three HHS program increments within R2 (R2-PI1, R2-PI2, R2-PI3).

Overall Release Schedule

Child Welfare and Child Support will be 100 percent complete within 24 months of the assumed start date of September 25, 2017. For Integrated Eligibility, 95 percent of the hours/effort will be complete by the 24-month point, including R0 – Base Technology Release, R1 – Application Intake UI, and R2-PI1: Cash Assistance (SNAP/TANF/CC). Of the two remaining releases, R2-PI2: Healthcare (Medicaid/CHIP) will be halfway through its three-month pilot and will go live in month 26, while R2-PI3: Other Family Assistance Programs will be halfway through UAT with a planned go live in month 29. This release schedule is realistic and provides access to new system capabilities early (e.g., a new user interface experience within the first year) while avoiding the risks of a big-bang approach. This approach allows the State to maximize federal funding for the Child Welfare and Child Support solutions. Finally, based on our proposed release schedule, assuming a baseline of the initial project schedule after contract start, and a scheduled re-baseline before completion of DDI, we would look for opportunities, in partnership with DHHR, to deliver the full solution acceptance no later than two years after project kick-off.

We incorporated your requirements into our DDI phase scheduling and decision-making, including:

- Limited State resources and availability during DDI
- A contract start date of September 25, 2017, to occur in the third quarter of calendar year 2017
- DHHR subject matter expertise availability during the Design Phase of the schedule
- DHHR deliverable review completion within 10 business days of submission for signature
- A project baseline at approval of the initial project schedule
- One project schedule re-baseline before DDI completion

Proposed DDI Approach

For our proposed DDI approach, we will follow our system development lifecycle (SDLC) methodology, which uses both waterfall and Agile development approaches.

The key benefit of this hybrid approach is that it blends the rigor, familiarity, and discipline inherent in the traditional SDLC phases. Within these phases, we use an Agile approach that enables rapid design and flexibility. We accomplish this by integrating design, build, and testing activities into smaller, more manageable units of work. We refer to these units of work as sprints. We designed our hybrid methodology to bring the structure and rigor necessary for a project undertaking of this size. The use of Agile and sprints provides the flexibility and nimbleness to deliver functionality and minimize delivery risk. We will incorporate the below-highlighted Agile approach in our project phases. We provide the proposed DDI schedules, in Figure 4.2-9 following our narrative discussion of our DDI approach. Proposal Section 4.3.1, Project Management, describes our detailed project approach.

Project Initiation: During the Project Initiation Phase, we will establish a Project Management Office (PMO). We will outline critical planning deliverables including communications, monitoring and status reporting, organizational structure, and general project logistics.

Requirements analysis: After we establish the PMO, each project team will conduct a detailed analysis of their respective requirements. While these activities will require subject matter expert (SME) participation from your staff, we realize and appreciate that their time is limited. As such, our approach will heavily leverage our knowledge of the existing West Virginia systems and documentation and our SMEs and business analysts (BAs). We provide additional detail in proposal Section 4.3.3, Requirements Analysis and System Design.

System design and release planning: We will review and document the solution/system design through design preview sessions with you. With the information gathered from these sessions, we document the design and begin detailed planning of the associated releases in this phase. We will

create a Preliminary Solution Design document describing our high-level solution. It is also at this time that Detailed Design activities will commence for the first release, while System Design and Release Planning continues for the other releases. We expect the re-baseline and commencement of the first release will occur about three months after project initiation. We provide more information on our system design approach in proposal Section 4.3.3, Requirements Analysis and System Design.

Execution (design/build/system test): Proposal Section 4.3.3, Requirements Analysis and System Design, also describes our Optum Scalable Agile Method, which breaks up the overall detailed design, development and system testing activities into sprints. Multiple sprints are combined to form Program Increments and Releases. For example, within the WV IES Project, we will have three major releases (R1, R2, and R3), with R2 being divided into three distinct Program Increments (PI-1, PI-2, and PI-3). When we complete and system test the sprints associated with a Program Increment and Release, the entire package is ready for integration testing, end to end (E2E) testing and UAT.

Testing (integration/E2E/performance/UAT): Each of our test phases will focus on the correct level of testing that corresponds to the software release lifecycle. Using entrance and exit criteria, we will confirm compliance with the predetermined milestone criteria before moving to the next step of testing. Our testing approach is detailed in proposal Section 4.3.5, Testing.

Implementation: To further reduce implementation risk, for every major and sub-release, we will deploy a pilot implementation. Our target pilot county will be chosen with a healthy mix of cases to make sure there is broad exposure to different types of cases in the county. We will work with our DHHR colleagues to choose the pilot counties at the time of implementation. Each pilot will run for one to three months, depending on the complexity and size of the release.

Interim Solution Architecture: Optum understands the operational needs for an integrated eligibility system through the knowledge we have gained through our M&O work with RAPIDS. This includes:

- RAPIDS supports integrated application and case management functions for your assistance programs. Citizens of West Virginia can apply for all programs of assistance at the same time without having to come back multiple times to the county offices. The same holds true for periodic redetermination of cases and other case management functions
- State workers can perform case management functions for all assistance programs using secure single sign-on to the application portal. The RAPIDS application is currently built as an integrated solution for all integrated eligibility functions.

Optum proposes to seamlessly integrate the new integrated eligibility system with RAPIDS. During these releases, State workers will log in to the RAPIDS application. We will build a capability to expose the new system functionality via the current RAPIDS portal until we complete the final release. This will minimize the training needed for the State workers on the new system. Once the functionality is transitioned from RAPIDS, we will switch the workers to the DHHR portal for the new WV IES. During this timeframe, we will keep the data synchronized between the two database systems. As a result, the downstream systems such client notices, reports, and MDM will have a unified view of the data irrespective of where the case is being processed. This will reduce or eliminate any need for dual operations by the end users.

With respect to OSCAR and FACTS, the need for a similar interim solution approach is not as applicable. Since OSCAR will be replaced in a single release, there is no need for any interim architecture while for FACTS, the two releases are independent and function as standalone modules/capabilities. As such, the complexity of synchronizing the new Child Welfare solution and the legacy FACTS solution is far less complex than it is with the Integrated Eligibility solution and RAPIDS.

Data Conversion Strategy: Data conversion is another important aspect of this migration process. We will approach this using an incremental data conversion from RAPIDS to the WV IES. As we transfer functionality to the new WV IES, the underlying data will be converted. The WV IES then becomes the owner of that data. At this point, future changes made to the new database are through the new solution functionality and the data will be copied back to RAPIDS to keep it in sync. This will help us verify the data integrity throughout our interim releases to the final rollout and decommissioning of the RAPIDS application. Similarly, with OSCAR and FACTS, data will be converted from the respective legacy systems as functionality is rolled out in the new systems. With OSCAR data, this data conversion will happen just prior to the single rollout while with FACTS data, the conversion will happen prior to Release 1 and again with Release 2.

Rollback Strategy: We understand the complexity of these large application migrations. There may be circumstances where, despite our best efforts, may need a rollback of the new release during the pilot phases of the project. System rollbacks are never easy and we must think of, and accommodate this, at the initial stages of solution architecture and system design. To accomplish this, we designed our interim solution architecture in a manner that we can roll back the new changes and return to the prior version of the software rollout. Keeping the new system database in synch with that of RAPIDS will enable this rollback strategy. Finally, the rollback strategies for OSCAR and FACTS are, once again, less complex given the nature of their respective releases.

Proposed DDI Schedule

Figure 4.2-9 shows our proposed high-level DDI schedule for the WV IES Project.

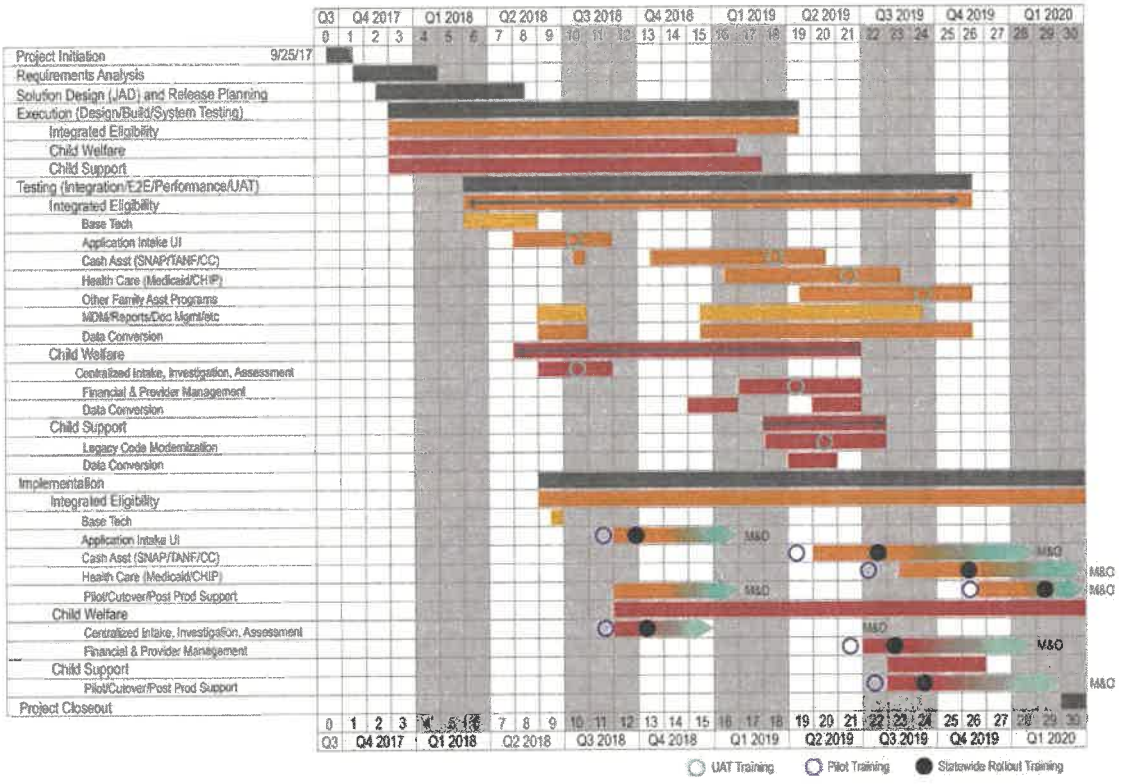


Figure 4.2-9: Project Timeline.
A key feature of our DDI methodology is our collaborative design preview process.

We provide a draft Detailed Project Schedule in Appendix 6.

Optum and DHHR Approach Similarities and Differences

The following table identifies the differences between our proposed approach and the sought approach suggested in the RFP. We made great efforts to align our project approach with your recommendations while remaining confident in our delivery commitments.

DHHR Approach	Optum Approach
Two releases	Three releases: Child Welfare, Child Support, and IE
Child Welfare solution in one year	Child Welfare, Adult Protection System and Youth Services Centralized Intake solution in 1 year. Investigation, Assessment, Case, Adoption, and System Administration by the second quarter of year two. The remaining modules within 2 years.
Child Support solution in one year	Child Support user interface to the existing legacy OSCAR code base in year 1. Legacy OSCAR code base converted to Java with fully functional and modernized solution within 2 years.
Integrated Eligibility solution in two years	Application intake UI delivered in year 1 with a fully functional Integrated Eligibility solution in 29 months. Possible opportunity for full solution acceptance no later than two years after project kick-off through schedule baselining and re-baselining activities.
Full solution completion no later than two years after project kick off	Full solution completion no later than 29 months after project kick-off. Possible opportunity for full solution acceptance no later than two years after project kick-off through schedule baselining and re-baselining activities.
Release 1 and Release 2 scope	Releases 1, 2 and 3 scopes

4.2.4 Objective: Automation

As DHHR looks forward to modernizing its IT support for West Virginia human services programs, Optum is positioned to help you streamline your manually intensive work to automated business processes wherever possible. We understand your mission to provide the appropriate services to your citizens in the most efficient and effective manner.

Automation and Increased Efficiencies across the Enterprise

We describe our approach to automation across the enterprise and its methodology for pursuing continuous improvements within the West Virginia business, data, and technical architectures. The Optum WV IES features automation that increases efficiencies in the following ways:

Multi-program capability: The Optum WV IES will provide a common and optimized exchange platform for your multiple program services, providing standardization to information collection, data maintenance and business rule application to efficiently support a wide range of eligibility rules across multiple programs. Optum provided enterprise-class rules engine capabilities. The Optum eligibility determination BRE is pre-populated with more than 1,600 federal eligibility rules for Medicaid (MAGI and non-MAGI), CHIP, SNAP, and TANF. They will allow you to stay compliant with existing and evolving state and federal policies within a multi-program HHS enterprise. We have also created more than 650 test cases to confirm proper integration with existing systems and rule-sets to verify their accurate execution in eligibility determination. During the modernization, we will migrate existing Corticon rules and rules built in RAPIDS and the MMIS to this rules engine platform. This approach will consolidate eligibility rules into one consolidated capability for better management and a more modular design.

Flexibility: Our flexible business rule engine capability will deliver timesaving configuration of business rules with rich Web experience for authorized users. Business users can easily configure or modify business rules in human readable format. This allows users to correlate the rules back to

the originating policy. Business users can maintain the rules with minimal training. They do not require any programing skills to edit or update the rule set. Our business rules components also come with a built-in controller to verify changes are properly and safely rolled out, or rolled back if necessary.

One example of flexibility in our BRE is its ability to support state-specific business rules. To address the challenges we have encountered in our work with states on their eligibility and enrollment systems, our approach is to extend the base set of federal rules to specific state, county or city eligibility business rules. We can apply effective dates to each rule for retroactive and future eligibility determination. The internal logic and deployment process allows rules specific to West Virginia to be fully supported separately from federal or other state systems. This will provide you the flexibility to implement specific eligibility rules and eligibility processes.

Agility: In support of CMS Seven Conditions and Standards, OIL implements a SOA that adds agility through various solution features. Although agility is a desired outcome from any SOA implementation, the HHS focus and MITA-aware design of OIL also adds additional unique value. These solution features, noted in the following table, are basic concepts in SOA that will help DHHR to add efficiencies to change management, support maturing business processes, and reduce costs associated with ongoing requirement changes across multiple programs.

Feature	In support of agility
Reusability	Services and service composites are stand-alone components that can be re-orchestrated in infinite ways to support changing business needs, requirements, and organizations. Other business modules that are created from composites may also be reused; however, as the complexity of the module increases, the degree of reusability may diminish.
Loose coupling	Services and service composites used for application and module integration are by their nature loosely coupled, especially when the services use APIs and asynchronous communication.
Human services APIs	The Optum Integration Layer library contains native service support for relevant X12 healthcare, HL7 and CMS Federal Data Services Hub (FDSH) standards. It also contains native support for translation from legacy COBOL data and batch environments to modern asynchronous services implementing one of these standards.
Human services data model	OIL uses the X12 healthcare and HL7 canonical data models internally for all services and service orchestration. Implementing the layer in a health care or human services enterprise is accelerated by this native support and accelerates changes to the service architecture whenever the model can be leveraged.
Promotes modularity	Modules communicate with other modules through OIL. Providing this fabric encourages the creation and implementation of modular architecture. As the service architecture and library mature, it is even possible to create entire modules though the orchestration of services.
Interoperability	The use of standards-based APIs and industry standard transaction formats promotes interoperability within WV IES modules. It also promotes it across other WV IES enterprise partners who similarly implement standards-based APIs. For legacy modules or enterprise partners who do not implement standards-based APIs, the proxy wrapper design pattern used by the Optum Integration Layer promotes rapid integration with legacy systems.
Independent development and testing	OIL promotes independent development of both services and modules because the service model dictates that each service or module is self-contained. There is minimal dependency on external APIs that can be accessed or simulated during development and testing.
Independent deployment	Each service or module linked by services in OIL, which uses a known API, can be deployed independently as long as the API is unchanged.

Productivity: The Optum WV IES increases productivity by efficiently performing actions through automated workflows in a Web-based environment. It will increase job efficiencies through business process automation in the following functional areas:

- **Workload management:** Queues, created in the embedded workflow management tool, provide the ability to efficiently delegate and track workloads among and between workers. You can accomplish this by automatically assigning workload tasks to workers using task queues.
- **Notice management:** The rules engine will play a part in coordinating the notice creation and disbursement to intended members. The notice predefined templates will be reusable and help reduce manual processing. DHHR staff and members will be made aware of ongoing or completed transactions through event notices. Members will have a notification preference to opt-in for email notices; otherwise, they will receive notices through the U.S. mail. Members will receive all legally required notifications through the U.S. mail, including member workflow, agency, and system events.
- **Alert management:** The Optum WV IES will send online alerts to DHHR staff and members when an action is required on the part of a member. Members who have not opted in for electronic notification will receive these reminders in the form of a notice as described previously.
- **Document management:** Through an easy, on-demand process, DHHR staff or members will have the ability to upload documents through the online secure portal. Through the Client Portal, the member or applicant can also download forms and information, including completed, submitted applications. The Web portals will handle PHI and personally identifiable information (PII) using authentication and encryption methods.
- **Electronic signature management:** Members will have the ability to complete their self-service experience online using the electronic signature capability. This will reduce the member's or applicant's need to visit a local service center to sign hard copy documents. This also streamlines the benefit approval application process, reducing the steps required and frustration the member may encounter to complete this task.

Self-service: The integrated Web portal provides separate and securely distinct access to the predefined website created for each group: clients, DHHR staff, and providers. DHHR will provide us with the specific access requirements for authorized stakeholders, determining their user group access parameters. Applicants to a West Virginia program who have permission for the member portal will have the ability to access the public site to view information and complete forms through a secure, online process.

Modernized Approach

Self Service

The Optum Web portals provide a streamlined approach that lightens administrative burden so DHHR staff can focus on delivering the right services to members when they need it.

The WV IES provides one application, one enrollment process, one eligibility determination for all West Virginia programs, and one program benefit view of each member.

We will develop the appropriate RBAC. Because we use an RBAC methodology in the Web portal user security, DHHR will have the ability to determine which user group can access which portal. Within each portal, DHHR can then determine the granular level of security by user group, such as system administrator, supervisor (by functional workgroup), staff users (by functional workgroup), and other defined parameters. Each user session will be uniquely identified and all activities in the session will be tracked against a session ID. We will make this tracking data available in the form of summary dashboards or detailed reports. We will maintain a comprehensive set of audit trails for all processes across the system.

- **Client Portal:** The Client Portal is for members and applicants to access up-to-the-moment information about West Virginia programs. Through a rich Web experience, the user will be engaged and empowered to use the self-service tools necessary for benefit program application and participation. **Figure 4.2-10** provides an example of a Client Portal Web page from where the applicant can start the program application process.

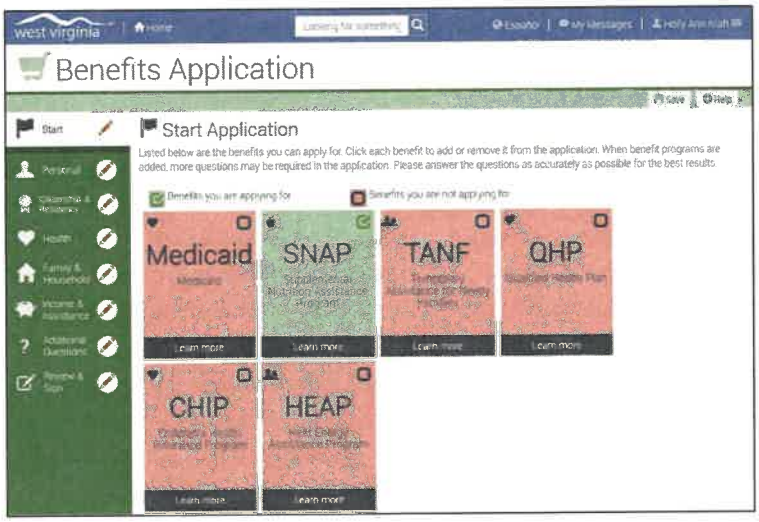


Figure 4.2-10: Client Portal Web Page Example.
We make it easy for applicants and members to find the right information for initial program admission or pertaining to their current program benefits.

The Client Portal provides the one secure, online stop for applicants to explore the benefits catalog and guide them toward membership. The online submission process will help reduce the amount of time between application completion and the applicant receiving an eligibility determination and will enable members to access features and be self-sufficient.

- **Agency Portal:** The Agency Portal will offer authorized DHHR users the tools for managing and analyzing operations and performance at individual, group, and organization levels. DHHR staff will be able to accomplish their work through one portal instead of the multiple websites currently used and depicted in **Figure 4.2-11**.

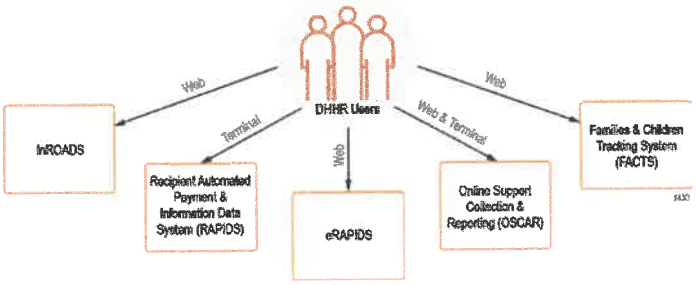


Figure 4.2-11: Current DHHR access.
DHHR users often need to log in to multiple online systems to accomplish work tasks.

The online application process will help reduce the time DHHR staff members spend on manually creating, then reviewing and acting on each application. The rules engine will reduce the rate of errors that can occur in full manual eligibility determination processes and reduce the need to toggle between systems to finish a single task. The Agency Portal includes:

- Eligibility Case Management, including case notes; multiple case views; caseworker lead reporting; case history and case search; and ability to add worker comments to notices
- Workload Management, including scheduling and tracking provider site visits and evaluation; managing provider outreach and campaigns, scheduling and tracking provider training, and childcare provider termination workflow
- Document and Notice Management, including viewing, updating and deleting documents; uploading and labeling documents; and sort, filter, and search functions

  - Dashboard views that provide insight into processes, patterns, changes, performance, problems, trends, oversight of business rules, financial management, auditing, and security
  - Program eligibility viewing to evaluate rule-based determination accuracy and consistency
- **DHHR Child Care Provider Portal:** This Web portal includes a configurable workflow for the childcare license application process, including the application, submission, review, approval/denial notification, issuance of license and revocation of license. Similarly, with respect to investigations, the portal enables authorized system users to conduct investigations in the field, including investigations involving informal, unlicensed/unregistered childcare settings, by providing access to the necessary data required to support the investigation process. This includes a summary investigation report containing the statement of complaint, the dates the investigation was conducted, specific violations found, technical assistance provided or recommended, the corrective action plan with configurable time frame tracking based on the date of issuance, and any negative actions recommended. The portal can also track requests made by parents for lists of substantiated complaints on a childcare provider.
- **Financial management function:** The financial management module enables self-service for DHHR-approved users, offering an easy-to-use user interface that provides finance workers direct access to a variety of financial capabilities, including:
  - Direct access to the Chart of Accounts enabling simple creation or updates
  - Recurring disbursements payment schedule set by the worker
  - End-to-end payment processing from setup to bank account reconciliation
  - Dynamic and ad hoc reporting and invoicing capabilities that improve tracking
  - Easy braided funding to combine different income sources into a single transaction
  - Audit and controls that capture all transactions in an easy to manage format

  DHHR staff will spend less time rekeying data, searching and collating, and more time making sure the many West Virginia HHS programs are running efficiently.

Reporting and analytics: Our reporting and analytic services provide a flexible, Web-based reporting and business intelligence solution to streamline reporting and analytics across federal and state agencies. We leverage existing infrastructure and tools to create a consistent user experience to transform data into actionable insights. We streamline data to provide comprehensive cross-functional reporting and analytic capabilities resulting in simple yet powerful reports and visualizations designed to help identify and improve operational efficiency and effectiveness. Our ad hoc reporting features will enable DHHR to create, edit, and deliver ad hoc reports in a simplified and user-friendly way. Authorized ad hoc report users can modify existing reports, including colors, data visualizations, tables and data elements. Our system creates opportunities for technical and non-technical users to maximize the use of data.

Optum has proven experience in successfully applying project management strategies and techniques in data warehouse and reporting and analytics engagements for large HHS departments. Beginning in 1994, Optum worked with the then Michigan Department of Social Services to build the first Medicaid-centric data warehouse in the country—beginning with about 50 users. Today, we operate a full-fledged business intelligence solution encompassing multiple large departments, including the Department of Health and Human Services, Department of Treasury, and State Court Administrative Office. Michigan now has the most extensive integrated HHS solution in the nation. Some of the programs in the Michigan Enterprise Data Warehouse (EDW) include SNAP, TANF, Special Supplemental Nutrition Program for Women, Infants, and Children (WIC), Child Support Enforcement, Child Day Care, and most major HHS programs. For example, data sets include SNAP eligibility/history as well as benefit issuance history. More than 10,000 individuals use the resulting capabilities across the State of Michigan. Optum currently provides approximately 40 staff members to support the State.

Michigan has received national recognition from numerous third parties (e.g., the National Governors Association, the National Association of State Chief Information Officers [NASCIO], the Data Warehousing Institute and numerous business and trade publications).

Proven Solution

Optum Expertise

Optum Builds the First Medicaid-Centric Data Warehouse in the Country:

- Started with 50 users, now it is the most extensively integrated HHS solution in the nation
- Includes EDW, SNAP, TANF, and several other programs
- Now accessed by more than 10,000 users
- Currently supported by 40 Optum data analytics experts

Michigan's EDW analytical capabilities enable state and county workers to more easily scrutinize and understand cases in their counties in which families receive multiple benefits—SNAP, TANF, child daycare, medical assistance to track and monitor care, services and money spent. Further, it enables workers to view and analyze multiple cases associated with family members living in the same household to better understand the entirety of the household's needs and provide integrated human services (e.g., SNAP, medical services, and housing). In addition, the Michigan EDW is used for program integrity initiatives in the SNAP and TANF programs. Michigan analysts track continuous out-of-state SNAP redemptions and identify potential fraud and abuse. This has resulted in millions of dollars of savings annually for the State, as well as providing a sentinel effect to deter abuse. Please see Section 4.3.13, Enterprise Reporting for more detail and examples on WV IES reporting capabilities.

4.3 Goal 3: Common Governance Structure

Our governance model will deliver consistency and align the same procedures across the West Virginia Integrated Eligibility Solution (WV IES) Project. Our governance approach focuses on achieving your desired business outcomes for citizens and Department of Health and Human Resources (DHHR) staff, and standardizing and optimizing system operations. We look forward to extending our current positive partnership with DHHR to all WV IES stakeholders.

Optum will standardize the governance, management approach, and integrated change control processes that govern the State's human services enterprise. Standardization across the various human services programs will bring a new level of consistency and comparability across the enterprise. This common governance approach is essential for the State to manage the various human services programs a single integrated portfolio, bringing a new level of maturity to program governance in the DHHR.

We will work with you to plan and implement a governance model that helps you achieve your business outcomes and goals for your staff and the citizens of West Virginia. We approach governance at the global level—not just to address information technology requirements, but broadly to address DHHR needs. You will realize the benefits of our proven model and process discipline as you take advantage of our industry experience helping other states. We understand a close partnership with DHHR, your stakeholders, and vendor partners will be crucial for meeting your objectives for the new WV IES.

We know HHS programs from a domain perspective and have significant systems integration experience in highly complex HHS projects. In Michigan, we support more than 1,000 Michigan Department of Health and Human Services (DHHS) users, including caseworkers. Our analytic capabilities, easy-to-understand reports, and dashboards have helped DHHS county managers in 115 offices achieve workload efficiencies. We have worked with more than 15 different HHS agencies to develop a common governance structure.

We will implement and lead the governance model in partnership with you and integrate it with our Optum Delivery Model discussed in proposal Section 4.3.1, Project Management. The model includes weekly stakeholder interactions, timely issue resolution and proactive identification of potential risks for WV IES operations.

Understanding that you are seeking process discipline, our governance approach will provide the standardization you need across our vendor partner team members, CGI, Flexi, HCL, and PCG, as well as other vendors and stakeholders to drive quality and better outcomes. We are your current RAPIDS maintenance and operations (M&O) vendor and have developed a collaborative relationship with you and many IES stakeholders. We will leverage these unique relationships as we develop and deploy the new WV IES.

As part of our governance program, we will deliver the following.

Enhanced coordination with key stakeholders: Your current governance approach does not allow for full coordination and common governance of your existing vendors, including Molina. Increased coordination will reduce barriers across vendors and stakeholders by simplifying communications and reducing the time required to remediate issues. We have insights into your existing MMIS and IE structures and have already built relationships with your stakeholders. We will leverage these relationships toward more timely issue resolution. As we bring our other vendor partners into the engagement, we will provide guidance and insight into your unique history and features of the DHHR programs and other stakeholders.

Enhanced support to drive governance: Your current governance model forces you to drive governance for all of your vendors and stakeholders. Our model removes the governance burden

from DHHR so you can focus on managing the programs that improve the lives of West Virginians. Together, Optum, CGI, Flexi, HCL, and PCG will continue leveraging and expanding our relationships with your stakeholders to create a common governance understanding.

Greater consistency in governance: In the RFP's Statement of Need, you expressed concern with your current governance model. It applies inconsistent governance standards across the enterprise due to disparate systems. We understand your systems have different procedures for change control, with varying levels of supporting documentation and structure to support required changes. This creates difficulty when evaluating the performance of the human services programs at the program portfolio level. Going forward, our governance model will align the governance structure across all modules with all vendor partners. It will standardize supporting documentation and processes across your enterprise and focus on the overall service being provided and, most importantly, the outcomes of those services. By following this shared approach to change control, we will develop common methods to measure success and work toward a mutual view of success for DHHR. We will also have an improved ability to evaluate performance at the WV IES module level.

Common Governance
Project Example

For a recent project in Massachusetts, we developed a strong program governance structure in partnership with the Commonwealth that enabled us to meet contractual SLAs, proactively mitigate risks and effectively manage change across multiple partners. The program governance structure gave Massachusetts visibility into the engagement and helped them achieve significant cost savings in a tight budgetary environment.

The following sections describe our governance approach, focusing on our differentiators:

- Our implementation readiness approach, with comprehensive testing and readiness reviews to deliver a thorough assessment of staff, business processes and infrastructure
- Optum Scalable Agile Method (OSAM), our development methodology based on continuous improvement and lean Agile principles to reduce risk and speed delivery
- Our mature operations approach, focusing on customer service, cost-containment, and continuous improvement from DDI through subsequent releases to M&O
- Our existing ServiceNow and Application Lifecycle Management (ALM) tools will be enhanced to support the WV IES
- Our testing, security, and software development lifecycle (SDLC) services are already in place and will provide common services for the WV IES.

Optum instills a culture that we collectively follow to achieve our goals. We improve and sustain our performance through our core beliefs, values and behaviors. As **Figure 4.3-1** depicts, our corporate mission is to help people live healthier lives and to make health and human services (HHS) systems work better for everyone through integrity, compassion, trusted relationships, innovation, and performance.



Figure 4.3-1: Optum's Corporate Mission.
We strive to help our customers and all project stakeholders live healthier lives.

These common principles result in cohesive groups of individuals who possess the appropriate combination of expertise and versatility, a commitment to excellence, and a readiness to respond to changing customer needs. Our cultural values are in line with your Cultural Change Management approach further discussed in Section 4.4.5, Training Management. Working together, we will follow our governance approach and commitment to shared values to modernize your IES as we describe in the following sections.

4.3.1 Objective Project Management

Approach to Project Management

Our proposed systematic, mature and measureable project management methodology is based on industry standard methodology—the Project Management Institute (PMI) Project Management Body of Knowledge (PMBOK) Guide and the Carnegie Mellon Software Engineering Institute (SEI) principles described in the Capability Maturity Model Integration (CMMI) framework. Optum also adheres to American National Standards Institute (ANSI) and Information Technology Infrastructure (ITIL) standards where applicable.

Project Management
Best Practices

- Follows proven industry standards (i.e., PMBOK)
- Incorporates and institutionalizes these standards throughout the other project processes
- Provides situational awareness of schedule, performance and cost status for project reporting and decision-making
- Includes tools and processes that provide transparent views into relevant schedule, performance, and cost data
- Allows enterprise visibility for consistent control of project performance

After we jointly establish a unified Governance structure, we will then apply our integrated Project Management framework to your program. As your trusted partner, we will focus on the components that make up your program and develop milestones that meet the objectives and established deadlines. Optum has extensive experience in effective program and project management using PMI-aligned methodologies and processes in our engagements with more than 47 state clients. Our program and project management framework features a comprehensive approach to strategy alignment, process optimization, quality assurance and managing contract performance. We use formal procedures modeled after internationally recognized standards. Our on-site WV IES management team will develop approved performance management measures to maintain visibility into the status and health of the project. We structured our overall program and project management approach and methodology to best meet the needs of the WV IES Project as defined by the RFP.

Project Management Methodology

Our Project Management for the West Virginia Medicaid Enterprise IES Project will be a joint effort between the following parties:

- **West Virginia DHHR**
- **The contracted West Virginia Medicaid Enterprise IES Project Management Team**
- **The current eligibility and enrollment Vendor (Optum)**
- **The awarded Vendor**

Together, these parties above will agree upon in-scope deliverables and deliver services that meet or exceed contract requirements. You indicated that consistency and organization to migrating your platform is a key business driver. We will use proven project management principles, including all activities required for appropriate management, monitoring, documentation, traceability, and communication. This methodology promotes the best use of your resources and reduces redundancy as the teams work toward a common goal and milestones.

This section describes how we will partner with you to apply our methodology to complete all the project phases within the Communication Management Plan and Delivery Model sub-sections.

Optum PMO for the WV IES Project

Our PMO will be responsible for project governance, managing the implementation effort, finance and contract management, change management and the overall project management methodology, policies, and procedures as applied to the WV IES Project. Our PMO is not an additional layer of management, but part of the operational team that promotes better overall communication within the project. Dedicated resources with more than 200 years of combined experience include our:

- IES account manager
- IES deputy account manager/operations manager
- IES project manager
- IES change control manager
- IES deliverables/requirements manager

Our PMO team will support and monitor the overall status of the project. This team will support the technical and functional teams as they execute their responsibilities. We will make sure the project team adheres to the established project standards, policies and procedures. The team will also serve as a central collection point for project status, metrics and for overall project status reporting. **Figure 4.3-2** shows the planning, tracking, and administrative activities of the Optum PMO team.

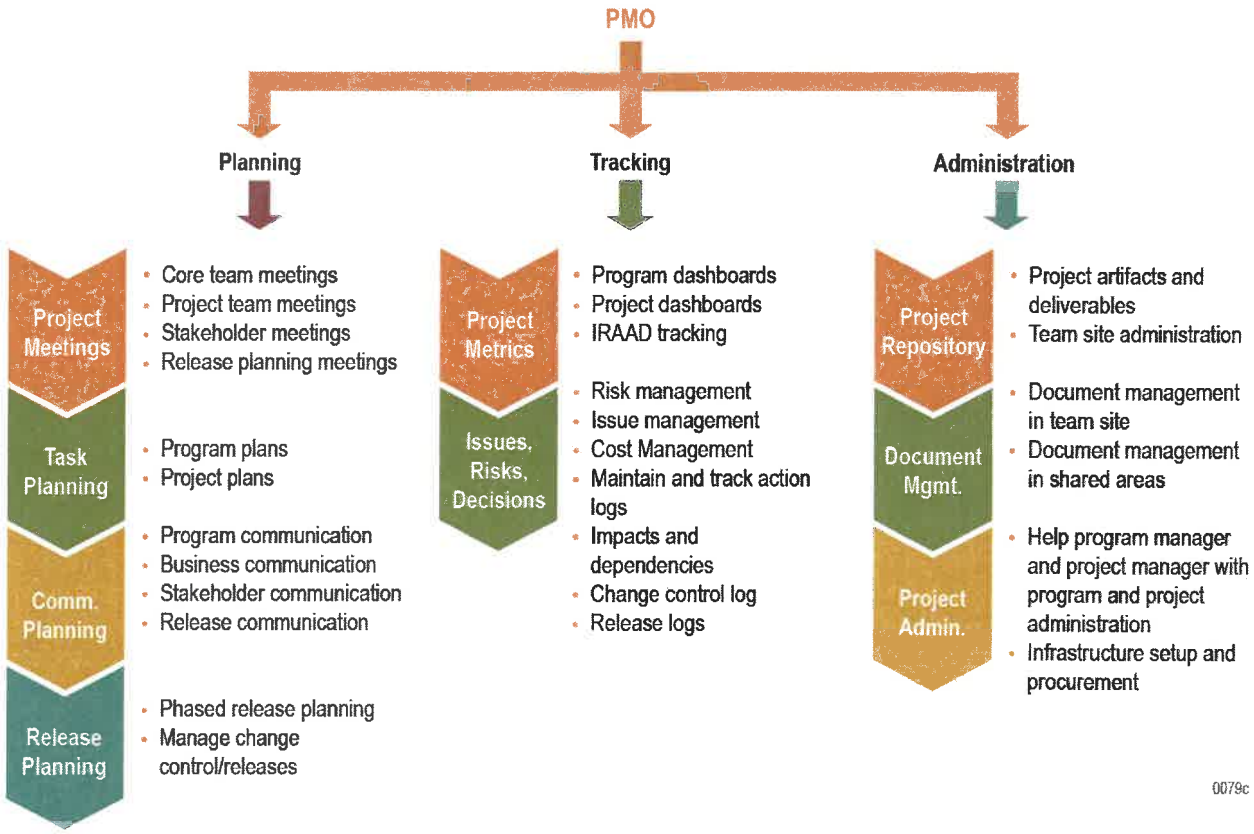


Figure 4.3-2: Optum PMO Team and Administrative Activities.
The Optum PMO team will support, monitor and manage the WV IES Project.

An awareness of your business objectives, business pain points, and your project goals in mind will improve team efficiency. All staff on the PMO team will receive training on the processes and procedures established for the WV IES Project. During all project phases, we will work collaboratively with DHHR. We will align existing processes and procedures to achieve successful delivery.

Integrated Project Management and Governance for the WV IES Project

Our methodology and approach interacts effectively with the overarching project plan, developed to align with industry project management standards, to work cooperatively and integrate with the IES Project Management team. We use the same methodology with our partners to align the entire WV IES portfolio.

We will partner with you to mutually agree on and adhere to the integrated project management framework for the WV IES. Optum will develop a Communications Management Plan that will guide WV IES Project communications. A draft version of this plan is included in Appendix 6. Early in the project, we will meet with you to determine project communications requirements and incorporate your feedback in the Communications Management Plan. This will include project status reporting, monitoring activities and the processes required to support appropriate planning, collection, creation, distribution, storage, retrieval, management, control, and monitoring of all project activities.

Communications Management Plan

As you have stated in your RFP, your team seeks a collaboration that aligns all stakeholders supporting your program and that communication is an area where you would like to see improvement. Our organized, open and transparent approach will enable our teams to quickly grasp, mitigate, and respond to potential issues. In the rapidly evolving HHS environment, systems

and organizations must align closely to provide quick and reliable support. The Communications Management Plan will align with DHHR requirements and address those requirements during DDI, M&O, and Enhancement and Modernization. We are flexible and can suggest a number of approaches that have proven successful with other clients.

For example, the Commonwealth of Massachusetts required an approach that supports their client's broad set of stakeholders and decision-makers. In this case, Optum employed a model that included committees to engage different levels of leadership to prioritize strategic and tactical communications so all stakeholders received timely, clear and appropriate information. We provided weekly status reports, daily status meetings, release-specific status meetings, and facilitated weekly executive steering committee meetings.

In another example, the State of Vermont required a more flexible model for a consolidated set of leaders with broad accountability like West Virginia. This model employed weekly status reports, weekly status and prioritization meetings, as well as on-demand reporting and real-time dialogue to support the State's time-sensitive business needs.

We propose a streamlined and flexible governance model that enables us to coordinate and adjust to changes in an organized manner, and respond in an effective and transparent way. **Figure 4.3-3** shows our proposed Integrated Project Management and Governance Model, which enables effective collaboration with DHHR, the WV IES Project team, the WV IES Project management team, vendors, and other stakeholders.

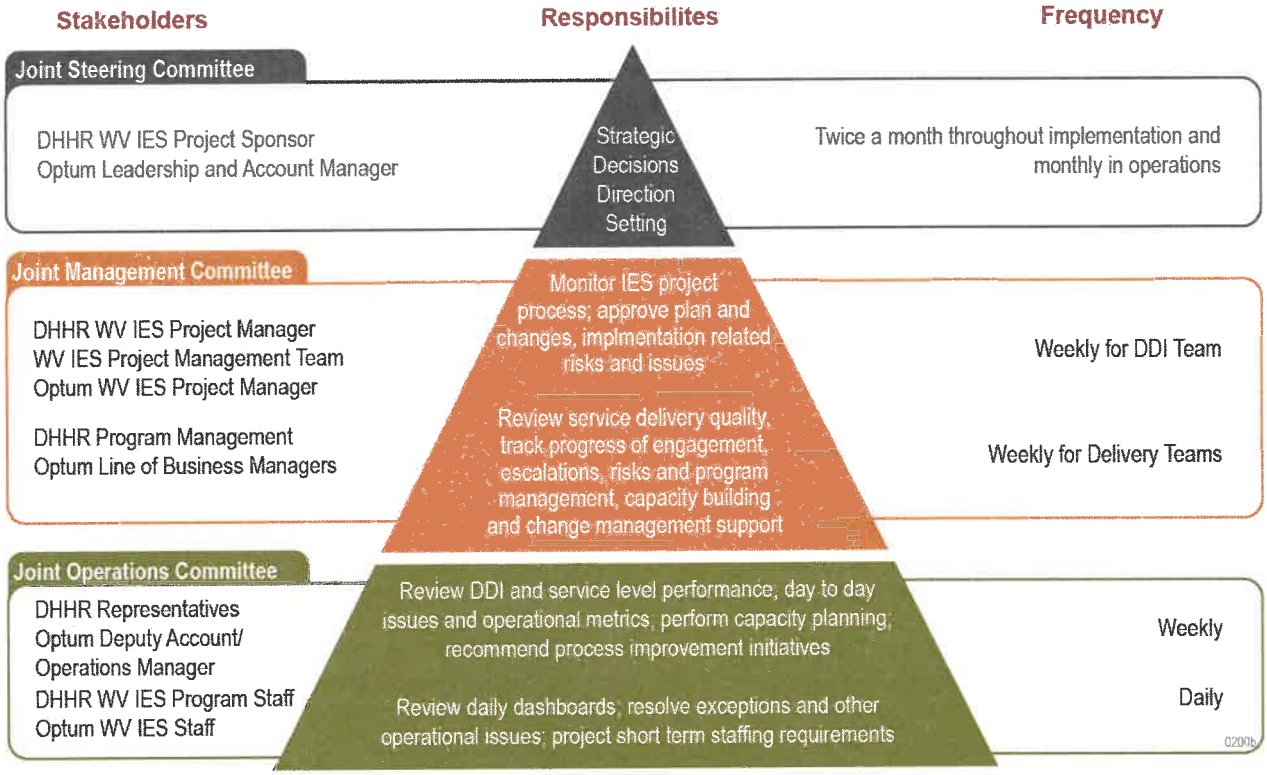


Figure 4.3-3: Integrated Project Management and Governance Model.
Our proposed governance model enables us to coordinate and adjust to changes in an organized and thoughtful manner, and to respond effectively and transparently.

Our three-tier communication model includes a Joint Steering Committee, a Joint Management Committee and a Joint Operations Committee. These committees will function as follows:

- **Joint Steering Committee** will include representatives from both Optum and DHHR executive leadership and provide strategic guidance and decisions.

- **Joint Management Committee** will include senior delivery leaders, such as the DHHR project manager, Optum on-site project manager, and the IES Project Management team. This committee will review the overall health of the engagement.
- **Joint Operations Committee** will include operating teams from DHHR, Optum, IES Project team, IES Project Management team, vendors, and other stakeholders. This committee will manage day-to-day operations.

Using our proven successful approach, your communication model will facilitate joint opportunities for periodic review of the production status of all work areas; setting priorities and goals; transparency, control, and visibility into operations; and review of plans for issue resolution. We can easily modify this model to meet DHHR needs for the WV IES Project. We will work as partners to manage the relationship and expectations by accomplishing the following:

- Enabling strategic alignment to the DHHR business goals
- Allocating resources to meet business requirements
- Reviewing our approach to new tasks and establishing clear roles and responsibilities for decision-making, issue resolution and service delivery
- Meeting schedules and contractual obligations through Service Level Agreements (SLAs)
- Continuously evaluating performance, user satisfaction and effectiveness
- Providing regular and frequent communication across all DHHR stakeholders

We will work with you to define a communication approach that provides regular and frequent communication with DHHR and is flexible to make changes as we seek to continuously improve and adjust to changing needs and requirements. Weekly meetings will provide a status update and plan of the week's activities. Optum and DHHR will collaborate in regularly scheduled, formal status meetings that will provide a status of activities.

Scheduled meetings will be held between the Optum WV IES account manager and appropriate DHHR leadership to discuss overall project activities and the status of tasks in progress. Our project team will enable transparent governance and flexible partnership. The Optum account manager will facilitate ongoing communications between DHHR contacts and the Optum team.

We will use the project health criteria and definitions detailed in the RFP (i.e., Red, Yellow, Green), as well as DHHR-standard health measures, to manage the project through closeout, as illustrated in Figure 4.3-4.

Figure 4.3-4 shows the project health measures we will use.

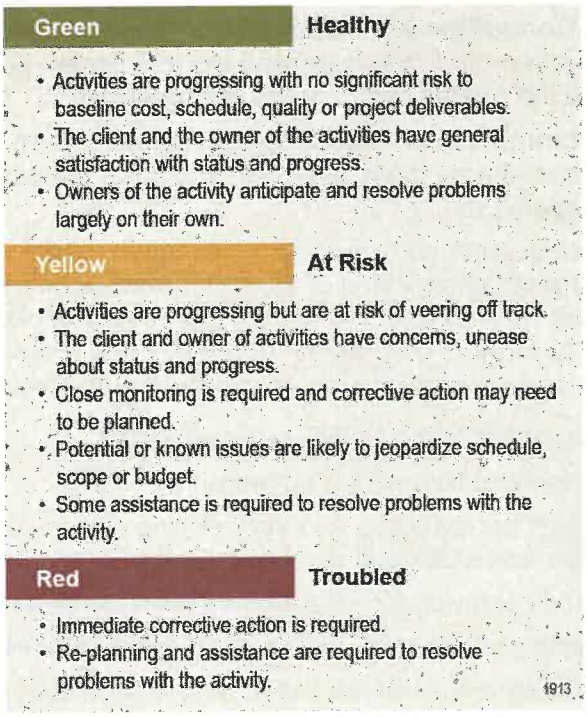


Figure 4.3-4: Project Health Status.
Our weekly and monthly WV IES Project status reports will include a dashboard of project health at various levels.

Our issue escalation process includes defined lines of communication, roles and responsibilities, and span-of-control parameters. Our issue escalation procedures defined in the Issue Management Plan will define when and how to escalate the issue to the next level. When necessary, we will involve Optum and DHHR executive management to expedite the resolution of mission-critical issues. Optum will partner with DHHR to develop the escalation process for the WV IES Project. We will invoke this process when conditions and severity of the issue warrant escalation. **Figure 4.3-5** shows our proposed issue escalation process.

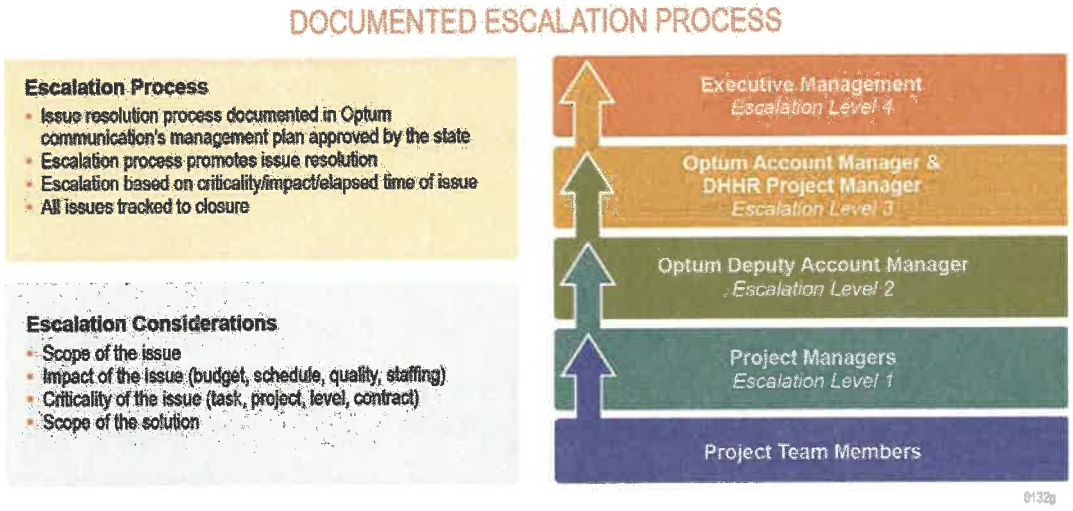


Figure 4.3-5: Issue Escalation Process.
Our issue management approach mandates timely communication and proactive monitoring until each issue is resolved.

Delivery Model

We describe the controls, tasks, procedures, and communication mechanisms to manage the project work in this section. It includes an integrated set of project management disciplines that we adapted to meet or exceed contract requirements.

As we jointly implement structure into your environment, addressing governance, project management and communication, we will also implement our best practices-based Optum Delivery Model developed by integrating the PMBOK and Scaled Agile Framework (SAFe) principles. Our delivery model provides a disciplined system development methodology (OSAM) and structure for managing project activities and assessing status. It will facilitate and assess communications with the WV IES Project team. **Figure 4.3-6** shows our Optum Delivery Model for the new WV IES.



Figure 4.3-6: Optum Delivery Model.
Our delivery model aligns with PMI, SAFe and other DHHR and industry standards to provide integrated management across all project phases.

Our Optum Delivery Model will govern each stage of the WV IES Project within the broader overarching project plan. The following text describes each stage of our PMI-aligned project management methodology outlined in red in Figure 4.3-6.

Initiate Stage

As we begin the project, we will work with you and other WV IES Project stakeholders to validate project objectives; validate deliverables; set milestones and schedules for all project deliverables, phases and releases; confirm roles and responsibilities; establish clear lines of accountability; and implement a framework for effective project management and control. We will schedule a project kick-off meeting within the first 10 days of contract execution. This meeting will include the key players from DHHR, the WV IES Project Management, and the Optum team. It will also include any other project stakeholders that you would like us to include. The kick-off meeting will provide a forum for participants to meet each other and establish a common framework for project execution.

Planning

Our methodology and approach interacts effectively with comprehensive project management plan (PMP) developed as per industry project management methods, and we will work cooperatively with the IES Project Team.

We include a comprehensive draft PMP, describing how Optum will complete each project phase, along with draft versions of the work plan and sub-plans in Appendix 6. Optum will update and submit the PMP after project initiation, per the approved schedule.

The PMP and other planning deliverables will define our processes, methods, tools, and resources for managing project activities include the components as shown in **Figure 4.3-7.**



Figure 4.3-7: Project Management Plan.
Our PMP integrates project management processes and data sources into a holistic approach to delivering the WV IES Project.

We will start with an existing library of project planning documents and templates. During the Planning Phase, we will work with you and tailor the PMP content and the related planning deliverables to meet your requirements. The PMP will also align to our Project Work Plan and identify required project deliverables. In Appendix 6, we provide our initial detailed project schedule and an initial draft of all required plans and sub-plans for the WV IES. After contract award, we review and update these documents as needed to conform to DHHR requirements.

We will develop a detailed Schedule Management Plan that defines the processes, roles and responsibilities according to the work plan that reflects the schedule, effort, duration, and resources required to complete the project as defined in the RFP. We will base the WV IES detailed project schedule on our proven methodology and our understanding of the RFP requirements. It will include key milestone dates along with critical path analysis to understand tasks that we cannot move without affecting milestone dates.

Using our PMO templates and standards, we will manage the Integrated Master Schedule (IMS) in Microsoft Project throughout the project lifecycle. **Figure 4.3-8** shows our steps for developing the IMS that will guide our project planning activities for the WV IES Project. We will integrate the IMS with the Integrated Eligibility project management team activities.



Figure 4.3-8: Integrated Master Schedule Development.
Our steps for developing the Integrated Master Schedule will lead to a comprehensive plan for WV IES activities.

We will create a detailed project schedule baseline at the end of initial project planning and deliver it to you. We will monitor all variations in schedule against this baseline and only revise the baselined project schedule through approved change control procedures with appropriate DHHR and Optum

management. Together, the PMP, detailed project schedule, and other planning deliverables will serve as the roadmap to coordinate project activities for timely implementation.

Execute Stage

Using the PMP and project schedule, we will work with you to validate and finalize the project plans, placing the agreed-upon baseline plans under configuration management control. Our experienced management teams are proficient in using industry-standard tools, such as Microsoft Project, the HP Application Lifecycle Management (ALM), and Rally ALM tools. We will provide continuous operational reporting to you including status reports, meeting minutes and other special reports as requested. The Execution and Implementation stages include the DDI of three releases of WV IES functionality. Please refer to proposal Section 4.2.3, Design, Development and Implementation Schedule for a detailed discussion on our proposed DDI delivery schedule.

Control

We continuously monitor and control the progress of all project phases and releases. Our delivery model and tools will enable us to produce metrics, schedules, and deliverables to show that we continuously perform to SLA expectations. We incorporate quality control and auditing into our successful, verifiable approach to monitoring and controlling performance. Our risk, issue, and quality management plans result in the generation of quality artifacts to demonstrate project performance. The Optum PMO will update the project plan and work plan schedules weekly to reflect current project status.

As part of project control activities, the WV IES Project team will prepare and provide weekly and monthly status reports and briefings to you. Both the weekly and monthly WV IES Project status reports will include a dashboard of project health at various levels.

Sample Artifacts

Please refer to Appendix 6 for initial drafts of the deliverables, reports, and forms we will use in our project management approach for the WV IES. These include a representation of the standard documents associated with our project management approach.

During the Planning Phase, we will work with you to review deliverable artifacts and management plans to align them with your expectations.

More comprehensive and transparent project documentation is better. The additional formats provided for review include the following:

- Meeting Minutes
- Requirements Document
- Solution Architecture Document
- Functional Design Specification
- Weekly/Monthly Status Reports
- Risk Issues Log
- Deliverable Tracker
- Technical Design
- Testing ALM Reports
- Production Deployment Checklist

Close out

The Turnover and Closeout Management Plan will include the Transition Plan for transitioning from the current system and operations to the new system and operations at the end of the contract.

Three months post-implementation, Optum will conduct lessons learned exercises, as appropriate, for each release and review the lessons learned with you during a walkthrough meeting. We will summarize the results of these meetings in a Lessons Learned Report. We will develop and deliver the report according to your deliverable requirements. Lastly, we will provide a Project Closeout report deliverable for your review and approval. Appendix 6 includes our initial detailed project schedule and an initial draft of all required plans and sub-plans for the WV IES.

4.3.2 Objective: Quality Management

Approach to Quality

Throughout the WV IES Project, we will provide quality assurance services to verify we are delivering the capabilities defined in the RFP, and to provide deliverables and work processes that meet RFP requirements.

As you mention in your RFP, communication, governance, and eliminating duplication of efforts are concerns in your existing environment. We will address these concerns by working with you to focus on the quality supporting your new program. Optum focuses on quality in all implementations. This is driven by the fact that many of the systems we build handle sensitive and protected information. We also provide services for various state HHS programs (e.g., care management, behavioral health, and third-party administrator (TPA) services). In 2014, we engaged in more than 75 million interactions with more than 40 million individuals about their health choices. Optum and our affiliates serve the entire HHS spectrum. This includes 16 million individuals insured through Medicaid and the Children's Health Insurance Program (CHIP). Optum is not a traditional IT vendor. Optum is a platform to serve DHHR and West Virginia's effort to promote better outcomes.

Quality Management Best Practices

- Dedicated Quality Management Organization and personnel
- Leverage PMBOK, ISO, and IEEE standards
- Quality Management Plan will include both quantitative and qualitative measurements
- Quality is more than the software – it is about continuous improvement and the overall capability to support DHHR operations.

For example, in Massachusetts, we have experienced 4,833,894 unique website visitors with 100 percent up time, and application availability greater than 99.90 percent.

Quality management requires properly managing requirements and supporting specification documents. These documents serve as the basis for our test cases. Non-functional requirements and other attributes of quality (e.g., maintainability, compatibility, and reliability) are critical to availability, performance and security. They also provide significant quality improvement opportunities for every release. Non-functional requirements and your relevant functional requirements will be the standards we follow to measure project success. We will use scanning tools like SONAR, Fortify and the results of our testing from HP ALM.

Well-defined change management, issue and risk management, and deliverable management processes are essential to manage requirements and any changes to requirements. We will use the change control log, Issues, Risks, Actions, Assumptions, Decisions (IRAAD) log, and a version managed Project Requirements Document as the source of all changes to your requirements. This will have a direct impact on test cases and test execution.

Approach to Ensuring that the Solution Correctly Implements the in-Scope HHS Programs

Optum employs reviews and audits to validate quality within specified areas in the implementation, deployment or ongoing services as needed. We will conduct requirements traceability for all of our specified WV IES requirements into our test cases and defects. We will verify our teams and any Optum-engaged third parties adhere to our processes. In addition, we will confirm adherence to any specified, relevant industry standards. **Figure 4.3-9** illustrates how all of these quality controls and assurances are part of our overall approach for implementation.

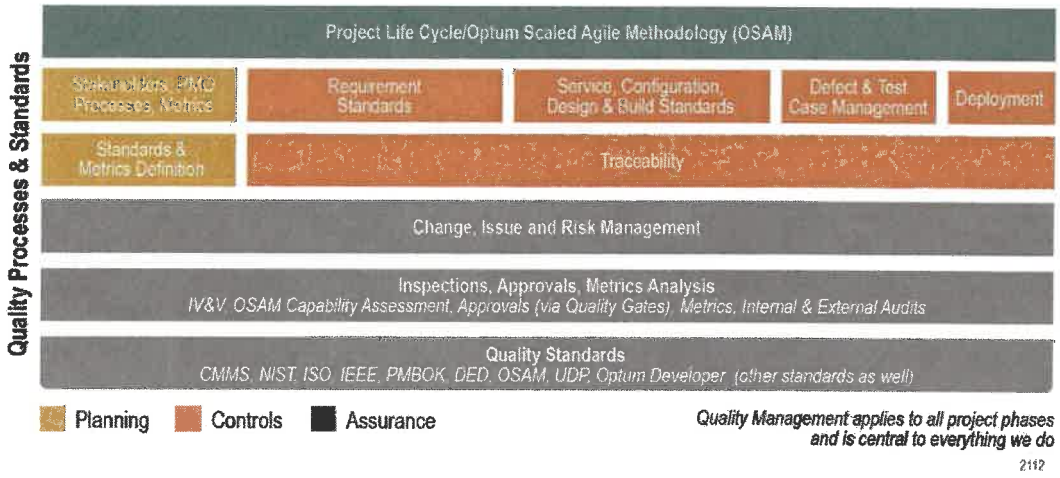


Figure 4.3-9: Optum Quality Processes and Standards.
We apply strict, consistent quality processes and standards across the entire project lifecycle.

We leverage quality best practices from PMBOK and standards from International Standards Organization (ISO) for all of our work for government agencies. Optum will monitor routine quality assurance measures to make sure daily activities adhere to quality guidelines. Our quality processes cover the major processes as defined by the PMBOK principles of quality planning, quality assurance, and quality control, as illustrated in **Figure 4.3-10**.

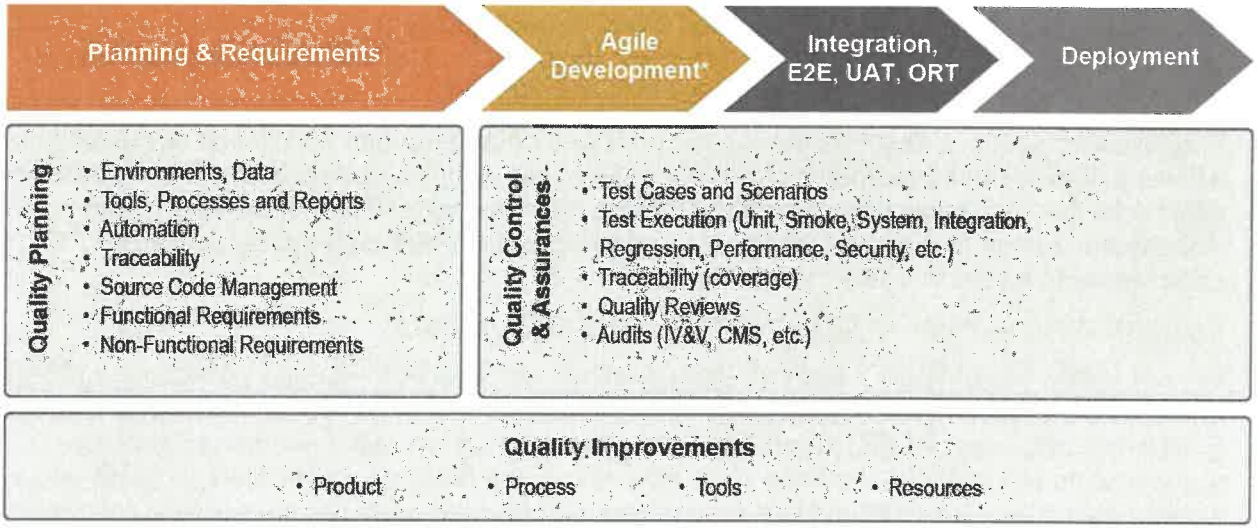


Figure 4.3-10: Optum Quality Processes.
We will focus on key activities, tools and skills that enable these processes throughout the engagement with DHHR.

We will prepare a Quality Management Plan to establish the quality management activities using our defined processes and procedures. The Quality Management Plan will guide our project quality activities as shown in the following table.

Key Elements of the Quality Management Plan	
Address overall quality objectives and include part of key project documentation	Address overall quality objectives and include a s part of key project documentation
Define how the project team will deliver products that meet contract requirements and your expectations	Identify project deliverables and processes to review with you to validate an approved set of acceptance criteria and a satisfactory quality level

Key Elements of the Quality Management Plan	
Identify specific quality control and monitoring activities and schedule	Establish responsible parties and identify monitoring tools
Outline method for appropriate escalation of quality control and assurance issues	Give you confidence that the contracted services will configure and deploy with the highest degree of quality

An initial draft of the Quality Management Plan is presented in Appendix 6. During project initiation activities, our WV IES account manager will present an updated Quality Management Plan for your review and approval. We will incorporate your feedback into the plan. The final Quality Management Plan will define the acceptable level of results (output). It will also describe how the project will achieve quality in its deliverables and work processes.

Our WV IES Quality Management Plan will include both controls and assurances. Controls are procedures, tools and reports that we employ during the implementation of the WV IES to deliver quality. Requirements management practices, source code management practices, test management, and adherence to processes and standards are all examples of controls that we will leverage. Assurances are those reports and reviews that we conduct to further validate quality. Examples of assurances include code reviews, requirement traceability reports and test case execution reports. Assurances also include result and error logs that support the WV IES business functions such as enrollment, disenrollment, eligibility, provider keys, and appeals and grievances. Our policies and procedures will include every part of project implementation and operations. We will incorporate stakeholder feedback into the plan. This will include customer surveys, provider feedback, and appeals data. Our staff and other key stakeholders will also provide input into our project management and operations. All Optum project team members will follow and comply with the processes, procedures and standards outlined in the plan.

The following sections describe the inputs, tools and outputs/reports that define our quality planning activities. We will leverage metrics from traceability, results from code scans and metrics from defects for our quality assurance process. These metrics and results will facilitate quality inspections, trends and other analytics that enable quality control and overall process improvements for the WV IES.

Solution Meeting West Virginia DHHR Policy and Procedures

We will review current policy and then hold briefings with DHHR to discuss policies and procedures and elicit the requirements necessary to build our solution according to the Institute of Electrical and Electronics Engineers (IEEE) standards. Through this effort, we will make certain that the requirements are testable and have clear definition of the features, capabilities, policies and rules where applicable. This will provide a mechanism that formally captures the policies and procedures for ongoing review and updates. We will also leverage the West Virginia policy expertise of our affiliate, The Lewin Group® (Lewin®), as discussed later in this section.

Requirements and Solutions Management

We will map functional and non-functional requirements to the WV IES business processes associated with eligibility, enrollment, care management, and service management and the other features listed in proposal Section 4.4, Functional Requirements. We will map the requirements to technology deliverables (e.g., solutions, designs, build) and eventually to test cases. We will capture requirements, solutions, and designs using the documents and processes described in the Documentation Management Plan. A draft version of this plan is included in Appendix 6.

We will conduct reviews as described in the WV IES Documentation Management Plan. Leveraging traceability, we will validate 100 percent accountability for all requirements. Operational readiness activities will begin early in the Requirements Phase. This helps make sure that the requirements include all business operations. We will include data flows, system diagrams and business

processes in these reviews. We will identify and manage gaps in business processes, opportunities for automation and risks to solutions. We will document changes, issues, risks, and any defects from early requirements testing and communicate them to you. Product-level and program-level high priority items will require your approval.

Code and Source Code Management

We will make sure we build our functional and non-functional requirements into the deliverables. The following table shows a list of the non-functional features that we will build into our WV IES.

Reliability (Resilience)	The degree to which a system or component performs specified functions under specified conditions for a specified period of time.
Performance Efficiency	The performance relative to the amount of resources used under stated conditions.
Compatibility	The degree to which two or more systems or components can exchange information and/or perform their required functions while sharing the same hardware or software environment.
Maintainability	The degree of effectiveness and efficiency with which the product can be modified.
Security	The degree of protection of information and data so that unauthorized persons or systems cannot read or modify them and authorized persons or systems are not denied access to them.
Transferability	The degree to which a system or component can be effectively and efficiently transferred from one hardware, software, or other operational or usage environment to another.
Operability	The degree to which the product has attributes that enable it to be understood, learned, used, and attractive to the user, when used under specified conditions.
Functional	The degree to which the product provides functions that meet stated and implied needs when the product is used under specified conditions.

In addition to non-functional elements and the functional requirements defined in the RFP, we include any other relevant industry standard requirements. These include ADA, OAA, HIPAA, ACA, Section 508 of the Rehabilitation Act, ISO 25010 quality requirements, and any other defined or specified functional requirements. To accomplish this, we will leverage the requirements process. We will trace these requirements into our designs and subsequent builds. During the build process, we will leverage tools to manage the source code (e.g., MAVEN, Git, Codehub). In addition, we will use automated testing tools (e.g., SONAR, Fortify) that we execute as part of the build process. This comprehensive testing will help us deliver a quality WV IES and expedite the development time after we define the requirements. Each of our code management and code testing tools produces standard reports that we use on our similar projects. **Figure 4.3-11** shows an example of a dashboard report that summarizes testing status of an application.



Figure 4.3-11: Quality Management Tools—Example Dashboard.
We use a variety of COTS tools to monitor and report on quality management activities.

Test Management

Optum will define test cases using traced requirements and enter them into the appropriate test management tool (e.g., HP ALM, Rally ALM). We will conduct test case execution and defect reporting using a report from the applicable test management tool with a standard set of metrics. We will demonstrate the effectiveness of its quality services through the results of testing and the quality of deliverables submitted.

As previously mentioned, we will provide reports that help you to make business decisions based on data. As we work with you to establish a structured governance approach, we will develop and deliver these reports weekly or daily as agreed upon with you. Our test summaries will provide you with an overview of all the applicable testing. Please see proposal Section 4.3.5, Testing Management, and the draft Testing Management Plan in Appendix 6 for more information about these deliverables.

Other process deliverables, including our Issue Management Plan, Risk Management Plan, and Change Management Plan, will follow the formats you require. We will submit these deliverables, their acceptance criteria and outlines to you and your stakeholders for review and approval, as required and defined in the plans. See Appendix 6 for these draft plans.

Continuous Improvement Quality Management Process

Quality Monitoring

Quality Assurance (QA) services assist our team in making sure we deliver the required deliverables and work processes defined in the RFP.

The Quality Management Plan will define the quality control monitoring activities that we agreed on with you. We will perform these activities as scheduled to evaluate adherence to processes, procedures and standards. This will involve reviewing and auditing the activities and deliverables to verify compliance.

The Quality Management Plan will establish all quality control and monitoring activities appropriate to project planning, problem tracking and reporting, configuration management, training, and operations. We will perform quality checks throughout the project. These will include secondary deliverable reviews, customer satisfaction surveys, and peer and management reviews. Optum will combine these activities with quality checks to perform inspections, walkthroughs and peer and management reviews. We will not consider any deliverables ready for delivery to you until we conduct all prerequisite quality checks. Our strategically placed quality monitoring will help us minimize unplanned rework.

We will also use quality control for technical activities throughout the project. These methods will include test strategies, plans, scripts, software defect tracking, deliverable walkthroughs, peer reviews, and configuration management. We will monitor the quality of the program each month according to our established processes. This will help us maintain timely communications, quality performance and process discipline throughout the WV IES Project.

Correction of Deficiencies

We will correct any deficiencies relating to the scope of work requirements or deliverables. If we need to investigate the source of a deficiency, we will do so at no cost to you. The following table describes our quality management process focus areas.

Objects of Quality Review	Quality Measure	Quality Evaluation Methods
Project deliverables	• Deliverable quality standards • Completeness and correctness criteria	• DHHR, stakeholder, subject matter expert (SME) reviews • Matching Documentation Management Plan and Deliverable Dictionary
Requirements and requirements traceability	• Completeness and correctness criteria • Stakeholder expectations • Traceability matrix	• DHHR, stakeholder, SME inspections • Approvals and sign-offs per the Documentation Management Plan • Traceability metrics
Issue and risk management	• Defined risk and issue management process with escalations and oversight	• Daily, weekly stakeholder reviews • Aligned with the Risk Management Plan and the Issue Management Plan
Change control management	• Defined process with escalations • Integration with requirements management, issue, risk, and defect management processes	• Daily, weekly DHHR and stakeholder reviews • Aligned with the Change Management Plan
Source code management and assessment tools	• Defined process and tools • SONAR and Fortify results	• Inspections and reviews • Results from SONAR and Fortify
Test management	• Requirements traceability • Test case management • Defect management	• Daily, weekly DHHR and stakeholder reviews • Matching the Testing Management Plan
Data management	• Defined data conversion and data governance processes	• DHHR, stakeholder, SME inspections • Aligned with the Data Conversion Management Plan and Data Quality and Governance Plan

Quality management is a dynamic, evolving process that includes continuous process improvements. We will review and audit the products associated with the above-listed activities to verify compliance with applicable procedures and standards. Our quality standards will be developed per any defined DHHR standards and policies. This will help us provide the appropriate visibility for the results of the reviews and audits.

Format for all Project Deliverables

The draft plans contained in Appendix 6 provide the suggested format for project deliverables. We will present deliverables in the DHHR-approved format, per the approved Quality Management Plan. Optum will be responsible for the costs of developing and submitting project deliverables.

The Documentation Management Plan defines the necessary controls for all deliverables. Each deliverable, as defined in the Deliverables Dictionary, will be based on the Documentation Management Plan and adhere to the approved Deliverable Expectation Document (DED) for that deliverable. Our format components will include cover page, header, footer, revision history, and table of contents.

Approach to Facilitating Deliverable Acceptance Criteria

We begin our approach by working in partnership with DHHR to co-create a DED for every deliverable in the Deliverables Dictionary. Through this collaborative effort, we will make certain every DED captures the necessary requirements and satisfies DHHR's needs. This will give you significant input into deliverables and minimize the time needed for review and approval.

Acceptance of a deliverable is based on the information contained within the DED, as it includes the necessary requirements.

Approach and Methodology for Pre-submission Deliverable Walkthroughs

We will conduct a joint walkthrough meeting to review each deliverable prior to formal submission. During the meeting, we will walk through the draft in its entirety and gather your comments. The objective is to identify any issues during the walkthrough, so that we can address them before finalizing the document. This approach has proven successful in making the review and approval process much more efficient.

Deliverable QA Methodology

Deliverables will adhere to the document requirements defined in the Documentation Management Plan. We will define and review acceptance criteria for each deliverable with DHHR before including the criteria in the DED. Optum will use this approved artifact in the following four steps to obtain approval on the deliverable:

1. Draft acceptance criteria for the deliverable and identify stakeholders
2. Review and receive approval of the acceptance criteria with the Quality Management Office (QMO) lead and stakeholders
3. Review and receive approval of the acceptance criteria with DHHR
4. Post the approved acceptance criteria to the DED

Adherence to Deliverable Review Process

Optum will verify that all project deliverables follow an approval process that includes submission to you for review and approval. Each deliverable submitted to you will be in final form, ready for signature approval, according to the date outlined in the approved work plan.

During the planning and initiation phases, we will establish acceptance criteria for deliverables for use throughout the lifecycle of the project. We will follow the DHHR review process, defined in the following table, as defined for this project. This includes recording the date of submission and date of receipt (DOR) as defined by the time of submission. If submitted before noon on a business day, that day will be the DOR. If submitted after 12 p.m. local time, DOR will be the next day. If submitted on a non-business day, DOR becomes the next business day.

Deliverable Step	Activity
1. Identify deliverable owner responsible for defined deliverables	The deliverable owner will be responsible for creating the deliverable and meeting agreed-upon acceptance criteria. The deliverable owner will conduct a deliverable walkthrough in a timely manner with DHHR and agreed-upon teams and stakeholders. The deliverable owner will publish the deliverable 24 hours before the scheduled walkthrough.
2. Review deliverable acceptance criteria with stakeholders	The deliverable owner will confirm deliverable meets requirements. All documented deliverables will follow an established format and outline. The deliverables will be part of this criteria review.
3. Deliverable walkthrough	The deliverable owner will provide a high-level view of the deliverable.
4. Submission of deliverable	The deliverable owner will record date of submission and DOR as defined by the time of submission. If submitted before noon on a business day, that day will be the DOR. If submitted after 12 p.m. local time, DOR will be the next day. If submitted on a non-business day, DOR becomes the next business day.
5. Receive response	Optum receives a response that is one of the following: an approval, a notice of conditional approval, a notice of return or a request for additional time to complete the review within 10 business days from the DOR of each deliverable. DHHR will include a reason for the returned deliverable. DHHR will provide Optum with written approval upon finding the deliverable acceptable.
6. Revise deliverable	Optum will make corrections or clarifications within five business days and resubmit it to the affected stakeholders and DHHR. DHHR will review the changes within five days. If DHHR cannot approve the change, we will log and manage the change using our issue management process.
7. Deliverable Compliance	The assigned QMO lead will validate the deliverable quality. This role will also make sure we adhere to our quality management processes in a timely manner.
8. Deliverable Communications	The deliverable owner will be responsible for the following: • Pre-submission activities • Deliverable walk-throughs • Posting the deliverable to all applicable DHHR designated deliverable repositories and other project or program repositories as described in the Documentation Management Plan

SharePoint Usage

We will use a dedicated Microsoft® SharePoint site as the project knowledge repository for the WV IES Project as we do today. We will also investigate areas where reports, notices, and letters can be distributed electronically, thus reducing the total cost of ownership for the Departments on these artifacts. Through our RAPIDS M&O contract, we have already developed a keen insight into these improvement areas that will result in reducing operational cost and increasing worker efficiencies. The project repository will facilitate the deliverable review and approval process. Authorized users will view and edit documents, provide comments and approvals, and participate in deliverable workflows according to defined routing rules.

Team Organizational Structure to Support the QA Process

Our quality management organization has been built based on our industry experiences, lessons learned and success in helping other states. Our plan uses a proven, scalable model to manage quality across our customer engagements. We will use this model to build quality into the WV IES. Our success has shown us that for large engagements, we engage the services of an overall QMO lead. We will assign a QMO lead for this engagement to look across all efforts and all components

of quality. This role will be accountable and responsible to deliver quality in accordance with this section and the Quality Management Plan. This role will deliver quality according to proposal Section 4.3.5, Testing Management and the Testing Management Plan.

The QA lead will manage the quality analysts for the WV IES Project and report to the QMO lead. The QMO organization is embedded as part of the overall project organization shown in proposal Section 3.2, Project Staffing.

A quality architect will assist QMO lead and QA leads. The quality architect will help define solutions for managing test cases, test data and test scripts. The quality architect will also help the QMO lead with automation for the project. This role works across multiple efforts and is instrumental in defining reuse and applying lessons learned. Each effort will have one or more test leads. Depending on the solution and scope of work, testers specializing in the data or environment undergoing testing will report to the test leads.

In summary, our QMO organization will include the roles identified in the following table.

Quality Position	Role/Responsibilities
Test Manager/ QMO Lead	This role is accountable for delivering quality according to the Quality Management Plan and the Testing Management Plan.
Quality Architect/Automation Lead	This role assists the QMO lead in the planning for defining the test data, environments, test case and overall test strategy. This role also assists with testing automation activities. They work across multiple efforts and are instrumental in defining reuse and applying lessons learned.
Automation Analysts	Automation analysts are responsible for automated test design and execution across all phases.
Quality Assurance (QA) Lead	The QA lead is accountable to the QMO lead and directly responsible for executing test activities per the Testing Management Plan. One or many testers for a given effort report to the QA lead.
QA Analysts	QA analysts are responsible for manual test design and execution across all respective phases.
Quality Data/Environment Manager	This role is accountable for data and environment preparation, file management and environment management.

4.3.3 Objective: Requirements Analysis and System Design

Approach to Requirements Analysis, Validation, and System Design Phase (Design Preview)

We will review and confirm our understanding of your requirements through joint design preview sessions. During these sessions, we will review, refine and seek approval for all preliminary requirements in the RFP and add requirements where gaps are identified through a detailed analysis exercise.

Our draft work plan includes a proposed timeline for completing the requirements analysis activities. Upon your approval, we begin requirements analysis sessions according to the Project Work Plan. Then, we will document modifications to requirements using our collaborative requirements gathering tools, through our detailed analysis exercise, and produce system Requirements Specification Documents (RSDs). Upon DHHR approval, the final set of detailed requirements will become the basis for developing the IES.

Throughout the entire development lifecycle, we will document and maintain all requirements in the Requirements Traceability Matrix (RTM). The documented requirements form the basis for usage scenarios and detailed business process workflows. The RTM documents where each requirement is accounted for within the design documents, code modules and all testing artifacts.

The base solution we propose for the WV IES has already been designed and developed using COTS components to the extent possible. After analyzing your 2,731 RFP requirements against our solution, we have determined the following:

- 51 percent of the requirements will be met by our proposed solution out of the box
- 39 percent of the requirements will be met through system configuration activities by our skilled business analysts
- 10 percent of the requirements will require some level of custom coding to address identified functionality gaps, interfaces and data conversion activities

We will meet 100 percent of your requirements through these three channels. We perform the preliminary system design (PSD) and detailed system design (DSD) processes in a much more agile and effective manner than the traditional approach to systems requirements analysis and design. This will reduce the burden of DHHR staff spending time in long requirements gathering sessions.

Requirements and Design
Best Practices

- Collaborative design prototype and preview process
- Early and frequent exposure and input to the configuration of your WV IES
- Agile-like, iterative design and development approach
- Continuous feedback and updates to the RTM

For example, with the user interface and portal, we will take an Agile-like, iterative design and development approach. A key feature of this approach is our design preview sessions. Through design previews, your stakeholders will view a live, working version of the portal and user interface. We will work with you to preview the solution, gather your feedback, update configurations tailoring to your needs and then review the updates with you. We will continue this iterative process until we have reached agreement that the solution meets your requirements. The design preview meetings have the additional benefit of acquainting future users to the system early in the process. There is a prototype nature to our design preview process. These are focused, energizing, and engaging sessions as compared to the traditional requirement gathering process.

Another example is how we approach analysis and design within the Optum decision tree and as part of the Optum business rules engine. You will see the business process for eligibility determination, as well as how each applicant progressed through the process in the rules engine. The full process flow of activity is available for investigation and debugging purposes. Additionally, our results will include all decisions made as part of the determination process. **Figure 4.3-12** shows an example of the Optum decision process.



Figure 4.3-12: Optum decision process.
This process flow is configurable per rule per customer.

Our approach is to provide all critical decisions made in the rule execution as part of the eligibility response. Our response contains one or more decision blocks which hold the decision type; rule ID; decision, possible dispositions; associated notices to be sent and the business process workflow associated with that rule execution. This process flow is configurable per rule per customer. Each step in the rule process is documented with each rule that was executed along the way.

One example of a decision process is as follows:

Step 1: Determining the program assistance unit or household. The determination identifies those people on the application whose non-financial and financial information is needed to determine eligibility.

Step 2: Determining the citizenship and related non-financial conditions for each person included in the assistance unit or household. The individual results are pooled into an assistance unit results where appropriate for the program. Repeat the citizenship determination process (for all other non-financial program conditions).

Step 3: Financial conditions include asset and income determinations. The asset determination considers all resources as appropriate for the program for each individual. Those amounts are pooled across the assistance unit following program rules. That result is compared to the appropriate standard. The income determination follows the same process as assets. The benefit calculation steps use the household or assistance unit income result to calculate the benefit allotment after appropriate deductions are applied.

Step 4: The final decision includes a pooled, overall program result using the person-level; assistance-level; and unit-level financial and non-financial rules outcomes. That output includes the assistance unit determination, the individual level and assistance unit-level results for each financial and non-financial condition, and the final program result.

Optum SDLC Methodology

Optum proposal outlines, as part of the Systems Development Life Cycle (SDLC) Methodology, our approach to requirements analysis, definition, refinement, approval, and traceability

Our OSAM software development lifecycle (SDLC) methodology focuses on quality. It has proven successful in our work with State HHS projects. Our standard framework and practices for our SDLC provide early and continuous delivery of quality, fully tested software. Our SDLC methodology incorporates our experience, lessons learned, development tools and templates used in more than 20 HHS projects. The methodology provides a roadmap to produce a stable, sustainable system while reducing project risks that affect budget, schedule and performance. We also understand that you have your own standards and existing procedures. We will adapt our work and tailor our methods to meet your requirements for managing the WV IES Project.

As part of our SDLC, we include our approach to the following functions:

- **Requirements analysis:** We will collect and analyze DHHR business requirements collaboratively through documentation, stakeholder interviews, facilitated workshops and questionnaires as necessary. The outcome of this analysis will be a set of business requirements to meet the DHHR's business needs.
- **Definition:** The final set of business requirements will be further analyzed with DHHR stakeholders and converted into functional, non-functional and technical requirements to satisfy business and system and operational needs.
- **Refinement:** The final set of functional, non-functional and technical requirements will be further reviewed for detail and clarity. This process helps remove any ambiguity in the requirement definition.
- **Approval:** DHHR will review, provide feedback and approve the business, functional, non-functional and technical requirements.
- **Traceability:** The RTM links requirements (business, functional, non-functional) to the design and solution and accounts for each requirement. The SAFe principles also incorporate Lean Software Development principles and values. Lean emphasizes values such as eliminating

waste, build in quality early, deliver quickly and respect people. **Figure 4.3-13** provides an example of the SAFe framework.

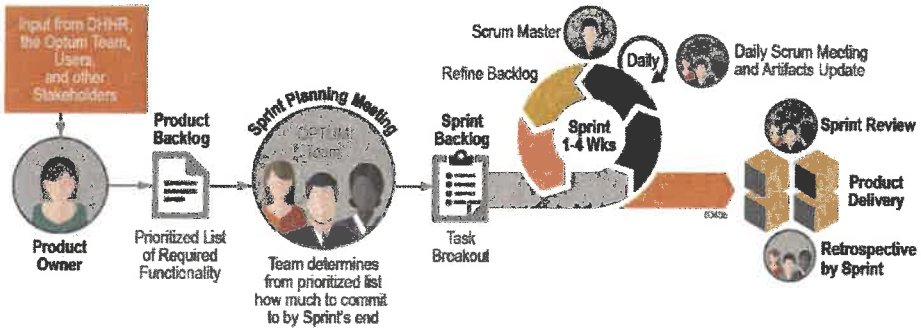


Figure 4.3-13: SAFe Framework.
The SAFe framework and process includes analysis of the relative effectiveness of development practices to improve on them while providing a framework within which complex products can be developed.

A description of our SDLC approach for specific WV IES components follows.

User interfaces: We design our user interfaces to be easy to use with little training or assistance required. These guidelines help us design intuitive user interfaces for our solutions:

- We perform deep analysis and user research to understand behavior and the way targeted users will engage with the product. This helps us enhance the design and make the user experience complete, efficient and free of frustration.
- We follow best practices in design and consistency across all delivery channels.
- We use a common plain language, tone, and appropriate readability level to match DHHR user goals.
- We follow the Web Content Accessibility Guidelines 2.0 standards, which covers Section 508 guidelines.
- We use wireframes to visually depict the usability and navigation requirements related to the detailed functional requirements that have user interaction.

Our user experience design team will work with the development team to create a WV IES that is intuitive for users. Our collaborative, Agile environment encourages good design and a strong process. This will enable us to continually evolve our suite of products and provide a great user experience for your users.

Business logic and business rules: As described previously in our decision process example, business logic determines the process we use to create, transform or calculate data and transfer it to users or another system. Business rules are defined policy that we apply to business logic. We will use business process modeling and business use case modeling to define business logic and align it with your business requirements. We will collect your detailed business rules and evaluate them during requirements analysis and apply them to your business process.

In addition, we will perform comprehensive business rules analysis to build the rules logic within the system. This will help us meet the requirements for your programs, such as Child Care, Medicaid, CHIP, SNAP, and TANF. Our business rules engine and WV IES is robust and modular. We will develop formal governance around the business rules for the DHHR programs so there are not federated or one-off eligibility rules proliferating in other systems (e.g., the MMIS). This will drive transparency, standardization, and efficiencies in the WV IES.

Input/output validation: We will perform input data validation to minimize malformed data entering the system. The following input data validation will factor into the WV IES design:

- **Data type validation:** Verifies that individual characters provided by users are consistent with the expected characters of known primitive data types.
- **Range and constraint validation:** Verifies the user input for consistency with a minimum or maximum range or consistency.
- **Crosswalk validation:** Verifies the user input by cross-referencing it with a lookup table.

Workflow automation diagrams: We will identify the candidates for workflow automation during requirements gathering and solution design. Prime candidates include repeatable processes with a distinct set of decision criteria used to route and complete the activity. When identified, we will document the workflows and validate them with your stakeholders using our business process documentation tools MS Office and Visio.

Data models: We use data models to facilitate communication between business and technology teams. Like blue prints, we create data models to remove any ambiguities about a data design. Data models conceptualize requirements at a subject area level and facilitate drilling down into the data elements. This helps us understand the metadata surrounding that element, or field. Data models depict relationships and constraints between the data and allows for better database and application builds.

Data models also provide a visual representation of the data that persists from existing systems. The data model depicts both the data and inter-data dependencies and illustrates dependencies by showing the relationships between data in the data model. We will use the Erwin modeling tool to assist in developing and refining data models from our core product for the WV IES. Our approach is discussed in more detail in Section 4.1.1, Interfacing with the Data Warehouse.

Data architecture: Data architecture for the WV IES is a set of rules, policies, standards and models that govern and define the type of data collected. It also governs and defines how we use, store, manage and integrate data within an organization and its database systems.

We will leverage the Informatica so everyone understands what specific data elements mean. It helps us answer questions about the data such as how many phone numbers we store for a member. Well-constructed data architecture helps us enforce business rules.

The data architecture also anticipates the need to make data available through landing zones and secure transport mechanisms. Our Electronic Customer Gateway (ECG) will be used for data transfer. We currently use ECG for HHS projects in Arkansas and New York. These may be scheduled or manually triggered.

Web services: Our solution for the WV IES will contain a comprehensive library of Web services which will enable the WV IES to integrate with third-party applications or Web portals.

Our COTS-based solutions have predefined sets of Web services that we can use for communication between systems. The real-time services use SOAP or REST Web services APIs as part of the solution. The SOA and technology stack will integrate products and applications using our OIL solution.

Infrastructure: Optum provides a solution that provides the highest degree of performance with the lowest level of risk. Optum provides a geographically dispersed Active/Standby hosting solution that optimizes costs, improves performance and reduces risk using our two Tier III-rated facilities. Our goal is to provide the right sizing of infrastructure components by allocating resources required to meet availability and performance requirements. This design reduces the overall operational expenses of the platform, allows for increased capacity in a flexible manner, and includes scheduled software upgrades.

System architecture: Our preferred technical approach will leverage our high performance hosting environments and services, SOA, and a secure infrastructure. Our proposed solution will provide real time and batch services for inbound and outbound transactions. The real-time services will use

SOAP or REST Web services APIs as part of the solution. The SOA and technology stack will integrate products and applications using the OIL solution. A formal review of the high-level architectural design will be conducted by the DHHR prior to detailed design of the automated system/application to achieve confidence that the design satisfies the system requirements and is in conformance with the enterprise architecture and prescribed design standards.

Batch processing: This is an area of opportunity for modernization. Older systems depend heavily on batch processing. The Optum WV IES uses modern data sharing techniques that avoid a heavy reliance on batch processing. However, batch processing is appropriate in certain circumstances including bulk processing of a specified population. The dependence on batch is not a limitation of the technology but in most cases a way to conform to business process that would require a total population view to certify the outcome matches the expected result. Our Batch architecture is a modular approach and reusable service model that reduces complexity and leads to easier maintenance, troubleshooting, and validation which yield these benefits:

- Helps minimize the risk that a change to one component will affect another component
- Standardized and reusable components that lead to significant cost savings as well as reduced development time

Our ECG solution is used to manage File Transfer through secure FTP (sFTP). The ECG is a Managed File Transfer software solution used to facilitate the secure transfer of electronic data between entities. ECG solutions are optimized to enable secure, auditable, and easy-to-manage Business-2-Business, Application-2-Application, and ad-hoc information exchanges. Our batch processing will be triggered through a variety of mechanisms including but not limited to Tivoli Workload Scheduler and Java Quartz. All files moved during a batch transfer can be monitored by our Data File Management (DFM) team per RFP requirements.

Business process modeling approach: Business process modeling helps us evaluate how a proposed solution may affect business areas and is critical for understanding how the solution will affect business operations. To define our proposed business process, we will begin with any existing models that describe the current business process. They can help us identify where we should perform change management for the business process changes. We will validate existing business processes before using them.

Business process models also support the development of business use cases. Use cases describe business process activities. Use case modeling is used to describe features that involve business interaction (no system involvement), business and technology interaction (actor to system), and technology interaction (system to system). We can describe an activity identified in the process flows with a use case. This may include a use case in itself, part of a use case, or more than one use case.

Requirements traceability matrix (RTM): This deliverable links requirements to the design and solution. We will use it to validate requirements. DHHR project management staff will have access to the RTM throughout the term of the contract. One approved, the updated requirements schedule will be incorporated into the detailed project schedule. Outputs from this phase will include a PSD, including business context, and an RTM. The high-level design materials will be inputs to the next phase.

Policy Review

We have an approach for thorough review, validate, and clarify requirements of all related programs and policies.

We will use SMEs from our teaming partner PCG who has deep experience in human services programs and leverage the Lewin Group policy experts to assist interpreting the various HHS regulations. Lewin has been working with West Virginia Medicaid policy for over 15 years. We will

also provide an advisory committee comprising former Federal and State HHS officials and staff as described in Section 3.2, Project Staffing.

Identifying Potential Gaps

We have a process of identifying and resolving gaps between the proposed system and the Agency system

A key feature of our approach is our design preview session mentioned previously. Through design previews, your stakeholders will view a live, working version of the portal and user interface. We will work with you to preview the solution, gather your feedback, update configurations tailoring to your needs and then review the updates with you. We will continue this iterative process until we have reached agreement that the solution meets your requirements. Since we have working knowledge of the existing systems, we will be able proactively focus the team's attention on possible gaps and configurations to meet the requirement. The design preview meetings have the additional benefit of acquainting future users to the system early in the process and not wasting DHHR personnel's valuable time in lengthy traditional requirements gathering sessions.

IES Design Integrating with other System Components

Our IES design integrates with other system components and coordinates across all functional areas and modules through the OIL.

OIL is a key differentiator of our platform because it will provide you with the flexibility to modernize over time while maximizing investments made in existing DHHR assets and capabilities. For example, within the programmatic administration modules, you may decide to leverage the existing Corticon business rules engine for a period of time during the modernization effort. We will accomplish shared use through our platform's open interfaces and exposed application programing interfaces (API), separation of business rules from core programming, and the business rules in both human and machine-readable formats. Section 4.1, Shared Use, shows how OIL orchestrates transactions across WV IES modules.

Approach to Completion of the Requirements Validation and Design Phase

Optum has an approach for the System Design Phase, including collaborative design with functional and technical subject matter experts, procedures for submission to, and review and approval by the Agency for each design component. We will integrate our updated system design schedule into the Project Work Plan upon your approval.

The Optum WV IES business leads and business analysts who will lead requirement sessions have significant experience on integrated eligibility engagements. We have already reviewed and analyzed your project requirements and decomposed those requirements to the application level. Outputs from this phase will include a requirements document and gap analysis. We will analyze the requirements based on the following criteria:

- **Values:** Defines the success criteria for the goals. They must be defined at a program level and may have a more granular definition at the project level.
- **Functions:** States end required product capabilities and any explicit business rules.
- **Qualities**: Describes performance requirements (e.g., scalability, reliability, usability).
- **Features:** Documents the components of the solution either at the conceptual domain level or at the logical level by application.
- **User Stories:** Focuses on the user to illustrate the relationships between activities. We use easy-to-read personas to illustrate how users navigate the system. Outputs from this phase will include the requirements document, gap analysis and usage scenarios. The requirements materials will be input to the next phase. **Figure 4.3-14** illustrates the requirements analysis overview.



Figure 4.3-14: Requirements Analysis Overview
During the Requirements Analysis Phase, we will work with you to validate and expand on the requirements analysis work we have already completed while preparing our proposal

Approach to Obtaining Agency Approval of the Completion of the Requirements Validation and Design Phase, including proposed Acceptance Criteria for each Milestone

Iterative Approach: We will follow an iterative approach for developing business requirements. This approach will enable us to review the values, functions and qualities with you and document them in a measurable manner. Techniques, such as business process modeling, business use case modeling, architectural modeling or similar processes will help us accomplish this.

Establish Business Requirements Traceability: Within the requirements development process, traceability will begin with current RFP requirement and feedback from the design preview sessions that we document in the PSD. We will be able to provide traceability from a business goal and objective down to the most detailed requirement statement. We will maintain the RTM throughout the lifecycle of the project.

Solution Analysis: Our OSAM methodology follows an iterative approach that provides users frequent touch points with our developers. These touch points will occur during design preview sessions and other collaborative forums. We will incorporate these sessions throughout the design, build, and test processes. We will host these sessions as often as needed for components that will benefit from frequent customer input (e.g., metadata model design, report design). Through design previews, your stakeholders will view a live, working version of the solution. We will work with you to preview the solution, obtain your feedback, tailor configurations to your needs, and review the updates with you. We will continue this iterative process until the solution meets your requirements.

Refine Requirement: Business requirements updates may occur concurrently with the development of the solution description. During solution analysis, we occasionally discover additional business requirements or recognize that a stated requirement is not applicable.

Requirements Validation and Design: We will use requirements clarification and validation workshops to make sure the requirements deliver value to DHHR. During these workshops, we will review and confirm our understanding of your requirements including clarification of goals and objectives to meet your stakeholders' needs. We will document requirements using our collaborative requirements gathering tools and produce system requirements specification documents and other key deliverables. Upon DHHR approval, these requirements will become the basis for traceability throughout the rest of the project. We will follow standard project management practices for approval and acceptances at each milestone of the SDLC. Please see Proposal Section 4.2.3, Design, Development, and Implementation Schedule for more information on the project schedule and lifecycle.

The Deliverables Dictionary defines the complete list of deliverables, milestones and acceptance criteria to be created and delivered during the WV IES project. Please see our proposed acceptance criteria in the Draft Deliverables Dictionary included in Appendix 6.

The PMO will create a deliverable tracker to track all contract deliverables for the WV IES. It will indicate when the deliverables are due, when they are submitted, when they receive sign-off, and which deliverables have payments tied to them. For each deliverable, we will create a DED that documents the agreed upon acceptance criteria and we will submit the DED to DHHR for review and approval. Each DED and contract deliverable will be included in the detailed project schedule.

The DDI team will maintain a traceability matrix that maps each requirement to a deliverable document (e.g., requirements document, solution architecture document, and technical design document).

Medicaid Information Technology Architecture (MITA) Requirements

Industry-based, open-architectural standards: We will design and develop the WV IES to comply with secure SOA principles as defined in Modularity Standard and the MITA Condition within CMS Seven Conditions and Standards. The WV IES will incorporate open interface and reusable technology standards. It will include methodologies that separate the presentation, business and data layers at the MITA 3.0 business process level. Aligning with the MITA 3.0 framework, the WV IES architecture is driven by technology agnostic standards with loosely coupled and abstracted components. This will enable us to replace one module with minimal impact to upstream and downstream applications. Centralized business rules management and consistent data definition will also be key elements of our solution.

Modular components: We developed our WV IES around the principle of using COTS products where appropriate. By designing our IES as an integrated suite of COTS components, we significantly reduce the amount of custom code we must develop as part of implementation. This embraces the MITA concepts of modularity and reuse. It also reduces risk while providing an accelerated implementation timeline.

Relational or object oriented database: Our proposed solution and processes for the WV IES align closely to the MITA Information Architecture framework as the following solution components demonstrate:

- Logical data models implemented and maintained using the Embarcadero ER/Studio toolset
- Physical data models implemented in parallel and maintained using Embarcadero ER/Studio toolset
- Comprehensive set of data standards and guiding principles established to manage the overall data model design and evolution
- Data dictionary established and maintained that aligns with the logical and physical model
- Entire software system decomposed and organized into subject area and infrastructure domains
- Each domain modeled in terms of entities, objects and interfaces
- Data management and models changes are closely governed through our senior data architect
- All transaction data persisted and accumulated for past periods and reports accessible with performance information

Web and real-time processing: We will employ SOA using REST and SOAP APIs for integration with our internal products and external vendors. The ESB platform integrates to provide a modular, flexible, and configurable solution. We can support a variety of COTS installations and customizations, application interfaces, data transformations between disparate systems, custom Web services and other eCommerce/electronic data interchange (EC/EDI) requirements.

Rules engine management: Our WV IES business rules engine will facilitate business function processing between various technical components. We can integrate rules with external systems as needed. For example, we can configure eligibility determination rules for specific programs (e.g., TANF, SNAP) within the rules engine based on business need. We can integrate the rules engine with any system to request eligibility for those programs.

Rules engines and workflow also provide greater levels of validation. For example, we can define automated validation criteria to detect errors and route work to a given work queue for resolution. Using workflows and rules engines effectively can help us detect errors early and increase quality

and throughput. This approach helps us to resolve issues before they cause major downstream impacts.

Data privacy, security and integrity: Our SDLC enables us to identify and verify the regulatory requirements and the controls required to meet compliance. We will meet your security requirements by performing the following activities:

- Identifying applicable security and compliance requirements, system components, functional requirements, internal administrative controls during the requirements gathering phase
- Identifying existing patterns, use cases and gap analysis during the design phase
- Identifying the recommended solution, including recommendations for acquiring the solutions required to address gaps during the development phase
- Performing threat and vulnerability management through source code review and infrastructure and application penetration testing during the QA phase
- Performing continuous vulnerability scans, flaw remediation and compliance verification during the production phase

Protecting member confidentiality is a top priority at Optum. Our solutions follow industry best practices and compliance requirements of applicable standards and regulations. We will provide data protection by following industry best practices and our proprietary SDLC process in every aspect of our technology infrastructure and business operations. We integrate security architecture into our SDLC, which drives all solution design and resulting operational processes. This enables us to identify and verify the regulatory requirements and controls required to meet compliance.

We meet stringent State and Federal security regulations through embedded controls designed and based on a layered SOA model and associated threats to each layer. We distribute security controls across the environment to prevent unauthorized opportunistic access. The techniques and mechanisms we will use to protect data include the following:

- Advanced data protection
- Application and platform hardening
- Encryption and entitlement review
- Multi-factor authentication
- Physical, logical and virtual isolation
- RBAC

Optum limits access to data using RBAC that is defined by job role and function. This approach allows the minimum necessary access to validate data privacy, security and integrity.

Interoperable systems: The OIL platform integrates to provide a modular, flexible, and configurable solution. We can support a variety of COTS installations and customizations, application interfaces, data transformations between disparate systems, custom Web services and other eCommerce/electronic data interchange (EC/EDI) requirements.

System Design and Documentation—Agile Development Approach

The Optum Delivery Model, previously introduced in Section 4.3.1, Project Management, follows a proven, industry recommended SDLC methodology and is the basis for the Requirements Specification Document (RSD). It follows a strategy of early delivery of high quality services while iteratively building the features and value users require. OSAM is built on lean Agile principles and values. It provides a streamlined and simplified framework for multiple Agile teams working on large-scale implementations, executing on the same cadence and synchronization using a common backlog of features to build into the solution. The WV IES Project will adhere to defined processes; pass development gates; create and obtain approval for required documentation; meet core, operating procedures; and meet quality objectives before moving into production. Our design will include a high-level design phase and a detailed design phase.

High-level design phase: The WV IES Project team will review and analyze your requirements and specifications to build the solution architecture outline, functional application and data design. As part of our OSAM methodology mentioned at the beginning of this section, the PSD will describe our high-level solution for the WV IES. After we receive your approval on the PSD, we will continue defining the solution.

Requirements specification document: This deliverable represents the solution and the integration between components. A solution context diagram identifies software components of the solution, interaction between components, and actors as part of the end-to-end solution. It also shows the interfaces between the core business functionality and external entities with which it communicates. A formal review and high-level architectural design will be conducted by DHHR prior to detailed design of the WV IES to achieve confidence the design satisfies the system requirements and is in conformance with the enterprise architecture and prescribed design standards. This will tie back to the RTM.

Detailed design phase: During this phase, we will identify the detailed behavior of the applications, component interaction details and activities, and data flow for the solution. We will outline the detailed logical and physical data model and infrastructure and deployment details for each solution component. Outputs from this phase will include detailed architectural and design specifications, physical data models and definitions, and an application interface specification. As part of the OSAM process, we will outline this information in solution architecture documents (SADs) and solution integration specifications (SIS). Each of these will be part of the overall Detailed Design Document (DSD).

We will create the following deliverables during this phase:

- **Process flows** visually represent the relationships between processes. Along with the business use cases and business rules, process flows will describe the process architecture of a business. It provides the detailed views needed to depict the workflow of activities involved in the WV IES system process.
- **Use case and activity diagrams** elaborate on the features of the proposed solution by providing more detail on the specifics of each feature. This includes the basic flow, alternative flows and exception flows. The activity diagrams will depict the system activities and behavioral aspects of the system processes according to the solution design. We will use these later as part of the Training module.
- **Interaction and deployment diagrams** represent the interaction between two or more components in the solution outline. The deployment diagram will identify software components of the infrastructure solution and placement of those components.
- **Application interface specification** provides details of the interfaces (data elements and definitions) for system-to-system interaction. It outlines the specification for services and batch and file-based interactions.

Because the detailed solution design drives the configuration of the WV IES, it is critical to thoroughly review and approve the design before continuing to the next project phase. We designed our methodology to include a decision gate at the end of this phase. We will conclude this process with a Final System Design (FSD) document which will give the actual implementation details of each component and sub-component from a functional and technical perspective, including final architecture implementation.

System requirements specification document: The Requirements Specification Document (RSD) documents the specific system requirements as agreed to by DHHR and Optum. This document supports a rigorous assessment of requirements before design begins in order to reduce later redesign. It provides a realistic basis for estimating product costs, risks, and schedules. The RSD is the primary output of the Requirements Validation sessions. The RSD will establish Optum

ownership of all system requirements by documenting the shared understanding of the expectations for each requirement between DHHR and Optum.

Requirements traceability matrix (RTM): The RTM links all requirements for the WV IES back to their origin and traces their implementation throughout the project lifecycle. The RTM will establish traceability of the solution requirements from the beginning of the project. An initial version of the RTM will be approved following the completion of the Requirements Validation Sessions. We will update and maintain the RTM throughout the course of the project.

Requirements management and tracking system: As mentioned previously, The PMO will create a deliverable tracker for all contract deliverables for the WV IES. It will indicate when the deliverables are due, when they are submitted, when they receive sign-off, and which deliverables have payments tied to them.

We will update project deliverables throughout the project lifecycle. Updates often result if we identify defects during the testing process. They also result from the formal Change Request process. At the end of the project or a key phase, the PMO will schedule a meeting with the project team and will review the list of deliverables and discuss whether any deliverables require additional updates.

Detailed system design (DSD) document: The DSD describes the WV IES including its architecture, procedures, data and interfaces, all in sufficient detail to enable the development and implementation of the solution to meet all requirements described in the RFP. The DSD will provide the solution design that Optum will use to satisfy the requirements of the contract. The DSD is the primary output of the Design Sessions and will include the following information:

- **Department review:** Provides you the ability to conduct a full-program review covering the components of the program to include design specifications.
- **System files and processing architecture:** Documents the list of the files with the WV IES and how they are processed to create the desired results.
- **Narrative and data flow:** Explains how information travels through the entire WV IES for example, customer portal and the eligibility rules engine applications. The flow narrative includes detailed information regarding how the flow of information works within the solution.
- **Detailed description and diagram of the system architecture:** Lists the infrastructure, the WV IES, and how these components integrate the overall solution.
- **Subsystem narratives:** Explain each module and the interworking of WV IES components
- **Security Design:** Guides the security controls we use across our ecosystem of infrastructures in compliance with our information security policies and standards. This will include network infrastructure, critical application, services and fully hosted and managed solutions. An organizationally separate audit and compliance team, as well as external parties, will perform verifications of controls. We will conduct reviews at least annually.
- **Flow diagrams and business process models:** Document the workflow for each business process supported by the WV IES. They are provided at a level required to understand how the process will work with the solution, including whether changes from the current state process are required or desired. The business process models provide a step-by-step workflow of each business process to be supported by the solution.
- **Inputs and outputs:** Lists the complete lists of conversion input and output files. It also includes the mapping of input fields to output fields, using the Data Cleansing and Conversion Requirements Document (D047) as an input.
- **Hardware/software detail:** Lists all hardware and software used by the WV IES. This listing will include all releases and phases from DDI through M&O.

- **High-level data model:** Facilitates planning for and handling all in-scope data varieties and volumes, and understanding the complexities inherent in defining the relationship between source and target data structures. The data models provide the detailed, conceptual, logical, and physical models that define the structure of the data in the solution.

Data Model Validation

We will use enterprise management tools for monitoring databases in real time running in our environments. We will monitor for resource usage (disk, central processing unit [CPU] utilization), expensive queries, connection pools and factors that may indicate potential issues. Additionally, we will configure alerts to send automatically to administrators for timely intervention. This will help us prevent downtime and maintain SLAs.

We will perform tuning through performance and load testing in the staging environment before migrating to production. Application support staff will perform ongoing tuning. They will adjust the SQL and database configuration as needed. The storage area network (SAN) infrastructure will manage disk fails. This will support continuous operations and proper recovery based on defined service levels.

Our data management solution will provide a consolidated, single source of truth for member, provider and other required data. The WV IES will provide ETL functionality for data exchange between the transactional database and operational reporting database.

4.3.4 Objective: Development

Approach to Development

Our system development team should take the detailed logical information documented in the System Design Phase and transform it into an executable form to ensure that all of the individual components of the automated system/application function correctly and interface properly with other components

Development
Best Practices

- Shorter development cycles and quicker benefits in the member experience
- Early stakeholder feedback through Design Preview sessions
- Continuous development improvement cycle, exposing flaws faster and reducing waste
- Working versions of solution components provided quickly, allowing stakeholders more time to gain familiarity with the solution before implementation

As part of Execution, we will develop DSD, Training Plan, and Implementation and Transition Plan deliverables for each release. These documents will guide DDI activities on a release-by-release basis and will align to our project work schedule. During Implementation, we will deploy new capabilities to production, validate completion of required activities and confirm your acceptance of deliverables. We will take the detailed logical information documented on the system design phase and interface with the other components of the WV IES. We currently have a successful ongoing release schedule for the Commonwealth of Massachusetts that integrates with the ongoing operation of the system. We will plan for the same type of release schedule for the new WV IES.

For each release, we will follow a hybrid waterfall and Agile DDI approach that includes iterative design and configuration of key solution components. We will perform the following key DDI activities for each release, as reflected in the draft detailed project schedule submitted with our proposal.

Build stage: Building on the iterative design and development that we created for the user interface and portal, we will complete the remaining solution configurations. We will build and unit test application components, reports and interfaces according to the DSDs documented during design.

Test stage: During this stage, we will rigorously test the system, integration and performance of the WV IES functionality using our documented test cases. Our years of experience and the principles of SAFe test-driven development will guide the testing. We will walk through the system to confirm

we have met the entry criteria for acceptance testing. Then, you will perform an acceptance test of the solution, and we will assist you throughout that process. In support of acceptance testing, we will begin operational support of each release as it is tested. Prior to go-live, we will perform operational readiness tests to verify that the WV IES has been installed and configured in the production environment and end users have received satisfactory training to operate the system.

Deploy stage: Following your acceptance of the solution, we will promote the release functionality into the production environment. We will continue the operational support activities started during acceptance testing.

Transition-to-operations stage: We will provide technical and management continuity into the operations phase. During this stage, we will transition our DDI experts out and transition in our operations team. This team knows how to optimize the operational capabilities of the WV IES, focusing service delivery on operational efficiencies and customer service.

Our Phased Approach for System Development, including shared components and modules

Our iterative approach to development activities aligns with your requirement to review and test development iterations of functional groups of system components before proceeding to the System Test phase.

Similar to our approach to requirements analysis and design, our development processes will follow OSAM, with rigorous adherence to lean Agile principles, continuous integration, and continuous testing to help us reduce risk and speed solution delivery for the WV IES. Lean software development emphasizes values such as eliminating waste, building quality early, delivering quickly and empowering people. OSAM offers the following key advantages:

- Reduces delivery cycle time
- Raises the quality of developed solutions
- Improves the predictability and quality of the deployed releases
- Increases the productivity of overall development organization
- Provides transparency into our project health for the stakeholders
- Encourages higher resource engagement in deployment process

The OSAM development phases are Delivery Framework, Delivery Initiation, Program Increment Planning, Sprinting, Ongoing Program Increment Planning, Program Implement Close, and Delivery Close.

Delivery framework phase: When we develop the new WV IES, it will enter an OSAM program. This means we have defined criteria for the project to enter and exit the OSAM program. Using this approach, we will verify the WV IES Project meets your requirements and our stringent quality standards before advancing to the next delivery phase. The primary entry criteria for the Delivery Framework Phase are a list of prioritized capabilities defined by the product owner. This list contains the requirements and capabilities that serve as the initial program backlog. The program backlog is a single, definitive repository for all future work that will advance the program increments described later in this section. We will prioritize and sequence the backlog in a way that makes sense to you and your stakeholders.

Delivery initiation phase: In this phase, the project team will develop the framework to create and deliver WV IES features according to program backlog specifications. The team will review the criteria detailed in the program backlog and create strategies to develop and deliver all features according to these criteria. This WV IES Project team will also verify that these strategies meet all entry criteria within the delivery framework. Finally, the team will provide enough information to create an infrastructure to execute every program increment and release. After project team members have the necessary information and resources, they will move to the Program Increment and Release Planning Phase.

Program increment and release planning phase: This activity will be a two-day, in-person event. The WV IES Project team will meet to create the plans, strategies and backlogs required to complete the next program increment and release. The first planning event will occur before the first program increment and at the end of each subsequent program increment. To proceed, the project team will require a prioritized list of features, user stories, and a list of milestones they must meet during the program increment. During the two-day event, they will develop the detailed plan to successfully complete the program increments and create the team backlogs to produce the required features or capabilities. After defining an executable plan, they will move to the Sprinting Phase.

Sprinting phase: Throughout the Sprinting Phase, we will complete a series of short sprints to create and release working software according to the backlog specifications and the program increment milestones. The goal of this stage will be to deliver working software frequently. The project team will complete this work on a fast, predictive, synchronous cadence.

Ongoing program increment and release planning phase: During this phase, the project team will continuously update the detailed plan for the next program increment and revise the team backlogs. Ongoing planning will run at the same time as the current program increment, in preparation for the next program increment. During this process, the project team will update the detailed plan to complete the program increment and refine the team backlogs for delivering the required WV IES features or capabilities. When planning and backlog work are complete, and the current program increment moves to the Close Phase, the team will prepare to hold the next program increment planning event.

Program increment and release close phase: During this phase, the project team will demonstrate the WV IES software package we released during the previous program increment. They will conduct a lessons learned exercise to improve performance over time. After this phase is complete, we will begin the next program increment.

Delivery close phase: In this phase, the project team will close the program. We can close the program when all program increments are complete or all functionality has been delivered. Delivery close does not depend on program increment dependencies. During this final phase, we will complete the final traceability review of the deliverables released. This will make sure that the deliverables satisfy all of your requirements.

Code Base Management

As we develop the WV IES, we will use the DevOps application development model. DevOps is an innovative approach to software code management and development that reduces risk and speeds solution delivery. With a strong emphasis on automation, it promotes collaboration and communication between the development and technical operations teams. This approach will give the teams more control over the solution so they can respond to your requirements more quickly.

We will use our DevOps deployment tools to build our code for the WV IES into virtual components called containers, providing speed and agility for testing and deployment processes. As a result, the project team will develop quality deliverables for you more quickly. In contrast to traditional architectures, this approach will enable us to break the WV IES into several independent services. For example, a container may include code for the solution's TANF module. Containers will enable us to deliver only the module that we need for deployment to a particular environment.

We will create and maintain a capacity plan based on your business and technical needs. DevOps will give us the ability to scale vertically and horizontally, quickly and easily, without requesting additional servers for the WV IES. For example, we will be able to deploy fully established and previously deployed containers, without business impact, instead of executing a new code deployment. This capability would allow us to establish another instance of the entire WV IES that is fully load balanced, into a new environment within minutes if needed.

We will leverage a performance management system called Detailed Tuning Recommendation (DTR). DevOps will enable the WV IES project team to leverage end-to-end performance monitoring tools that have hooks into each delivered module of the WV IES. These tools will continually evaluate the business process flow through the WV IES and indicate the amount of time that each component of the solution consumes. This will enable us to easily identify the WV IES modules that need performance improvements. **Figure 4.3-15** show the DevOps integrated eligibility framework we will use for the WV IES.

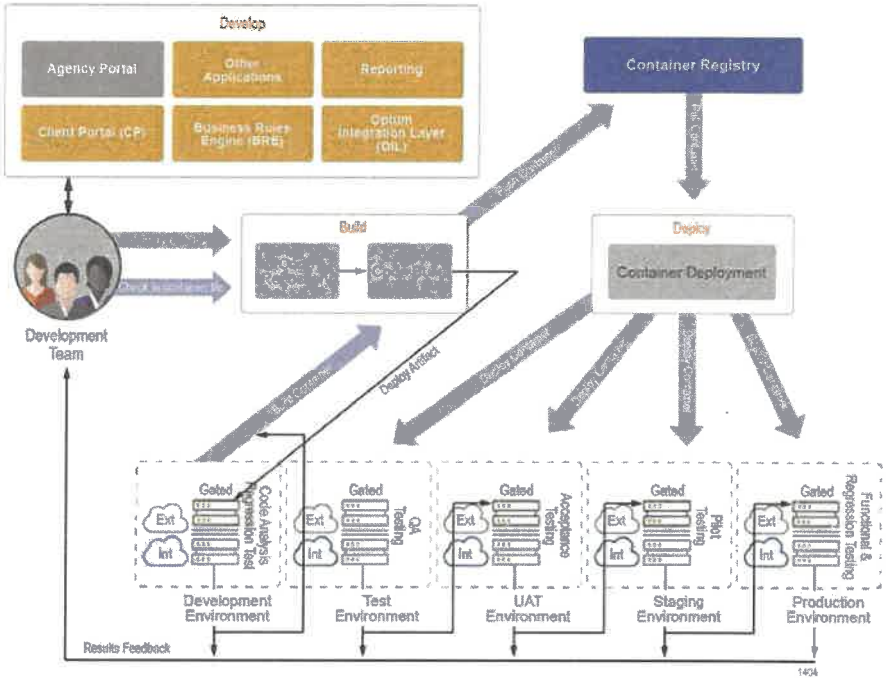


Figure 4.3-15: DevOps integrated eligibility framework.
The DevOps framework will enable us to provide continuous delivery and integration of the WV IES.

We will use the DevOps framework to develop code for the different WV IES components, such as the Agency portal. We will check code into the source code repository and build the code. After the code build, we will deploy it to the development environment for code analysis and regression testing. We will build the container of code and load it into the container registry. When we need to deploy a container into an environment, we will use our deployment tools to obtain the needed container from the registry and deploy it to the appropriate environment. The container will exit the environment or promote to the next environment, depending on the requirements. As part of our standard operating procedure, the containers will pass stage gates before promotion into the next environment. We will modify the container as needed based on user feedback, monitoring results and performance. After we complete our modifications, we will load the container back into the source code repository. This model has actually allowed us to unwind older, non-functioning, code for the Health Service Enterprise platform in Vermont, where we took out a code base that was not functioning properly with the overall design.

Source code security analysis: Optum continually evaluates tools to identify source code vulnerabilities early in the development lifecycle. Our current code deployments use Gauntlit Rugged Attach Framework, Arachni, and SSLyze to support our Web application vulnerability capabilities. To help us with our secure configuration management, we use Chef InSpec that includes automated configuration validation and verification (audit).

Development standards: Our development team will use the designs generated during the Solution Design Phase to create or update the appropriate database and application components. We will perform activities that include coding, code review, and unit testing of all release

components (i.e., user interfaces, program code, job control code, databases). Before the System Test Phase begins, we will verify that we completed all activities successfully. If we identify changes to the solution design during this phase, we will update the design documents and repeat the review and approval process. The documents we generate for the WV IES related to development standards will include a code review and defect tracking workbook, a coding standards addendum, and a test summary report.

Individual developer machine configuration requirements: As a standard software development practice, we will configure the individual developer machine to have the required compilers and integrated development environments. These may include JBOSS Developer, SQL Developer, Internet Explorer, Firefox or other required compilers and environments.

Build machine configuration requirements: We will use continuous integration and the continuous build model described in the Code Base Management section of this response to build machine configuration requirements. Using DevOps, we will develop code for the different WV IES components, such as the Agency Portal and the Client Portal. After we check the code and application configuration details into the source code repository, we will build the code. After the code build, we will deploy it to the development environment for code analysis and regression testing.

Unit and integration testing for development: We will perform complete and thorough unit and integration testing for the WV IES using inputs such as requirements, data flows and current state diagrams to plan for environments, data, test cases, resources and other solution components. We will perform unit testing of all release components of the WV IES. This will include components such as user interfaces, program code, job control code and databases. We will design our test planning activities to identify and allocate the required resources, define the test schedule, and develop test scripts for each requirement.

During system integration testing, we will test the new functionality that is in scope for a release based on your functional requirements. This will include exercising the in-scope system functionality, system integration points, data conversion testing and system compatibility, where applicable. See Section 4.3.5, Testing, for more information on our testing approach.

Reporting requirements, code coverage, check-in/check-out, and tools: We will provide continuous operational reporting to you for the WV IES. This will include status reports, meeting minutes and other special reports as requested as we build the deliverables, perform the tasks and present the final outputs for acceptance.

We will use standard Optum tools, techniques and processes to perform rigorous code evaluations before code check-in. This will include tools like SonarQube and Fortify that perform static and dynamic source code evaluation. These tools help development teams write code that others can maintain easily. Using these tools, we will establish target thresholds before code check-in to build quality into our solution. These tools will identify and run the automated JUNIT scripts that developers create to perform automated unit testing. Leveraging these tools and analyzing the results will determine our code coverage targets. This approach will also tell us when code will be available to check out for the build process into our QA testing process.

As part of our continuous integration and delivery strategy, we will follow a standardized branching, merging, and tagging approach to support quality code production and traceability. Branches, merges, and tags allow us to respond quickly to customer requirements and develop different software solutions in parallel. For example, if we find an error in the production WV IES codebase, we may need to develop an immediate hot fix. To accomplish this, we will make a copy, or branch, of the code in question. As we check the hot fix code into the repository, we will assign it a tag so we can trace it. After we determine the hot fix code is stable and ready for production, we will merge it into the production code. Branches, merges, and tags will allow us isolate changes to the WV IES without destabilizing the code base.

Iterative Development

As part of OSAM, we will use the Scrum framework, an iterative and incremental Agile software development framework, to manage WV IES development in alignment with DHHR requirements. At the completion of each release, you can view and test the iteration of development of logical functional groups of system components or modules, through case notes and user acceptance tests.

We will use the Scrum framework to develop the WV IES. Scrum is an iterative and incremental Agile software development framework for managing product development. It will help us manage the WV IES project and define, prioritize and estimate project work. It will help us establish the best cadence for delivery, including release and sprint planning, sprint execution and sprint demos. Like other Agile development methodologies, we can implement Scrum using a wide range of tools. We will use Rally to build and maintain WV IES project artifacts. These may include user stories, backlogs, release plans and test scripts. Scrum will enable us to deliver smaller changes rapidly and predicatively. We will rely on our high quality code base and automation to achieve and sustain this. At the completion of each release, you will be able to view and test the iteration through case notes and user acceptance tests.

System Design Documentation

We will keep all System Design documentation up to date and provide DHHR a copy to be stored in the WV IES SharePoint. We will create the technical specifications for the components identified during Requirements Analysis and update the application interface specifications as required. Before development begins, we will verify and validate the documents for completeness. The three main components of the design phase are:

User interface design: We will develop detailed designs for all user interface components. This will involve a working model of the application, detailed description of each user interface component, and a graphic design. The RTM will be an input to the component design in the absence of any other defined design artifact.

Components design: We will create the technical specifications required to develop code components for the release. We will use the RTM as an input to the component design in the absence of any other defined design artifact.

Data architecture design: We will create the data conversion design that helps us develop the data conversion tools. The physical data model will enable us to build the database.

Development Phase documents include the following:

- User Interface Component Specification
- Data Classification Document
- Logical and Physical Data Model
- Technical specifications and use cases
- Solution Summary Document
- Release Entry Framework (REF) checklist
- Design sign-off

Approach to Obtaining Agency Approval

The PMO will create a deliverable tracker to track all contract deliverables for the WV IES. It will indicate when the deliverables are due, when they are submitted, when they receive sign-off, and which deliverables have payments tied to them. For each deliverable, we will create a DED that documents the agreed upon acceptance criteria and we will submit the DED to DHHR for review and approval. Each DED and contract deliverable will be included in the project schedule. Sign-off on each DED will be defined as a milestone in the project schedule.

We will update project deliverables throughout the project lifecycle. Updates often result if we identify defects during the testing process. They also result from the formal Change Request

process. As mentioned previously, the PMO will schedule a meeting with the project team at the end of the project or a key phase. They will review the list of deliverables and discuss whether any deliverables require additional updates and track progress to completion and DHHR approval.

Software/Hardware Configuration

Our infrastructure design approach focuses on the ability to manage current business and technical needs, and to support future changes in business processes, and increased transaction volumes.

As part of our annual application development maintenance cycle, we will analyze the software and hardware configurations. We will identify in-scope infrastructure and application services to handle the high volume of transactions during the peak season. We will work with you to forecast for projected increases in transactional load based on the previous year's volume. We will implement recommended changes to software, infrastructure services, and application services configurations and then conduct performance tests to anticipate transaction load at no additional cost to DHHR.

Our Enterprise Capacity Management verifies that there is adequate resource capacity to meet required levels of service for customers and existing capacity is optimized. Enterprise Capacity Management monitors and forecasts infrastructure resource capacity by aggregating and analyzing information using vendor-supplied and in-house developed tools to determine appropriate hardware capacity and software performance needed to proactively meet forecasted computing needs. Tools used to monitor, forecast, and report on capacity include HP Performance Manager, vFoglight, CA Reporter, CA Capacity Command Center, CA Capacity Manager, vCenter, Compuware APM Data Center Real-User Monitoring, MXG, and SAS. Enterprise Capacity Management includes delivering formal monthly reports and provides a quarterly executive-level capacity review. For more detail on the WV IES hosting infrastructure, please see Section 4.2, Modernization.

We provide application performance monitoring that continually evaluates the throughput of the transactions through the business processes that meet the SLAs. Using the data collected from these tools, Optum will refine and tune the application to make sure appropriate processing standards are met today and in the future with your increased transaction volumes. If a particular module does not perform as expected supporting the future growth of the WV IES, we can replace the module without a significant integration effort and business impact. This same modularity applies to the infrastructure used to support the solution and the output of the Capacity Management tools also enable us to appropriately scale the various tiers of the solution by horizontal scaling (increasing the numbers of existing load-balanced components) or vertical scaling (moving to components with higher capacity).

Regular System Maintenance

Our routine system maintenance services will include comprehensive routine system M&O services for your business areas as needed. We will monitor all environments to maintain availability and verify each environment performs as expected. We will gather and analyze relevant resource capacity utilization data to help you gain visibility into upcoming requirements. Then, we will use the information to plan and optimize performance, resource capacity utilization, capacity planning and capacity expansion. Our performance management system, DTR, will help us evaluate the success of the WV IES implementation to help continuously improve system performance. We perform these activities for our hosted solutions for New York, Massachusetts, Vermont and Arkansas. See proposal Section 4.3.9, Operations, for more information on our regular system maintenance activities.

Compatibility with Solution Components

We will develop the WV IES using industry standard technologies that are compatible with the West Virginia Office of Technology (WVOT) system standards shown in Table 4 of the RFP. We will make sure the software, hardware or communication components we propose for your integrated

solution will be compatible with the most current WVOT supported versions. This will facilitate future integration for the WV IES. The technologies we use for the WV IES software development platform will include J2EE, Java, ESB and a rules engine. These components are designed to interoperate with other technologies.

For the Client Portal, we will use Java, Spring, JBOSS, Hibernate, CFX, Log4j, Apache Commons, Bootstrap, Angular JS, HTML5, CSS and Oracle. For the Agency Portal, we will use Java, JUnit and ANT. For the rules engine, we will use Linux application server, Decision Center, Decision Server, MULE ESB, a JBOSS application server and Oracle database.

WV IES Systems Documentation

Leveraging our OSAM development process, we will deploy rigorous standards for developing and maintaining system documentation at the end of each software release. We use Application Development Repository (ADR2), which leverages SharePoint and its underlying approval workflow to store project and release documents. When the documents are ready for review and approval, the ADR2 tool will notify the specific document approvers. We will store all documents associated with a release in ADR2, including artifacts such as the solution outline, software architecture documents, technical design documents, test plans, data structures, entity relationship diagrams, deployment processes (DevOps strategy documents), release implementation plan and user manuals. These documents will contain WV IES program specifics, such as operating system and program language details. ADR2 is used as part of all our implementations and is used by our application development teams to manage SDLC delivery documents. It verifies that all artifacts are reviewed and approved by development and delivery teams before code deployment in production. In addition, it acts as the single repository for release artifacts for system audit.

User Documentation

The Optum team will develop and maintain training user manuals, reference documents, scenarios and e-Learning videos stored on our learning management system (LMS). The relevant WV IES training materials will be available before training, starting with UAT. Users can search for topic-based programs and tutorials that actively lead them through application training, testing users' progress, and providing correct answers and feedback. Users can download files review and printing. During implementation, new training videos defining particular WV IES processing may be added and learning course materials may be updated for use in initial and ongoing operations training. The LMS administrator maintains the LMS library. In addition, we will maintain online policy and procedure manuals and desk-level procedures. We will store these manuals in our defined document repository.

Our team will use evaluations to assess the effectiveness of the e-Learning videos and associated training materials, and determine any additional training or modifications needed to the training curriculum. Updates may also be identified based on feedback from operations, new processing efficiencies and best practices. Requested changes to the LMS materials will follow the change management process. Approved and implemented training updates are communicated to the staff to address real-time knowledge needs.

Development and Unit Testing

Our WV IES Project team will use the designs generated during the Solution Design Phase to create or update the appropriate database and solution components. We will perform activities that include coding, code review and unit testing of all release components (i.e., user interfaces, program code, job control code and databases). Before the start of the System Test Phase, we will verify that we have completed all activities successfully. If we identify changes to the solution design during this phase, we will update the design documents and repeat the review and approval process for the design.

Our Solution Test Phase will include test planning and execution activities. They will help us confirm that the change is working properly and according to your requirements documented during the Analysis and Verification Phase. We will also perform a test verification activity to confirm your acceptance of the test results. We will develop test planning activities for unit, system, integration, regression and performance testing.

During the code development and unit testing phases, we will follow the DevOps approach to deploy quality code analysis tools that are integrated into the code build and development process. These tools, along with the unit tests scripts, will validate the development code against the business functionality and our standardized development methodology. This approach will verify that the code we develop has the proper code quality and code documentation to help future developers and support staff understand the code. This step will make it easier to debug the code or modify it in the future for new functionality.

The RTM will help us identify, verify and create test scripts or conditions that trace back to your requirements. We will update the RTM regularly to make sure that all test cases and the test scripts trace back to your requirements.

Design Criteria

We will use our OSAM development methodology and our QA testing process to make sure the developed solution meets the design criteria. In order to validate the design, we will conduct design walk-throughs with the development team. We will achieve a common understanding of what the code is supposed to do, how it should perform a task, and the results of the task. Using this information, our quality assurance team will create test cases independently from the development team. Both teams will review the results with the business analyst team that created and refined the requirements to build the design. Representatives from the business analysis, system analysis, quality assurance, and development teams will review the outcomes of the test cases to validate proper design coverage and that the solution matches the design.

Solution Compliance with Specifications

We will make sure that installations, enhancements, and modifications of WV IES components meet your specifications. To achieve this, we will map functional and non-functional requirements to business processes, functions, features, and capabilities. We will document the application-specific system requirements in the System Requirements Inventory (SRI) and the RTM. The RTM includes both traceability to application-specific system requirements and business requirements. We will map the requirements to technology deliverables (e.g., solutions, designs, build) and eventually to test cases. We will capture requirements, solutions and designs and conduct reviews as described in the Documentation Management Plan. We will leverage traceability to validate 100 percent accountability for all requirements for installations, enhancements, and modifications of each solution component. Section 4.3.2, Quality Management, describes our solution compliance and quality assurance approach.

4.3.5 Objective: Testing

Approach to Testing

Testing will occur throughout the WV IES development process with initial test planning occurring early in the project.

Testing requires complete and thorough inputs like requirements, data flows, and current state diagrams. Detailed planning of environments, data, test cases, resources and other solution components is essential. Well-defined tools and reports are also important for a

Testing
Best Practices

- In-person collaboration is integral with the IV&V vendor and DHHR
- Start from the same UAT plan
- Establish responsibility matrix (RACI)
- Focus on the end-to-end test cases that meet 90% of the operational need
- Agree on acceptance criteria
- Agree on the escalation process

comprehensive testing approach. They will give you visibility into every aspect of your WV IES. Our team will combine our proven testing methodology with transparent communication to deliver a WV IES fully compliant with your requirements.

Artifacts that we will assess to complete our test strategy include business process flows, companion guides, industry standards, ISO/IEEE standards, and technical specifications for performance testing. We will use this assessment to develop the Testing Management Plan, which will dictate the phases for each identified deliverable.

We will use Git, Maven, and Jenkins as source code management and configuration management tools. The project repository for all usage scenarios, use cases, requirements, designs, test scenarios, test cases, test results, and other project artifacts will be managed using HP ALM and SharePoint, at no additional cost to DHHR.

To develop an overall approach for establishing and maintaining the environments for testing, we will assess each test phase against your desired releases and deliverables. This will help us determine the demand on the environments. We will follow the standard environment management approach that we describe further in this section. In addition, we will follow your desired deliverable schedule and defined phases for each deliverable. Early in the engagement, we will seek automation opportunities in the data, environments and test case execution.

Testing is part of our overall Quality Program

Testing is based on functional and non-functional requirements. Testing artifacts will be developed leveraging custom requirements from DHHR along with Optum requirements in the core product. Our extensive experience in the health care industry enable us to focus on key functions like enrollment, disenrollment, appeals, grievances, in addition to the other functions listed in the RFP to confirm the desired outcomes expected by DHHR. We will also meet all applicable regulatory requirements, such as 508 compliance, ADA and others as specified in this response with the highest level of quality.

Non-functional features will include topics such as security, performance, reliability, maintainability, compatibility, and others that are critical toward the availability of the solutions.

Once established, these features and requirements are traced into all the applicable testing efforts that are discussed in the upcoming sections of this response. Defects are traced back to the test cases and requirements. This enables verifying the solution meets all quality assurance goals.

Approach to Completion of Test Phase Deliverables and Milestones

Each test activity/phase will be managed within the overall PMP. Each test phase/activity will include planning activities, data and environment preparation, test case creation, test execution, defect management and closure activities. These milestones will be consistent across all testing efforts. Each phase of testing will have entry and exit criteria managed by the assigned team member.

The Test Management Plan will define the testing phases to be executed and the roles and responsibilities for each. When QA leads and test managers are identified, they will own executing the plan activities. Milestones and deliverables will be managed through the project plan and status reports, according to the PMP. Each test phase completion will be documented with a test summary that will highlight the results of test case execution, final disposition of defects, issues and risks.

All contract deliverables, including Test Phase Deliverables, are tracked in the Deliverable Tracker; all Test Phase Deliverables and Milestones are included in the detailed project schedule, which is maintained and managed by the PMO team. The Optum PMO team facilitates completion of all deliverables, working with the internal Optum QA team to complete draft deliverables and submit them to DHHR for review and approval, based on agreed-upon due dates. When a draft deliverable is ready for State review, it will be submitted to the designated Review Folder on the SharePoint

site. State stakeholders will review the deliverable and prepare their feedback. A walkthrough meeting will be set up to jointly review and revise the deliverable, according to DHHR deliverable review guidelines.

Approach to Obtaining Agency Approval

Upon verbal approval of a deliverable, the Optum PMO will submit the deliverable for electronic approval; designated individuals from both DHHR and Optum will sign off on all deliverables. All final deliverables will be posted to the SharePoint site, along with the non-modifiable sign-off PDF document.

All affected stakeholders, including DHHR, will review test plans, deliverables and completed milestones. These reviews will occur per the document management policies and procedures and the project management procedures. Applicable entry, exit and acceptance criteria will be reviewed during these sign offs. Written approvals will be documented and managed by the project management team.

Approach to Working with the IES Team

We will establish our resource management and staffing for our testing approach in collaboration with DHHR and the IV&V vendor. For WV IES, we will leverage an overall QMO lead. This role will make sure we adhere to our quality management processes throughout the project. Proposal Section 4.3.2, Quality Management, presented earlier describes our QMO in more detail.

Each phase of testing will include a detailed test planning process. We will leverage supporting artifacts and engage business resources, DHHR staff and technical resources, as needed.

Each Release Test Plan will define the test types and test phases in scope for the project and the release. It will also indicate when these plans are required. Each plan will follow our standard agreed-upon review process. This will help us verify the plan is accurate for the release, even if the information did not change from release to release.

During Test Execution, we will focus our efforts on the day-over-day plans, test case execution, monitoring progress against the plan, and managing any defined issues, risks and defects. We pay particular attention to high-priority risks, high-priority issues, and critical or major defects. We will evaluate entrance and exit criteria for each phase. Any deviation from defined criteria will require your approval based on the risk assessment. After we complete these steps, we will define the test phases for each deliverable. **Figure 4.3-16** shows a sample Test Execution by Test Phase Identification and Tracking Tool.

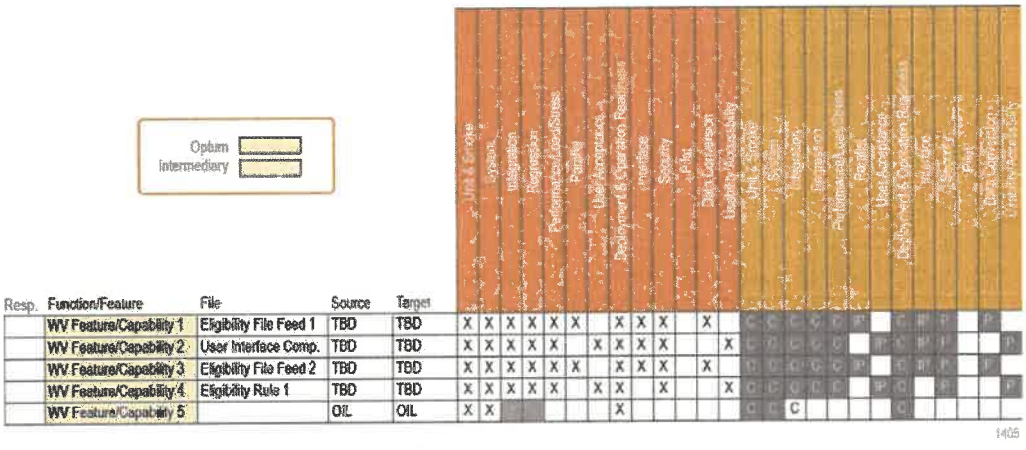


Figure 4.3-16: Test Execution by Test Phase Identification and Tracking Tool.
We will track our testing by test phase and test type, providing DHHR with clear visibility into the testing process and test results.

Approach to Developing Test Cases and Test Scripts

For each test stage, we will develop test cases and scripts based on the requirements to verify the solution meets your business needs. We will deliver the test results for the required phases using the Test Summary Report and various metrics/reports. When a test fails, a defect will be logged. The defect will then follow the defect management process so it is properly addressed and if any contingency planning is required.

Test Type Documentation

The following table summarizes the testing documentation provided.

Test Type Documentation	Description	Timing
Master Test Strategy	This document defines the overall strategy of testing activities. Since this is a strategy document, it is at the program level, and it will span all projects where applicable.	This document is created and submitted for approval prior to the beginning of testing activities.
Release Test Plan	This plan documents the scope, schedule, and any deviations of the Test Strategy for a given project. These documents should be created for each project and align to the program Master Test Strategy.	This document is created and submitted for approval prior to the beginning of testing activities.
Test Summary Report	This report documents the output of the testing activities for a given project based on the plan and strategy definition for that project.	This report is created at the end of each test cycle.

Methodologies for Testing Activities

We will use different types of testing for the WV IES. Each test type and test phase will have its own entry and exit criteria. The Release Test Plan will describe the test types and test phases we will use for each release. We describe the standard testing phases we can leverage for the WV IES in the following sections.

Unit Testing: Unit testing is a component-based test that the WV IES Project team will complete before code delivery. Unit testing will help us verify that the code we deliver is stable and provides expected results based on the requirements that are in scope at a component level. In addition, unit testing will include application scans from an application security perspective. We will provide complete unit testing results with the build package and include information on any known defects.

System Testing: The objective of system testing is to verify the solution meets the functional requirements defined during the Requirements Validation and Design Phase. The test cases cover details such as navigation, the required input for each report/query/process, and the expected result of each transaction. System testing is more formal than a unit test and unit testing is a prerequisite. System testing is planned and executed for each sprint within a release, based on the approved requirements for that sprint.

We will execute test cases to verify the functionality and outputs are correct and complete in the solution. Our testing team will direct system testing activities and operate the solution as defined in the Testing Management Plan. We will provide error resolution and technical support throughout system testing to facilitate the successful execution.

Integration Testing: System Integration Testing (SIT) assesses the new functionality in scope for a release based on the functional requirements. SIT testing will include exercising the in-scope system functionality, system integration points, data conversion testing and system compatibility, where applicable.

During SIT, we begin testing rules in use in any rules engines. We have defined standard approaches to test rules engines for our customer projects. The following **Figure 4.3-17** shows the SOA-based approach we will use to test the rules engine for the WV IES.

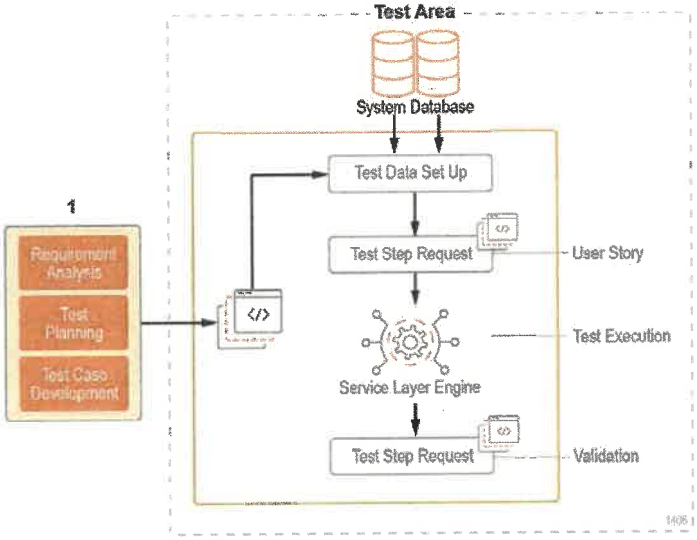


Figure 4.3-17: Rules Engine Testing Approach.
We will follow our standard SOA approach to test the rules engine for the WV IES.

We will base the customer's eligibility on Code of Federal Regulations (CFR) and State-specific rules. In Step 1 in **Figure 4.3-17**, a business analyst will complete requirements analysis. We will also complete test cases and planning. In Step 2, each identified program has a corresponding file that contains the necessary fields we need to process the member's eligibility. In Step 3, we will create the rules associated with the eligibility using the Groovy scripting language. This will include a pre-calculation or pre-result. In Step 4, we will create each scenario outlined in the requirements as a single test. We will build this into the automation system. By creating a separate quality assurance database with Federal Poverty Levels and Deductions, we can match the pre-calculations against the rules engine results.

Regression (baseline) testing: Regression tests will be a subset of the system test scenarios, approved by DHHR, to verify maximum functional and technical coverage for this level of testing. Regression testing assesses the existing system functionality based on the analysis of the new functionality impact to the system and data conversion testing.

During regression testing, we stress using automation as much as possible. We will leverage in-house tools to validate industry standards as well as proprietary standards for field-, record-, and file-level requirements for black box system integration testing.

These tests will become the regression tests we use throughout our development effort. Regression tests within a deliverable will become part of a product-level regression test process that will carry over into our future testing efforts.

End-to-end testing: End-to-End (E2E) testing simulates real-world scenarios by identifying system dependencies and verifying data integrity is maintained across the entire system. QA verifies the system is integrated to all external or third-party systems defined in the requirements including functional and non-functional requirements. QA executes scenarios, both positive and negative, that test the flow of the system from beginning to the end.

E2E Testing includes full workflow execution of all cycles (e.g., daily, weekly, monthly), using converted and interface data as much as possible. E2E scenarios are developed using real-world business scenarios that mimic real-world use at the component, application and system level.

Scenarios usually start with daily system and manual tasks, followed by additional cycles, such as weekly and monthly. Test scenarios can also be grouped into cycles to leverage commonality and optimize the critical path.

The satisfactory completion of every test case and your sign off on the test results will indicate the successful completion of E2E Testing. Where possible, E2E scenarios may be executed in earlier testing stages for earlier validation of scenarios and/or identification of defects and added to the regression testing suite.

Performance/load/stress testing: The performance test will occur on a production-ready version of the system, that is, a version that has passed all requirements validation, system, and security testing. The performance test environment will mirror the final production system specifications to accurately predict how the system will behave in the production environment.

Optum employs a dedicated enterprise performance testing team to verify that Optum meets performance, availability and stability objectives for systems and applications. We typically execute performance testing for new applications, application or infrastructure changes, troubleshooting, and hardware and software comparison and evaluation. Our automated tools simulate high user volume within a dedicated load farm in an environment that closely mirrors the production system. The application protocols we support include HTTP/HTML, Web Services, Mobile, Database/ODBC, Citrix, RTE and video streaming. We have a dedicated Internet connection with 400 MB/1 GB burst for testing Internet applications. Our performance management tools are fully integrated to facilitate comprehensive reporting and analysis.

We develop test scripts based on documented workflows that are either critical to the business or are used most frequently by end users. Our performance test engineers will execute tests based on test scenarios designed with your SMEs. Additionally, we will provide reports after each test to facilitate in-depth analysis and comparison between tests. Performance testing provides benefits including reduced infrastructure costs by sizing components correctly; increased application stability; and improved user experience.

Our performance testing will support multiple test types. These will include load, stress, stability and resiliency testing. Load testing will allow us to determine how the WV IES will behave under peak user volumes. Stress testing will push the application above the expected user volume and help identify a break point. Resiliency testing will determine the WV IES behavior in failover conditions. Stability tests will run for extended durations to identify underlying issues, such as memory leaks. These issues may not be noticeable until the application is under load for several hours.

Parallel testing: We will perform parallel testing to test the functionality we are replacing. To accomplish this, we will run scenarios through the existing system and the replacing system to confirm consistent results. We will leverage this technique, where appropriate, in the various core test phases. These test phases are typically system, integration and user acceptance testing (UAT).

UAT: UAT involves a business assessment of the system and its function. This may include data conversion testing. UAT is a scenario-based testing approach. Unlike systems integration testing (SIT), we do not scope UAT based solely on the requirements.

We will work with you to develop the UAT Plan. It will include the timeline and description of the overall processes we will leverage throughout UAT. In addition, the plan will include a responsibility assignment matrix with responsibilities clearly defined. We will use agreed-upon scenarios, dependencies and data needs that you have reviewed and approved. We will build them into our scripts and procedures that you have approved.

Optum will store UAT results in the test management application and leverage the standard strategies defined in the Quality Management Plan and Test Management Plan. Any identified defects will store in the defect management system. We will track them through the defect

management process until we remediate them and communicate the status of activities and results following our standard, agreed-upon communication procedures.

We will align our defect management process to the test scenarios and requirements. The scripts and procedures we create will be based on those scenarios, and we will trace them to the requirements. This will align with our traceability strategy.

Implementation/operational readiness testing: Operational readiness testing (ORT) begins at the requirements phase of development. To be effective, it must be part of deployment readiness for each release of functionality. ORT testing is a key input into our overall operational readiness activities. As part of ORT, we will exercise the deployment and operations functionality of the systems. This includes deployment dry runs, data migrations, disaster recovery testing, and workaround validation. We will plan this testing based on an impact analysis of changes to the overall system. This will help us with the transition and build confidence as the development team hands off the release to the operations team. The disaster recovery testing will demonstrate how the system reacts during an emergency. Please see the Draft Disaster Recovery and Business Continuity Plan in Appendix 6 for more detail on the approach to disaster recovery testing.

This phase includes testing system components that affect external system users. These include Web portals, Web-based software and data entry by other vendors. We leverage pilot testing as part of ORT. For each capability, feature and function you define, we will work with you to identify the essential business processes, requirements and key associated operational readiness requirements. We will meet all of the requirements defined in the RFP Appendix VII: Operations Specifications and BA06 Operations Management requirements. Optum will define the test cases and actions to complete for each of the key readiness requirements. In addition, we will build actions into the appropriate phases of the project plan with accountable and responsible resources assigned. Our testing activities will align with our testing cycles, test case development, test case execution and defect management. We will produce our standard set of test management results and reports for DHHR.

Interface testing: Interface testing (internal or external) will be an extension of our SIT. However, instead of simulating the integration, interface testing will exercise the application through that integration point. We will define the scope of integration testing in the test plans and will base this testing on the functional requirements that are in scope for the effort. This testing may include aspects of regression testing, where needed.

Security testing: Optum will perform security testing on functional, technical and infrastructure components, using various tools and techniques, to verify that the WV IES meets all system security requirements.

We will create and maintain a Security Test Plan for all applications we support and verify you approve our testing scenarios and strategy before we implement this level of testing. Upon completion, we will submit the security risk assessment results to you for review. This report will include the tools used, including the code scanning and application scanning tools, along with the action plan to remediate identified vulnerabilities.

These tests will validate that application components are not vulnerable to malicious attack. We integrate security into our maintenance services and SDLC. This enables us to identify and verify the regulatory requirements and controls required to meet compliance. We will meet security requirements through the following activities:

- Identify applicable security and compliance requirements, system components, functional requirements, and internal administrative controls during the requirements gathering phase
- Identify existing patterns, use cases and gaps during the design phase
- Identify the recommended solution, which includes recommending solutions to address gaps during the development phase

- Perform threat and vulnerability management through source code review and infrastructure and application penetration testing during the QA phase
- Perform continuous vulnerability scans, flaw remediation and compliance verification during the production phase

Pilot testing: Pilot testing will focus on users and their total interaction with the complete system. This will include external partners, vendors and applications. The implementation to evaluate functional, usability, performance and accessibility is usually small scale. This will help us predict how the system will function with a full implementation.

Data conversion testing: We will perform data conversion testing to verify all data migrated in the conversion test environment complies with the standards defined in the Data Conversion Management Plan. Where possible, we will use automated tools to perform this testing. We will only begin production data conversion after you approve the test results.

Data conversion testing verifies that updates to the data are correct as data flows from applications and data that converts from one format to another is correct. We will perform data conversion testing during multiple test phases based on the functional changes to the system. Before we begin migration testing, we will work with you for approval of agreed-upon data conversion exception tolerance levels.

We will use context diagrams, business process flows and data flows to support conversion activities. This will help us determine file, field, data and information requirements. We will assess the environment needs and the data necessary for each environment to complete its designated level of validation. This level of planning is necessary for us to make sure we have evaluated all aspects of the environment: data, integration and configuration. Additional data-focused areas will include:

- **Data mapping** validates that data entered into form fields on the front end of the application (user interface) save and map correctly to the corresponding database table and database fields. It validates that actions performed in the front end of the application invoke a corresponding CRUD (create, retrieve, update and delete) action on the back end.
- **Data integrity** validates that the updated and most recent values or status of data appear on forms and screens following a CRUD action.
- **Business rule conformity** validates that values produced by a process meet business rule requirements such as the calculation and the data flow. This deliverable aligns with the deliverable management strategy to gain stakeholder acceptance prior to execution.

We will use our configuration management process to identify what is in an environment and what has changed from one point in time to another. We can accomplish this when items are in use or at any point in time. This capability helps us identify and address false negative results because of environment-related, data-related or other issues.

Configuration management is one example of our effort to continuously improve our solution for DHHR. Through demonstrations and DHHR feedback, we will enable effective and timely changes to the features and capabilities of the WV IES.

Usability testing: This level of testing will include usability for internal and external users, power users, users with limited computer skills, prospective new users, users that will require training to complete their daily work and users with disabilities.

The testing will verify WV IES user interface complies with Sections 504 and 508 of the American Disabilities Act. Our usability testing will also include browser usability testing for desktop, mobile view and mobile browsers. We will provide the machine configurations needed to test browsers.

Usability is the central focus of our approach to Web interface design. We use the *U.S. Department of Health and Human Services Research-Based Web Design and Usability Guide* as our blueprint

for usability. During the design phase, we will use the guide to verify the intuitiveness and ease of use of the WV IES interfaces. Following the design phase, we will use automated and hands-on tests to test our user interface on key usability features. These will include the ease in finding key information, page flow, print layouts, response time and the ability to complete tasks.

During the testing phase, we will follow a Usability Testing Protocol to perform hands-on testing of the WV IES. This will include identifying personas and fictional representative users who share attributes with your typical users. We will use these personas for multiple test scenarios throughout the testing process. Optum will enumerate critical tasks, both for the user and stakeholder. From the task list, we will create a Usability Testing Protocol that contains the non-biased moderator script and testing criteria. We will usually perform testing as a one-on-one experience between a tester and a moderator. Optum will record and analyze results and share the analysis with the development team.

This methodology will help us verify that the user interface we deliver meets the needs of your users and stakeholders. Optum runs a dedicated User Interface Experience (UIX) lab to help project teams meet interface requirements. The WV IES Project team will have access to the UIX and its personnel as needed. **Figure 4.3-18** illustrates the type of quality testing we will perform on the WV IES user interfaces.

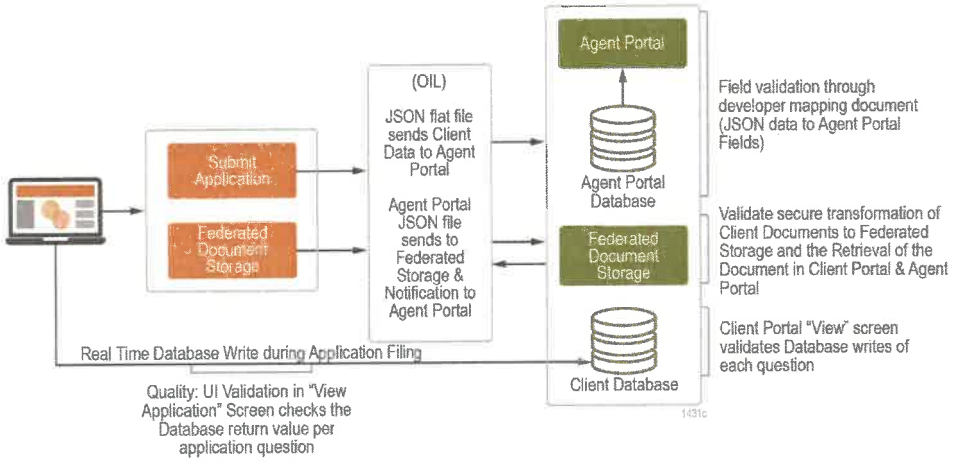


Figure 4.3-18: Sample Quality Testing Process.
Our testing methodology will help us verify that each interface we deliver for the WV IES meets the needs of your users and stakeholders.

Accessibility testing: Our accessibility testing will make sure the WV IES we deliver is accessible to individuals with disabilities. It will also verify that they can interact with the system as needed. Beginning in the Design Phase, we will perform Section 508 compliance reviews on the WV IES user interfaces. Our graphic designers understand the needs of users with visual disabilities. They know how to create a wide variety of accommodations for these users. After the Design Phase, we will perform automated and manual testing of Web tools to further validate full accessibility compliance.

Test Environments

We will follow our proven methodology for establishing testing environments, including the necessary data and application modules, to support testing activities for the WV IES.

We will use different non-production test environments, depending on the purpose of the test or test phase. We may also use the production environment for pre-production testing. This may include performance testing, security testing or implementation/operational readiness testing (ORT). For most of our testing, we will use non-production environments.

We will leverage an environment dedicated to development and unit testing for the WV IES, which will be used by all developers. The number of subsequent test environments will depend on various key factors (e.g., the complexity of the solution, mix of technologies, required testing, velocity of delivery and number of overlapping releases). We will leverage a separate test environment for system testing, system integration testing, regression testing, and some component-based performance testing. This environment contains everything required for the test cycles and typically contains a subset of production data.

We perform user acceptance, parallel, ORT, usability/accessibility, and security testing in a separate environment reserved for business functional testing. It contains more robust and production-like data. It can also contain a copy of the production environment. This environment is where we will perform our advanced performance testing. Additionally, we will perform data conversion testing throughout the test cycles in the appropriate environments. Depending on the solution, we will leverage automated testing tools that may engage additional test environments. We move tested code into a final stage environment or pre-production environment. While we can complete final performance or regression testing in this environment, it is meant to contain production-ready code. When we move code into production, we move it from this environment.

We will use source code tools to manage code in each of our environments. We will maintain the code in a source control repository with the necessary attributes applied to version the code. This control will verify visibility into the evolution of the code. This versioning, or tagging, of the code will enable us to build packages that pull in the necessary tagged code. This approach will let us clearly specify the version of the code and allow packages to be repeatable. The source control system will also enable us to revert to versions of code. This will be important for troubleshooting or rolling back a system. We will leverage Git to manage versioning and use Codehub to manage code repositories across environments.

A production-like environment for training is also included. This environment's configuration and source code will be managed to closely mirror production. Data will be maintained to support ongoing or reoccurring training events. Customized or specialized training can also be accommodated in this environment. This environment will be a stable environment to assure quality training. When configurations and/or features and functions have obtained all their production sign-offs in the implementation cycle, the training environment will be updated to enable training prior to the production deployments. Data will be loaded during this time as well for consistent results.

Testing Methodologies

Our test strategy helps us build quality into our solutions from the beginning of the development process. We will follow a structured testing approach to maintain our environments and use realistic data without jeopardizing Protected Health Information (PHI). We will use requirements traceability to associate requirements with test cases tied to defects. Our documentation will capture these details. We will manage the documents as they flow through the SDLC. We will deliver necessary testing documents as needed based on status reports, defect reports, and other relevant project documents. Requirements traceability will help us identify the functionality to focus on when we discover a defect. It will enable us to track changes related to the defect. We will manage defects and keep stakeholders informed on defect status through our defect triage meetings, day-to-day execution and status reporting.

Use of RTM, RSD, and DSD: Test planning and preparation helps us develop a clear strategy, scope and execution to perform validation activities against your required features and capabilities. We will leverage the RSD, the DSD, other functional requirements and non-function requirements to complete our test planning and preparation. In addition, we will perform traceability from the requirements through testing to validate 100 percent accountability of the 2,731 requirements. We will document testing activities, approach, strategy, artifacts and tools in a Test Strategy deliverable. To have 100 percent traceability, we will trace the requirements to the test cycles.

Automation: We will begin our test planning and preparation early in the release and leverage tools, such as MuleSoft (x12 validations), Sonar and Fortify (security vulnerabilities). These tools will help us identify and address defects well before UAT occurs. By beginning our test planning and preparation early in the SDLC, our testers will work in parallel with the design and development staff to build their testing approach and confirm the scope. Our approach will define who, what, where, when and how we perform our testing validation for the WV IES.

When we identify a candidate for test automation, the WV IES Project team will confirm the framework is an appropriate technical solution. The team will review the functionality to automate with the test scripter and identify the need for new framework functionality. The test scripter will work with the WV IES Project team to map the necessary fields. In addition, the test scripter will create the needed test data and build the test cases. **Figure 4.3-19** describes our Automation Testing Framework.

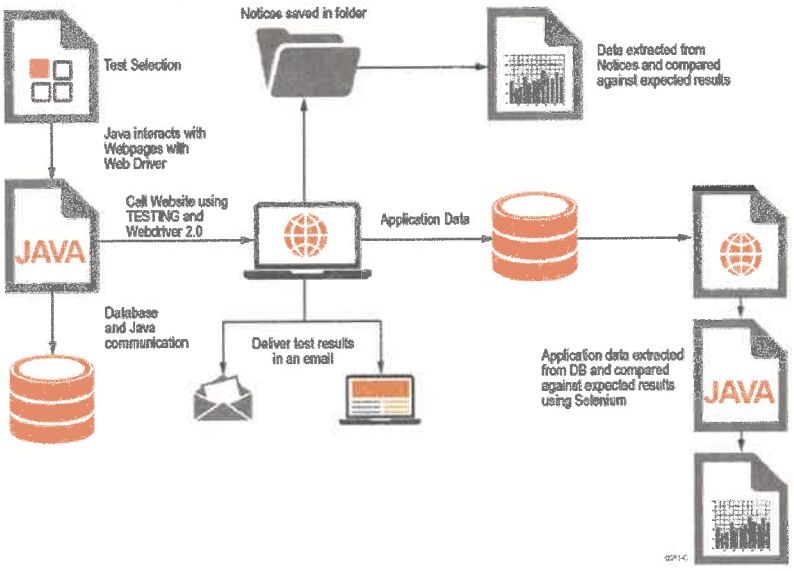


Figure 4.3-19: Automation Testing Framework.
Our automation testing framework combines software tools and processes that have proven successful in other HHS projects.

The following tables identify the components of our automation-testing suite, and the infrastructure services we will provide for DHHR.

Testing Function	Tool	Version	License Owner
Scripting Language	Java	1.8	Open Source
Scripting Framework	Selenium	2.53	Open Source
Test Framework	TestNG	Latest	Open Source
Defect Reporting	ALM	12.01	Optum
Integrated Development Environment (IDE)	Eclipse	4.5.2	Open source
Continuous Integration (CI)	Jenkins	1.651	Open Source
Code Configuration Manager	SVN	1.9.4	Open Source
Database	MySQL	5.7	Open Source

Test data, sample, and traceability: We will use the acceptance criteria for the RSD and DSD requirements to design our test cases for the WV IES. The test cases we build will exercise that functionality and provide that acceptance understanding. As part of this effort, we will employ full traceability. We will tailor this approach to your stakeholders' needs and any relevant governance standards (e.g., CMS, FDA). This will involve tracing the requirements to test cases and any subsequent defects. Our goal is to understand the full impact analysis of all development aspects, from design to execution. Tracing the requirements to the design artifacts will help us accomplish that. It will also facilitate assessment and analysis at all necessary levels of test design. This approach will help our teams as we jointly enter operational readiness and will let us assess the risk of the test design to production. Key data elements that we will leverage in our requirements traceability process include:

- **Requirement ID:** Contains the unique identifier of the requirement
- **Requirement Name:** Contains the name of the requirement
- **Requirement Description:** Populates with a brief description of the requirement
- **Requirement Design:** Populates with design artifact locations applicable to the requirement
- **Direct Cover Status:** Populates with the coverage status of the requirements (The status will be based on the execution status of the test case linked to the requirement.)
- **Test Case ID:** Contains the unique identifier of the test case
- **Test Case Name:** Populates with the name of the test case
- **Test Case Description:** Populates with the test case description
- **Test Execution Status:** Populates with the test execution status of the test case

COTS product testing: Our solution consists of configurable COTS products that have been rigorously tested by their respective vendors. This will help expedite the WV IES testing process, while we focus on making sure we have configured the solution per West Virginia requirements.

Our COTS product testing methodology consists of four broad activities to assess system quality and readiness for operations. All are equally critical to the success of a testing effort and summarized as follows:

- **Planning:** Planning includes confirming the impacts to the COTS products. We identify the appropriate testing types, focus, and integrate these defined efforts with the other planned testing activities across the solution.
- **Preparation:** We write the test scripts, document the testing methodology and establish the test environments. We develop the detailed test scripts identified during planning and document expected results. This includes identifying and preparing test data.
- **Execution:** Upon completion, review, and approval of the outputs of the preparation activity, test teams begin executing the test cases. They compare actual test results with the expected results and research. The discrepancies will be resolved before executing the test again.
- **Review and Verification:** Verification of actual test results begins with the execution of the first test and continues until all test scripts are executed and passed. We record and review the results of all tests, both successful and unsuccessful.

These COTS test efforts will be incorporated early and continue throughout the implementation as needed. COTS testing efforts closely resemble our regular testing efforts, and they will contain many of the same activities.

Documentation updates: We will use the Documentation Management Plan, RTM, and defect log to develop and maintain project documentation and artifacts related to testing according to your specifications. To modify and deliver them, we will follow our established, and DHHR-approved, change control process and deliverable management process.

Defect management: Our proven defect management process will enable teams to work collaboratively to remediate defects. This process of collaboration will begin during the design phase and continue through the SDLC into operational readiness. We will engage you and your stakeholders in defect management through triage meetings and work sessions. This collaboration will help us reduce the time it takes to triage and fix defects. Defect management will begin early in the SDLC to make sure we continually assess and improve the quality of the WV IES through the various phases and iterations.

We will complete each step of the defect management process for each identified defect. At a high level, we will identify, triage, remediate and validate each defect. Our defect management steps are shown in **Figure 4.3-20**.

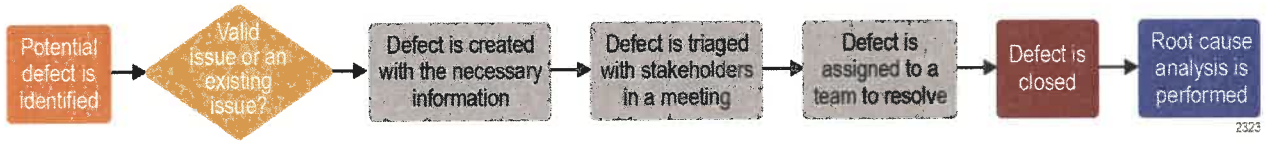


Figure 4.3-20: Defect Management Process.
Our proven defect management process focuses on collaboration and continuous improvement.

Test results reporting: We have several reports and metrics to leverage for this essential reporting. For example, our Test Execution Report provides the number of tests, number of tests executed, percent passed, percent blocked, number failed, and tests planned versus actual tests over time.

UAT Support

Testing has many phases. Each test phase focuses on the correct level of testing that corresponds to the SDLC. We will work with you to determine the staff members and stakeholders to engage for reviews, meetings and status reporting. Together, we will define the entrance and exit criteria for each phase. This will help us make sure we build quality into each testing phase. As we discover defects, we will have defect triage meetings with you and your stakeholders. We will determine the agreed remediation and track all details with requirements traceability. This will help us make sure that everyone stays informed of the affected areas. We will work with you and your stakeholders to manage defects through defect triage meetings, day-to-day execution and status reporting. Additionally, we will automate the test scripts when automation is appropriate and can add value, enabling us to perform more efficient testing. We will engage the appropriate technical and business stakeholders identified in the RSD, DSD and other relevant documents.

UAT Plan Development

A QA lead will be assigned responsibility for UAT in the Test Plan artifact. The lead or leads will confirm test scripts and scenarios are developed and all impacted stakeholders are engaged. They will also be responsible for identifying data and environment requirements, and leveraging any automation capabilities. The Test Plan will be updated with the details of the UAT Plan, and all identified activities will be updated in the overall project plan. Completion of requirements will begin the development of test scripts and cycles for UAT. All impacted business areas will contribute to the development of the scripts. The QA lead will consolidate all scenarios, document the resultant cycles and update the schedule in the overall project plan. This schedule will account for the data setup, environment preparation, automation preparation, and resource planning activities.

Test data preparation: High quality test data is a hallmark of our quality activities. Our iterative process will begin when we create test cases during requirements gathering. The WV IES Project team will construct models of inputs that we need to drive our test cases. We will automatically transform this modeled data into the required input types (e.g., flat files, delimited files, XML, screen automation scripts) and then feed the data through the various test cases. This model feeds unit, black box, QA and integration testing. As we gather more requirements on test data structure, we

will iteratively update the model. Using this approach, we will continuously refine the data. The data will also better match actual scenarios that the production data might encounter.

As we progress through the SDLC, production data will begin to flow through the system. At this stage, we will remove any personally identifiable information (PII). We will then mix a sample of that data into our model, which adds more structure and realism to the test data. Our continually refined data will help us deliver a more accurate, pre-production simulation for the WV IES. It will also facilitate timelier defect identification and closure.

Results analysis-entry and exit criteria: Our quality assessment is gated against a clearly defined set of entry and exit criteria for testing phases. We base these criteria on an industry standard approach for assessing the quality of SDLC efforts at different project milestones. This approach defines acceptable criteria for a given milestone. The deliverable must meet the criteria before it can achieve the next milestone. Optum cannot modify the agreed-upon entry and exit criteria for the testing phases without DHHR approval. Deviations from the criteria could jeopardize the WV IES Project. The following table shows sample testing phase entry and exit criteria. Our quality assessment is gated against a clearly defined set of entry and exit criteria for testing phases.

Testing Phase Entrance Criteria	Testing Phase Exit Criteria
• Previous test exit criteria have been met. • The Release Test Plan document is approved. • The design of test scenarios, conditions and test cases is completed for this testing phase. • All planned test cases have been approved. • The environment used has been updated with the necessary build or configuration and has been tested with acceptable results.	• No outstanding Severity 1 exists. • Any Severity 2 defects will be discussed and documented. Description of the limited risk going forward with the build will be documented and resolution date determined • Review of Severity 3 and Severity 4 defects by the appropriate stakeholders with an approval to proceed based on impact analysis (approval provided in the Go-No-Go). • All planned test cases have been executed and are in a Passed status. Any test cases not in a Passed status have been documented. Appropriate stakeholders have agreed these test cases should not prevent the exit.

Reporting is essential for reporting test status, metrics and summary outputs from an overall testing strategy. Our reporting will cover different areas. Because each solution release may be different, reports may differ based on frequency, location and responsibility of each report type. The Release Test Plan will describe each report, and the project plan will manage the report, where applicable. **Figure 4.3-21** shows a sample test progress report and **Figure 4.3-22** shows a Day-over-Day Plan report.

Test Progress									
No. of Tests	Executed	%Executed	% Passed	% Blocked	Passed	Failed	Blocked	Not Run	In Progress
388	209	54%	47%	2%	184	25	7	99	73
Defect Summary (Status / Priority)									
	1 - Critical		2 - High		3 - Medium		4 - Low	5 - Undefined	Totals
Open	70		40		19		13	48	190
Closed	85		50		14		13	98	260
Total	155		90		33		26	146	450
Defect Density									
Requirement Size	Total Defect Count		Code/Config Defect Count		Total Defect Density			Code/Config Defect Density	
264	450		122		1.70			0.46	

Figure 4.3-21: Sample Test Progress Report.
This report includes some of the metrics we will leverage to indicate the state of defects within an engagement.

Day Over Day Plan						
Schedule		Outstanding Test Cases	Cumulative Progress		DOD Progress%	
Week	Date	Total	Planned	Actual	Planned	Actual
Week 1	7-Oct	354	34	59	9%	15%
	8-Oct	319	69	144	18%	37%
	9-Oct	279	109	204	28%	53%
Week 2	10-Oct	236	152	209	39%	54%
	11-Oct	190	198	0	51%	0%
	12-Oct	146	242	0	62%	0%
	13-Oct	97	291	0	75%	0%
	14-Oct	57	331	0	85%	0%
	15-Oct	32	356	0	92%	0%
	16-Oct	10	378	0	97%	0%
Week 3	17-Oct	0	388	0	100%	0%

Figure 4.3-22: Day-Over-Day Report
This report illustrates the day-over-day status of our test case execution against the plan, by week.

We will leverage this test data for UAT and provide DHHR formal notification that all data necessary for UAT has been provided.

Examples of the types of testing reports we provide include:

- **Daily status reports:** we will provide you daily status reports as required. The status reports will detail our testing activities. These will include schedule, status based on schedule (day over day), metrics (execution results), and defect results and metrics.
- **Defect triage minutes:** We will provide you defect triage minutes as required. Triage minutes provide a view into the activities of that day's triage meeting. This will include activities completed during the meeting and any action items that require follow-up after the meeting.
- **Test summary report:** We will provide you a Test Summary Report as required. This will be the final report for the release. It will detail the results of the testing activities defined in the Release Test Plan. The report will document any deviations, risks or issues, scope changes or outstanding items (e.g., blocked, failed) where applicable. The outstanding items will include documentation that explains why they are outstanding. The Test Summary Report will identify risks and issues that will still be present or become present when we move the release into production. It will also include the following:
  - **Defect summary:** Will provide the full understanding of the defects found during the effort and their status at the current time of the report.
  - **Defect reporting:** Defect management is total defects, by status (e.g., open, closed) and by priority (e.g., critical, high). We report at a team level, feature or release. We determine all decisions during our Test Planning activities. During the defect triage meeting, all necessary stakeholders will review the defects. They will make sure that each defect is valid, the defect attributes are correctly set, defects are updated and worked in a timely manner and where necessary, fixes are being scheduled.
  - **Problem handling:** Problems may arise during testing that can affect solution delivery. Our approach to handling problems will vary based on whether the problem is an issue, risk or defect. We will manage issues according to our Issues Management Plan and risks according to our Risk Management Plan. Appendix 6 includes drafts of both plans. If we discover defects during testing, we will follow the outlined defect management process described previously. We will associate each defect with a requirement to maintain traceability for the defect.

Summary of Results

We will produce Test Summaries for all testing activities, including UAT. These will highlight the results of the test case execution, final disposition of defects, issues and risks. All test phases will address all DHHR critical defects, issues or risks prior to sign-off of that activity. During UAT, the

Summary of Results report will include the formal UAT Final Report. This report will include certification that all UAT tasks were successfully completed, per document management and project management procedures, and that all issues ranked as critical by DHHR have been corrected.

ORT Reporting

Operational Readiness will occur to make sure all business operations and supporting technology processes and procedures are ready for the deployment of a given project. As requirements are completed, operational readiness tasks and activities will be identified. These tasks, activities and any deliverables will be documented in the Test Plan and managed through tasks and activities in the PMP. At the completion of the operational readiness testing, a Test Summary will be produced indicating that all business and technology supporting processes, staff, functions and procedures are in place and ready for operation.

4.3.6 Objective: Data Conversion

Methodology and Approach to Data Conversion

Following our data conversion strategy, we will convert existing data from systems and components, such as RAPIDS, to the WV IES using an industry-standard data conversion methodology that mirrors the iterative design and development approach of our Optum Delivery Model. This section describes the data analysis techniques and processes, checks and balances, and tools that are part of the methodology.

To provide you with the best business value, flexibility and reduced risk, we propose multiple releases and program increments to integrate and replace the RAPIDS, FACTS, and OSCAR systems. Our data conversion strategy will mirror this approach, employing our data conversion processes and tools iteratively to improve the quality of requirements and aggregate design documents. We will document the design, testing and execution specifications in the continual development of the Data Conversion Management Plan.



Optum Data Conversion Strategy

Our project planning, complete with a map of DHHR programs and data scope, will include traceable and up-to-date data conversion detail. As the data conversion often precedes transactional and data reporting and visualization functionality, our progress in updating the data conversion requirements will provide a means of validating the functional requirements. We will begin with a central scope area (the core of each release) and run iterative conversion steps and tests that subsume more and more aspects of the given WV IES release. We will work from small to large data volumes. We will convert, test, analyze and repeat the conversion process until data quality objectives are met for the WV IES release.

Figure 4.3-23 illustrates our overall data conversion methodology. Each vertical box represents a key process area we use in all of our projects. We will repeat this process for each work stream described in proposal Section 4.2.3, Design Development and Implementation Schedule, including:

- Integrated Eligibility Release 2 (PI-1: SNAP, TANF and Child Care; PI-2: Medicaid and CHIP; PI-3: LIEAP and remaining WV-specific programs)
- Child Welfare Release 1 and 2
- Child Support Release 1

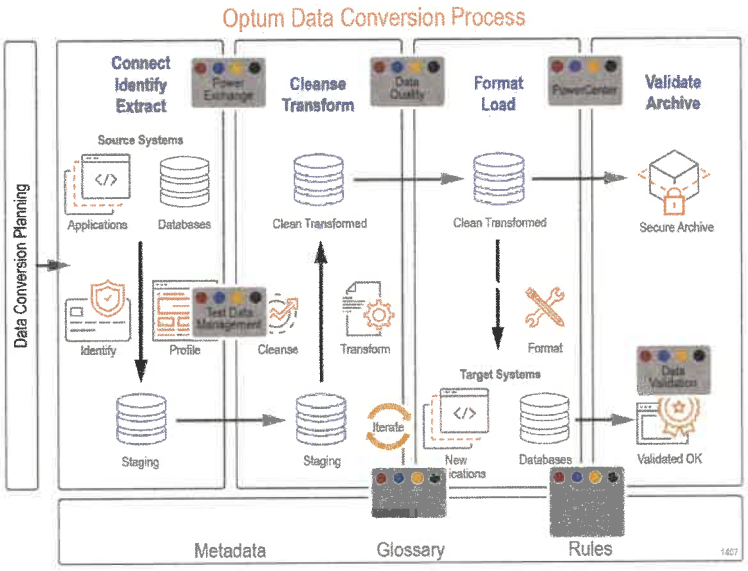


Figure 4.3-23: Optum Data Conversion Methodology.
Our data conversion approach will employ a hybrid waterfall and Agile methodology. It will be harmonious with the iterative elaboration, design, and development for other key WV IES components.

Data Conversion Planning

We will perform a full analysis to identify all systems from which we will migrate data to successfully implement the WV IES. As part of this analysis, we will review the RAPIDS, FACTS, and OSCAR structures, the source data dictionary, and layouts to determine the appropriate data elements that are be available to your users with input from SMEs, users and staff members.

The data conversion process begins with a planning phase. During the initial project planning phase, we will develop and submit a comprehensive Data Conversion Plan for your approval. We will document the design, testing, and execution specifications in the continual development of the Data Conversion Plan, updating it as necessary to meet the current business and technical environment. The plan will outline all tasks and specifications associated with conversion preparation and execution, complete with a division of scope that aligns with the overall WV IES releases and program increments. It will be a roadmap for conversion of the historical and active data, including all reports, notices, and imaged documents applicable to the WV IES. The plan will also include considerations for data integrity and State and federal security and privacy requirements.

We begin the process of conversion planning with a methodical information gathering effort that aligns with the ongoing DDI requirements analysis and JAD sessions outlined in our Optum Delivery Model. We will work with you to establish the requirements for data conversion and will produce a Data Conversion Requirements Document, which will include the use of the IES Requirements Specification Document (RSD) and the Detailed System Design (DSD) document to determine which data elements are required for the conversion process. Next, we will produce a Data Conversion Specifications Document, which will contain the specific data cleansing and conversion criteria for the data elements identified in the Data Conversion Requirements Document.

Using these documents, we will map out the necessary entities, relationships and business rules that map out the scope of each release and subsequent iterations. Each conversion iteration will include requirement and design updates uncovered and necessitated by the progressive elaboration of requirements following these documents and the overall WV IES Project schedule.

As we work from requirements analysis to detailed system design, we will compile and document the following elements in the Data Conversion Plan:

- Updating the Data Conversion Plan as necessary to meet the current business and technical environment.
- Development and/or use of conversion programs, tools, or existing extract routines to extract data from the current system.
- Validation of the data conversion software, including description of a system test of all conversion software to demonstrate its functionality and performance before conversion.
- Contingency planning to mitigate data conversion risks, including development of a Data Conversion Risk Identification and Contingency Plan.
- Conducting parallel system and subcomponent runs to validate data conversion results.
- Data cleansing, including development of a Data Conversion Specifications Document containing the specific data cleansing and conversion criteria for all data elements.
- Development and use of data conversion test scripts.
- Support for UAT of converted data.
- Updating the Data Conversion Requirements Document, including the use of the IES Requirements Specification Document (RSD) and the Detailed Systems Design (DSD) documents.

As part of our collaborative approach, we will gain your approval of our Data Conversion Plan for consolidating these systems into the WV IES. Validation of our proposed approach, including software, configuration and data source order is essential to that approval. Our plan will outline a process to produce a series of test scripts and operations that will facilitate approval gates for the conversion infrastructure readiness in release R0 as well as the data conversion scope for the following releases and program increments.

These scripts will reflect the data diversity and aggregate character uncovered by the data profiling done on each source system, both from the source data and target WV IES transactional database perspective. The WV IES uses the same enterprise ETL and metadata management tools and specifications for one-time data conversion and ongoing data transformation. We will design, implement and document a scalable data acquisition service, acquiring all necessary historical and operational source system data in a timely and secure manner.

Data Profiling, Mapping and Transformation Analysis

We validate our data conversion tools through a system test to confirm functionality and performance before beginning conversion activities.

In conjunction with the planning process, we will use the same JAD sessions to design and document the required data mappings and data transformations. Our iterative design and development approach fully accounts for a comprehensive data validation process and set of rules, such as those defined in the RFP. We document these rules and procedures as an outcome of data mapping, including conducting crosswalks to confirm the standardization of values and documenting (in Erwin Data Modeler) dependencies and entity relationships within the data model. Philosophically, we then design the conversion process in a manner that does not affect the integrity of the data received from the source systems. Whenever approved transformations are applied, we will retain the original content and data values using additional tables or columns within the same table.

Our data quality management tools (Informatica MDM Data Governance) and associated processes handle the root cause of data problems before they reach the system.

Our solution profiles and discovers data anomalies, structure and overall suitability before any data migration effort begins. It matches records and identifies relationships across multiple members,

providers, and other data domains. We score the perceived quality of data items and the relevance of business rules to gauge the overall health of data that feeds data quality metrics and KPIs.

Connect, identify and extract: We will identify the Informatica data conversion programs, tools and any existing routines useful in extracting data from RAPIDS, OSCAR and FACTS, as well as any other necessary data sources that you identify in the requirements identification exercises.

We will identify all of the historical and active data in scope for data conversion. This includes WV IES operational data, WV IES-related reports, notices, and imaged documents needed by and applicable to the solution. Our team will document the mapping required from the source system to the new WV IES using Informatica PowerCenter, which helps identify the data relationships that are part of data lineage analysis. We will identify approved data cleansing rules as we perform data mapping.

For extraction operations, we will use Informatica PowerExchange giving us out-of-the-box connections to the various source systems and enabling our ETL programmers to retrieve all sources of enterprise data without having to develop custom data-access programs. Data extract files will be loaded in the staging area in preparation for further processing. In the staging area, we will profile and analyze the data for accuracy, formatting and content. Where required, we will use a built-in data retrieval capability called the Change Data Capture Option, which captures changes in various environments as they occur, enabling ETL operations to deliver near real-time data from target databases.

Data cleansing and transformation: As part of the data cleansing activity, we will produce a Data Conversion Specifications Document that contains the specific data cleansing and conversion criteria for all data elements.

Based on the data profile analysis, we will develop data cleansing rules for any data anomalies that do not agree with expected values. We will assist your staff by helping to quantify and document data quality issues such as garbled content, invalid record relationships, data type redefinitions or invalid content.

With your guidance, our team will work with you to automate and correct misplaced, misspelled, and misfielded data to capture valuable information that would otherwise be lost. Precise, consistently reliable data leads to more accurate operational models, projections and analyses. Quality data leads to trusted results.

We will also identify data transformation rules and format conversions based on the agreed-upon specifications. We will identify any additional data elements necessary to maintain business meaning and optimize processing, replication and reporting. This step is particularly important, as many of our program iterations and pilot steps require clean program and geographic data. For example, AddressDoctor will create a clean version of latitude and longitude. We will present and discuss the results of the data profiles, and the suitability of the data for each step, with you.

For cleansing and transforming WV IES data, we will use Data Quality, a component of Informatica PowerCenter. Data Quality is made up of accelerators, automation and reports. It provides a complete process for measuring, monitoring, tracking, and improving data quality at multiple points across the system over time. The Data Quality component can selectively apply rules to modify data values based upon pre-determined and fully vetted conversions. As you progressively elaborate your requirements (and we record them in the Data Conversion Plan), we will use out-of-the-box accelerators, enterprise data governance rules or selectively applied custom rules to source domain boundaries. Informatica Data Quality has a library of easily customizable components for parsing, standardization, and matching data. Combining the tools for Proactive Monitoring, the Data Quality team approach to establishing data quality rules, the ability to standardize addresses using AddressDoctor, and the ability to integrate and match identities using the new Master Data Management system, the Data Quality package is comprehensive and will meet and exceed RFP

requirements. The progressive maintenance of data conversion rules, the repeated execution of conversion tests, and the reporting on progress of each conversion iteration are all aligned with the management of data quality, metadata and the validation of conversion results expedited by our conversion tools: Informatica Data Quality, Metadata Manager, and Data Validation Option.

As we use PowerCenter/PowerExchange to cleanse and transform the WV IES data, we will apply rules from the Master Data Management Foundation, with Consumer and Case Domains. As you have identified more than 400,000 duplicate cases across the source systems, this step will be critical, and our successive iterations will improve upon the baseline rules established by your early Master Data Management (MDM) successes within each system. The Informatica PowerCenter engine and instrumentation will apply formatting and loading rules from the data quality steps. They will do so in data conversion and ongoing data loading, thereby leveraging your data conversion investment throughout your ongoing WV IES operational period.

Using Metadata Manager, we will store metadata on all converted and ongoing data. From Metadata Manager, we can unify conversion rules, ongoing ETL rules, and the semantic layers from your existing and new business intelligence objects and reports. We will also use Metadata Manager to unify the source to target data lineage for all data elements. This will include all aspects of data cleansing, ranging from technical and business quality measures to all splits, merges, and aggregations. This metadata will be available in data dictionaries, data glossaries and in metadata manager itself. Because data dictionaries and glossaries are needed by stakeholders who do not use Informatica, we can extract such technical and business metadata into various formats, including text files and XML reportable formats.

Finally, we will use the Informatica Data Validation Option to measure the conformance of the data, both in data conversion and ongoing operations, with the mapping and data quality rules documented in the Data Conversion Plan.

Data formatting and loading: After completing the planning and analysis phase, we will move data to the target database. Loading the converted data from the staging files into the system database will consist of running the files through a set of Extract, Transform, and Load (ETL) processes to load the data into test and production tables. Final target loading will start from scratch on a production database with proven data conversion procedures. We will collect target audit statistics and verify them against source data statistics and expectations. The target database will load to the approved and tested model with tested, profiled and transformed data.

Our data modeling, metadata management, and approach to transformation reveal further optimization. We have refined our baseline data models based on years of warehousing and enriching health care data experience. They are extensive and flexible. In our many customer sites, we support multi-million and even billion+ row claims and encounter data warehouses with actively maintained adjustment history. We maintain data so that update history is available through date stamps and where necessary, dimensional history. We accumulate this history from source system updates and our data-enrichment steps.

We also optimize for retrieval and analysis. The WV IES will support many enterprise functions, ranging from ad hoc analysis to standard summary reporting, including reports to assure that there are adequate checks and balances in the data conversion process. Our experience in building and operating reporting, analysis and extraction tools makes our solution easy and intuitive for authorized data retrieval.

Validation testing and verification: The verification process will be continual and iterative, enabling the control of the initial and ongoing data transformation and quality assessment processes. We will conduct unit testing through acceptance testing throughout the data conversion lifecycle. Before the final target loading, we will load and verify a subset of the data in a test database.

As part of our data conversion system testing, we will perform trial conversions of data using source–to-target mappings derived from data conversion requirements analysis for the given iteration. Trial conversions strongly align with the Optum Delivery Model, where multiple iterations will follow the overall program and plan-based transition from your legacy systems to the new WV IES. The most important purpose of Informatica Data Validation Option is the verification and reconciliation of conversion results. To accomplish this, we will conduct parallel system and subcomponent runs to validate the data conversion results. This COTS function contains off-the-shelf routines that correlate the results of tests enabled by sample data, detailed and aggregate data profile reports, and data conversion runtime recaps for each branch of the source to target data conversion stream.

Each iteration will contain a battery of tests to validate the accuracy of converted data against expected results based by applying transformation rules to source data in scope for the test. We will follow processes that count the records and fields in the input files. These record and field counts can then be balanced to verify that no data was excluded during the loading process. When the data is loaded, we will perform further data integrity checks to confirm the newly loaded data displays correctly for the user. In addition to statistically significant sample size audits to check for outcome violations on various data elements, we will verify count balances at the file and table level and perform unit and system testing for conversion and load programs.

We will identify all subtasks and deliverables related to validation testing in the detailed project schedule and address them in the Data Conversion Management Plan, which covers:

- Development and execution of unit and system testing for all conversion and load programs
- Quality check procedures
- Post-conversion data testing and auditing
- Objective pass/fail criteria or metrics, as appropriate
- Conversion Test Results Document

We will maintain the existing RAPIDS, OSCAR and FACTS systems and their associated databases until acceptance.

Methodology and Approach for WV IES Data Conversion

Data Conversion Plan: During the initial project planning phase, we will develop and submit a comprehensive Data Conversion Plan for your approval. The plan will outline all tasks and specifications associated with conversion preparation and execution, complete with a division of scope that aligns with the overall WV IES releases and program increments. It will be a roadmap for conversion of the historical and active data, including all reports, notices, and imaged documents applicable to the WV IES. It will include the WV IES database as well as the WV IES data marts and MDM system. The plan will also include considerations for data integrity and State and Federal security and privacy requirements.

We begin the process of conversion planning by employing a strategy that follows a methodical information gathering sequence as we work from requirements analysis to detailed system design. The assignment of enabling data conversion activities will follow the WV IES release schedule, Section 4.2.3, DDI Schedule.

We always begin with the principle that data conversion processes should retain all legacy data, as every future need for these data is not known in advance. Our data conversion efforts emphasize fidelity and traceability to the legacy data for transactional purposes, and also provide a means for maintaining their meaning for analytics and reporting as well. This means that where meaningful, we will retain the original content and data values by putting the new data in different tables or additional columns within the existing tables.

Deliverables

- A description of the overall conversion strategy
- A detailed conversion schedule
- An outline of roles and responsibilities
- Pre-defined and mutually agreed upon success criteria and acceptable thresholds
- A description of all tools to be used during the conversion process
- Methods for user validation of converted data
- Procedures for tracking and correcting conversion problems when encountered
- A process to identify and mitigate risks that may be encountered during conversion
- The target data store schemas
- Detailed data element mappings, including values of the old systems data elements to the new systems data elements, new data elements to old data elements, and default values
- Specifications for manually converting unreliable data elements that cannot be converted
- Referential integrity relationships for related data

In order to verify that all requirements are addressed in the Data Conversion Management Plan, we will identify all of your data needs and meet those needs by reviewing and contributing to the relevant parts of the WV IES RTM.

Our iterative development approach fully accounts for a comprehensive data validation process and set of rules, such as those defined in the RFP. We document these rules and procedures as an outcome of data mapping, including the following data conversion documentation:

- **Crosswalks:** These confirm the standardization of values.
- **Problems and problem resolution**: If problems are encountered in the conversion process, we will capture the problem and corresponding resolution in a Load Issue Log.
- **Pre-data and post-data conversions - Manual and Automatic:** The conversion process will not affect the integrity of the data received from the source systems. Whenever approved transformations are applied, we will retain the original content and data values using additional tables or columns within the same table.
- **Dependencies–entity relationships:** We will identify and document these within the ERwin data modeler.
- **Outstanding issues and final results:** We will document and track these in an issue log.

Conversion Programs: In the Data Conversion Management Plan, we will identify the Informatica Data conversion programs, tools and any existing extract routines useful in extracting data from FACTS, RAPIDS and OSCAR as well as other necessary data sources that you identify in the requirements identification exercises. We will use them to execute our data conversion processes.

For the connection, identification and extraction operations, we will use PowerExchange. PowerExchange provides us with out of the box connections to the source systems for RAPIDS, FACTS and OSCAR. We use the PowerExchange family of products to enable our ETL programmers to retrieve all sources of enterprise data without having to develop custom data-access programs. Where required for the WV IES, we will use a built in data retrieval capability called the Change Data Capture Option, which captures changes in a number of environments as they occur, enabling ETL operations to deliver near real time data from target databases.

For cleansing and transforming WV IES data, we will use the PowerCenter Component called Data Quality. Data Quality is made up of accelerators, automation and reports. It provides a complete process for measuring, monitoring, tracking, and improving data quality at multiple points across the

system over time. The Data Quality component has the ability to selectively apply rules to modify data values based upon pre-determined and fully vetted conversions. As you progressively elaborate your requirements (and we record them in the conversion plan), we will use out of the box accelerators, enterprise data governance rules or selectively applied custom rules to source domain boundaries. Informatica Data Quality has a library of easily customizable components for parsing, standardization, and matching data. Combining the tools for Proactive Monitoring, Data Quality team approach to establishing data quality rules, the ability to standardize addresses using the AddressDoctor, and the ability to integrate and match identities using the Master Data Management system, the Data Quality package is comprehensive and will meet and exceed this requirement.

As we use PowerCenter/PowerExchange to cleanse and transform the WV IES data, we will apply rules from Master Data Management Foundation, with Consumer and Case Domains. As you have identified more than 400,000 duplicate cases across the source systems, this step will be critical, and our successive iterations will improve upon the baseline rules established by your early MDM successes within each system. The PowerCenter engine and instrumentation will apply formatting and loading rules from the data quality steps. This will be the case in data conversion and ongoing data loading, thereby leveraging your data conversion investment throughout your ongoing WV IES operational period.

Using Metadata Manager during ETL, we will store metadata on all converted data and ongoing data. From Metadata Manager, we can unify conversion rules, ongoing ETL rules as well as the semantic layers from your existing and new business intelligence objects and reports. Since data dictionaries and glossaries are needed by stakeholders who do not use Informatica, we can extract such technical and business metadata into a number of formats, including text files and XML reportable formats. We will use the Data Validation Option of PowerCenter to measure the conformance of the data, both in data conversion and ongoing operations, with the mapping and data quality rules documented in the data conversion plan.

Conversion software validation: We understand that it will be necessary to gain your approval for our conversion plan for consolidating these systems into the WV IES. Validation of our proposed approach, including software, configuration and data source order is essential to that approval. Our plan will outline a process to produce a series of test scripts and operations that will facilitate approval gates for the conversion infrastructure readiness in release R0 as well as the data conversion scope for release and program increment. These scripts will reflect the data diversity and aggregate character uncovered by the data profiling done on each source system, each from the source data, target WV IES transactional and target data mart perspective. The WV IES uses the same enterprise ETL and metadata management tools and specifications for one-time data conversion and ongoing data transformation. We implement and document a scalable data acquisition service, acquiring all necessary historical and operational source system data in a timely and secure manner.

Our data quality management tools (Informatica MDM Data Governance) and associated processes handle the root cause of data problems before they can make their way into the data warehouse and analytics results. Our solution profiles and discovers data anomalies, structure, and overall suitability before any data migration effort begins. It matches records and identifies relationships across multiple members, providers, and other data domains. We score the perceived quality of data items and the relevance of business rules to gauge the overall health of data that feeds data quality metrics and key performance indicators. We apply reusable data quality rules and processes to master enterprise data across multiple sources, applications and systems in batch or by using web services. Our solution corrects misplaced, misspelled and misfielded data to capture valuable information that would otherwise be lost. Precise, consistently reliable data leads to more accurate operational models, projections and analyses. Quality data equals trusted results.

Overall, our conversion methodology will clearly identify and define the strategies, activities, and workflow required by the conversion task. This includes contingency planning in the event that it is determined that conversion cannot be accomplished as scheduled.

Contingency planning: Overall, our conversion methodology will clearly identify and define the strategies, activities and workflow required by the conversion task. This methodology includes contingency planning to mitigate data conversion risks through the development of a Data Conversion Risk Identification and Contingency Plan. When planning each iteration, we will perform exhaustive source data research and target data requirements analysis. We will build a detailed conversion plan using our data profiling tools, and incorporating your overall goals and requirements.

Our experience performing data conversions gives us a head start in knowing what tools and techniques are best for dealing with the work at hand and associated potential problems. Our Data Conversion Plan will outline our detailed approach and address each of the conversion challenges, including the ones you have identified. We address each conversion challenge with a mitigation tool or technique from our conversion approach in the following table.

Potential Conversion Issue	Mitigation	Conversion Plan
Unexpectedly high data volume	We thoroughly research and document information about all data sources, associated data volumes and conversion frequencies.	Our subject matter experts (SMEs) will conduct interviews with source system owners and data stewards. We will use the WV IES data profiling, data modeling and metadata tools to plan and handle all in-scope data varieties and volumes.
Complexities inherent in defining the relationship between source and target data structures	Our WV IES metadata tools capture all needed relationships between source and target data. Our repository of existing data models and modeling techniques allow for the capture and versioning of most health care and business data relationships.	Our data design experts will design target data structures to capture all required data to preserve the source business data. The relationships between source and target data will be documented in metadata to establish bi-directional traceability.
Differences in the data required for processing between legacy and new systems	We capture all operational metadata needed to preserve the bi-directional mapping of source and target data.	Our data design experts, in coordination with our SMEs, will design target data structures to capture all required data to preserve (and in many cases enhance), the source business data. The relationships between source and target data will be documented in metadata to establish bi-directional traceability.
History of changes to processing requirements and valid codes that may result in data inconsistencies and missing data conditions	We capture all business metadata needed to preserve the bi-directional mapping of source and target data.	Our data design experts, in coordination with our SMEs, will design target data structures to capture all required data to preserve (and in many cases enhance), the source business data. The history of changes particular to source and target data will be documented in metadata to establish bi-directional traceability.

Our WV IES Data Conversion Management Plan will not be limited to addressing potential data conversion challenges. Our overall approach will include identifying data conversion scope, describing the character of source and target data, and defining all appropriate object and metadata. We will include all of this analysis in a plan that incorporates work plans, quality and process controls, and appropriate technical and business metadata.

Conversion validation: Maintaining the existing RAPIDS, OSCAR and FACTS systems and associated databases until acceptance is consistent with our best practice of performing unobtrusive development and testing. As described in our response above, we will migrate your databases to our environment where we will operate them while we build the WV IES database and the reporting data mart that replaces them. This is ideal since it allows comparison between the old and new system, at many levels of testing, not to mention the all-important stage of parallel testing. The conversion validation will follow and enable not only the underlying data, but the full range of WV IES application scope. This is particularly important in fulfilling the acceptance criteria for each release, where we will demonstrate and validate all in scope functions using parallel systems and underlying data.

In addition to performing parallel WV IES functions, we will also validate the success of the conversion so as to touch all in scope data. We will use Informatica Data Validation for multiple iterations in operational readiness and parallel testing exercises. We will switch ongoing process to the WV IES data mart once it has been proven operationally ready, approved by you, and we have received the all clear from interface and other stakeholders.

Data cleansing: We will use Informatica Metadata Manager to unify the source to target data lineage for all data elements. This will include all aspects of data cleansing, ranging from technical and business quality measures to all splits, merges, aggregations and other value add operations. These metadata will be available in data dictionaries, data glossaries as well as in metadata manager itself.

Data conversion test scripts: Through our successive data conversion iterations, we will use our test data management tools to select target data according to test plans and scripts that you approve. These data conversion test scripts are designed to cover all of the data uniqueness uncovered by the data profiling that we run early in the development of each release. Our approach dictates that we use additional data profiling to adapt our testing scripts to reflect and verify all profiled cases relative to DHHR data governance dictated dimensional conformance, history capture, and data enrichment. As a result, our approach to data conversion does will not leave data unconverted. Instead, our approach relies on data profiling, which results in scripting that builds data conversion paths for every permutation found in the data. However, if there are specific requirements on your part for some RAPIDS, FACTS or OSCAR records to remain unconverted, we can handle that. In such cases, we will alter our script to divert some of the data to a sequestration staging area, where it will be retained or archived according to your requirements.

Our test scripts will also verify completeness of data conversion steps in aggregate, as well as the detail of data quality and conformance for all data permutations found in data profiling. Each data conversion iteration will begin with a verification of the data source to the target mappings. The iteration will include a data profiling step that will identify all applicable accelerators and transformation routines.

Each iteration will continue until all approved scripts verify the correct operation of the data conversion processes. This makes our tests truly representative of all the data and the variations that we will encounter when we run parallel testing scripts.

User Acceptance Test (UAT) converted data: In support of UAT, we will supply sample data, detailed and aggregate data profile reports, and data conversion runtime recaps for each branch of the source to target data conversion stream. We will submit UAT test scripts for your approval, and provide training for users to execute and log them for gate level decision making. We will also provide SQL access and the appropriate technical and business metadata so that testers can run their own queries to verify correctness and completeness.

Updating data conversion requirements document: A significant advantage of OSAM is the improved quality of requirements and design aggregate documents. Using the WV IES RSD and the DSD documents, we will map out the necessary entities, relationships and business rules that

map out the scope of each iteration. Each iteration of the conversion will include requirement and design updates uncovered and necessitated by the progressive elaboration of requirements following these documents and the overall WV IES project schedule. The progressive maintenance of data conversion rules, the repeated execution of conversion tests, and the reporting on progress of each conversion iteration are all aligned with the management of data quality, metadata and the validation of conversion results expedited by Informatica Data Quality, Metadata Manager, and Data Validation Option. Our project planning, complete with a map of DHHR programs and data scope, will find traceable and up-to-date data conversion detail. Since the data conversion often precedes transactional and data reporting and visualization functionality, our progress in updating Data Conversion Requirements will provide one of many resources DHHR and stakeholders to use in overall and detailed validity and verification purposes.

Approach to Data Conversion Reconciliation

Trial conversions: As part of our data conversion system testing, we will perform trial conversions of data using source to target mappings derived data conversion requirements analysis for the given iteration. Trial conversions are strongly aligned with OSAM, where multiple iterations will follow the overall program and plan based transition from legacy West Virginia system to the new Optum WV IES.

Reporting results and analysis: The most important purpose of Informatica Data Validation Option is the verification of conversion results. This COTS function contains off the shelf routines that correlate the results of tests enabled by sample data, detailed and aggregate data profile reports, and data conversion runtime recaps for each branch of the source to target data conversion stream. Each iteration will contain a battery of tests and results that will dictate the necessary exit criteria for that stage.

Verification of pilot and statewide implementation data: Our plan for pilot data conversions follows the overall WV IES pilot plan. We will version data and harmonize it with the legacy data used to support ongoing operations handled by the legacy systems. Our use of Informatica Data Validation Option is not limited to pilots, samples or other subsets of the data. The work we do in the pilots, and subsequent progressive releases of data conversion work is retained in the overall repository of data conversion rules. This means that the same instrumentation and reports used in development and release testing will be available and useful for overall operational system wide data verification. This is especially useful for the accumulating scope for each successive WV IES release and program increment.

Data that does not convert: Our approach to data conversion does not rely on leaving data unconverted. Our approach relies on data profiling, which results in scripting that builds data conversion paths for every permutation found in the data. If there are specific requirements on your part for some RAPIDS, FACTS or OSCAR records to remain unconverted, we can handle that. In such cases, we will alter our script to divert some of the data to a sequestration staging area, where it will be retained or archived according to your requirements.

Data conversion test scripts: We bring a wealth of test scripts for data conversion and quality. Coordinated as part of our overall strategy of Agile data conversion for each WV IES release, we begin with planning, executing and testing foundational data entities that will be important to master data. Examples are member identities and attributes such as case/family membership and address. Leveraging the advantages of Agile testing, we build out from the foundational data elements in each release to include transactional and time organized data. Our approach dictates that we used additional data profiling to adapt our testing scripts to reflect and verify all profiled cases relative to WV DHHR data governance dictated dimensional conformance, history capture, and data enrichment.

Using our test data management tools, we select target data according to test plans and scripts that you approve. These test scripts are designed to cover all of the data uniqueness uncovered by the

data profiling that we run early in the development of each release. This makes our tests truly representative of all of the data and the variations that we will encounter when we run parallel testing scripts between the legacy RAPIDS and new WV IES.

4.3.7 Objective: System User Training

The Optum Team partner PCG will provide all aspects of user training for the WV IES to facilitate a successful implementation and positive user experience. We will provide training throughout the life of the project.

We use a collaborative and multifaceted approach to system user training. Depending on the audience, subject, circumstances, and needs, trainings may take place in-person, through e-Learning videos or through Web conference presentations. Live, hands-on training options will be available in the Charleston, West Virginia training facility and the State's regional training facilities for State-designated users, trainers, and other targeted groups.

Training
Best Practices

- Continuous training is important
- Hands-on Training for 3500 users
- e-Learning video training promotes a standards-based approach
- DHHR workers have daily commitments so training needs to be both effective and efficient
- Surveys provide valuable feeback to continuous improvement

We will develop training materials we can use in hands-on, interactive training sessions using data in the online training database that reflects real-world scenarios and circumstances. To support ongoing learning, we will prepare e-Learning training videos that DHHR staff members and other user groups can view independently as their schedules allow through the Learning Management System (LMS), a library of training videos and materials that is accessible 24x7. We will develop and publish step-by-step guides describing the functionality of the WV IES and other reference materials for State users and end-users. This approach standardizes understanding of the WV IES system and processes and has been proven successful for other human services programs.

The following are examples of previous project work:

- **Massachusetts Department of Transitional Assistance (DTA):** We assisted with the transition from a caseload-based model for SNAP to a "first available worker" model and implemented technology and processes to support the new business model. We trained more than 1,200 DTA staff statewide on multiple phases of the redesign. Both the classroom and lab trainings were specific to the staffing roles (e.g., case managers, clerks) attending each session. In addition to conducting more than 300 classroom and lab sessions, we produced a comprehensive set of materials for staff to reference on the job.
- **Pennsylvania Department of Human Services:** We currently provide information technology consulting services, which includes comprehensive training support for two statewide enterprise IT systems, PELICAN and HCSIS.
- **North Carolina Department of Health and Human Services**: We facilitated training for State staff in policy, systems, coaching, facilitation, and business process redesign to support the State's new integrated case management system, a shift toward a universal worker model, and implementation of the Affordable Care Act.
- **Arizona Department of Child Safety:** We assisted with training to ensure a successful deployment of their mobile solution through creation of a comprehensive training for end users and help desk staff. We conducted train-the-trainer sessions, offered technical assistance and support during end-user trainings through the intial release of the mobile solution, and developed reference materials related to mobile technology and the mobile solution for the future of end users and support professionals.

- **Massachusetts Department of Early Education and Care:** We assisted with the strategic planning, development, and implementation of a statewide differential licensing system, which determines the frequency and depth of monitoring visits needed for a childcare providers based on an assessment of a program's level of compliance with state regulation. We assisted with the development of new business, creation of two new abbreviated monitoring checklists, a business process handbook and delivered all staff trainings.

We will work with you to provide comprehensive training for DHHR's estimated 3,500 State users. This includes State agency staff members who will need training to operate various solution functionalities. To reach all training populations, instructor–led, hands-on training will be a significant part of training, supplemented by Web conferences and e-Learning. Our Training Management Plan will address the various training needs of these stakeholders through the lifecycle of the WV IES.

Approach to Completion of Training Deliverables and Milestones (as listed in RFP Appendix II), including Methodology for updating Deliverables throughout the Lifecycle of the Project

The Training Management Plan we include in Appendix 6 covers our team's approach to delivering and managing the required WV IES Program deliverables. These include the initial and updated Training Management Plan, training schedules, training materials, and training reports. We will submit these training deliverables to DHHR for your review and approval throughout the life of the project.

Training Approach

We will use our proven training methodology for the WV IES. West Virginia will benefit from our experience delivering systems training for these types of programs in a number of other states. This methodology is supported by the following:

- Modular baseline training materials
- Training Management Plan
- Tools, including a proven LMS
- Evaluation templates that are customized during implementation and in place during operations

When developing training, we begin with the end goals in mind, and teach to specific learning objectives that lead to accurate implementation of correct policy and procedure. To achieve this, we develop a curriculum that engages learners through a gradual release of responsibility instructional model, transferring knowledge from the trainer to the learner. This model of instruction sets our professional development apart from other training providers who often present information without a process to make sure that participants comprehend the information and have internalized it for independent use. Furthermore, we will engage the 25 state trainers from the outset to help ensure full understanding of the training concepts, sustainability, and the transfer of knowledge to the benefit of West Virginia.

The proposed LMS platform currently supports over 60,000 users. With the core LMS already installed, the Optum team will tailor the solution to support different WV IES State and vendor groups. We design our training approach and materials for maximum effectiveness and conformance with MITA concepts and principles of reusability, electronic information capabilities, industry standards and best practices, interoperability, personalized West Virginia user experiences, privacy and security.

Our team incorporates continuous quality improvement (CQI) into the training program, following our approach to professional development. This provides a structured mechanism to continually evaluate training needs, update training strategies and materials, and conduct and assess training activities throughout the contract. Additionally, we solicit input throughout the Operations Phase to

identify additional DHHR training needs, update materials and conduct training sessions, as needed.

Our team will provide quality assurance reviews of training, throughout the project. As staff members become more proficient, the quality analyst will conduct random reviews. **Figure 4.3-24** shows our CQI approach to professional development and delivery.



Figure 4.3-24: Continuous Quality Improvement Approach.
Training needs are continuously analyzed and training materials are updated based on observations, feedback, changes, and best practices.

Our training staff has an eye toward sustainability while conducting large-scale training efforts in the context of Organizational Change Management. We develop all trainings with the understanding that building a culture that supports and sustains innovation and opportunity is a critical component of successful enterprise initiatives. The bundle of knowledge and tools incorporated into trainings will support the essential growth, change and revitalization of organizations and their operations.

To provide meaningful training materials for the WV IES, our training staff will collaborate with the developers of our solution's user interface, reports, and other solution components. They will also collaborate with staff to prepare system documentation and online help. We will work with you and your key stakeholders to identify gaps in knowledge or skills and determine where a training need exists. We will work with the state to explore the possibility of offering Continuing Education Units (CEUs) for our training curriculum.

User Training to Support Implementation

We will support training for WV IES business applications for eligibility, child welfare, childcare, and child support. This will include readiness planning, instructional design for material development, and trainers ready to deliver information to State users and other stakeholders.

Approach to training state trainers (25 trainers): Our plan is to begin training early and to build on that knowledge so that the State trainers are experts by the time we enter operations. We would like to include the State trainers as early as UAT. This would be the first time they see the system and would allow them to participate in testing as well as experience the difference in technology from the legacy system.

We build on the UAT training by including the trainers in our pilots. This allows them to experience the new system as it will look and feel in production. We feel that the early experience in UAT and pilot will build confidence in their training capabilities and that they will become advocates of the system to other State users.

Finally, prior to operational go-live we will provide a two-week training session that provides functional training and assesses their abilities to provide the training to other State users. The first week is used to test their knowledge of the applications, while the second week focusses on their abilities to provide training in their subject matter.

Training to support UAT: During implementation, we plan to train the State's 25 trainers as well as other key user acceptance testers and make certain the first iteration of training is available for staff before UAT. Our trainers will cover the functionality covered by the UAT, explain testing

procedures, and provide guidance to State users executing test scripts. Training before UAT is important for users to gain the knowledge they need to thoroughly test the WV IES and its functionality. When properly trained, these users can help validate that the WV IES meets the requirements outlined in the RFP. Feedback from DHHR acceptance testers will also help identify opportunities for updating and improving our training materials.

Training to support pilot and end user training: Our Agile approach provides for a series of pilots that allow for a selected group of stakeholders to begin operational activities prior to an official go-live date. For those stakeholders participating in the pilot, we provide comprehensive hands-on training that covers course curriculum, explain the pilot procedures, and train the pilot group on the solution.

We provide the same training on a larger scale in preparation for go-live. During operational readiness, we conduct end-user training for all stakeholder groups to prepare for the rollout of the WV IES. This includes workshops with hands-on training, Web meetings and e-Learning.

Training state users: We will work with you to provide training for DHHR's estimated 3,500 State users who will operate the WV IES. These State-designated users will receive focused training on the features and functions of the solution and learn how to use the tools to access the information they need to make effective business decisions. Training for State users includes hands-on exercises when training is held at the State regional training facilities or the Optum training facility in Charleston. State and vendor users and trainers receive training that corresponds to their daily functions. We use data or business examples that are HIPAA compliant with no PHI and are relevant to business units. The Optum team will also provide e-Learning videos and other electronic reference materials available on the LMS.

Training to Support Ongoing Operations

Throughout operations, we provide training tailored to support your 25 state trainers. In the event that a state trainer leaves, the Optum team will train their replacement in the WV IES to maintain capacity throughout the contract.

We will offer hands-on training workshops to users in the Charleston training facility. We will offer e-Learning videos and Web conference demonstrations for State trainers who are unable to attend a workshop. Online user manuals with step-by-step instructions and e-Learning videos will be available on the LMS. The State trainers can then utilize the LMS and the documentation created by the Optum team for their training activities within the organization.

Authorized State users logging into the LMS will be able to securely access additional training materials as described in the following section.

Our Training Materials

We will provide training materials that are easily accessible, primarily through the LMS. Authorized users will be able to access relevant materials in the LMS using links from the various portals:

- Links on the Agency Portal giving authorized State users access to relevant system and operations materials
- Links on the internal Optum Portal will give authorized Optum users access to relevant system and operations materials

The LMS provides a training curriculum designed and indexed to target authorized users. Our LMS will be available 24x7 to authorized users. They will have on-demand access to training materials related to specific topics, business processes, subject matter, and other program information.

We will develop and maintain user manuals, reference documents, scenarios, and e-Learning videos. The relevant training materials will be available before training. Users will be able to search for topic-based programs and tutorials that actively lead them through application training, test their

progress, and provide correct answers and feedback. Users can download files electronically for review and for printing hard copies. We can also update learning course materials for use in initial and ongoing operations training. In addition, we will link to the State's online policy and procedure manuals. We will store desk-level procedures in our defined document repository.

Planned Curriculum: Training is tailored to incorporate WV IES functionality, DHHR goals and objectives, and the State's specific training audiences and their user roles. Our Training Management Plan will outline a curriculum solution that provides the most concise and effective learning experience possible. The curriculum design and agenda will be based on the learning needs identified for the roles supporting your customers. We will also rely on any lessons learned from our development and implementation of a diverse catalog of training curricula and from training users in a number of states on their respective Human Services programs and integrated eligibility and other IT systems.

We will collaborate with you to develop agendas, course outlines and related training materials. The LMS will provide a calendar of live training and webinar events. It will also enable users to self-register for the selected training.

Tools to support training: In addition to housing a library of training videos and materials that are accessible 24x7, the LMS manages, tracks, and reports on training delivery and effectiveness. Through the LMS, courses can be assigned to required trainees. The LMS tracks and confirms that those assigned courses have been successfully completed. The LMS offers users a flexible platform, which streamlines administration of training programs for classroom and Web seminar activities, curricula and training catalogues across the user communities.

Training facilities: Our team plans to use the existing training facilities that are currently used to support the West Virginia RAPIDS maintenance and operations program. These facilities are located in Charleston. Additionally, we accept your offer to use you six regional training facilities (the State's five facilities plus our Charleston training facility) where we will provide hands-on training during end-user training.

Types of Training

The table below identifies the types of training we will use for the WV IES.

Type of Training	Process
Live Training	Live training includes conventional, instructor-led training for DHHR users to understand the WV IES operations and tools. This may include the following types of training: • **Procedural:** Task of job-specific, end-user functionality • **Informational:** Informative session for providing clarity on Optum or DHHR-specific operational processes We develop the training agendas and course outlines and provide additional support material and reference guides, as needed. SMEs from DHHR or our team will attend these instructor-led courses to answer questions related to the technical solution or to address State policy and procedures. Trainings that take place at our Charleston training facility or the State's training facilities will incorporate hands-on exercises where applicable. This will make sure that testers, trainers, and operational users can perform their daily job functions using the WV IES.
Web Conference	We can conduct training as Web conferences to demonstrate the solution for participants. The Web conferences provide presentation training for State users who are unable to attend in person.
Video-based Training	Self-paced training videos will be available for system users through our secure LMS. The e-Learning videos can provide refreshers or supplemental training for State users who are unable to attend trainings in person.

These three training types take into consideration that State resources may not be available for scheduled training courses. Your staff will be able to train when it is most convenient for them.

Target Audiences: The Training Management Plan identifies the target audiences to train and includes the following:

- **WV IES trainers:** We will train the State's 25 trainers beginning early in the process and continuing through operations.
- **State UAT testers:** We will train State testers before they participate in UAT.
- **Pilot participants:** We will train selected groups, including State trainers, before they participate in pilot.
- **State users:** We will train the State's 3,500 users before they operate the WV IES. We will also support ongoing training as required throughout the life of the contract.
- **Vendor staff:** Optum Team members may be trained during State staff training.

For each user group, our training curriculum will target the level of training needed based on the user's role and the most appropriate method of delivery.

Scheduling training: Scheduling training for staff in multiple departments requires well-orchestrated sessions. To achieve this, schedules are developed in collaboration with State representatives, and take into consideration staff workloads and the Project Work Plan's schedule. We will work closely with DHHR to finalize details of the initial training schedule, including the locations, dates and times that best meet the needs of the State and other entities participating in training.

Our initial training schedule: Initial training schedule dates and times will be based on the initial project go-live date and will contain basic training information. DHHR and the Optum team will determine and agree to a final schedule to provide timely delivery of training. Final schedules will be determined closer to implementation. Training will occur by phase to support the implementation and operations of the WV IES as shown in the following table.

Cohort	Process
Implementation Phase	
Train the Trainer	• The 25 State trainers start learning their appropriate system with UAT training, and then continue through pilot. • Prior to go-live the State trainers will complete an intensive, two-week hands-on training session to prepare them for delivering the training during operations.
UAT Participants	• There is a UAT training session prior to each pilot. • The UAT testers will consist of a subset of the 25 state trainers as well as other pertinent state users. • UAT training will consist of hands-on training in Charleston.
Pilot Participants	• Instructional and hands-on training will be conducted prior to each pilot. • Each pilot will require up to one week duration of training (based on the release). These training sessions will be completed at three of the State's regional locations or our Charleston site. • For those unable to attend the training sessions, alternative training methods, including Web conferences and e-Learning videos with user hands-on exercises, will be created to cover the material in the pilots. • The pilot testers will consist of a subset of the 25 State trainers as well as other pertinent State users.
End-User Training Participants (Go-Live Training)	• 3,500 users operating the WV IES • End-user training sessions will be segmented into two-week increments, based on the functionality, to reach the necessary user community. These training sessions will run concurrently at up to six of the State's regional locations. We anticipate one day sessions for each individual user for each phase of the roll out. • The end user will be trained on system usage/functionality.

Cohort	Process
	• Up to four e-Learning videos per program (i.e., eligibility, child welfare, child support) will be created for trainee review following hands-on training, or for those attendees unable to attend the regional training sessions. Additional Web conferences are included for those users unable to attend hands-on training or use the e-Learning videos. • The trainees will register via the LMS so that appropriate class preparation and follow-up surveys can be completed. • Users must complete training prior to gaining access to the WV IES.
Operations Phase	
Operational Train the Trainer	• The Optum team will work with the 25 State trainers to prepare an annual training refresher. • We will provide training for new training staff hired by the State. The trainees will be required to register for training through the LMS. The training will be conducted at the Charleston site. • Optum will work with the State trainers for LMS updates required due to WV IES Change Request (CR) activity or system defect corrections. • State trainers can access the LMS for scheduling and tracking their training activities for other stakeholders.

Version Control, Evaluation, and Reporting

Our training documentation version control: Our team will use evaluations to assess the effectiveness of the e-Learning videos and associated training materials, and we will determine any additional training or curriculum modifications needed. Updates may also be identified based on feedback from operations, new processing efficiencies, and best practices. Requested changes to the LMS materials will follow the change management process established for the WV IES. Approved and implemented training updates are communicated to the staff to address real-time knowledge needs.

Our approach to training evaluation: We will include a variety of practice and evaluation activities in the finalized Training Management Plan. This will help us validate that we assess participants adequately against established job performance expectations. Trainers provide evaluation forms for trainees at the end of each training session. These are used to evaluate the effectiveness of the training session. We will consolidate this feedback and report it to the State. It will serve as input and feedback for follow-up training sessions, training sessions not yet completed and subsequent training planning.

Our tracking and reporting of training outcomes: Our LMS provides trainers with the tools and information to manage, track, and report on training delivery and effectiveness, as well as to confirm that courses assigned to individuals have been successfully completed. Our LMS is a flexible platform that streamlines the administration of training programs for classroom and e-Learning activities and provides curricula and training catalogues across the user community.

The LMS includes vital features for trainers to manage and track training delivery and effectiveness, including the following:

- Real-time integrated reporting that delivers training and learning metrics for all learners
- Tracking, managing, and validating training compliance requirements
- Assessing and verifying learning with surveys and assessment results
- Enabling auto-notification, follow-up, and verification of learners and their course status
- Registration for self-administered, computer-based e-Learning videos, attendance of webinar training through Web conferences, and attendance of instructor-led training sessions
- Managing tasks associated with live, instructor-led learning

- Managing training facilities and resources
- Learning paths based on specific business processes or job and operational requirements

The LMS will generate a report of survey results for our team to analyze, note trends, and communicate the results to DHHR. Based on the survey results, we will determine possible enhancements to the training for future curriculum revisions and curriculum delivery. They will formulate recommendations for enhancements, if applicable.

4.3.8 Objective: Implementation Readiness

Optum has more than two decades of experience delivering complex implementations for clients, many of which have involved multiple vendors. We provide a low-risk implementation approach that leverages our experience and lessons learned on similar projects.

Implementation Readiness Plan

Our Implementation Readiness Plan will describe the process and activities we will use to achieve an organized and thorough assessment of go-live readiness for staff, business processes and infrastructure. It will describe our approach for completing the Implementation Readiness Phase Deliverables and Milestones listed in RFP Appendix II, Table 17.

The plan will detail how we will assess the preparedness of the organization, facilities, systems, equipment and operational responsibilities. It will include the following information:

- Readiness walkthrough process
- Roles and responsibilities for both your staff and our staff
- Strategy, tasks, activities, milestones and deliverables to successfully transition project system elements and documentation for go-live date
- Schedule of activities that identifies dependencies
- Approach for training, authorizing and assessing readiness of internal and external users
- List of systems, procedures, networks, production program libraries, system interfaces and other components that need to be validated as ready to perform during operations
- Methodology for analyzing findings, resolving issues and reporting results
- Definition of categories of findings
- Process to remediate and retest if defects are found
- Entrance and exit criteria
- Final determination of any defects found during the development/build process
- Review of all completed testing results
- Processes for continued operations, functionality and services
- Preparation and delivery to DHHR of all documentation necessary to assess implementation readiness, including:
  - Operational readiness testing
  - Emergency back-out strategy
  - Pilot testing
  - System, user and provider documentation

Implementation Best Practices

- Define readiness plan and back-out contingencies
- Use of scenario testing
- Establish an integrated testing environment
- Develop thorough operational readiness testing
- Prepare to provide additional operations support
- Define clear go, no-go criteria

- Reports and report distribution schedule
- Security, Privacy, and Confidentiality Management Plan
- Production environment, including final production schedule
- Disaster Recovery and Business Continuity Plan
- Data conversion
- Pre-Implementation training
- Update PMPs for future phases
- Confirm stakeholder readiness for new solution implementation (where stakeholders are defined as the vendor, DHHR, and others as determined by DHHR)

The plan will organize this information into the following key focus areas:

- Operational readiness (e.g., product and technical environment readiness, operational team readiness)
- Organizational readiness (e.g., user training, solution walkthroughs)
- Deployment readiness (e.g., deployment plan, back-out plan)
- Certification readiness

We will design these key focus areas to give you confidence that the solution is ready to deploy. This includes all associated people, processes and technologies. After we receive your written approval, we will deploy the solution to production and start operations. We describe these key focus areas in the following sections.

Completion of Deliverables and Obtaining Approval

The PMO will create a deliverable tracker to track all contract deliverables for the WV IES. It will indicate when the deliverables are due, when they are submitted, when they receive sign-off and which deliverables have payments tied to them.

We will update project deliverables throughout the project lifecycle. Updates often result if we identify defects during the testing process. They also result from the formal Change Request process.

Approach to Implementation Readiness

Throughout the Implementation Readiness Phase, we will plan and prepare to assume all WV IES operations responsibilities after DHHR accepts the completed solution, including all modules and supporting functionality. This section describes the activities we will initiate that are associated with this phase.

Our approach to the Implementation Readiness Phase includes all of the associated tasks and artifacts necessary for planning, execution and control, and closure as shown in **Figure 4.3-25**. Although these activities and their artifacts are not specific to the creation and delivery of application functions, they are critical to the proper guidance and management of the solution readiness and delivery process.

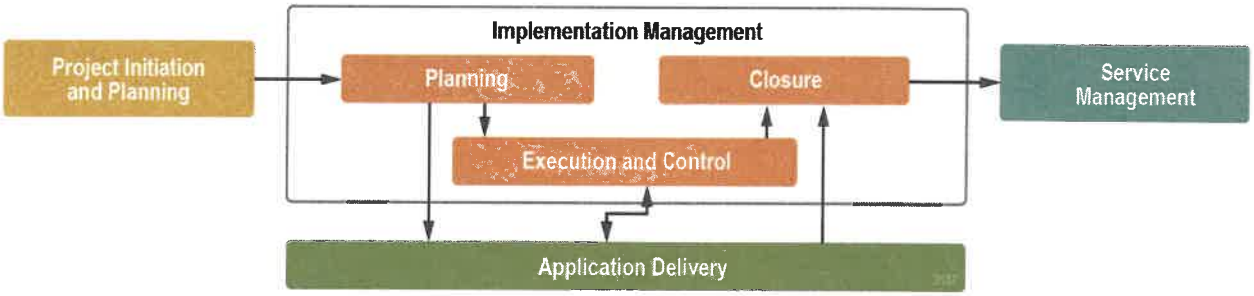


Figure 4.3-25: Implementation Planning Approach.
Our team will follow the predefined process to make sure we successfully complete the steps necessary to implement the WV IES Project.

As illustrated in this figure, implementation management consists of three primary components:

- **Implementation planning:** The primary purpose of this activity is to complete the Implementation Plan and prepare the Operational Readiness Plan.
- **Implementation execution and control:** The purpose of this activity is to manage the implementation activities based on the Implementation Plans and control and monitor the progress and quality of the implementation process to follow. This activity also manages the operational readiness and training activities.
- **Implementation closure:** This activity completes the remaining tasks, assesses results and closes the phase. An implementation certification letter is produced to certify that the system is ready for production indicating successful completion of the work.

Scheduling: Our implementation scheduling activity defines the plans that will manage the overall implementation. We will make sure all activities such as Security, Privacy and Confidentiality Management Plan; Release Entry Framework (REF) Process; Operation Readiness Plan Reviews; Deployment and participation in Integrated Testing are planned for in the schedules. We will create a Gantt chart to show the allocation of time for each phase. The WV IES implementation will have multiple releases with different durations for Requirements Analysis and High-Level Design phases. We will create the Implementation Execution and Control, Implementation Planning and Release Closure activities and associated start and end dates.

Assessment of go-live readiness: We will develop a comprehensive Assessment of Go-Live Readiness Plan to verify accurate completion of the WV IES implementation. Through our project experiences, we have developed a list of standard behaviors we will follow during this step. These include:

- Following the policies and procedures outlined by DHHR and demonstrate that the system does what it should, and it does so reliably
- Providing written reports on status of System Testing, including defect tracking, risks to cutover, and demonstrate progress toward operational readiness
- Delivering all documentation for M&O of the system; facilitating approval of all necessary documentation
- Verifying operations procedures are implemented, including monitoring, scheduled tasks, start/stop, backup, recovery and reporting
- Affirming that training has occurred to all the stakeholder, e.g., State case workers, without any significant outstanding information gaps
- Attesting that knowledge transfer has occurred to the M&O team without any significant outstanding information gaps
- Confirming that dependencies on all critical components are recorded
- Working with DHHR to document functional and hierarchal escalation paths

Documentation: Consistent diligence, verification, and appropriate updates of the documentation described in the Deliverables Dictionary will verify there are no surprises prior to your assessment of implementation readiness in this area. We will deliver all documentation to assess implementation readiness and facilitate your approval of the necessary documentation. This includes the following:

- Operation Readiness test scripts
- Training documentation
- Disaster Recovery and Business Continuity Plan
- M&O Plan
- Risk Plan and Risk Register
- Security, Privacy and Confidentiality Management Plan and security testing results

Requirements compliance: We will use the RTM as the artifact to document the relationships between all the requirements documented during the requirements analysis and system design activities. It will also include the features of the new WV IES that satisfy requirements specified in the RFP.

Integrated testing environment (ITE): As requested in the RFP, we will stand up six environments for the WV IES. The Integrated Testing Environment (ITE) will be one of the six environments. The ITE is a mock production environment your team can use to verify the solution works according to requirements and acts appropriately for daily work tasks.

User access to the WV IES: As part of the UAT, operational readiness testing, pilot testing and production rollout, we will grant user access to the WV IES to the relevant users. Because of PHI and PII, the RBAC feature of our solution helps to verify users access only the information necessary to complete their daily work functions.

Non-disruptive WV IES cutover: Our operational readiness and pilot testing will verify that each cutover to the new WV IES is non-disruptive to all stakeholder groups including members, vendors, and providers.

Solution walkthroughs and demonstrations: We will conduct solution walkthroughs and demonstrations for OMIS and designated staff for each cutover and as requested. For each incremental cutover, we will provide these interfaces with the new features so you can see the changes and associated impacts to the overall WV IES.

Implementation certification letter: This final component of the Implementation Readiness Plan is a Certification Readiness assessment. During this phase, we will review, validate and obtain your approval on the following certification-related deliverables:

- **Federal Certification and Review Management Plan** provides the approach we will use to support all federal reviews required throughout the project.
- **Administration for Children and Families (ACF) certification documentation** includes the supporting documentation required to support the ACF Certification process.
- **Federal review supporting documentation** includes the supporting documentation required to support all federal reviews of the systems.
- **Social Security Administration (SSA) certification documentation** includes the supporting documentation required to support the SSA certification process.
- **Implementation certification letter** provides attestation that we have delivered all solution functionality and are ready for full solution acceptance.

We will obtain DHHR approval for these deliverables using the agreed-upon deliverable acceptance criteria and deliverable approval process. We will work with you to determine the deliverable

acceptance criteria for each deliverable. These criteria will describe the contents and level of detail that each deliverable must contain. After we draft the deliverable, we will follow the deliverable approval process by submitting the draft deliverable to you for review and approval. We will coordinate deliverable review sessions with you as needed. After we receive your written feedback, we will make the necessary changes and resubmit the deliverable to you for final approval. We will coordinate and track the progress and status of all deliverables and approvals in a centralized deliverable tracker tool.

After you approve the Implementation Readiness Plan and all project deliverables have been updated and approved, then the system is deployed into production. We will compile a summary report and deliver it to you. In addition, we will hold a meeting to seek approval to exit the Implementation Readiness Phase of the project and move into the Closeout Phase.

DHHR approval to begin operations: After the successful completion of operational readiness testing, we will request approval from DHHR to complete production cutover and a conditional approval to start operations after a successful production cutover. After a successful production cutover, we will obtain the verification from you for full approval to start operations.

Commencement of operations: After a successful production cutover and verification from DHHR, we will start operations after receiving your approval. We will begin operations as described in Section 4.3.9, Operations.

Methodology and Approach to Complete Implementation and Finalize Deliverables

We will follow our proven methodology and approach to complete the Implementation Phase and Implementation Readiness Phase activities of the project and finalize deliverables.

Each deliverable during the Implementation Phase is a living document with its own lifecycle. It is the single controlling source for all subsequent lifecycle phases. The original draft of the deliverables may undergo significant changes until the end of Detailed Design Phase. When Detailed Design is completed, the deliverables are reviewed by the appropriate stakeholders and baselined. Subsequent changes to the deliverables must go through the Change Management Process. The deliverables are updated through the Development Phase and the Implementation Phase for Pilot testing, operational readiness testing and the go-live date.

Operational readiness testing (ORT): We will produce the operations test scripts for the ORT and repeat portions of these testing activities as agreed upon and requested by DHHR. We will deliver the WV IES test scripts showing how the system functions and how program stakeholders can effectively use it for their daily work. These test scripts will verify the system passes the predefined acceptance criteria prior to implementation.

Emergency back-out strategy: We will produce the emergency back-out strategy as part of cutover planning. With each cutover, we will produce these back-out procedures, update and finalize based on the outcome from the Pilot Testing Phase. Any modifications we find necessary from the pilot testing will be incorporated into the back-out strategy.

Pilot testing: With each cutover, we will perform pilot testing with the necessary stakeholders and discuss the findings with DHHR. We will jointly agree to incorporating all or a portion of the findings from the pilot testing for production cutover.

System, user, provider documentation: We will finalize the necessary system, user and provider documentation and update it based on the findings from Operational Readiness, Pilot Testing Phase and Production Cutover Phase. While we finalize these documents, we will use an internal SharePoint site to manage and store them. When we are ready for you to review the document and begin providing input, we will post the document in the SharePoint repository. We will use version control mechanisms to capture and track revisions.

Reports and report distribution schedule: We will provide the reports and create a distribution schedule as agreed upon with DHHR. Optum will provide reporting to you, including status reports, meeting minutes, and other special reports as requested as we build the deliverables, perform the tasks, and present the final outputs for acceptance.

Security, privacy, and confidentiality management plan: For each cutover, we will update the Security, Privacy, and Confidentiality Management Plan and provide you the security, privacy and confidentiality test results. When the plan is approved, we will baseline the document and place it under configuration management control. Updates will require DHHR and Optum management approval. They will be performed according to the approved change management processes.

Production environment and production schedule: For each cutover into production, we will provide a production environment change and production cutover schedule. We will reference our Schedule Management Plan to follow the processes for modifying the schedule and Work Breakdown Structure (WBS) to reflect actual progress against planned efforts.

Disaster Recovery and Business Continuity Plan: We will finalize the necessary changes concerning disaster recovery and business continuity, including backup and recovery procedures and update it based on the findings from the Operational Readiness, Pilot Testing and Production Cutover Phases. If there are changes in the processes we will follow after we start a disaster recovery, we will incorporate these modifications to the plan.

Data conversion: We will finalize the necessary data conversion requirements and update them based on the findings from the Operational Readiness, Pilot Testing and Production Cutover Phases. We will incorporate these changes into the Data Conversion Management Plan. The Data Conversion Management Plan provides a data element-to-data element mapping, including how the data values will be converted from the legacy system to the WV IES. The plan provides the details of any data clean-up procedures that could be applied to legacy systems data prior to the data conversion and migration effort.

Pre-implementation training: We will provide pre-implementation training for designated DHHR staff members as part of the Pilot Testing Phase rollout. This will include staff members who will perform UAT and those participating in the Pilot Phase. As needed, we will update the Training Management Plan for the full Production Cutover Phase.

Update of PMPs: At the end of every successful production cutover, we will update the PMPs for future phases. Because the plans are living, evolving documents, we will revise them when appropriate before implementation and as needed during the life of the WV IES Project.

Confirmation of stakeholder readiness: As part of the implementation planning process, we will work with you to define the stakeholders who will be affected by this project. We will coordinate with this identified group to verify they are prepared for solution implementation. The Stakeholder Management Plan identifies the project stakeholders, analyzes stakeholder expectations, and describes our strategy by which stakeholders can be effectively engaged in project decisions and project execution throughout the project lifecycle.

4.3.9 Objective: Operations

Approach to Operations

We will conduct our operations activities per all federal and State laws, rules and regulations, as well as your policies, procedures and guidance. We will follow all State-approved operations PMPs. The Operations Phase will begin after we reach the milestone of completing DDI and DHHR accepting the release deliverables.

We will meet and exceed your requirements to support, maintain, document and continuously improve your WV IES. We have broad experience providing application M&O services for multiple state customers for more than 20 years. As the current M&O vendor for West Virginia RAPIDS, we have insight into your current integrated eligibility system, processes and people. We provide application maintenance and enhancement, incident management, program management, and change management services for West Virginia. Additionally, we share your vision for a modernized and modular IES. Our M&O experience and knowledge of your business uniquely positions us to provide exceptional M&O support for the WV IES to help to improve outcomes for your members.

Our mission for operations is to prevent incidents and outages. If an incident or outage occurs, we focus on minimizing customer impact.

Operations Best Practices

- Define readiness plan and leverage ITIL and IEEE standards
- Use state-of-the-art IT Service Management platform (i.e., ServiceNow)
- Provide a transparent communications platform
- Drive automation and efficiencies
- Leverage surveys to improve performance

We begin our M&O activities early in the SDLC. This helps us make sure we include monitoring and operational requirements during all SDLC phases.

Optum will be DHHR's single point of contact for all operations activities. We will collaborate with our partners for continued support. Our approach to operations is proactive instead of reactive. Our operations team begins monitoring the solution as soon as we implement it in production. We provide complete operational support before and after implementation. **Figure 4.3-26** shows our operations approach.

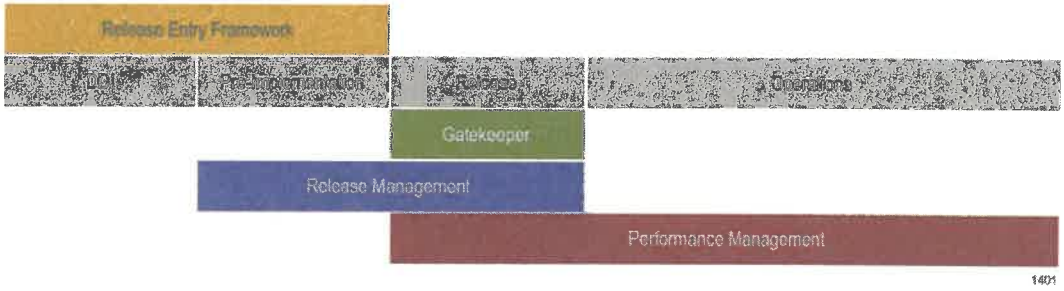


Figure 4.3-26: Optum Operations Approach.
We will begin our M&O activities for the WV IES early in the SDLC.

Our operations approach includes our release entry framework process, gatekeeper process, release management process, and performance management process. We will begin these processes at the appropriate points within the SDLC to give you the most value. We also we leverage a DevOps strategy and tools for our M&O approach. This approach enables us to remove barriers to operations and infrastructure delivery enabling faster and improved tooling, process automation, and self-service capabilities.

Supporting Operations

Our proposed approach to support and complete operations will enable us to meet the operations requirements for all DHHR business areas.

Our application M&O activities conform to ITIL standards. Our elements of maintenance are based on the IEEE standard for software maintenance, the IEEE Standard 1219-1993. These form the backbone of our service delivery and continuous improvement model as illustrated in **Figure 4.3-27.**

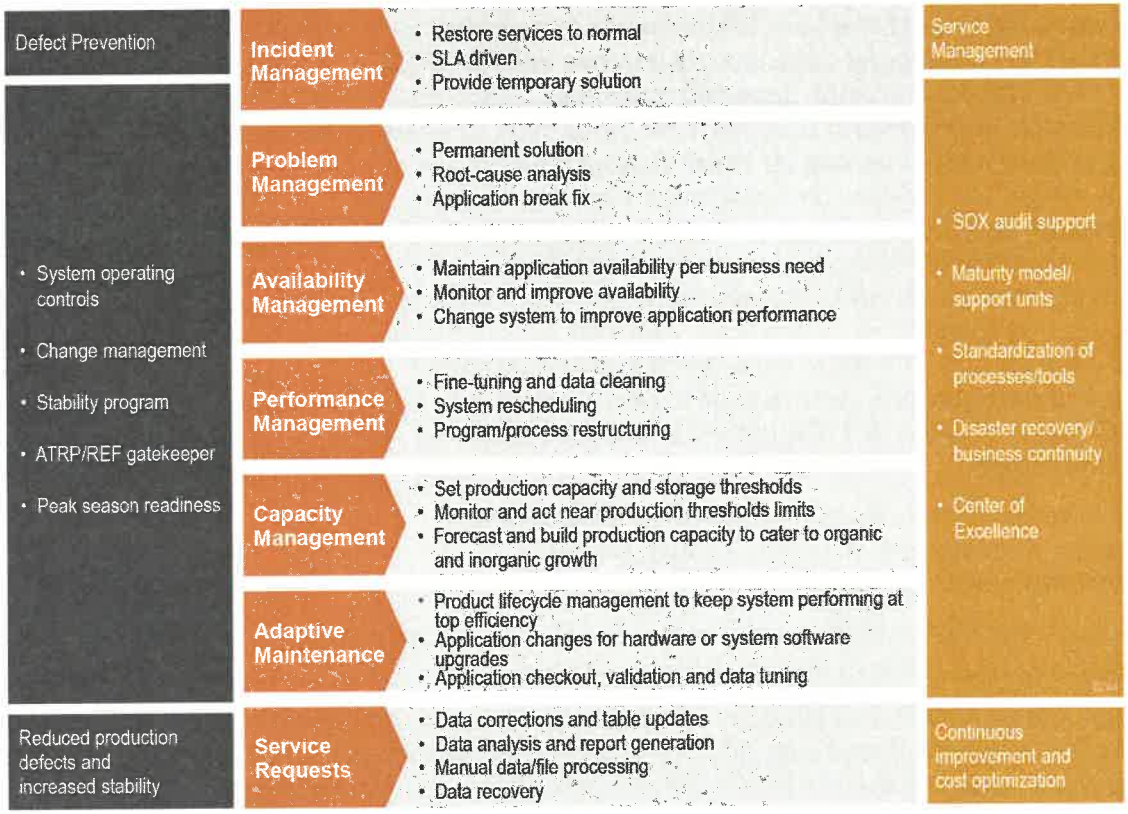


Figure 4.3-27: Optum Service Delivery Model.
Out comprehensive service delivery model facilitates effective operations and management as well as continuous process improvement over time.

Our defect prevention measures help to reduce the number of defects introduced into the production environment, which results in higher overall stability. Because our offering is based on an off-the-shelf modular design, we eliminate complexity that you are experiencing in your current system. This enables you to realize the value and benefits we offer as you deliver services to your departments and users. Our service management activities target cost optimization and continual service improvement. They include such things as audit support, maturity models, disaster recovery, and standardizing processes and tools.

This section provides more details pertaining to these areas as well as the other key activities we perform as part of our M&O support and administration.

Facility management: We will provide a facility for the Optum WV IES project office. It will have a secure high-speed Internet connection to the State network with accessibility 24 hours a day, seven days a week. This will include secure guest wireless Internet connectivity that is isolated from the hosted network infrastructure.

Routine M&O: Our routine maintenance services will include more than just a traditional approach to maintaining the production environment. We will perform comprehensive M&O services for all of your business areas as needed. **Figure 4.3-28** shows the routine system M&O activities we will perform for the WV IES.

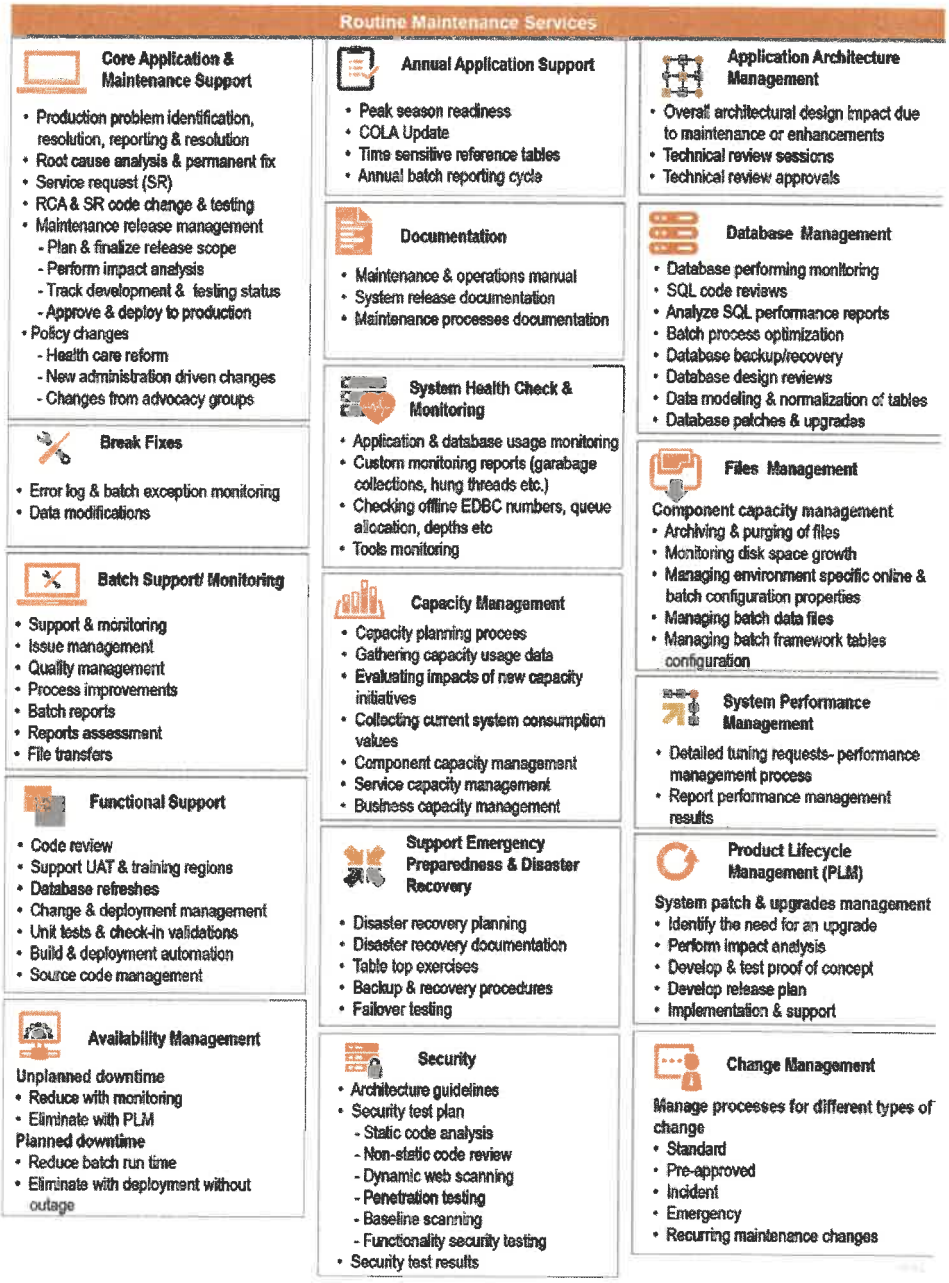


Figure 4.3-28: Optum Routine System M&O Activities.

We will verify appropriate controls are in place to maintain a stable, efficient production environment for the WV IES follow a disciplined approach to implementing changes to all environments.

Core Application and Maintenance Support

Our core application and maintenance support focuses on foundational principles for the production application. These include:

Incident management: We focus primarily on restoring normal service levels as quickly as possible and minimizing adverse impact on the business. The incident management process relies on incident prioritization determined by business impact and urgency to assure close alignment with DHHR needs. The core focus of the Optum incident model is on high severity incidents based on prescribed SLAs and business requirements. We have processes for high impact quality incidents and a streamlined communication process through CommunicationForce-Impact Communicator, discussed further below, that helps to keep the stakeholders duly informed about the incident.

Problem management: We identify the root cause of incidents and begin corrective actions to fully remediate the underlying cause of incidents. Problem management helps minimize service interruptions and prevent future impact. Our accelerated problem management helps mitigate the problems causing the greatest impact to DHHR as quickly as possible.

Service requests: We fulfill the service requests as per requirements specified by DHHR and report the status of the requests accurately. Our end-to-end workflow helps streamline service request management across business processes to assure process efficiency and system availability. Examples of the service requests include:

- **Data correction:** Reference data updates, one time data update
- **Research:** Researching denials, missing information or plan code errors
- **Manual file processing:** Reprocessing files that have been corrected

Release management: Following our REF, our M&O team will begin operational activities during the early phases of development. This will help us make sure we meet your monitoring and procedural requirements during the Development Phase. Our REF will verify that the application M&O team receives knowledge sharing at appropriate intervals to support the implementation. REF provides processes and checklists to for a seamless transition of release to production for minimal business impact. Before implementation, we will review testing results, static and dynamic code analysis, issue logs, performance reports, security reports, the Quality Management Plan and other relevant implementation artifacts.

Our M&O team will serve as the gatekeeper and follow our gatekeeper process to make sure the software releases are of good quality. This process will help us control new versions of the WV IES software releases as we move them into production. Our gatekeeper process has the following advantages for the WV IES:

- Makes sure that deployments to production are of high quality
- Improves the overall quality of production deployments
- Helps remediate non-compliant issues when a change moves into production without meeting readiness criteria
- Decreases deployment fallout (i.e., post-production issues)
- Reduces and prevents high-impact quality issues
- Enhances the M&O team's knowledge of the impending change
- Saves time for enhancement teams on post-implementation support issues, enabling them to move to their next release sooner

Our release management process controls and supports the associated tasks and artifacts necessary for release planning, release execution and control, and release closure. These activities and their artifacts are critical to the proper guidance and management of the delivery process.

Change management: Growing your structure, system and program in support of your business objectives will require a change in your environment. We will work with you to understand and develop a change and release system that is monitored, managed and controlled. A detailed Change Management Plan protects the integrity and performance of systems while providing a process to analyze and execute approved changes. Optum employs a formal change control process that has been developed over decades of experience.

We will capture all changes performed to a live or production environment in a change ticket within our IT Service Management System. We work these changes through an established Change Advisory Board (CAB) process. **Figure 4.3-29** shows the change types we use.

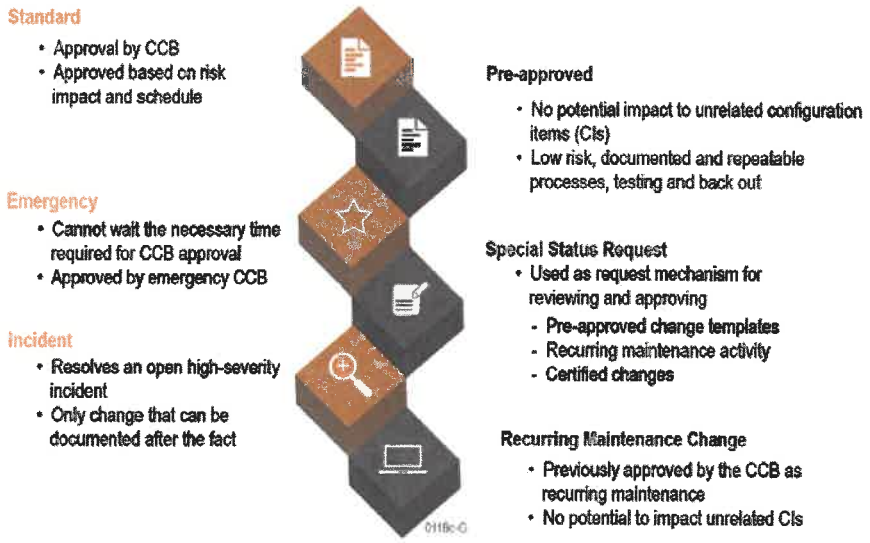


Figure 4.3-29: Types of Changes.
We will categorize changes to the WV IES according to our Change Control Plan.

Standard changes require approval by change approvers or a CAB before implementing them. The impact, risk, the Forward Schedule of Change (FSC) and other factors will determine the necessary approval. The objective of the FSC is to inform stakeholders of the upcoming changes, which will be implemented in the next period and beyond.

Pre-approved changes are changes that are repeatable and that require approval only from the change owner. The pre-approved change list maintains a record of all pre-approved changes. These changes have no potential impact to unrelated configuration items, they are low risk, and they have documented and repeatable processes for implementation, testing and back-out.

Incident changes are necessary to resolve an open high-severity incident. Incident changes are the only changes that can be documented after they occur.

Emergency changes are those that cannot wait the necessary time required for approval by the change approvers or a scheduled CAB. As discussed previously, these changes will require the approval of an Emergency CAB.

Break fixes: Optum will provide complete maintenance support for break fixes. A break fix is tracked as a service request ticket. It follows a waterfall system development lifecycle where we make the code changes to fix the broken component, test, obtain approval and implement in production environment.

Batch support and mentoring: We will provide maintenance services for the Development, Integration, Test (Unit Test) environments. These services include:

- **Batch jobs**: Optum will maintain and run all batch jobs in the production environment. Our process also provides the ability to define custom batch processing schedules for each non-production environment.
- **File transfers**: We will support file transfers (both inbound and outbound) between DHHR and external vendors.
- **Change and deployment management**: Optum will implement a rigorous deployment approach, including automated notifications, for changes made to all environments.

Product lifecycle management: We align with your vision of expanding the system support to identify the reusable and shareable components of your system so they can serve as a better foundation of the DHHR platform. Each quarter, we will conduct a detailed review of the WV IES.

We will review the published end-of-vendor service and support dates. Our team will also evaluate new, emerging product versions to effectively identify and adjust the lifecycle status of supported software products. The team will work closely with you to schedule an upgrade if needed.

Optum also reviews new system patches of WV IES software products as part of the routine maintenance process. We will first apply the patches to the non-production environment. After testing and sign-off, we will apply them to the production environment.

Maintaining adequate staff and infrastructure: As a leading provider of technology professional services for federal and state departments and agencies, we have recruited and developed many of the finest talents in our industry. Optum has more than 12,000 information technology (IT) professionals whose responsibilities include computing hardware, software, and communications. We will maintain adequate staff to manage and support your ongoing operations, as we describe in proposal Section 3.2.4, Staff Retention and Continuity. This will include sufficient staff that you require during emergencies.

With our solution, the IES environment will continue to perform according to established performance standards for ongoing operations through the contract. Our mature infrastructure and proven services model and processes focus on security, resilience and excellence in operational continuity. We are exceptionally positioned to manage and support ongoing operations of large-scale and high-volume solutions like the WV IES.

Operating the IES within service levels: We will rely on proactive monitoring and reporting to operate the WV IES within established service levels. Our routine maintenance practices make sure the system maintains high availability. In addition, we provide emergency maintenance processes in the event of unscheduled downtime. We use automated performance monitoring tools, including Dynatrace, DCRUM, and Compuware Gomez, to monitor WV IES performance. Our solution sends appropriate alerts if system performance drops below agreed-upon thresholds. Our ITIL-based service management approach will help us to keep your success as our primary focus while we manage any operational issues.

Optum will restore normal service levels and minimize adverse impact on the business. We will develop database scripts to resolve database issues and use these scripts to resolve issues until we deploy the permanent fix to production. Our Technology Support Call Center will be open and available for calls from your staff and customers according to an agreed-upon schedule. We will use our CommunicationForce performance reporting system as we are using currently to support RAPIDS, illustrated in **Figure 4.3-30**. CommunicationForce uses technologies like Tableau and DataMeer. It creates a visual performance reporting system for current and historical trends for the SLAs and KPIs we measure. We will measure and report on them monthly and periodically for the overall solution, as well as for different areas of the solution according to your requirements.

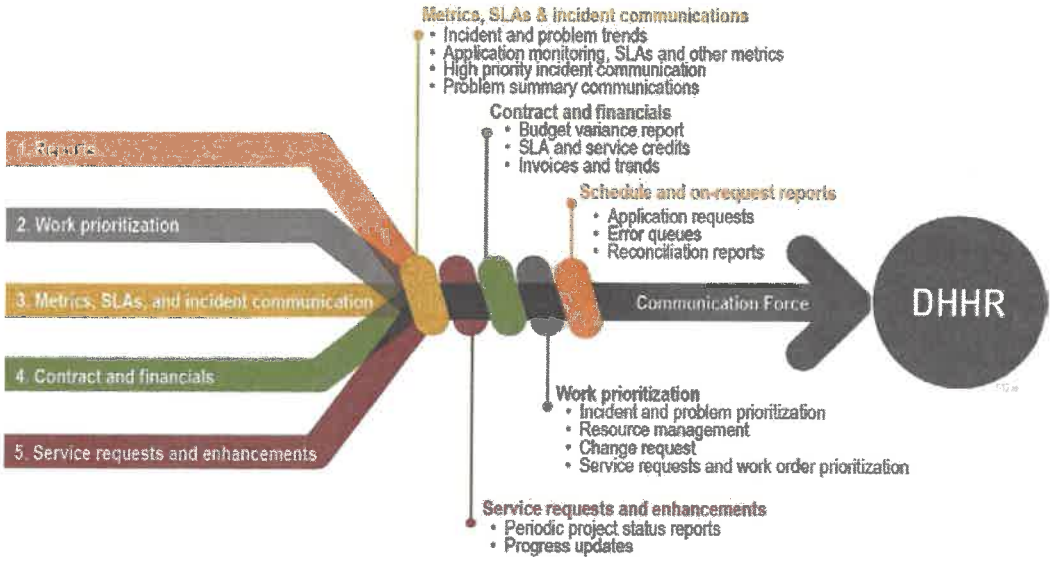


Figure 4.3-30: CommunicationForce Technology.
Our approach streamlines all communications and reporting to the DHHR.

Operational metrics, SLAs and incident communication: Optum's CommunicationForce creates visual reports and communication data points as well as historical trends for all measured metrics. **Figure 4.3-31** is an example of reports that can be produced to help visualize the status of project components.

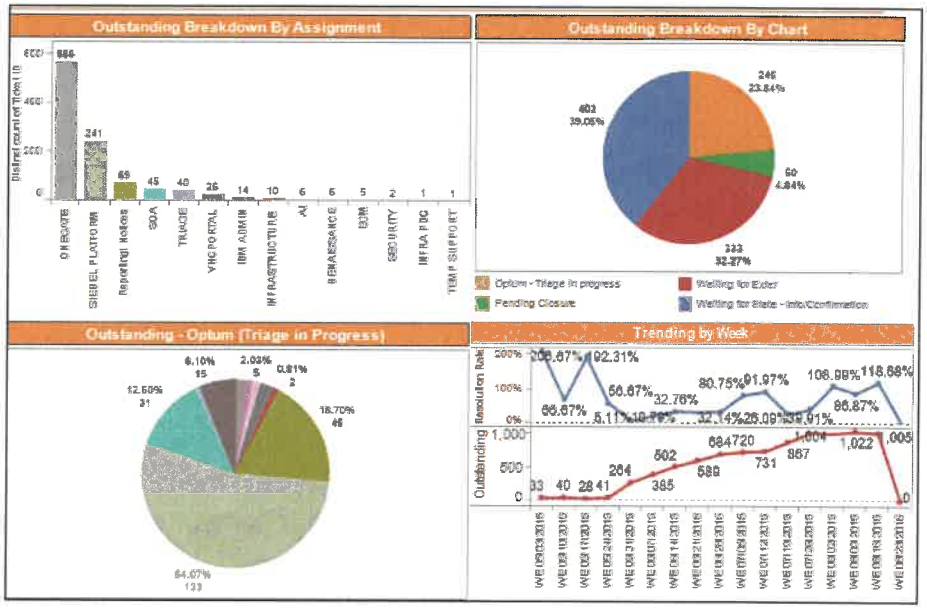


Figure 4.3-31: Visual Report Example.
We produce reports that help DHHR more clearly understand current project status as well as trends over time, and to provide visual communication of agreed-upon metrics and SLAs.

As you have communicated in your RFP, effective communication during a high priority incident is critical for keeping key stakeholders informed on the progress of resolution activities. Optum developed Impact Communicator for this purpose. Impact Communicator is a subscription-based portal used as the primary means for sending notifications to DHHR IT and business partners about high priority incidents with business impact and planned change activity for business and IT services. All correspondence is stored in a single repository and linked to the service management

ticket tracking record. Key features offered by Impact Communicator are illustrated in **Figure 4.3-32**.

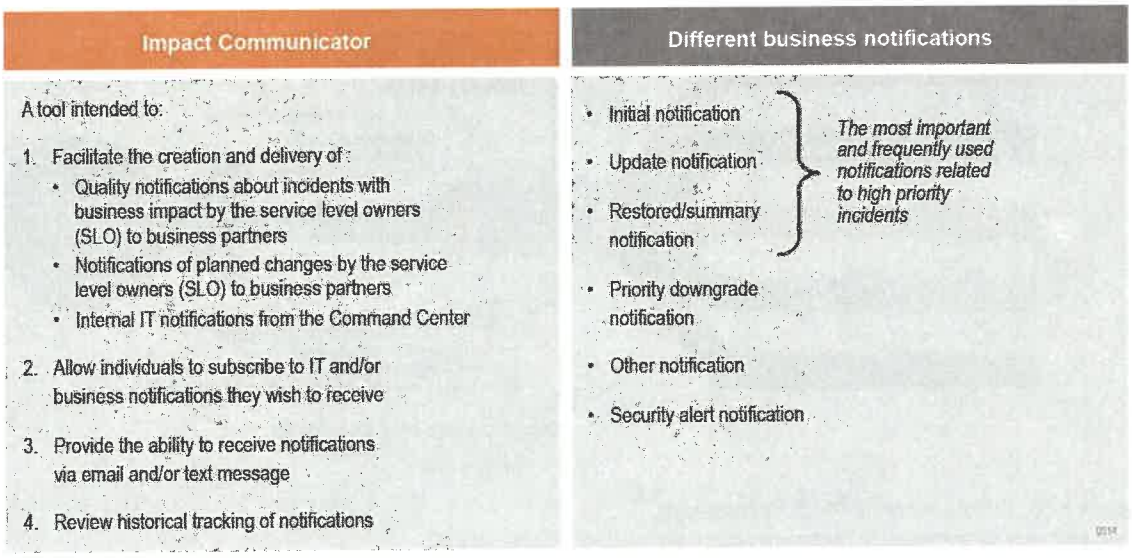


Figure 4.3-32: Impact Communicator
Impact Communicator facilitates notification across the DHHR enterprise during high priority incidents.

Ongoing user training: We will provide user training throughout the length of the contract for significant system, business functionality and enhancement upgrades. We will deliver this training within agreed-upon time frames before we install the upgrade or enhancement. In addition, we will update relevant training documents and job aids based on changes that affect system use.

Post-Implementation Monitoring and Quality Control

After we deploy the solution to production, we will begin our Application Performance Management process. We use synthetic monitoring to monitor, chart and trend the performance of our Web applications. We run scripted tests from various browsers, locations and user workstations for last mile measurement.

We use a subset of system test scripts for browser testing that validate we provide maximum system coverage.

These tools can send an alert if a performance parameter exceeds a defined threshold. The monitoring will include user experience monitoring, data center real user monitoring, deep application transaction management, synthetic monitoring, cloud provider monitoring and business service monitoring.

We use this data to draw inferences and concentrate on the root cause of the bottleneck. Our monitoring solution helps us complete the following tasks:

- Alert when performance or availability SLA is breached
- Identify performance bottlenecks
- Trace user click-through
- Perform transaction tracing across tiers
- Drill down to the problematic line of code or SQL statement
- Provide visibility into where transaction time is spent
- Identify user's Internet provider
- Identify user browser types
- Provide mobile application performance dashboards for easy access

Monitoring the implemented module: After every major implementation, we provide monitoring and control support. We will form a SWAT team, as needed, with representation from each area and each partner. The team will monitor and remediate any issues. In addition, this team will monitor incident flow for possible deviations from the approved Quality Management Plan. We will analyze incident trends to identify the functional areas and engage respective teams for the new workarounds and long-term resolution. As part of our solution health check process for issue identification and resolution, we will monitor the servers, databases, user interfaces, and other solution components.

We perform proactive issue identification using industry standard tools and we log deviations from quality as an incident and notify the appropriate group. In addition, we will prepare a first time use list for implemented functionalities and closely monitor for issues during the first run.

Optum uses HP OpenView for server monitoring, and SiteScope and Dynatrace for systems monitoring. We will implement a bottoms-up monitoring approach to assess the health of the individual configuration items that support the application. Additionally, we will implement a top-down monitoring of the application service chain. This includes Vital Business Function availability monitoring by scheduling synthetic multi-step transactions at a constant interval. We will apply fault domain isolation for availability of infrastructure components. Our monitoring services monitor items such as URL checks, SOAP, ping, database query time, CPU/memory utilization, log file, file system-UNIX and C drive-Wintel.

During the Post-Implementation Phase, our line of business managers, the enhancement and DDI team, and DHHR will attend the post-deployment meetings. They will review the leaked and post-production defects status. These meetings will serve as a forum for DHHR and Optum to discuss any issues encountered.

Our M&O ticket tracking system will confirm that the enhancement/DDI team is working on the defects. The line of business manager is responsible for managing the assignment of tickets. The M&O team and the enhancement/DDI team will collaborate to coordinate timelines for defect resolution. These teams will decide on an appropriate release within the agreed upon post-deployment support period. They will report overall status to all stakeholders and DHHR, as defined in the Communication Management Plan.

Timely mitigation and remediation: Leveraging our Incident Management process, we focus on restoring normal service levels minimizing adverse impact on the business. Our incident management process relies on incident prioritization based on business impact and urgency. This helps us make sure we align with your needs. For high priority incidents, we will assign an incident manager. The incident manager will open a war room, as needed, to restore the service as soon as possible. The incident manager will invite the service support teams to join the war room. The war room will end with the successful restoration of the incident. The incident manager will use our CommunicationForce communication tool to send frequent updates to stakeholders according to the approved Communication Management Plan. The incident manager and the M&O lead will make sure we restore the incident within the accepted SLAs.

After we restore the service, we will identify the root cause of the incident and initiate corrective actions to remediate the underlying cause of the incident. Problem management will help us minimize service interruptions and prevent future impact. Our accelerated problem management approach will help mitigate the problems causing the greatest impact to DHHR as quickly as possible. We will communicate, restore and resolve lower priority incidents according to our agreed upon Operations Issue Management SLA.

Timely problem reporting: Our Problem Management Plan for operations defines the processes to make sure that we:

- Identify, evaluate, and assign problems for resolution

- Confirm that we document and communicate problems appropriately to stakeholders in a timely manner

This plan, which follows many of the same processes and procedures as the Issue Management Plan for the DDI phase, documents the agreed-upon problem prioritization process that we will follow to quickly identify the severity of the problem. Based on severity, we will follow the agreed-upon notification process to make certain all affected stakeholders are aware of the problem and remain informed of resolution activity until ultimate resolution.

Post-implementation and ongoing operational evaluations: We will evaluate our performance and service delivery after transition to operations by asking you and your key stakeholders for feedback. We use the Net Promoter Survey (NPS) to assess our performance.

NPS is a cross-industry standard for measuring customer satisfaction and loyalty. As a leading indicator of growth, it ties company achievement to the quality of its customer relationships. NPS categorizes survey respondents into three groups:

Survey Groups	Description	NPS (Net Promoter Score) = % Promoters-% Detractors*
Promoters	Loyal enthusiasts who will return as customers and tell others about their experience	Respond with a score of 0 to 6: unhappy customers
Passives	Customers who may return, but are unenthusiastic about their experience	Respond with a score of 7 or 8: only counts toward the total number of respondents, but does not directly affect the formula
Detractors	Unhappy customers who may tell others about their experience	Respond with a score of 9 or 10: considered loyal enthusiasts

We will ask your staff, providers, members and key stakeholders to complete the NPS Survey according to an agreed upon time frame and frequency. The survey will help to address your overall implementation experience. It will help us evaluate the confidence and satisfaction you and your key stakeholders had with the new WV IES. Survey feedback is most useful when respondents tie their feedback to specific situations or people. Two sections of free-form text are available in the survey for respondents to cite specific examples, roles or individual names that warrant attention. We will encourage you to be as specific as possible when completing the NPS Survey post-transition. Survey results help us improve processes to deliver service that is consistent, meets requirements, and results in high levels of customer satisfaction.

Archiving of regulatory reports: We will produce and store regulatory reports or extracts required for inclusion in any federal certification process. A copy is archived in the federated storage for later retrieval, if needed. Additionally, we will keep reports according to the agreed upon retention period and will reproduce them for you on request.

Post-implementation summary: Our Implementation Closure Phase concludes the implementation management and delivery functions and archives all release artifacts. The purpose of Implementation Closure is to close down the implementation, complete implementation activities, evaluate the implementation and conduct the final closure meeting with DHHR. This process results in the creation and sign-off of the Implementation Closure Report. Upon completion of the Implementation Closure Report, the appropriate DHHR representative and the WV IES system manager will review and provide sign-off. The report will include the following information where applicable.

- **Summary of implementation statistics:** Contains information on implementation coordinator, the implementation manager, start date, sponsor, application owners end date

- **Summary of implementation scope:** Contains an overall summary of information such as the implementation's scope, business areas and functionalities
- **Summary of data conversions:** Verifies we reviewed data conversion for completeness, accuracy and validity
- **Results of each implementation activity:** Describes the results of each activity performed during implementation
- **Summary of implementation highlights:** Summarizes key implementation information that may include business areas, top functionalities, planning and implementation management, analysis and design, implementation, checkouts, operations readiness and training
- **Issues and improvement opportunities:** Contains a list of issues and improvement opportunities that occurred during implementation (We will review and evaluate improvement opportunities as part of our quality improvement process)
- **Conclusion:** Contains an overall conclusion of the implementation activity and requires sign-off from the WV IES system manager and DHHR

4.3.10 Objective: Turnover and Closeout

Approach to Turnover and Closeout

We will begin our turnover activities within 30 days of receiving your written notification of your intent to turnover, which will be received at least 12 months before the end of the contract period.

We approach project turnover similar to implementation—through continuous and methodical planning, execution, knowledge sharing and documentation. Because we begin each project with the mindset of creating a self-sustaining system for our clients, we actually plan for turnover throughout the project. As we move through the project phases, we continually refine and improve the WV IES and related processes and reflect these changes in well-maintained documentation. Driving this disciplined approach to turnover throughout the project lifecycle helps us to incorporate process improvements and lessons learned into the Turnover and Closeout Management Plan.

We hold ourselves accountable to help you continue to achieve your mission as we help our successor (whether you or a new contractor) during the turnover. We will cooperate fully with the successor vendor, other contractors and DHHR stakeholders to provide all required turnover services. We will provide you with data, code owned by state, and the documentation needed to maintain operational continuity.

Turnover and Closeout
Best Practices

- Be a responsible steward of the DHHR enterprise
- Work collaboratively with DHHR and vendors
- Recognize that the shadowing process is critical
- Assign turnover responsibility to a senior manager, experienced with the client and knowledgeable of turnover requirements
- Assign deliverables and activities to owners who are SMEs in each area
- Adapt the proven quality tools used during implementation
- Follow the mature change management and incorporate lessons learned

Performance and relationships are core values of Optum. In keeping with our culture of putting our customers' success first, we will keep our project documentation and artifacts up to date. We will also incorporate relevant lessons learned into our Turnover and Closeout Management Plan. These lessons learned will help us mitigate disruptions to ongoing operations and close transition and knowledge transfer gaps. This will best prepare our successor for taking over and sustaining WV IES operations. Our quality assurance staff will conduct an annual audit of the Turnover and Closeout Management Plan and artifacts, making sure that we incorporate relevant information into the plan throughout the contract. We have wide-ranging experience in successfully transitioning projects and systems for our state government clients. For New York, Maryland, North Carolina, Mississippi and Oregon, we supported each state and the successor vendor in transferring responsibilities for complex HHS systems. The experience and knowledge we acquired on projects

similar to yours will help us effectively ramp up and down while sustaining operations to meet your expectations.

Methodology and Approach

In this section, we describe our methodology and approach to complete the Turnover and Closeout Phase of the WV IES Project.

Turnover and closeout management: Our 20 years of experience providing IT solutions for HHS has given us considerable knowledge and qualifications as both an incoming and an outgoing vendor. This dual perspective gives us a clear understanding of each party's turnover responsibilities and the key factors that contribute to a successful transition. As we plan and execute turnover, we will remain fully engaged at all leadership levels as your trusted partner. Our turnover framework, EquiKNOX, addresses all of the items listed in the FNS Handbook 901 in the RFP Procurement Library. Our proprietary process provides equal knowledge transfer to the successor vendor so the vendor will have the same level of knowledge as Optum. EquiKNOX is a complete package of turnover methodology that Optum employs for transition-in and transition-out activities, such as knowledge transfer of operations and system takeover.

Plans, complete documentation and our staff support our turnover methodology. We will assign a turnover manager to drive and own the turnover activities completely. Key activities of our turnover methodology include the following:

- Develop, deliver and maintain a Turnover and Closeout Management Plan to turn over operations with no degradation of operational levels or service
- Provide a structure that facilitates effective participation of Optum, our partner vendors, the successor vendor and DHHR in the turnover
- Conduct project planning and management to tightly manage scope and schedule, including defining a finite set of turnover activities for people, process, technology and functions
- Establish the guiding principles that we will execute to transfer responsibilities from Optum and partner vendors to the successor
- At the end of contract and with DHHR's approval, securely destroy all program data that we held or stored, followed by our delivering a certificate of data destruction to DHHR

Figure 4.3-33 provides an overview of the EquiKNOX turnover methodology.

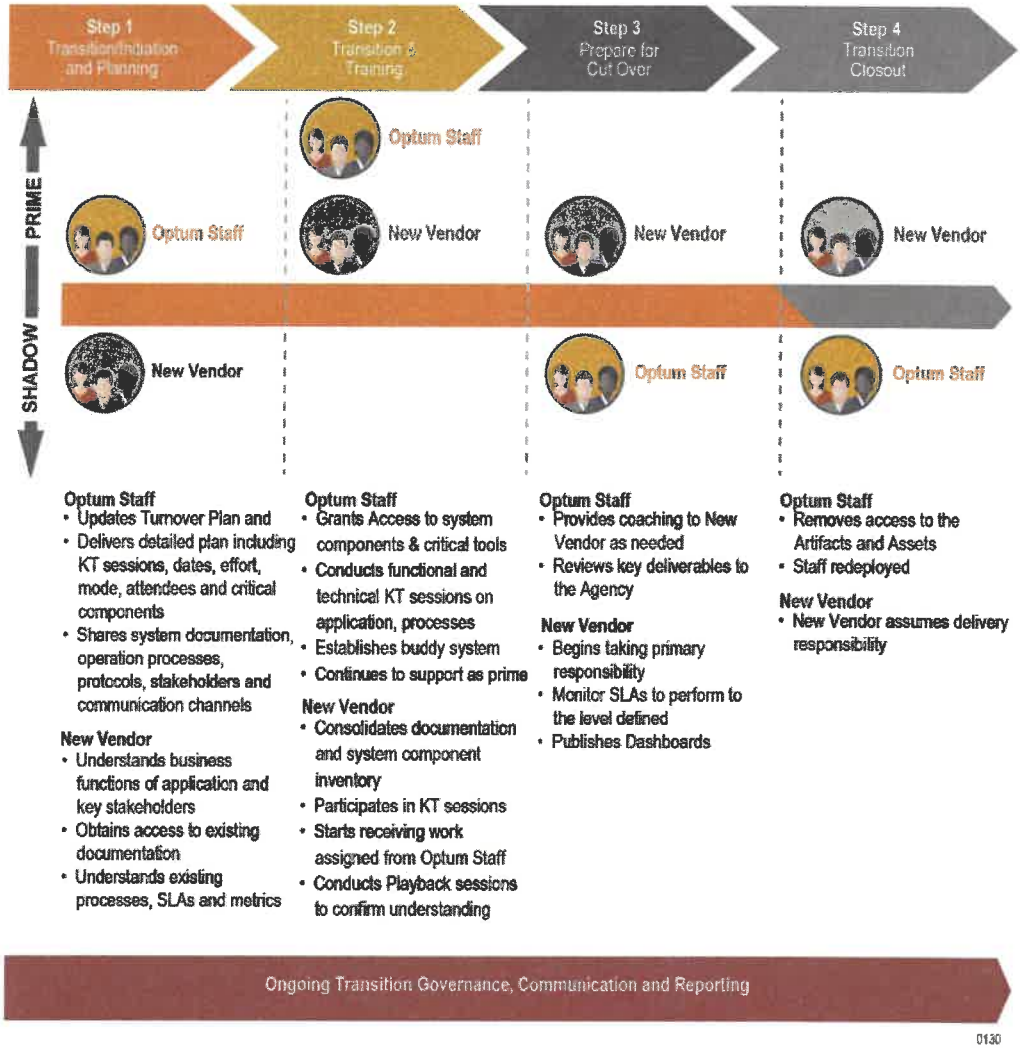


Figure 4.3-33: Optum EquiKNOX Turnover Methodology.
We will remain fully engaged at all leadership levels as your trusted partner throughout the turnover of the WV IES.

Step 1: Turnover initiation and planning

This step begins with a kick-off meeting among DHHR, Optum, the successor vendor and key stakeholders. During the Initiation and Planning Phase, we will establish the foundation for the entire transition. We will work cooperatively with new contractor, other vendors and DHHR to create and carry out a smooth and orderly transition. We will perform the following key activities during this phase in collaboration with DHHR and the successor vendor as needed.

Establish turnover governance: This will include the following:

- Introductions of project teams and stakeholders
- Defining roles and responsibilities
- Establishing format and protocol for status meetings and reporting
- Establishing lines of communication and reporting relationships
- Reviewing the deliverable review process
- Discussing IRAAD strategies
- Finalizing milestones

Update the Turnover and Closeout Management Plan: We will update the plan to make sure it describes the knowledge transfer (KT) sessions, topics for each KT session, identify the SMEs to involve, effort required, attendees for the sessions, and mode of the KT sessions according to the EquiKNOX Criticality Score (ECS)[4] based on business criticality, functional and technical complexity.

Provide detailed documentation: This will include system operations support, processes, protocols, stakeholders, communication channels and current Incident, problem and change ticket extracts as applicable.

Define turnover acceptance criteria: We will work with you and the successor vendor to define mutually acceptable criteria.

We will also draft an initial risk and contingency plan for Turnover. We will share the current staffing plan and skill matrix required to effectively operate and maintain the WV IES system. Our team will define the responsibility assignment matrix for the transition. We will assess the turnover timeline and support the successor vendor as needed.

After DHHR reviews and approves the finalized Turnover and Closeout Management Plan, we will move to the next phase of turnover and training. We provide a draft Turnover and Closeout Management Plan in Appendix 6.

Step 2: Turnover and training

Working cooperatively with IES stakeholders: This phase begins with Optum establishing the buddy system with the successor vendor. This approach will lay the foundation for knowledge transfer, shadowing and the preparation for the Turnover Phase (reverse shadow). We will provide the necessary resources for a smooth turnover, including a Staff Transition Plan. During the Turnover and Training Phase, we will work with the successor vendor to complete the following tasks:

- **Connectivity and software installation:** We will help the successor vendor to install all software and tools. In addition, we will provide infrastructure configuration details to our successor.
- **Access management:** We will give the successor vendor access to artifacts and digital asset repositories beginning with non-production environments.
- **Establish buddy system:** We will assign a SME to each successor vendor staff member as needed.
- **Execute knowledge transfer sessions:** This activity will have several iterations. It will begin with items that have a low ECS. We will then move to high ECS components within each application. This approach will help us validate that we provide continuity of services to your members and minimize the impact to services. Each iteration will end with the successor vendor presenting a playback to stakeholders. They will demonstrate the skills they learned to validate that the knowledge transfer was successful.

This is also a learn-by-doing phase of the transition. The successor vendor will shadow our team and participate in performing project tasks. We have found that this hands-on approach helps fill any gaps in knowledge for the successor vendor. The successor vendor will also learn process workflows, how components interact and where to find additional information if needed.

[4] The EquiKNOX Criticality Score (ECS) helps project teams determine where to concentrate their time and effort to get big wins. ECS provides data-driven prioritization and grouping of critical transition elements. ECS is derived by the following attributes: 1)Technical Complexity, 2) Multidisciplinary Resource Requirement, 3) Impact to Operations, 4) Maturity and Stability, and 5) Schedule

Optum will still have primary responsibility for the system during this phase. This phase will conclude with Optum and successor vendor jointly producing final knowledge transfer completion report and DHHR approval.

Step 3: Prepare for cutover

Providing smooth turnover: This phase is also called the reverse shadow phase. The successor vendor will serve as the primary support provider. They will monitor the SLAs and continue to adjust the system to perform at the level defined. We will provide coaching and answer questions as needed. The successor vendor will deliver the metrics and reports on the WV IES to the State.

We will continue to perform the enhancement activities during this phase and establish and deploy our best practices for M&O (e.g., system operating controls). We will optimize the applications through a continuous improvement cycle. Additionally, we will review the key deliverables that the successor vendor delivers to you if required. This will help us make sure they meet DHHR expectations.

This phase will end with a successful cutover to our successor vendor and a sign-off from DHHR stakeholders in compliance with the Turnover and Closeout Management Plan.

Step 4: Steady state

The successor vendor will perform the full array of M&O and enhancement activities during steady state. They will remove Optum access to the project artifacts and assets. Upon removing access, the Optum team will disengage from the project.

Continuous turnover governance, communication and monitoring: We will closely monitor and control the turnover of the WV IES to meet the turnover objectives. Optum will accomplish this during the turnover phases and complete it at turnover closeout. We will establish recurring touch points with stakeholders. We will receive buy-in from stakeholders for regular meeting cadence and IRAAD review sessions during turnover. In addition, we will develop and deliver a Turnover Results Report to DHHR. This is a key document that we will produce during each phase of the turnover. We will provide support for any readiness assessment report that you or a successor vendor might use.

As described earlier in this section, we will set up a kick-off meeting with the successor vendor and DHHR after the successor vendor begins work on the project. Our team will work with the successor vendor to complete the following activities:

- Set up the turnover governance and receive buy-in from all parties
- Explain the turnover approach and methodology
- Explain and present the plan for the knowledge transfer sessions
- Work with successor vendor to find resources and set up buddy system
- Participate in daily checkpoint meetings and make sure all parties execute the Turnover and Closeout Management Plan successfully
- Communicate with successor vendor, DHHR and other stakeholders daily to make sure the turnover is controlled
- Deliver progress reports to stakeholders at established milestones

We will provide the necessary resources for a controlled turnover of the WV IES and work with the successor vendor to create a Staff Transition Plan. Our team will distribute the final plan to DHHR for review and approval. Our buddy system and learn-by-doing approach will help us provide service continuity and effective knowledge transfer. We will keep your members in mind throughout the transition and make sure that the successor vendor staff members understand the functional and technical concepts of the WV IES. To accomplish this, we will facilitate dedicated knowledge

transfer sessions and shadowing of Optum SMEs. This will help the successor vendor staff understand our day-to-day activities. The knowledge and capacity of the Optum enhancement team resources will cover tasks as needed. We will follow the Staff Transition Plan to off-board or transition Optum staff.

Given our history of working with HHS projects, we have consistently demonstrated our focus and commitment to develop and deliver an effective outgoing turnover plan within the stipulated time frame. Our turnover and training approach will prepare you/your successor vendor with an effective understanding of the system to support WV IES operations.

4.3.11 Objective: Inventories of Reports, Forms/Notices/Letters, and Alerts

Approach to Inventory Reports, Forms/Notices/Letters, and Alerts

We will develop a comprehensive inventory and will maintain the inventory throughout the life of the project. To accomplish this, we will review and catalog reports, forms/notices/letters, and alerts from the existing inventory as outlined in the DOC064 Alerts, Reports, Letters, Forms, Notices, and Interfaces Inventory document.

Our team will build on our understanding of the operational reports, forms/notices/letters and alerts needed by DHHR working with you on the RAPIDS M&O contract. Our daily work with DHHR, Bureau for Children and Families (BCF), Bureau of Medical Services (BMS), and other State Policy and federal bodies will enable us to reverse engineer a bulk of the system requirements needed for these systems. Through our day-to-day interactions with the DHHR team on the M&O contract, we understand the success factors and the pain points for reports, forms/notices/letters and alerts. We will develop and submit additional required deliverables to meet your requirements.

We will work collaboratively with your team to review and confirm the deliverable catalog, modifying where necessary. We will use the West Virginia SharePoint as the project knowledge repository for the WV IES Project. In addition, we will investigate areas where reports and forms/notices/letters can be distributed electronically, thus reducing the total cost of ownership for DHHR. The project repository will facilitate the deliverable review and approval process. Authorized users can view and edit documents, provide comments and approvals, and participate in deliverable workflows according to defined routing rules.

We understand that we should assume a five percent reduction in the number of reports, forms/notices/letters, and alerts. We will build inventory using our standard development processes to develop and maintain a comprehensive inventory of reports, forms/notices/letters, and alerts for the WV IES. As described in proposal Section 4.3.4 Development, one of those processes is OSAM. OSAM is used for solution development. It can generate project artifacts for the inventory. We will use the following key artifacts from the DDI Analysis and Verification Phase of the WV IES Project as the initial inventory: Project Requirements Document (PRD), Systems Requirement Inventory (SRI) and RTM.

During the DDI Analysis and Verification Phase, we will review and analyze change-related requirements. Detailed application-specific system requirements and application interface specifications, as needed, are defined to support your requirements. In addition, we will document the application-specific system requirements in the SRI and the RTM. The RTM includes both traceability to application-specific system requirements and business requirements. Using the SRI, we record the application-specific system requirements that will drive the changes to make in the application release to support the project business requirements. We use the PRD to define application-specific system requirements.

We will update these artifacts, as needed, throughout the life of the project according to the overall timeline approved through the change control process. We provide a sample deliverable timeline later in this section. Optum will use the PRD, SRI and RTM artifacts from the DDI Phase to

establish the initial inventory and then update these artifacts throughout the life of the project using a standard change control process.

The change control process, as described in proposal Sections 4.3.1 Project Management, 4.3.2 Quality Management, and 4.3.9 Operations, will help us track our progress in meeting your requirements for the WV IES. We will reference requirements documents, use cases and system user documentation to deliver and maintain the WV IES. Our project knowledge repository tracks and stores artifact versions and approvals. We will make release artifacts available for a post-production audit according to your specific guidelines.

Our approach to managing deliverables has no surprises. This means that we will work with you during joint reviews to confirm, in advance, that every deliverable we submit meets your expectations.

As discussed previously, we will develop a Deliverable Expectation Document (DED) for each deliverable to confirm that the planned format and content meets your needs. Rather than just creating the DED and submitting it, we will conduct a joint walkthrough meeting to review the DED and make real-time updates based on your feedback. During the meeting, we will walk through the draft in its entirety and gather your comments. The objective is to identify any issues during the walkthrough, so that we can address them before finalizing the document. This way, we can make sure you are familiar, and comfortable, with the content of the deliverable prior to its formal submission. Our experience shows this as an efficient way to achieve approval of the DED so we can move quickly into developing the draft deliverable.

We will follow a disciplined approach to developing deliverables and documentation. We can create a template or tailor an existing template and customize deliverable content to your specific requirements, as well as peer review the document to verify quality. Our deliverables will conform to the standards and quality processes defined in our PMP. During deliverable development, we will perform quality reviews to make sure we meet our own high quality standards. These will include comparing each deliverable against quality checklists and subjecting content to peer review, where appropriate.

The review cycle for deliverables may vary based on size and complexity. The next table provides a sample deliverable timeline.

- Develop the DED
- Conduct a walkthrough of the DED with you
- Develop the deliverable
- Conduct a walkthrough of the deliverable with you
- Revise the deliverable based on your feedback in the walkthrough
- Submit the deliverable to you
- A 10-day first review period (may vary depending on the complexity)
- A five-day Optum revision period (may vary depending on the complexity)
- A resubmission of the deliverable followed by a walkthrough of the addressed comments
- A five-day second deliverable review cycle by you
- Resubmission of the deliverable
- Deliverable approval by DHHR

The following table provides a sample deliverable timeline. We will work with you to make sure each deliverable meets your expectations.

Task	Participant(s)	Duration
Detailed accounting of all reports, forms/notices/letters, and alerts	Optum	28 days
Develop DED	Optum	5 days
Submit DED to DHHR for review and comment	Optum	0 days
Conduct walkthrough and update DED	DHHR, Optum	1 day
DED accepted	DHHR	0 days
Develop deliverable	Optum	5 days
Submit deliverable to DHHR for review and comment	Optum	0 days
Conduct walkthrough of deliverable	DHHR, Optum	1 day
Perform deliverable review – Cycle 1	DHHR	10 days
Update deliverable based on DHHR review comments	Optum	5 days
Submit updated deliverable and conduct walkthrough	Optum	1 day
Perform deliverable review – Cycle 2	DHHR	5 days
Deliverable approved	DHHR	0 days

A 10-day first review period works well for most of our state customers. This first review period is followed by a five-day revision period and then a redelivery of the deliverable. Following that period is another five-day review period. We also include a deliverable walkthrough to introduce reviewers to the deliverable. During the Planning Phase of the project, we will make appropriate adjustments to the deliverable review schedule as needed. We will work with you to make sure each deliverable meets your expectations.

4.3.12 Objective: Business Process Models/Mapping

Approach to Business Process Models and Mapping

Creating new Business Process Models/Mapping (BPMs), as needed, will be a component of the new integrated system design. BPMs will be formal deliverables that support current and future development. We will include a detailed plan for ongoing BPM maintenance throughout the life of the project.

We developed a suite of HHS business, information, and technical capabilities to completely align with the MITA business, information, and technology architectures. By making this investment and commitment, we keep our products and services current with emerging technologies and industry standards in the MITA 3.0 formats. This enables us to support the approval process and significantly enhance the MITA State Self-Assessment (SS-A) process. We have supported the MITA vision and guidance since its inception. It drives our services and provides the framework for the systems and processes we produce.

This introduction serves as context for our commitment to the details of MITA and the Seven Conditions and Standards as it applies to current and new Business Process Models (BPMs). We understand that you require a vendor with experience in building and maintaining new BPMs that will be a component of the initial design as well as future development. While MITA lays out a very clear set of BPMs, additional models will need to be created to support higher degrees of capability maturity, new and modern system interactions, and to train staff with process and/or program changes.

As we consider our approach to designing, building and maintaining new BPMs, we first considered the progress you have made from your MITA 3.0 SS-A and roadmap activities. A significant amount of work has been completed to establish your current and desired maturity state for all business processes. We are especially interested in your MITA 3.0 BMS Maturity Model Matrix. While this was created to support the SS-A and eventual roadmap, it does contain a comprehensive view of the 80 business processes with links to relevant business processes, information and technical architecture, the CMS Seven Conditions and Standards maturity, and the AS-IS and TO-BE maturity levels. This work and adopt your definitions and business architecture, business category and business processes framework will help us as we create new BPMs and subsequent business process details. We will make sure that all new BPMs and process details that we create as a part of the design and into operations work seamlessly with the structure that you have already created. This will promote greater adoption with staff and significantly improve new process training and results.

Our approach to the design, development, and maintenance of new BPMs is similar to the SS-A approach that you took with your BMS MITA Lifecycle Model. With our approach, we add an approval step. **Figure 4.3-34** represents your MITA Lifecycle Model that we will adopt.

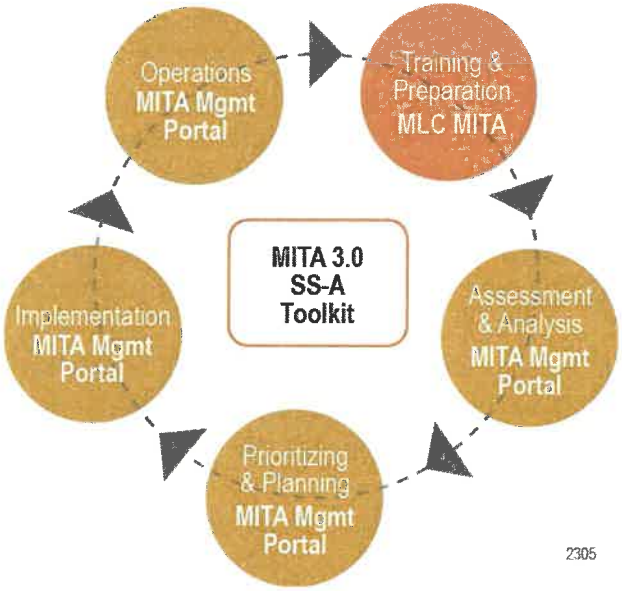


Figure 4.3-34: MITA Lifecycle Model.
We will adopt the MITA Lifecycle Model and add an approval step.

In our experience, every new and existing BPM has a lifecycle that follows a similar flow. We begin with definition, or modification, that defines the scope, including the process owners and the associated business functions that it serves. We then perform an assessment and analysis to determine where the new BPM fits within the existing and overall business architecture. The third step is the prioritization of the work and the fourth, the development itself. Finally, we obtain approval and implement with training. **Figure 4.3-35** shows our approach to creating new BPMs.

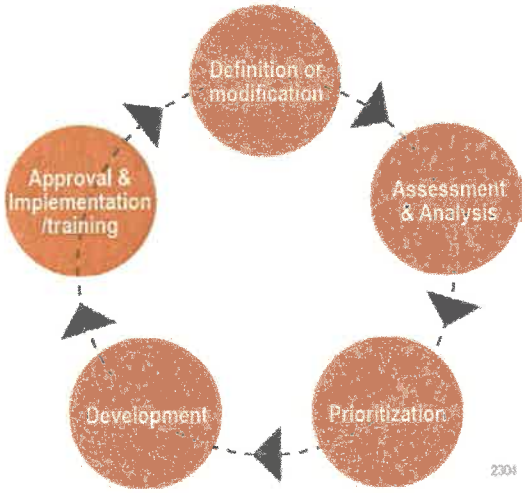


Figure 4.3-35: Approach to creating new Business Process Models.
We follow a consistent approach to creating new BPMs.

From our MITA experience, we take every new business process through the MITA Maturity Model (MMM), using the six measurable qualities defined by MITA:

1. **Timeliness of Process:** Time lapse between DHHR's initiation of a business process and attaining the desired result (e.g., length of time to determine eligibility and enroll a member in a program, pay for a service, respond to an inquiry, make a change, or report on outcomes)
2. **Data Access and Accuracy:** Ease of access to data that the business process requires and the timeliness and accuracy of data used by the business process
3. **Effort to Perform, Efficiency:** Level of effort necessary to perform the business process given current resources
4. **Cost Effectiveness:** Ratio of the amount of effort and cost to outcome
5. **Accuracy of Process Results:** Demonstrable benefits from using the business process
6. **Utility or Value to Stakeholders:** Impact of the business process on individual members, providers, and State staff

We also take each new business processes, and align each one to the five levels of maturity defined by MITA:

- Level 1 of the MMM includes capabilities to demonstrate adherence to federal and state legislative mandates.
- Level 2 improves over Level 1 with the introduction of quality improvements and data access with the implementation of technology standards.
- Level 3 has high use of industry standards for data exchange, and the State Medicaid Agency (SMA) is collaborating with intrastate agencies to improve health care coordination.
- Level 4 introduces the intrastate and interstate exchange of clinical information.
- Level 5 is defined by seamless coordination, real-time processing, and integration of state and federal agencies.

As each process is developed, we work with the business owners to align each process and sub-process to the MMM-level definitions. Similar to how you completed the MITA SS-A, we will apply these definitions to each process and sub-process and score the overall business process with the lowest sub-process score.

Figure 4.3-36 shows the relationship between the MITA business architecture elements and how we will align the MMM. It includes the five capability questions and six measures to the BPMs, subsequent business processes and Business Capability Models (BCMs).

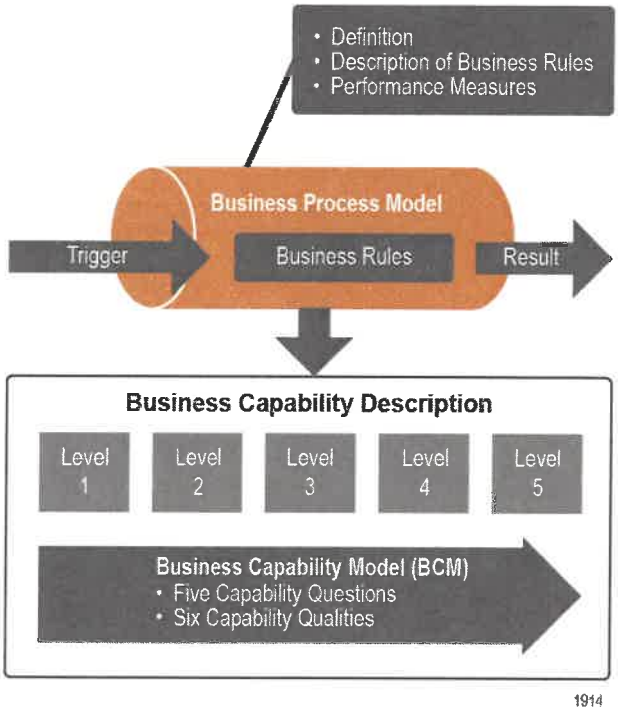


Figure 4.3-36: MITA Business Architecture Elements Relationship.
We will align the MMM, the capability questions and the six measures to the BPMs and subsequent business processes and BCMs.

The process details, including information and technology capability maturity measures, are documented and presented for approval. After approval, the documentation is stored electronically until a modification is needed, and we begin the process again.

As we define each business process and sub-process, we will work with you and other vendors to define and document each element in the MITA Business Process Template (BPT). We will leverage the overall review and approval process defined for this project for approval. As components of the MITA Framework Development Approach, we will use the MITA templates and models to produce the specific artifacts. This includes the BPM, BPT and Business Capability Matrix. This will provide the framework for the specific business processes that will link to the specific MITA business areas.

The following table shows the elements of the MITA BPT we will use to define each WV IES business process in detail. This table represents the MITA definition for all elements that define each BP. This will serve as our starting framework. We have added an owner to this table list to provide active governance for the change management process. As we progress through the DDI phase, we may agree to add to this list for your IES business processes. The MITA business process template is a key element of the business architecture framework.

Element	Description
Description	Brief statement describing roles and activity conducted during the business process
Owner	Position/Title of the business owner
Trigger Event	One or more events that start a process
Result	One or more outcomes from the execution of the business process and rules
Business Process Steps	The sequence of steps that complete the entire business process

Element	Description
Shared Data	The data that is stored and at rest to be used to complete a step in the business process
Predecessor	The business process and results that proceed the activity conducted in this business process
Successor	The succeeding business process to the activity conducted in this process; generally, the result of this process becomes the trigger to the next
Constraints	Conditions that CMS expects states to meet for a general process to execute (e.g., enrolling participants can require different information/data based on program qualification)
Failures	Exit points throughout the business process where a rule indicates that the process should be terminated
Performance Measures	A KPI measuring the process or result; KPIs can be: • **Quantitative:** Usually numerical • **Practical:** Interface with existing processes • **Directional:** Measure of improvement • **Actionable:** Tasks/decisions that are within Agency control to effect change • **Financial:** Results and measures that the SMA and CMS use to monitor and measure performance of a process The BPT will include types of measures, and the business process will identify specific KPIs and measurements.

As stated before, our goal is to leverage all of the MITA work that you have already completed. This means that as we create new BPMs and BPs, we will leverage any unique identification number that you currently use for reference, management, and maintenance. We will link each process identification assignment to a specific business area and business category and define each process by the five levels of maturity. The BPT and BCM will further define each process in more detail. The BCM will include the five capability questions and six capability qualities that define the levels of maturity for each of the five levels of the MMM. Specifically, each BCM will include the following:

- Business Capability Description
- Capability Questions
  - Is the process manual or automated?
  - Does the SMA use standards in the process?
  - How does the SMA collaborate with other agencies or entities in performing the process?
- Business Capability Qualities
  - Timeliness
  - Data access and accuracy
  - Cost effectiveness
  - Effort to perform – Efficiency
  - Accuracy of process results
  - Value to stakeholders

Using the MITA framework development approach helps us tightly align the artifacts and deliverables with the MITA framework. It can provide the following three benefits to you into the future. By doing this, we avoid building and using a proprietary approach for developing new BPMs and subsequent business processes. This accomplishes the following:

- Creates a working model for you to extend and leverage to other MITA and/or HHS business areas that are not within the scope of this project
- Creates alignment with the MITA framework, which will make ongoing CMS guidance and changes less costly to adopt and quicker to implement
- Supports future SS-As, CMS approval and certification process, and future audits

During the DDI Phase of the project, we will identify all of the new in-scope BPMs. We may need to look outside of MITA for IE business process content. MITA has four primary business processes to cover eligibility and enrollment. We will leverage other agency content to complete the IE business architecture. As an example, we expect to pull from the scenarios and vignettes from the Administration for Children and Families National Human Services Interoperable Architecture and other business processes that we define to be in scope throughout the DDI Phase. During this phase, we will build the initial, current state, business architecture, approval function and roadmap, and change management process before transitioning to the Operations Phase.

We will work with you to identify the BAs, BPMs and business processes for the WV IES that are well documented with the HHS agencies. We can also work the processes in reverse, beginning with our technology and information architectures, which will help define new BPMs and business processes needed to be in scope for this project and that are required.

In your TO-BE assessment in your MITA 3.0 SS-A, you stated that your expectation with a new eligibility and enrollment system was to be at a MITA Maturity Level of 3 for all processes. We designed our WV IES to support a MITA Maturity Level 3 for these business processes. As part of the DDI Phase, we will work with you to define existing and new business processes that will be within scope for this project. We will define the five levels of maturity for each business process and again, align each business process to the six measurable qualities that distinguish performance from one level of maturity to the next.

As we create the BPMs and establish the WV IES Business Architecture, we will identify state owners who will own each BPM. The BPM owner matrix will be available through the document repository system and updated as new information is provided. Much like data governance, it is critical to define state owners as a source of governance and authority for ongoing changes to each BPM. We will establish a process to initiate, design, develop, test and implement changes to any BPM. The BPM owner will be responsible for approval of the request.

Reasons for a BPM change include the following:

- Desire to move to next level of maturity for a specific BPM or business capability
- Desire to improve specific performance or quality improvement
- Desire to improve cost of delivery
- Regulatory compliance
- Technology improvements

A BPM change request form will be completed with the appropriate reason for change indicated. The request will also include:

- Name and reference code of BPM
- Name and contact of requester
- Date of request
- Reason for request
- Process impacted
- Impact of change

Upon submitting the request, it will route to the BPM owner for approval consideration. If approved, it will be added to the change management process to be further documented, prioritized, staffed and managed. If it is not approved, the requestor will receive an email stating the reason for non-approval. **Figure 4.3-37** shows the expected BPM management process.

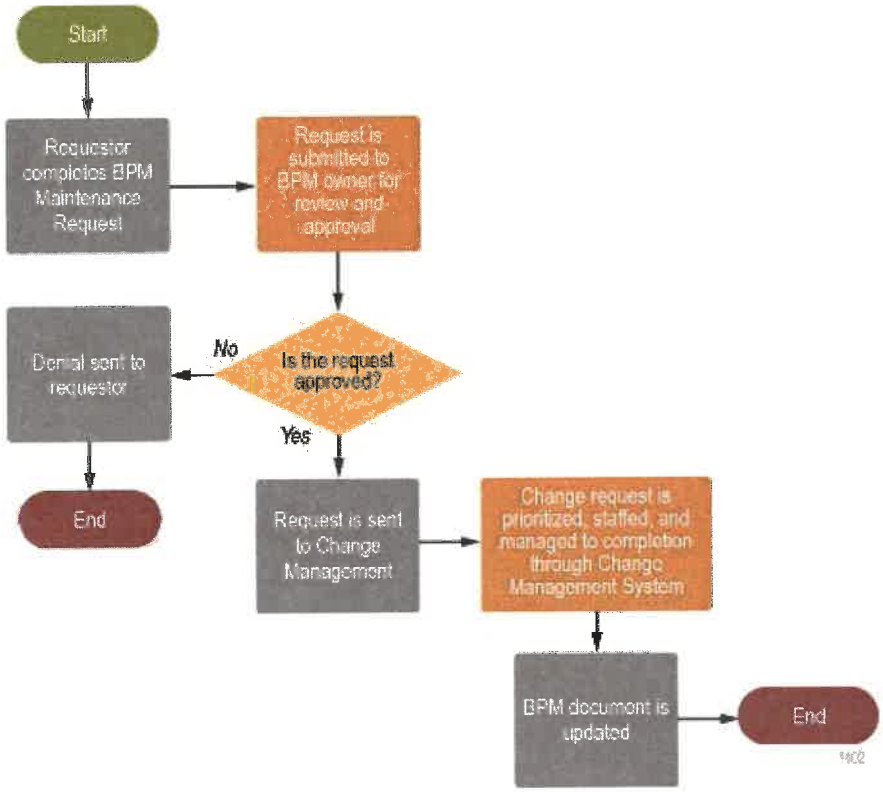


Figure 4.3-37: BPM Management Process.
We will use our mature BPM management process to manage and control change for the WV IES Project.

We will work with you to leverage your existing MITA framework and documentation structure. We have summarized the approach we will bring to build out the new business processes and models. We fully understand the MITA Business Architecture framework and elements, and we will leverage them to enhance your WV IES Business Architecture through the development of new BPMs and subsequent business process details. Complementing this is our team of experts who are well suited to help you achieve your stated MITA roadmap objectives.

4.3.13 Objective: Enterprise Reporting Capability

Approach to Enterprise Reporting

In this section, we describe the reporting solution and approach we propose to consolidate reports from your existing legacy systems.

Having the ability to make sound business decisions using data is critical to having an efficient and flexible program that will well serve your members and DHHR. Using your existing data and our extensive experience in enterprise reporting, we position you better than any other vendor can to make a difference in the lives you serve. To meet your reporting needs, we propose leveraging your investment in Cognos™ and incorporating our Reporting and Analytics Services as part of the overall solution. Our Reporting and Analytics Services is our integrated COTS reporting and analytics platform. It provides innovative reporting and analytics that government and commercial payers currently use to achieve their goals of improved experience of care, improved population health outcomes, and reduced costs.

The Optum Reporting and Analytic Services provide a flexible, Web-based reporting and business intelligence solution to streamline reporting and analytics across federal and state agencies. We leverage existing infrastructure and tools to create a consistent user experience to transform data into actionable insights. We streamline data to provide comprehensive, cross-functional reporting and analytic capabilities resulting in simple yet powerful reports and visualizations designed to help identify and improve operational efficiency and effectiveness.

We describe our approach for leveraging and interfacing with your existing data marts and data warehouse in proposal Section 4.1.1, Interfacing with the Data Warehouse. We will:

- Migrate the existing transactional databases to the new IES, Child Welfare, and Child Support databases
- Develop a data model of the three existing data marts and the FACTS ODS
- Migrate existing data quality rules to the new instance of Informatica
- Create data feeds from the WV IES to the existing data marts

In proposal Section 4.3.6, Data Conversion, we describe how the data from your existing databases will be converted to the WV IES.

We will use Cognos to modify existing reports, where necessary, and develop the new reports that are listed in the DOC064 Alerts, Reports, Letters, Forms, Notices and Interfaces Inventory document. As depicted in **Figure 4.3-38**, we will:

- Modify, where necessary, the existing Cognos reports that are currently produced from the RAPIDS data warehouse, the FACTS data mart, the FACTS ODS, and the OSCAR data mart
- Re-write existing operational and transactional reports produced from the eRAPIDS, RAPIDS, and OSCAR databases in Cognos and produce the reports from the existing data marts after first enhancing the data mart schemas with additional necessary data from the WV IES databases
- Provide URLs from the WV IES to each of the RAPIDS, FACTS and OSCAR reporting systems
- Decommission the existing operational and transactional reports that are currently in Jasper Reports, Mobius, CA Report Facility, and other non-Cognos-based reports

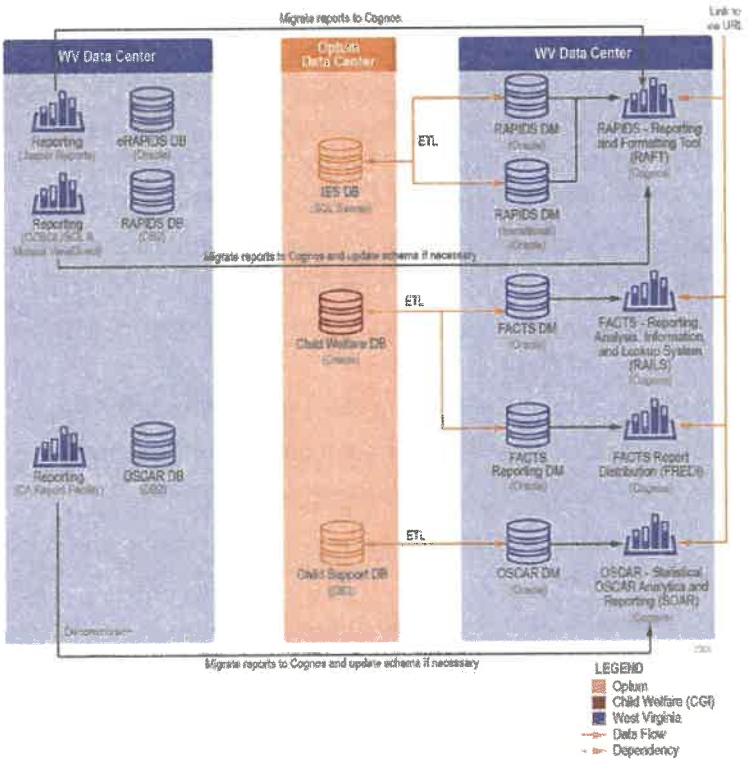


Figure 4.3-38: Approach to Enterprise Reporting.
We will leverage and enhance the existing data marts and consolidate all reporting from your existing legacy systems.

As a possible future enhancement, we envision consolidating all of the URL links to each reporting system into a single reporting user interface and enabling reporting across all of the data sources, as shown in **Figure 4.3-39**.

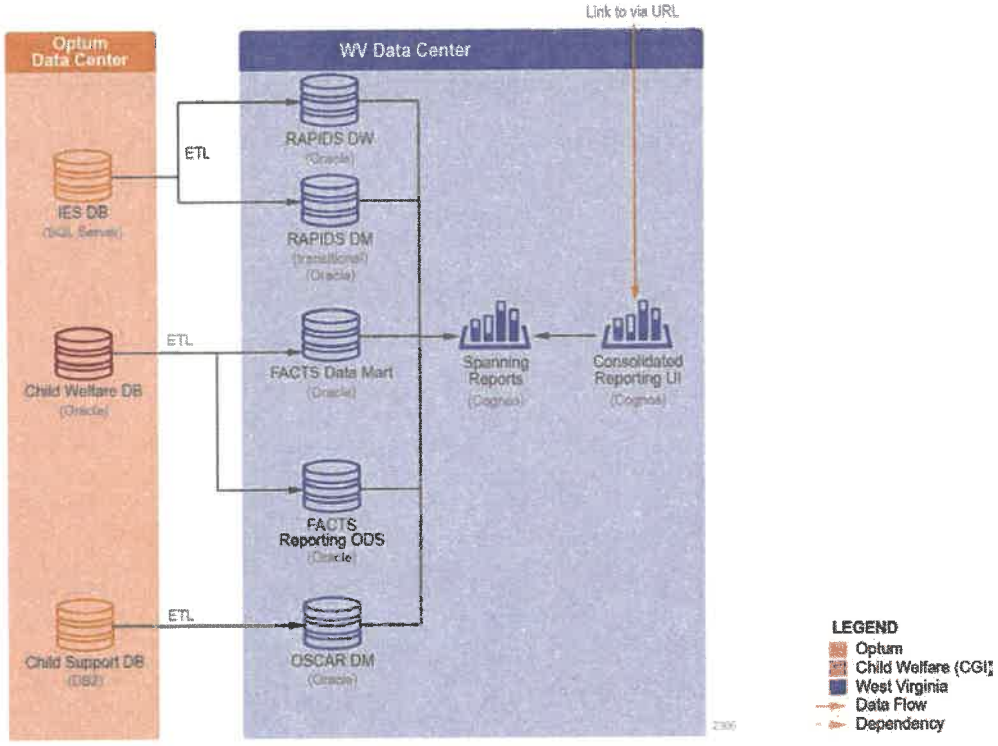


Figure 4.3-39: Consolidated Reporting User Interface.
We could consolidate the reporting URLs to a single UI and enable reporting across the data sources.

The reporting portal, the visualization layer and our use of a common reporting tool (i.e., Cognos) will enable us to provide your reporting end users with a similar user experience and a consistent look-and-feel, regardless of the system each one uses.

Ad Hoc Reporting

Our ad hoc reporting features will enable DHHR to create, edit and deliver ad hoc reports in a simplified and user-friendly way. Unlike traditional reporting systems commonly used across government agencies, our system creates opportunities for technical and non-technical users to maximize the use of data to analyze trends and use results to produce real-time dashboards. Authorized ad hoc report users can modify existing reports, including colors, data visualizations, tables and data elements. Through access provisioning, DHHR can designate multiple levels of access to ad hoc report users to address variations in access across the system users.

The next table describes how our ad hoc reporting solution will help you achieve your ad hoc reporting goals and meet the functionality requirements defined in RFP Appendix VI, Table 26: Business and Technical Specifications.

How Optum Will Help DHHR Achieve Ad Hoc Reporting Goals
Optum will provide a data view that makes all data visible in Cognos. This will enable browsing through requests and responses, as well as summary reporting.
We will develop data views that enable authorized users to browse through and summarize all information captured in the solution. Views will show eligibility data and case management data. Data visualization will be readily available in both reports and in dashboards created with Cognos Workspace Advanced. Solution performance and solution data will be saved in the data mart and will be viewable.
Authorized users will have access to Cognos, which enables ad hoc reporting on all of the data in all of the views.
There is no need for a change control process with Cognos. Users simply log in, select the relevant data view, and filter to see the data they want to view. Users will create their own dashboards and reports.

Reporting and Analytics Services

We will bring extensive experience and qualifications to this engagement through our work on our own COTS-based Reporting and Analytics Services solution. Optum will apply this reporting and analytics knowledge and expertise while working with DHHR.

Our Reporting and Analytics Services includes integrated analytics and reporting capabilities. Our solution aligns with all three MITA Framework architectures: business, information and technical.

We based our architectural design on best practices that include open standards and commercial software. As a leading HHS organization, we have extensive experience delivering large-scale systems based on HIPAA, NIST, and state security guidelines. Our solution and architecture includes inherent design components to align with the CMS Seven Conditions and Standards and Medicaid Enterprise Certification Toolkit checklist requirements.

Using these architectural design objectives as guidelines, we incorporated enterprise-scale infrastructure components into our reporting solution. We bring experience implementing and operating reporting solutions using both Optum-hosted and state-hosted data centers. We currently operate data warehouse and reporting solutions within state data centers in Michigan, Illinois, California, Indiana and New Jersey, host the Medicaid data warehouse and reporting for Arkansas and Washington, and are implementing an Optum-hosted data warehouse and reporting solution for New York.

We design and integrate the individual components of our reporting solution (i.e., hardware, application and network-related) using a HIPAA-compliant security framework and business-hardened redundancy.

We built our Reporting and Analytics Services to provide quick and reliable access to critical information when needed. Our COTS technology stack includes the following components:

- **Enterprise data foundation:** Enterprise-scale infrastructure to support the following:
  - **Database management systems:** Oracle 12c providing enterprise performance for the IE data mart and SQL Server as the data store for SharePoint document management
  - **ETL systems:** Informatica providing data acquisition (real time, scheduled), business and quality rules, and data dictionary services
  - **Security and systems management:** Best-in-class solutions from the largest software providers (e.g., HP, IBM, Cisco, Intel, Microsoft)
- **Business intelligence/publish layer:** Enabling data access to users and subscribing systems through standard reporting, ad hoc, and drill-down using Cognos
- **User access portal:** A single point of entry for all users and roles

We can customize the Reporting and Analytics Services data model to meet your needs, beginning with the reporting, analytic dimensions and frequently used features. Our reporting solution provides easy access for retrospective reporting and activates proactive thinking and strategic planning.

Users will have RBAC to all components of the WV IES through our Web-based portals. They can access information and tools specific to designated roles and business needs. They will have easy access to data and analytics when and how they need it.

Moving beyond Technology to Actionable Insight

Our Reporting and Analytics Services have streamlined reporting and analytics across other state agencies. As your chosen vendor, we will do the same for your programs. Together, we will use historical and transactional data, enabling you to make better business decisions that support your programs. Using our pre-defined reports, dashboards, data extracts and simple ad hoc capabilities, we equip you and your team to meet federal and state reporting requirements better than you can today. Because our solution is modular and COTS-based and we have partnered with some of the best vendors in the industry, our reporting solution incorporates easy-to-understand data visualizations, drill-down capabilities, roll-up capabilities and KPIs, allowing you to measure and manage your program like never before. Because of our industry experience and our approach to strong partnerships, we will translate data into meaningful insights that positively affect the lives you serve. By maximizing the use of data, you will have the capacity to employ data-driven solutions to reduce social program costs, increase quality of services, and improve overall program and population outcomes.

Features of our Reporting and Analytics Services that will benefit DHHR include:

- User-friendly ad hoc reporting capabilities
- Real-time and batch reports
- Pre-defined reports and interactive dashboards with customizable tool tips
- Adherence to all Federal accessibility requirements (i.e., Section 508 of the Rehabilitation Act)
- Flexible RBAC, including view and editing capabilities
- Various report and data formats (e.g., PDF, PNG, XLS, CSF, paper)
- Access to underlying data and integration with external data
- Customizable user subscription to data, reports, and dashboards
- Geo-spatial analysis
- Compliance with federal and state rules (e.g., ADA, HIPAA, Federal Tax Information)
- Electronic and automated report delivery

- Customizable filters and sort features
- Pre-defined federal-based KPIs with options for customization
- Drill-down and roll-up capabilities: demographics, errors, rates, locations, time, applications and cases
- Pre-defined report and dashboard templates

Our approach to reporting and analytics enables you to make evidence-based decisions that focus on quality, cost and program integrity. We provide a comprehensive and flexible platform to extract information from data to drive key business decisions. This will ultimately contribute to the ongoing effort of improving outcomes of the population you serve.

Sample of IE Core Reporting and Analytics Offerings

Core reporting business capabilities include the following.

Agency effectiveness: Reporting capabilities across State agencies to manage operations and performance—this includes drill-down and roll-up capabilities and customizable parameters to discover trends and support agency decisions. The following table lists reports that help improve agency effectiveness.

Report Category	Description
Agency management and operations	• Reports to assist agency staff with workload management and develop a deeper understanding of households and member characteristics – Includes key performance metrics and real-time dashboards for application processing, case information, eligibility overrides, claims and client demographics • Eligibility Override Report • Demographic Report • Claim Report • Renewal Dashboard • Program Churn Report
Staff performance	• Reports to assist with performance reviews – Includes configurable KPIs to track trends in performance and identify strengths and areas of improvement • Staff Development and Performance Dashboard • Agency Development and Performance Summary Report
Agency worker caseload	Reports to assist agency staff with eligibility determination, enrollment and case status to manage overall workload
Appeals and fair hearings	Reports to monitor the number of appeals, reasons, and final decisions • Appeals reports • Fair Hearings reports • Outcome reports
Audits	Reports to prepare audit case sample information, identify errors and results
Usage	Reports on utilization across portal functions to understand system usage
Cross-program and statistical reports	Reports with easy to understand graphics to analyze cross-program totals and statistics

Program effectiveness: Reporting to validate adherence to federal and state regulations and includes multiple formats and frequencies to deliver reports according to federal regulations such as these shown in the following table.

Report Category	Description
SNAP	Reports to comply with FNS submission requirements; includes dashboards and reports to monitor program performance, such as payment error rates, work participation and participation totals; examples include: • FNS Issuance and Participation Estimates • FNS Employment and Training Reports • FNS Quarterly ABAWD Report • FNS Program and Budget Summary • FNS Food Participation by Race
TANF	Reports to comply with ACF submission requirements; includes dashboards and reports to monitor program performance such as work participation rate and participation totals; examples include: • ACF Caseload Reduction Report • ACF Financial Report • ACF Data Report
Medicaid/CHIP	Reports to comply with CMS submission requirements; includes dashboards and reports to monitor CMS KPIs and eligibility by group

System effectiveness: Reporting to verify optimal system operations and performance include those shown in the following table.

Report Category	Description
Performance	Reports to monitor system operations and performance and to provide insight on trends and make recommendations on system adjustments
Logs	Logs to track login attempts and system usage such as the following examples: • Usage reports • Manual versus Automated processes reports • Login reports • Mass change reports • Batch reports • System performance reports
Analytics	Analytics employing extensive statistical methodologies to maximize the use of data; includes prescriptive, predictive and diagnostic analytics to understand populations, track performance, make fact-based decisions and predict future trends. Analytics include: • Fraud and abuse: Innovative analytics capabilities to combat fraud and abuse across programs; includes match reports and tracks trends in unusual activity and outliers to guide investigation efforts and make sure funds are spent according to state and federal regulations. Examples include: – Loss/Replacement Benefits Report – Match reports – Retailer reports • Outreach: Analytics to quickly identify clusters of customers and families across the State who are potentially eligible for additional programs and services; enables the State agencies to develop evidence-based outreach strategies to make sure eligible individuals are receiving assistance; examples include: – Potentially eligible families and individuals report – Referral reports • Program: Analytics across agency programs to support effective policy adherence and recommendations

Report Category	Description
	• KPIs: Pre-defined and agency-specified KPIs to track performance using real-time data

Dashboards and reports: Our Reporting and Analytic Services deliver pre-defined and configurable dashboards and reports with options for self-service, ad hoc reporting capabilities to satisfy all business and analytic reporting needs. Dashboards provide powerful easy-to-understand data visualizations to monitor and track KPIs and statistical information based on federal and State guidelines. Dashboards and reports can be tailored to meet specific needs resulting in accurate and detailed reporting.

Dashboard and reports use parameter features to compare measures and create calculations and filters to make dashboards and reports more interactive. The parameter control features enable authorized users to modify existing values to view and combine data in multiple ways. Our dashboards and reports include basic parameter controls to allow user-friendly drill-down and roll-up capabilities.

Our dashboards and reports provide a user-friendly method to manage enrollment applications, caseloads and monitor performance across all programs. The native tab bar feature enables users to toggle between multiple dashboards quickly. Flexible configuration options are available to insert state-specific logos or color schemes to meet state design specifications and maintain a consistent experience across the system. Using RBAC, administrators can grant and restrict access to users based on DHHR's needs.

Applications dashboard: This dashboard meets multiple levels of management needs. It provides real-time data visualizations on the number of enrollment applications across the State and reveals month-to-month trends for any program. **Figure 4.3-40** shows the applications dashboard.

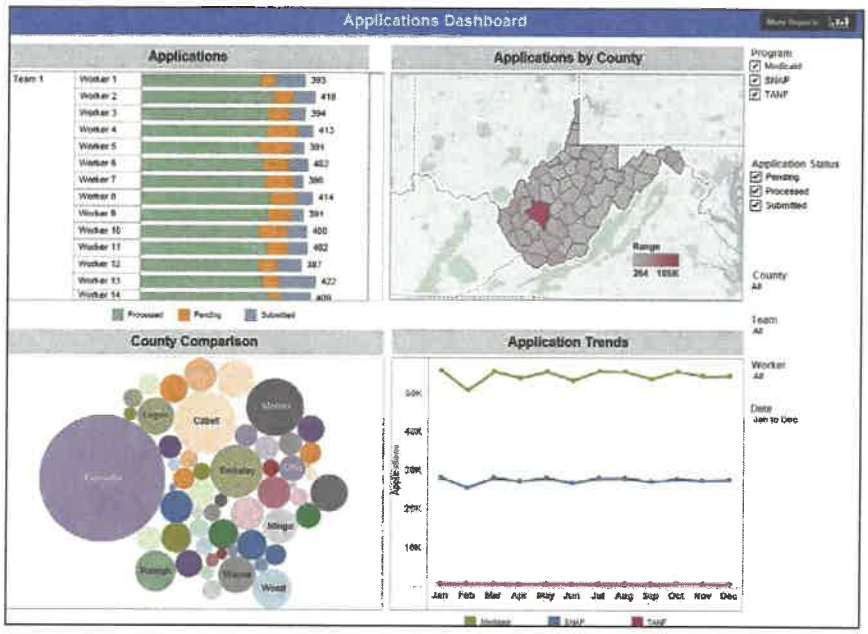


Figure 4.3-40: Applications Dashboard.
Our Applications Dashboard provides real-time data visualizations on the number of applications across the State and reveals month-to-month trends for any program. It provides options to grant and restrict access based on roles.

Application processing dashboard: Our pre-defined Application Processing Dashboard monitors application processing times in real time to reveal trends and target areas for improvement. This dashboard provides visual representation of applications by status, processing times and decisions with configurable options to filter by time, program, county, team/office and worker. It includes

performance metrics, such as mean and median processing times and uses meaningful color schemes to indicate strengths, cautions and areas that need work. This dashboard makes comparisons and determinations on fulfillment of processing times according to federal regulations with the option to configure based on state-specific processing regulations. **Figure 4.3-41** shows the applications processing dashboard.

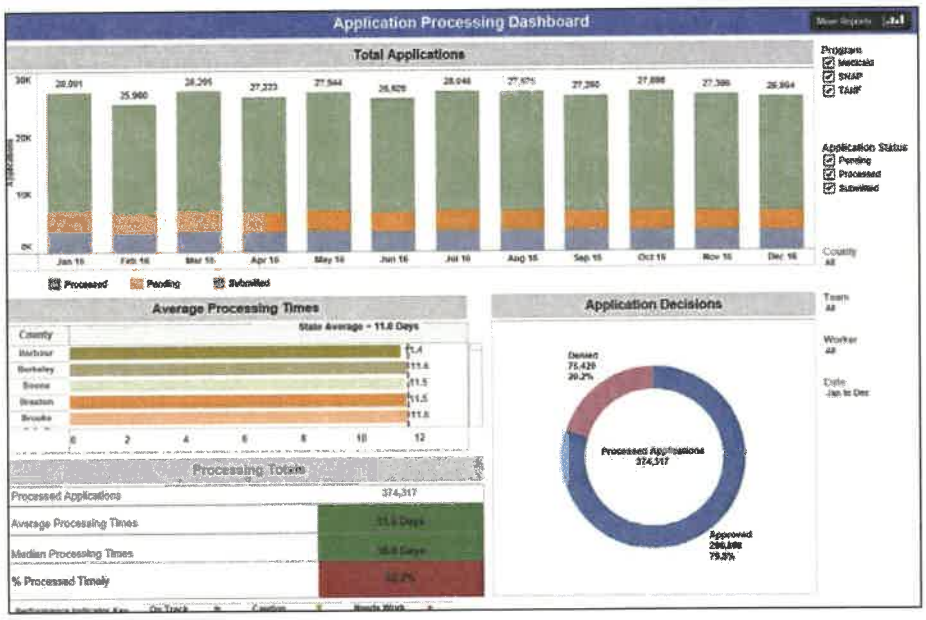


Figure 4.3-41: Applications Processing Dashboard.
Our applications processing dashboard provides real-time visual representation of applications by status, processing times and decisions.

Demographics dashboard: The Demographics Dashboard enables management to understand household and client demographics across programs and geographic locations. Filters provide ability to slice data and drill down in many ways to visually discover trends and make meaningful comparisons across social and demographic factors associated with program and client outcomes. **Figure 4.3-42** shows an example Demographics Dashboard.

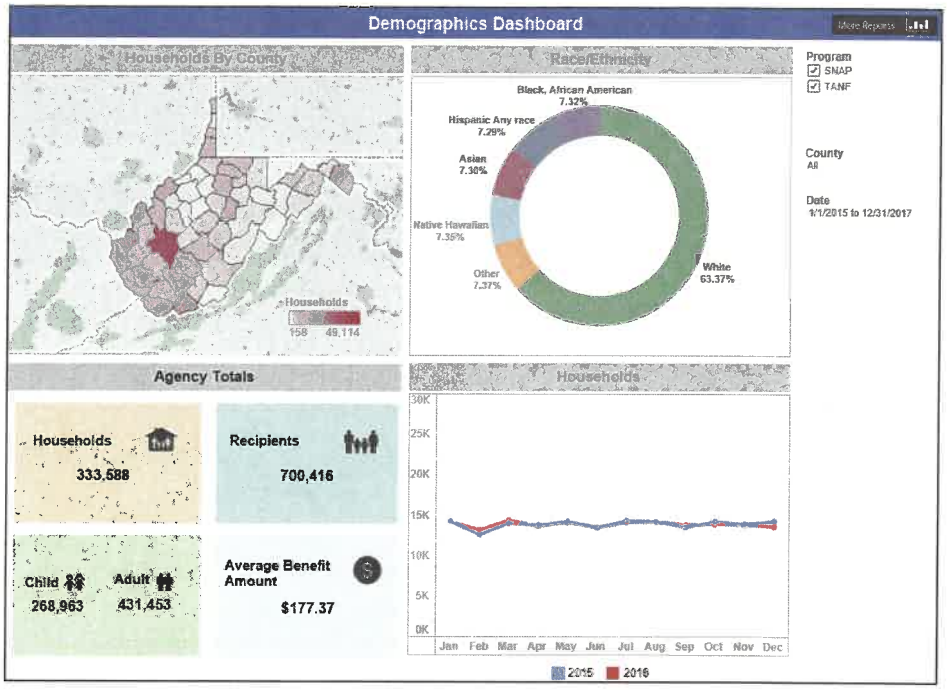


Figure 4.3-42: Demographics Dashboard.

Our Demographics Dashboard provides real-time visual representation of applications by status, processing times and decisions.

CMS performance indicators dashboard: The CMS Performance Indicators dashboard provides information on Medicaid and CHIP performance indicators. It measures monthly trends and counts by program and time to prepare for monthly CMS report submission. An example is shown in **Figure 4.3-43**.

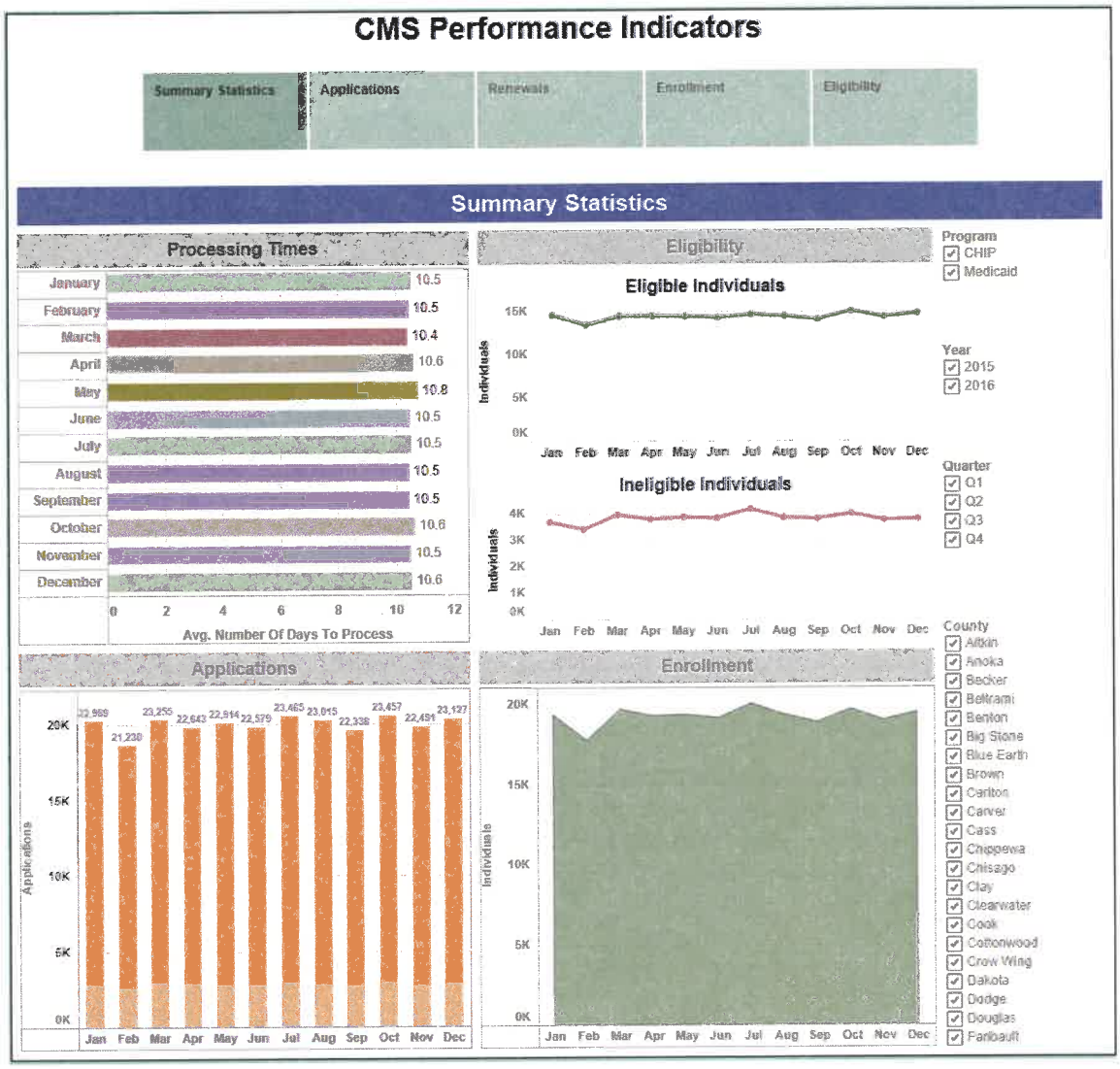


Figure 4.3-43: CMS Performance Indicator Dashboard.

The CMS Performance Indicator dashboard incorporates customizable color schemes and flexibility to determine monthly program performance.

TANF work participation rate dashboard: This dashboard provides data on TANF work participation rates across counties and defined period. It tracks monthly rates and implements targeted corrective actions before submitting quarterly data to the Administration for Children and Families (ACF). An example is shown in **Figure 4.3-44**.

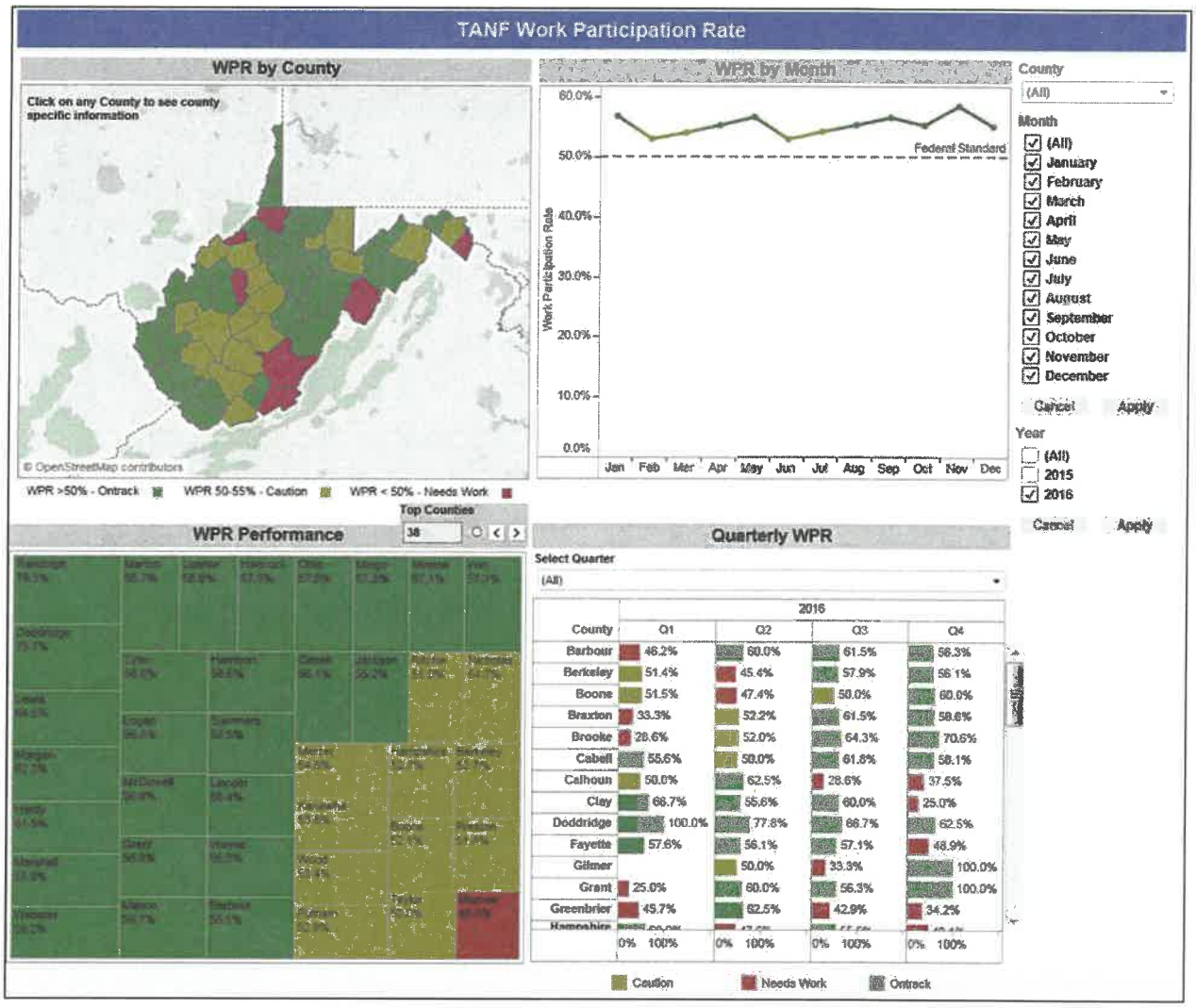
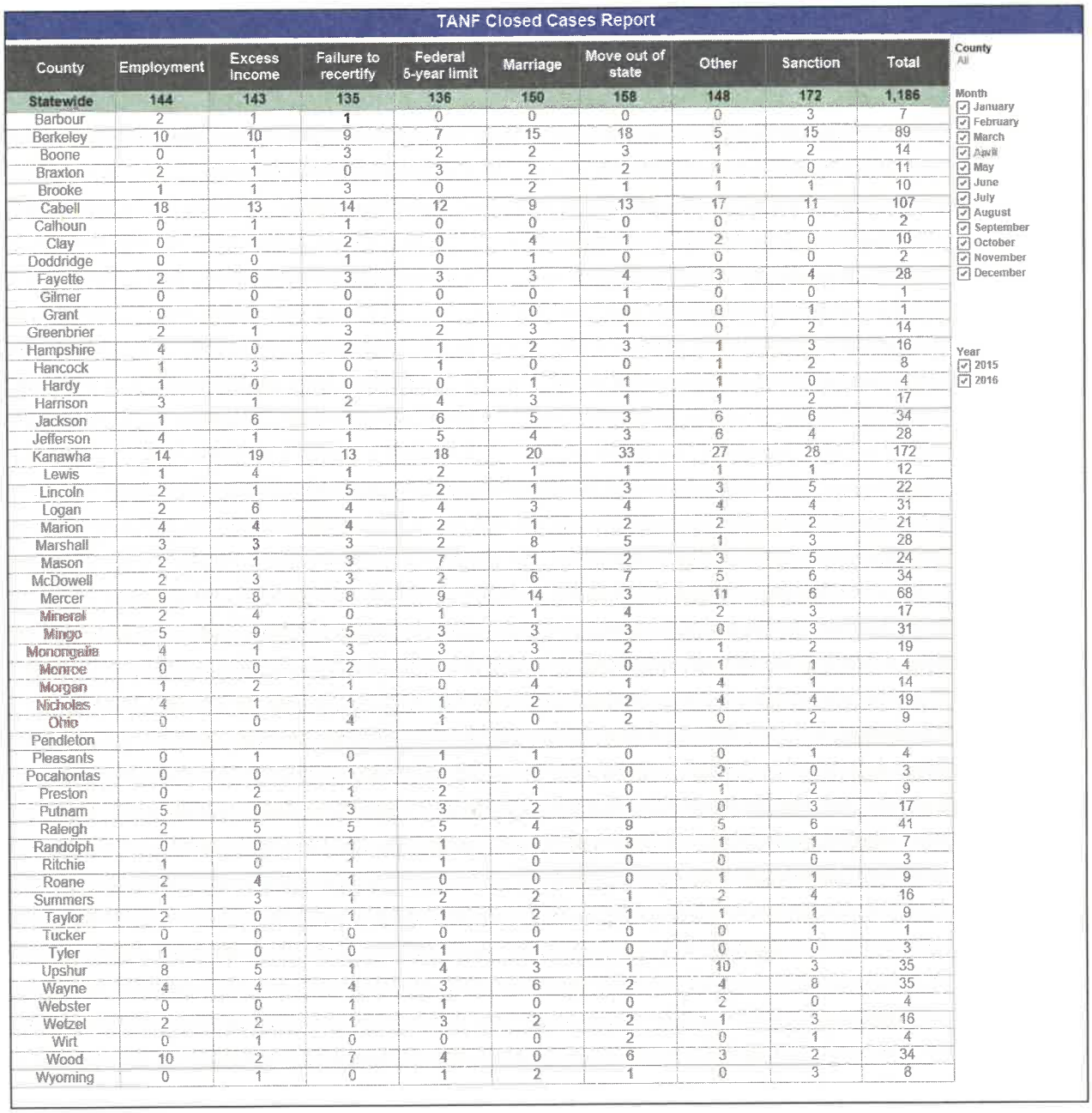


Figure 4.3-44: TANF Work Participation Rate Dashboard.
This dashboard incorporates customizable color schemes and flexibility to determine participation rates across multiple programs.

TANF Closed Cases Report: Users can review TANF case closure including reasons for the closure by date and county. Understanding the primary reasons for case closure can help identify ways to reduce administrative burden for unnecessary case closures. This report, illustrated in **Figure 4.3-45**, can be modified to provide case closure for any program.



TANF Closed Cases Report

County	Employment	Excess Income	Failure to recertify	Federal 5-year limit	Marriage	Move out of state	Other	Sanction	Total
Statewide	144	143	135	136	150	158	148	172	1,186
Barbour	2	1	1	0	0	0	0	3	7
Berkeley	10	10	9	7	15	18	5	15	89
Boone	0	1	3	2	2	3	1	2	14
Braxton	2	1	0	3	2	2	1	0	11
Brooke	1	1	3	0	2	1	1	1	10
Cabell	18	13	14	12	9	13	17	11	107
Calhoun	0	1	1	0	0	0	0	0	2
Clay	0	1	2	0	4	1	2	0	10
Doddridge	0	0	1	0	1	0	0	0	2
Fayette	2	6	3	3	3	4	3	4	28
Gilmer	0	0	0	0	0	1	0	0	1
Grant	0	0	0	0	0	0	0	1	1
Greenbrier	2	1	3	2	3	1	0	2	14
Hampshire	4	0	2	1	2	3	1	3	16
Hancock	1	3	0	1	0	0	1	2	8
Hardy	1	0	0	0	1	1	1	0	4
Harrison	3	1	2	4	3	1	1	2	17
Jackson	1	6	1	6	5	3	6	6	34
Jefferson	4	1	1	5	4	3	6	4	28
Kanawha	14	19	13	18	20	33	27	28	172
Lewis	1	4	1	2	1	1	1	1	12
Lincoln	2	1	5	2	1	3	3	5	22
Logan	2	6	4	4	3	4	4	4	31
Marion	4	4	4	2	1	2	2	2	21
Marshall	3	3	3	2	8	5	1	3	28
Mason	2	1	3	7	1	2	3	5	24
McDowell	2	3	3	2	6	7	5	6	34
Mercer	9	8	8	9	14	3	11	6	68
Mineral	2	4	0	1	1	4	2	3	17
Mingo	5	9	5	3	3	3	0	3	31
Monongalia	4	1	3	3	3	2	1	2	19
Monroe	0	0	2	0	0	0	1	1	4
Morgan	1	2	1	0	4	1	4	1	14
Nicholas	4	1	1	1	2	2	4	4	19
Ohio	0	0	4	1	0	2	0	2	9
Pendleton									
Pleasants	0	1	0	1	1	0	0	1	4
Pocahontas	0	0	1	0	0	0	2	0	3
Preston	0	2	1	2	1	0	1	2	9
Putnam	5	0	3	3	2	1	0	3	17
Raleigh	2	5	5	5	4	9	5	6	41
Randolph	0	0	1	1	0	3	1	1	7
Ritchie	1	0	1	1	0	0	0	0	3
Roane	2	4	1	0	0	0	1	1	9
Summers	1	3	1	2	2	1	2	4	16
Taylor	2	0	1	1	2	1	1	1	9
Tucker	0	0	0	0	0	0	0	1	1
Tyler	1	0	0	1	1	0	0	0	3
Upshur	8	5	1	4	3	1	10	3	35
Wayne	4	4	4	3	6	2	4	8	35
Webster	0	0	1	1	0	0	2	0	4
Wetzel	2	2	1	3	2	2	1	3	16
Wirt	0	1	0	0	0	2	0	1	4
Wood	10	2	7	4	0	6	3	2	34
Wyoming	0	1	0	1	2	1	0	3	8

Figure 4.3-45: TANF Case Closure Report.
This report provides case closure information including reasons by date and county.

SNAP Payment Error Rate Dashboard: The SNAP Payment Error Rate dashboard provides data on monthly payment error rates to identify and implement corrective actions at the county level to make sure error rates are within Food and Nutrition Service (FNS) tolerance levels prior to federal submission. The payment error rate dashboard can be configured to measure performance and error rates for any programs. An example is shown in **Figure 4.3-46**.

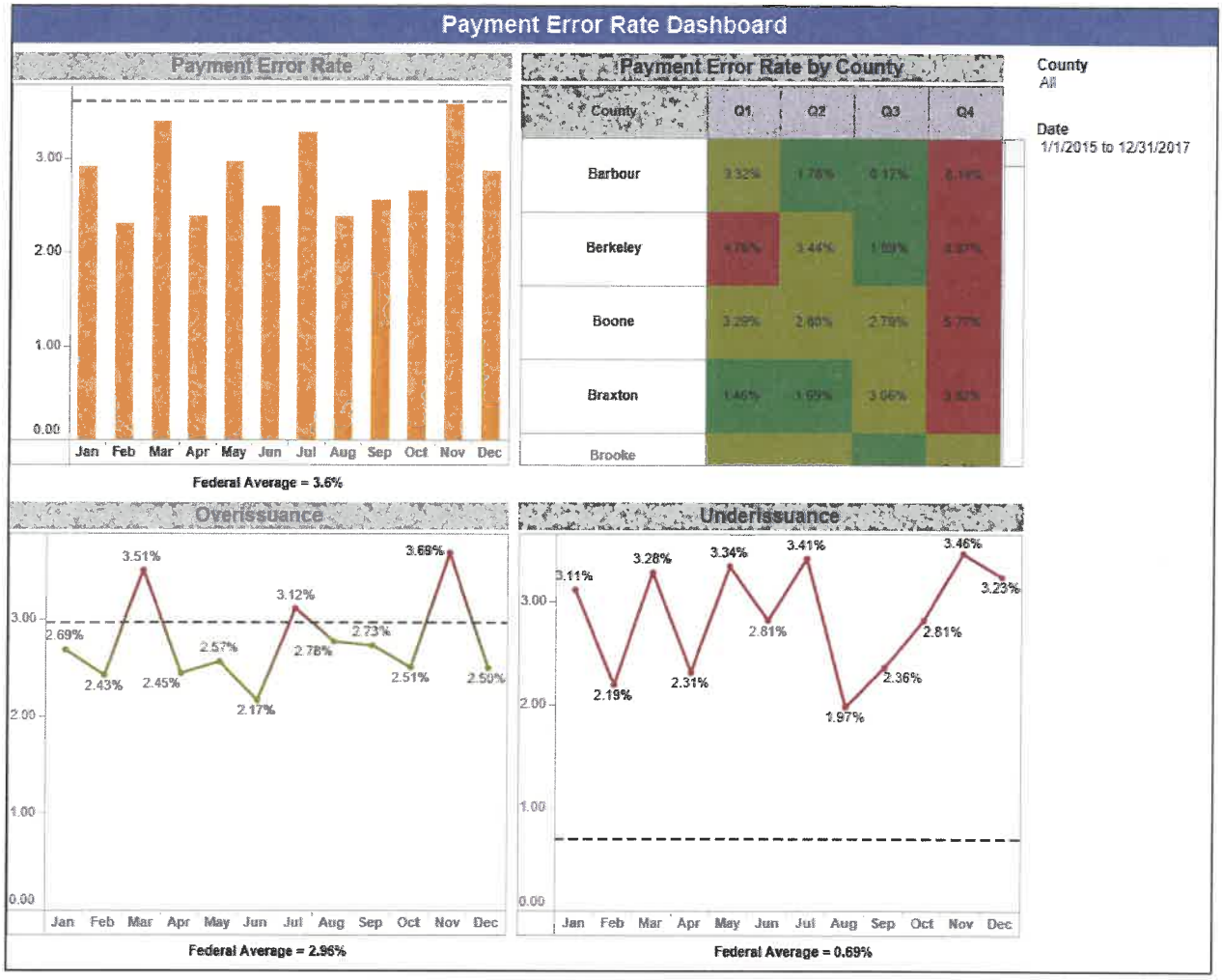


Figure 4.3-46: SNAP Payment Error Rate Dashboard.
The SNAP Payment Error Rate dashboard incorporates customizable color schemes to understand error rates across geographical locations and time.

Team Organizational Structure

We understand the organizational structure and resources needed for a project of this size and complexity. We have more than 20 years of experience staffing business intelligence projects for government agency clients. Our people have successfully delivered some of the nation's largest state business intelligence solutions. We offer some of our most talented and knowledgeable staff members for the WV IES. They have the relevant functional and technical experience and expertise. Proposal Section 3.2, Project Staffing, describes the staffing plan for our reporting solution in more detail.

4.4 Goal 4: Completion of Functional Requirements

Supporting the functional requirements detailed in the RFP, Optum a WV IES that incorporates modularity, configurability and integration capabilities across the DHHR program areas and agencies.

As we reviewed the requirements of your RFP, we understand you are looking to replace a legacy system with a system that is modular, less complex, and offers more integration across your health and human services (HHS) departments. As your business partner, we will work with you to deploy a modular system that reduces risk, promotes self-help and provides you with the opportunity to reduce the costs you are currently incurring that come from a legacy mainframe system. At the highest level, our approach uses industry-leading technology to provide each agency or program with a user-specific experience that maximizes automation, shared data and common backend modules. Reusable services support the user experience for each DHHR staff role. This approach provides you quality and stability across West Virginia.

Modularity and Flexibility

- The Optum WV IES provides the required modular components from proven partners, a consolidated data model, and feature-rich portals to extend functionality to all required stakeholders. This unique approach meets State and Federal goals for modularity and reuse.
- The Optum WV IES is designed to be flexible and configurable. This approach will enable DHHR to quickly integrate changes in programs with the WV IES in a more cost-effective manner.

New applicants or members participating in programs supported by the integrated solution, such as Family Assistance, Child Support, Child Welfare, or Child Care, have a single entry, self-service portal. From this secure portal, members can interact securely with any agency or department in the State. Similarly, service providers have a self-service Web portal allowing them to establish an account, maintain eligibility and interact securely with appropriate State or county staff.

DHHR staff members access the WV IES through the Agency Portal. Access is differentiated based on the user's role or program responsibility. Each user has a unique login ID, which defines the workspace the user can access. This role-based distinction recognizes the particularity of the business processes, member data and program administration between business areas. The user interface provides the appropriate secured access to data and processes necessary for determining eligibility, enrolling members and families, managing member data, and managing cases and services.

All front-end portals share backend services for common use. These services include notice generation and creation, document management, reporting and analytics, financial management, data warehouse/MDM, integration and verification services, and provider management. This modular architecture provides for shared data and reusable technical solutions across DHHR, while maintaining the unique business needs of each program or agency.

This approach allows new or changed case and member data to be immediately accessible to appropriate staff across the enterprise in near-real time. The WV IES automates worker communication across programs through automated activity tracking, tasks, and notifications. Workflows will support business processes, triggered both automatically and manually. Our solution design also provides a user-friendly member experience by maximizing self-service options and reducing the need for members to contact multiple departments.

Overview of Functional Capabilities

Our Client Management module provides all the features and functionality needed to manage client information and communication and outreach with clients. Built on Optum technology, this module includes the Client Portal.

The self-service Client Portal leverages experience gained during health exchange implementations. It feeds self-reported data to other system modules through the Optum Integration Layer (OIL). Applicants and members can apply for benefits, report changes, and select providers from a secure website 24 hours a day, seven days a week. This data is then available in the Agency Portal for use through an automated workflow process or for manual intervention. The Client Portal also draws data from those modules to provide applicants and members with up-to-date eligibility, enrollment, and benefit information.

The Agency Portal for DHHR staff is configured for the programs supported in the workspace. All DHHR staff will enter the system through a single access point. Each user's unique ID will automatically direct that user to their appropriate workspace, using Role Based Access Control (RBAC). Staff who support income maintenance programs including Medicaid, WV Works, SNAP, and others that are currently supported by eRAPIDS enter the Optum-designed Web space. It also supports staff members who administer childcare subsidy programs and homeless services. This site provides the full scope of eligibility, enrollment, financial, member, and service management data and processes necessary to administer these programs.

Staff members who support child welfare and adult protection programs, such as Foster Care, Adoption Assistance, Youth Services, Adult Protection, and others currently supported by FACTS are directed to the CGI modules. This workspace supports intake, case management, service delivery, court processing, and administration.

For the child support workspace, we will configure the user interface to provide your staff with the same modern, user-friendly experience available in their other workspaces. The child support workspace will use the modernized and transformed OSCAR code base.

User portal and workspaces share common support services. The notice engine, document management, reporting and analytics, data management, and integration and verification services are Optum-designed. The financial management module is an implementation of Flexi's solution.

General functions are required for all member-type users in the Client Portal, regardless of the programs with which they interact. These functions include dynamic online applications; self-service change reporting; self-service access to eligibility, enrollment and benefit information; multiple language support; and electronic document and notice management.

For the state or county worker, the processes vary greatly by program and agency. For usability and integration, there are general functions that are leveraged enterprise-wide. This reduces the variability and ongoing M&O of these capabilities. These functions include:

- Configurable workflows
- Automated notifications and tasks for required actions
- Guided data entry
- Single-click navigation between member and case records
- Automated triggering of periodic background processes

Identifying and grouping user-specific requirements provides a comprehensive analysis and design more likely to produce a common user experience across programs and user types. For example, by considering workflows as a general functional requirement for all workers, we design and develop them under a general template, then configure as necessary for the specific process. Workers have a common experience triggering and responding to workflow activities.

Across the business areas, some requirements also apply across the enterprise to specific backend modules (i.e., rules engine, document management, notice engine). We address the requirements with these additional classifications in mind. General functions are required for document management and the notice engine, regardless of the program. They include:

- The ability to upload various document types (e.g., photographs, letters, scanned images)
- Interactive, pre-populated forms that support ad hoc content changes
- Electronic documents indexed and stored by configurable identifiers
- The ability to include Quick Response (QR) codes and barcodes on forms, documents, and notices
- Data files delivered to a printing vendor for all forms, documents, and notices
- The ability to create documents and forms in Spanish and other languages

General functions are included for reporting and analytics:

- Real-time, ad hoc, and batch reports
- Dashboards
- Automated report delivery
- Customizable filters and sort features
- Drill-down and roll-up capabilities

General functions are included for data management and Master Data Management (MDM):

- A schema that maintains data on each member, including full history of data changes
- A single database that is the source for all incoming data and is the source of truth
- Data security and monitoring that adheres to industry standards
- A configurable data retention policy
- Data accountability and governance

Identifying and grouping module-specific requirements provides a more efficient design and maximizes reuse of analysis and development resources. Common document, reporting, data, and integration functions enable streamlined processes and templates to be used across programs and agencies. For example, in the shared notice engine, existing notice templates or content can be leveraged across programs any time a new notice or document is required. Rather than designing a new process or form, development can follow a copy-and-modify approach, only configuring for necessary changes. This will reduce analysis and development time and produce a more consistent appearance of the documents across the enterprise.

Within each business area, there are also requirements specific to particular programs and workspaces. These relate to the DHHR or county worker activities, processes and responsibilities. We address those requirements by program group and vendor.

The eligibility and enrollment functionality includes requirements for determining member eligibility, enrolling and dis-enrolling members, change of circumstance and managing ongoing eligibility. These requirements include:

- A rules engine, which uses raw data to determine components of eligibility and benefit calculations; determines the appropriate program selection, eligibility group and referrals; and determines eligibility and enrollment begin and end dates
- Support for intake and investigations
- Enrolling and dis-enrolling members with providers and services based on eligibility outcomes
- Automating eligibility redetermination and case reassessment
- Periodic data matching
- Supporting home studies and evaluation outcomes

The Client Management Module includes requirements for maintaining member information, managing communications, conducting outreach, and maintaining case structure. These requirements include:

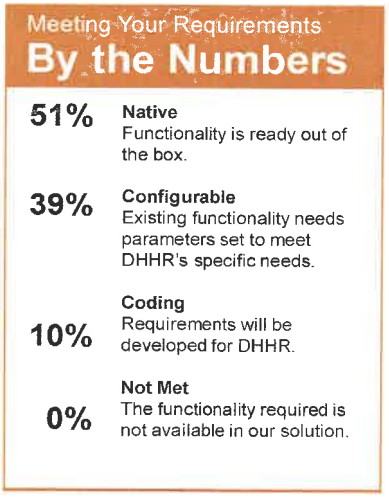
- The ability to open and close cases automatically or manually
- Assigning unique case and member identifiers
- Automatic case assignment to a worker and case transfer
- Renewal and form tracking
- A single source of truth for member data
- Recording and maintenance of member data, case notes, and case history

The Service Management Module includes requirements for identifying service needs, providing services, and monitoring and managing utilization and outcomes. These requirements include:

- Provider selection
- Creation and tracking of self-sufficiency and outcome data
- Providing and managing employment services
- Supporting legal processes and court proceedings
- Service referrals and authorizations
- Tracking and management of program usage data
- Benefit issuance

4.4.1 Alignment of Business Areas to Solution Modules

As part of our proposal submission, we have completed the requirements checklists in RFP Appendices VI and VII, according to the instructions provided in each Appendix. In each Appendix, we indicate whether and how we will meet each functional requirement.



While designing the solution for the WV IES Project, we reviewed and completed our response to all of the detailed specifications provided in Tables 26 and 27 of RFP Appendices VI and VII. We also reviewed RFP Appendix VIII and we agree to the SLAs it contains.

Along with meeting each of the individual 2,731 requirements, we designed the Optum WV IES to support West Virginia-specific business rules and workflow per the Business and Technical Specifications in RFP Appendices VI and VII. Many of the requirements in RFP Appendix VI specifically reference documents in the procurement library that describe your current business process in detail. Wherever these references occur, the Optum WV IES will fulfill the requirement according to the elements of your State-specific business process relevant to that requirement found in the following documents:

- BCSE Policy Manual
- Income Maintenance Manual
- Child Protective Services Policy
- Social Services Manual
- Adoption Policy Manual
- Child Care Subsidy Policy and
- Child Welfare Licensure Inquiry Information
- Homefinding Policy
- Legal Guardianship Policy
- Homeless Services Policy
- Specialized Family Care Program Policy
- Communication Protocol for Socially

Procedures Manual

- Child Care Provider Regulation: Policy & Procedures Manual
- Child Care Center Information Packet
- Child Care Licensing Policy
- Residential Child Care Licensing Definitions
- Foster Care Policy
- West Virginia DHHR Annual Progress Services Report
- State Medicaid Plan and State Plan Amendments
- West Virginia CHIP Process Flow
- Medicaid Provider Manual

Necessary Services

- Socially Necessary UM Manual
- ICPC Process for DHHR Staff
- Safe at Home West Virginia Program Manual
- Youth Services Policy
- Full Financial Clerks Manual
- West Virginia Crime Identification Bureau (CIB) Background Checks Policy
- West Virginia Business Associate Agreement
- State IT Policy Documents
- WVOT Information Technology Security Policies

Optum will work with you to explore other areas within your business model to identify additional opportunities to further standardize requirements and business processes. We will analyze the workflows to help you realize the full benefits of our flexible COTS-based system. Through a dialogue with DHHR, we can map out the ability to achieve greater efficiencies in the functional design, development, and implementation of the WV IES and determine if there is an opportunity to significantly reduce costs or improve productivity within your team as you implement our solution. The oral presentation process may be an opportunity for DHHR to further understand how each vendor intends to meet the RFP requirements and understand potential variances across vendors as it relates to a modular system that can easily adapt as your business changes.

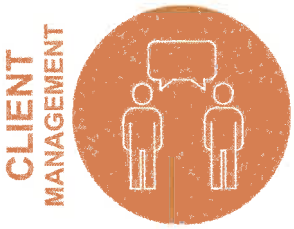


Figure 4.4-1 provides an overview of the Optum WV IES and identifies the modular components provided by Optum. Our WV IES incorporates technology from four vendors: Optum, CGI, PCG, and Flexi.

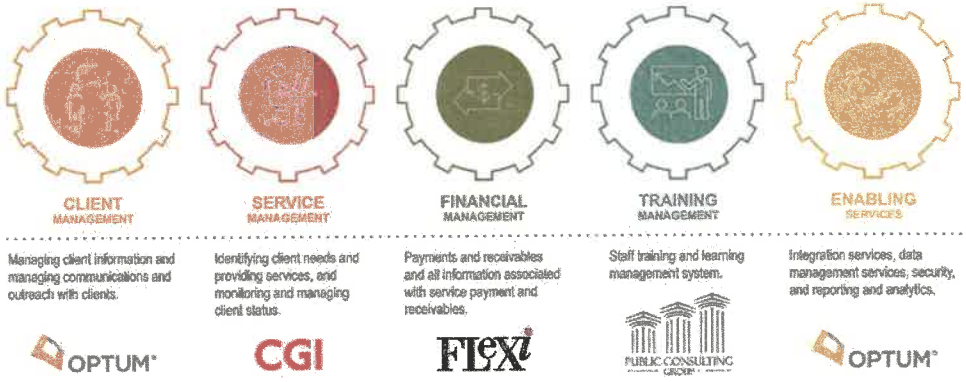


Figure 4.4-1: Optum WV IES Framework.
Our solution combines modular components from proven HHS partners into a flexible, comprehensive integrated eligibility system that meets the individual functional requirements defined in RFP Appendices V, VI, VII, and VIII.

4.4.2 Client Management Module

Managing clients is a key component aligning to the business efficiencies you desire. As we describe in this section, features in our Client Management module give you the opportunity to realize the streamlined system you desire. The Client Portal provides a single, secure, online tool

for applicants to explore the benefits catalog and guide them through the application process. It simplifies the process for individuals applying for benefits for programs, such as Medicaid, SNAP, TANF, and childcare, and helps reduce the amount of time between application completion and receipt of an eligibility determination. It also supports the request for child support services, and enables members to identify other child welfare, adult protection, or other social service programs for which they may be eligible through a common gateway. The solution empowers the member to securely and conveniently apply online by desktop, laptop, tablet, or mobile device.

Client Portal Browsing Experience

Using our Client Portal, individuals can browse program information and anonymously screen for benefits 24 hours a day from any Internet-connected device. Users do not have to log in or provide any personal information to learn more about the available programs. **Figure 4.4-2** shows the entry page for your consumers. This is designed to be easy to understand and follow.



Figure 4.4-2: Client Portal.
The Client Portal is an easy to understand user interface that does not require a secure sign-on for browsing.

The processes that occur upon entering the Client Portal that do not require a secure sign-on and those functions that are secured for the applicant or member are presented in **Figure 4.4-3**

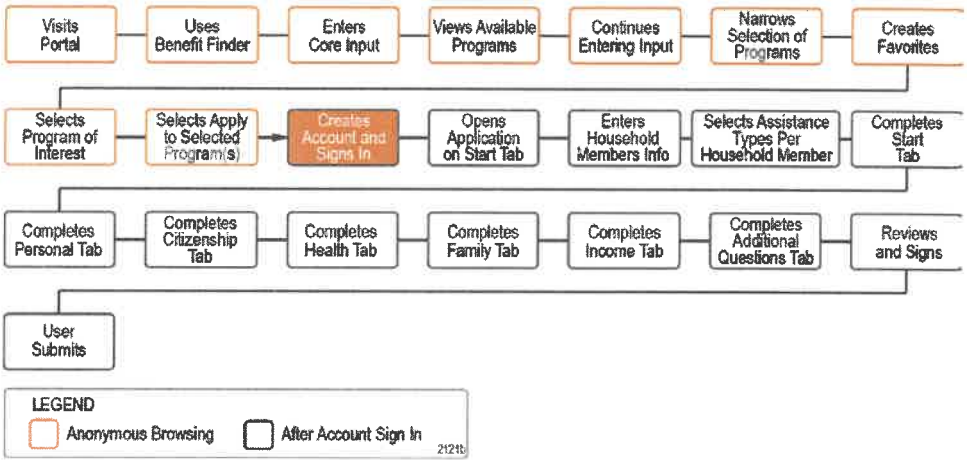


Figure 4.4-3: Member Entry into the Client Portal.
Users can perform some functions without a secure sign-on.

Using the Benefit Finder function, the anonymous user answers general questions to determine potential eligibility for selected programs. It enables a better understanding of available programs

and types of information needed. The user can view and save results to My Favorites before applying for actual benefits. The Benefit Catalog feature also allows anonymous users to view detailed program information as illustrated in **Figure 4.4-4**. Suggested content includes information needed to enroll, general eligibility conditions, coverage and benefit details, and potential enrollment options.

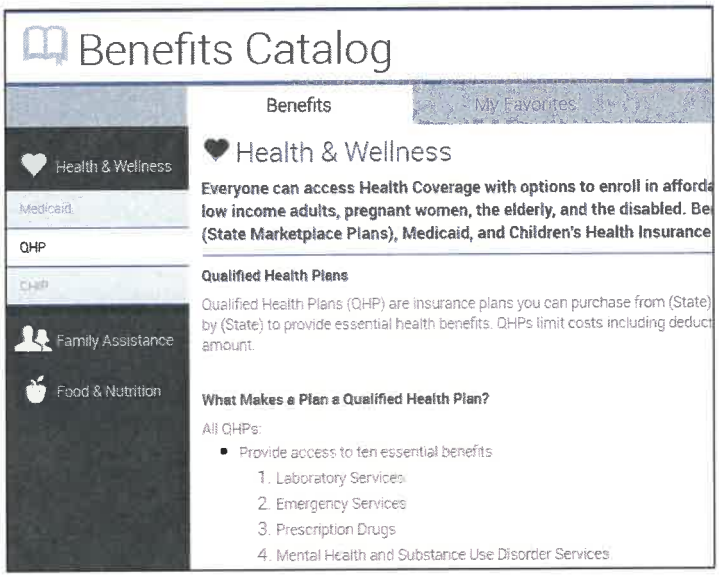


Figure 4.4-4: Client Portal Benefit Catalog.
You can configure the benefit information to meet your specific program details for applicant and member education.

The Child Support Calculator feature in the Client Portal provides general guidance about child support services and how obligations are determined. It can estimate potential child support obligations without entering personally identifiable data. **Figure 4.4-5** shows the calculator.



Figure 4.4-5: Child Support Calculator.
Questions and estimates are configurable to follow regulations and processes specific to West Virginia.

Create an Account

Using our COTS solution, all Client Portal users can register and create an account through the self-service Create Account feature. In addition to creating the account, users can also change passwords, retrieve forgotten passwords, and update account details. When registered, users can apply for programs, save incomplete applications, review current eligibility and enrollment details, contact DHHR staff, view notices, report changes, and complete recertification processes. The My Account access also allows members to grant access to authorized representatives. Consistent with consent in a full-service environment, the authorized representative has the same access as the member to applications, cases, or personal data as allowed by program rules. Members can withdraw this access through the My Account feature at any time.

Application Intake

Application intake captures data for applicants and associated household members for all programs supported by WV IES. Users navigate through a series of screens that asks questions about each person included on the application. Each member selects the type of assistance for which they want to apply, and the dynamic application process will only ask questions required for those particular assistance types. For example, if Food and Nutrition is not selected as an assistance type, the application will not ask if members purchase and prepare food together. The questions are also conditional for the application members. For example, questions specific to children will not be asked for adults. Undocumented applicants will not be asked for immigration documents.

The application process also checks for completion and displays that status to the applicant. The application includes an indicator showing the applicant the completed sections. Users can save applications and return later to complete sections missing data. Users cannot submit an application with mandatory data missing, but can submit without optional data. The mandatory versus optional designation is configurable based on the program or business need.

Consumer Research

Because we value the customer experience and feedback on our services, we conducted consumer research studies to understand the experiences of clients (members/applicants) who interact with state social services programs in various ways. Our objectives were to understand:

- The mindset and world of the client, and how experience varies across consumer segments
- The challenges and barriers clients experience and how they progress through various systems
- What clients use as resources today and what would be ideal
- How to better support clients
- How client needs can align with our planned portal/website

Ease of Use

Nearly all research participants found the Optum portal concept extremely appealing. They saw it as an enhanced version of their own creations – a tool designed with their needs in mind.

We conducted in-home research studies with clients in New York City; Little Rock, Arkansas, and Billings, Montana. All participants interacted with multiple social services for themselves, their children, or another family member. Many participants shared similar values and priorities—the most common being their family, their faith, and their health. A participant's journey with social services moves from understanding qualification for assistance to eventually managing and maintaining services over the long term, as **Figure 4.4-6** depicts.

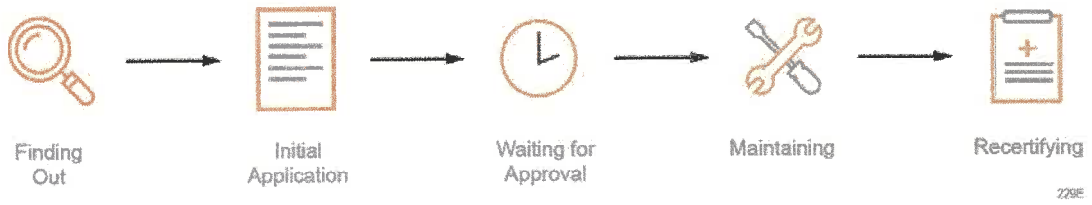


Figure 4.4-6: Social Services Journey: Overview

Across this timeline, participants in the research studies said they faced three major challenges: 1) the process was time-consuming, 2) complex and redundant; 3) they experienced uncaring treatment.

They reported that the Optum Portal design was streamlined and simple to follow. They liked the ability to track the status of their application, recertification and benefits. In short, the Optum Portal addressed many of the challenges participants faced with the current systems and aligned with their own identified needs.

My Account

The functionality of creating an account grants the user access to all applications, cases, and person data for which they have security. From the My Account section of the Client Portal, the authorized user can:

- View and modify the login profile
- View and print draft and submitted applications
- View eligibility and benefit information
- View child support orders and payment information
- Make payments and sign up for direct deposit or automatic withdrawal
- View and respond to outstanding action items, such as court dates
- Submit and view appeals information
- View notices, messages, reminders, and other correspondence
- Select and view service providers
- Upload and view supporting documentation
- Report and view changes of circumstance
- Add, remove and view authorized representative status

Agency Portal

The WV IES Agency Portal gives authorized users the tools for managing and analyzing operations and performance at individual, group and organization levels. Staff members will accomplish their work through one portal instead of the multiple websites currently used. This will reduce the time your staff spends reviewing and acting on each application. The Agency Portal contains:

- **Eligibility case management:** Includes case notes, multiple case views, caseworker lead reporting, case history and case or client search, and the ability to add worker comments to notices
- **Workload management:** Includes scheduling and tracking provider site visits and evaluation, managing provider outreach and campaigns, scheduling and tracking provider training, and child care provider termination workflow
- **Document and notice management:** Includes viewing, updating and deleting documents; uploading and labeling documents; and sort, filter and search functions
- **Dashboard views:** Provide insight into processes, patterns, changes, performance, problems, trends, business rules management, financial management, auditing and security
- **Program eligibility views:** Help evaluate rule-based determination accuracy and consistency

Security Profiles

The WV IES uses role-based access assigned to each employee's role and security profile, as well as cases and providers. It will determine what each worker can view, create, and update in the WV

IES. For example, security can be set so workers responsible for new applications and intakes can only create intakes or start applications, but cannot perform functions such as create and update assessments, enter case changes, transfer cases, and approve eligibility. A user with an investigator role can create and update assessments and cases but cannot create new intakes. This functionality is very flexible, and you can set up access using roles and profiles to be as open or as restrictive for different workers and locations as necessary.

Configurable Workflows

Another feature of our modular system is that workflow rules are configurable and can automate DHHR business processes. This provides an efficient way for you to concentrate on strategic business-oriented outcomes, rather than the day-to-day operational tasks, improving productivity. Workflows improve productivity in that they eliminate paperwork and save time by automatically routing tasks from one person to the next, with no paper handling that may be lost in transit.

Workflows typically follow a sequential order to make sure all steps in the process have been completed before moving forward. However, our workflows offer functional flexibility in that they can be configured to modify the order of the steps, making the process more efficient for specific work units. For example, if a work unit has experienced workers, steps could run simultaneously instead of sequentially, or some steps may be skipped. The flexibility to incorporate DHHR workflows is an important benefit of the Optum WV IES design, as these workflows, unlike traditional IES systems, minimize the impact to the other parts of the WV IES.

Additional examples of actions that can be automated using workflow rules include:

- Workflow approvals for tasks, based on role profile
- Workflows routing activities that require multiple actions
- Manual and automated workflow triggers
- Automated application assignment to a predefined set of workers, a work unit, or work queues
- Automated case assignment or reassignment, based on custom status values

Automated Notifications and Tasks

Automated notification and tasks is another feature of our system to aid your goal of a seamless effective operation. Processing activities that require follow-up by DHHR staff automatically generates and displays a task. For example, a task is triggered and assigned to a worker when they are assigned an application for processing. The task will generate and display for the assigned worker, and contain details on the activities needed to complete the task. This includes the type of task, member's name and case number, due date, and status of task. The task display and details are configurable, filterable by status, sortable by column, and printable. Additional examples of activities that trigger tasks include transferring cases, change in a member's or case circumstances, task reminders, and receiving a document or verification. **Figure 4.4-7** provides an example of tasks for income maintenance programs.

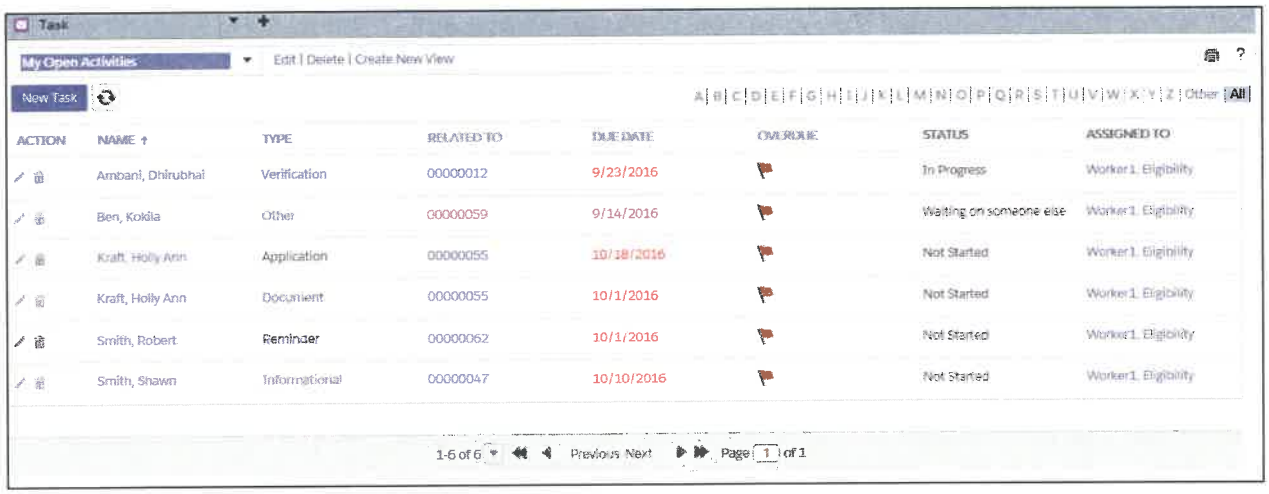


Figure 4.4-7: Agency Portal Tasks.
DHHR staff members will see their assigned tasks for easy follow-up and action through their portal access.

Figure 4.4-8 is an example of the Alerts page for child welfare and adult protection programs.

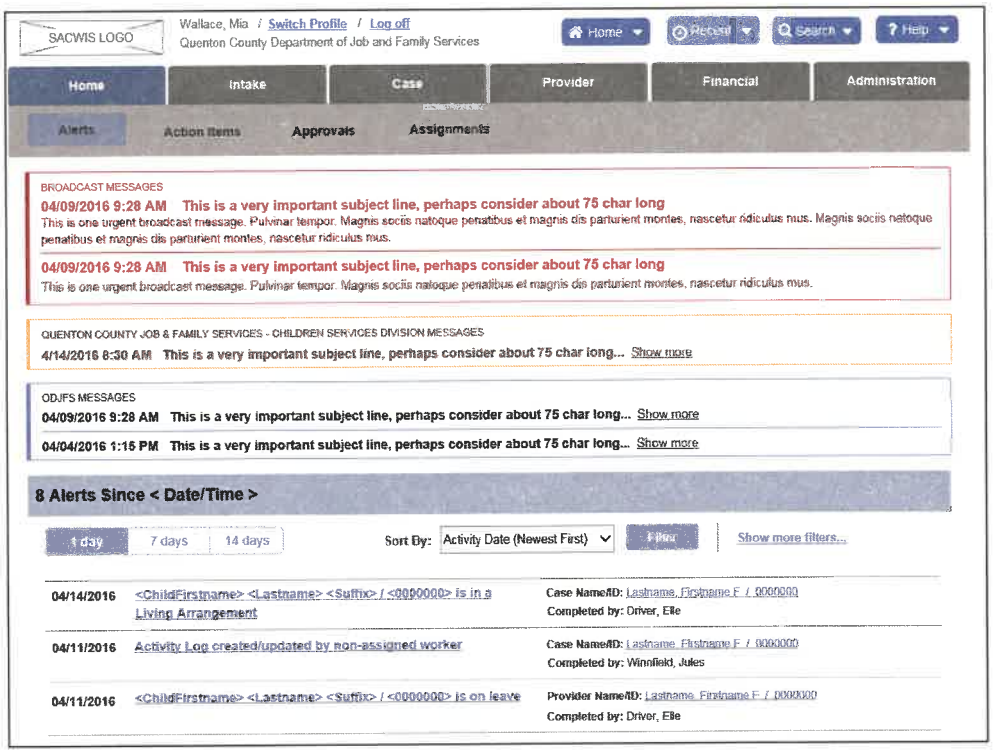


Figure 4.4-8: Agency Alerts.
DHHR can notify staff members promptly and efficiently through the Agency Portal.

Guided Data Entry

Aligning with the objective to reduce complexity, the WV IES guides the entry of member applications and member data. For example, when application intake starts for income maintenance programs, the intake process provides eight screens organized with the entry of member/applicant data first. This allows the user to search and retrieve known members, or to create a new member if one is not known to the system. This process helps to eliminate duplicate records in the WV IES. Known member data will populate in the fields of the tabs that follow. Workers can trigger eligibility determinations upon entering the minimum necessary data. **Figure 4.4-9** provides an example of the Application Intake function.

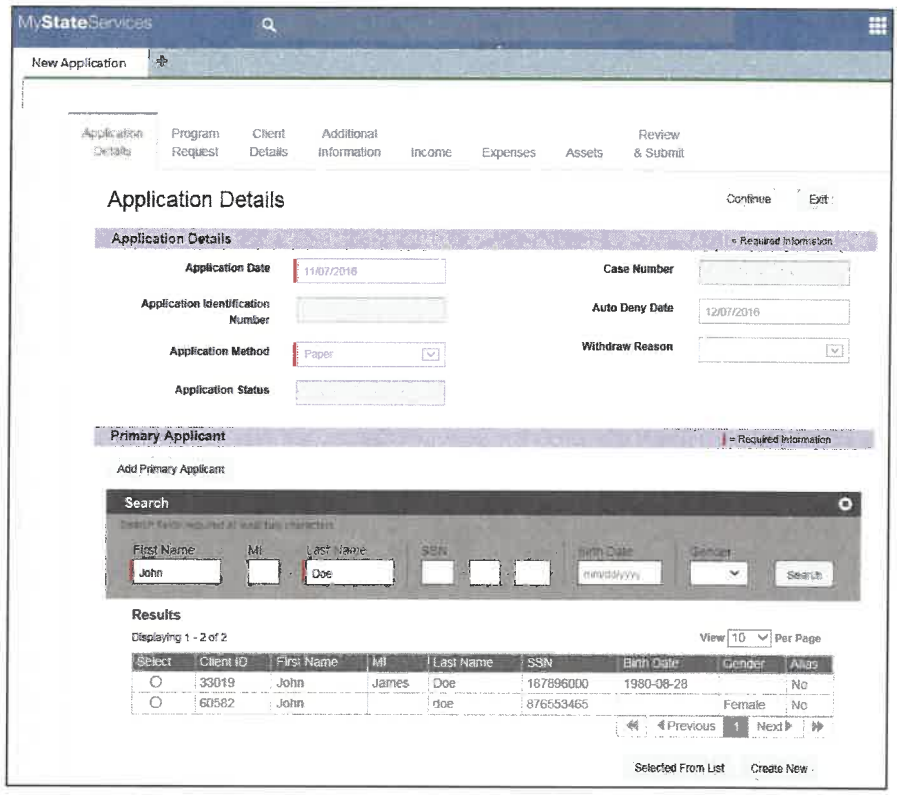


Figure 4.4-9: Application Intake Page.
Predefined required fields will prompt the user to enter data.

Single-click Navigation between Member and Case Records

Another user-friendly feature of our WV IES is the single-click navigation between member and case records giving the user quick access to data with little navigational burden. When clicking to view another record, a new tab opens allowing the user to toggle between multiple records. Clicking on a name opens the member's detailed record, clicking on job will open the member income record for the job as seen in **Figure 4.4-10**.

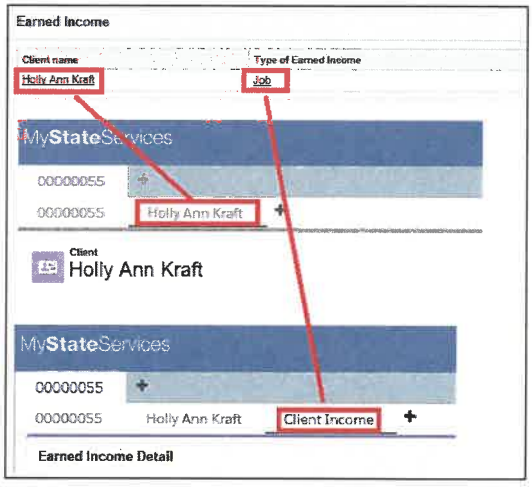


Figure 4.4-10: Single-click Navigation.
The user can toggle across the case, 00000055, the member's detail record, and the member's income record.

Eligibility and Enrollment

Accurate benefit determination is the primary objective of the entire integrated eligibility process. This includes the ability to effectively request, receive and reply to required applicant documentation in a timely manner. It gives you the flexibility to determine eligibility across the spectrum of programs while enabling workers to control eligibility outcomes. The WV IES will assess appropriate programs with each run through the rules engine.

Every state has unique eligibility rules and programs. Most program requirements will fit within the broad functionality of our solution. The WV IES is flexible enough to easily incorporate West Virginia-specific rules. The structures we created within the rules logic will enable us to add or remove entire programs to meet your requirements. The following section describes some key features of the rules engine and how it will meet your requirements for the WV IES.

Rules Engine

The rules engine within our product provides the comprehensive quality assessment related to eligibility and enrollment your business model requires. The Optum WV IES provides a highly automated and comprehensive solution for determining eligibility for the various assistance programs, while still providing the worker with the means to ultimately control eligibility outcomes. The WV IES will assess all appropriate programs with every run through the rules engine. Whether the program is based on an assistance program like SNAP and TANF, or a health care program, it will derive accurate eligibility results from the appropriate level for each program.

A critical component around eligibility is understanding that each State has unique eligibility rules, and even unique programs. While most program requirements should fit within the broad functionality described below, the Optum rules engine, based on IBM's Operational Decision Manager (IBM ODM), provides the functionality to be flexible enough to easily incorporate DHHR-specific rules. Moreover, the structures that we created within the rules logic will allow entire programs to be added or removed. Our Business Rules Engine (BRE) uses IBM ODM to create and write business rules in human readable format.

Decision Process

Within the Optum decision process and as part of the Optum BRE, you will see the business process for eligibility determination, as well as how each applicant progressed through the process in the rules engine. The full process flow of activity is available for the investigation and debugging processes. Additionally, our results will include all decisions made as part of the determination process. **Figure 4.4-11** shows an example of a SNAP eligibility rule in the Optum IE BRE.

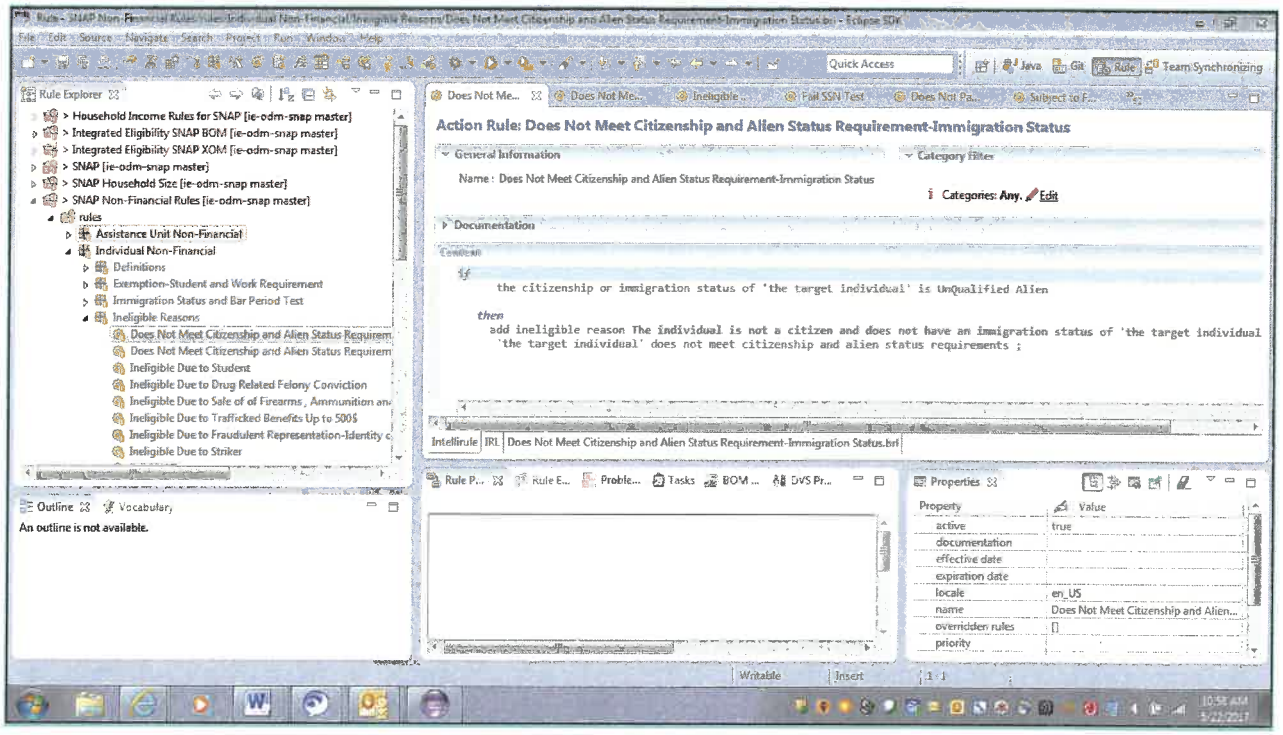


Figure 4.4-11: Optum IE BRE SNAP Eligibility Rule.
The Optum solution enables you to see the business and decision processes for eligibility determination.

Our approach is to provide all critical decisions made in the rule execution as part of the eligibility response. The response contains one or more decision blocks, which hold the decision type, rule ID, decision, possible dispositions, and the business process workflow associated with that rule execution. This process flow is configurable per rule per customer. Each step in the rule process is documented with each rule that was executed along the way.

Audit Tracker/Debugger

Another key feature of our system is that our BRE includes audit trail functionality. This functionality provides insight into the specific rules that were triggered and the reasons why those rules were triggered for a particular eligibility determination request. This information is useful for understanding how the BRE processed an eligibility decision and identifying changes that may need to be made to existing rules. The rule flow, the path of the rule flow tasks, and the rules that were executed are recorded. These help users (for example, an auditor) understand what happened during the rule execution process.

Rules Process Overview

The BRE is triggered by initial entry or updates to member and household data. With very few exceptions, entering or updating any data will send a request to the rules engine, verifying each change is reflected in eligibility results. The request to the rules engine will send all of the relevant data needed to process new eligibility results. To accurately determine eligibility over time for each program, the rules engine will break down the request by month and by program. For each month to be processed, the system will look at all programs requested or already active.

Every program is processed based on its own rules. Where multiple programs can apply to a particular type of assistance (e.g., Medicaid, CHIP and QHP), the household need only request the particular type of assistance and the rules will determine the most appropriate program.

When processing of appropriate months and programs is complete, the results are stored, and available for display, in the Client Portal and Agency Portal. The system will generate and store

results in sufficient detail such that the worker can clearly see how the outcome was determined. The results also need sufficient detail to feed downstream processes, such as member notices, interfaces, issuances, and reports.

Other events could trigger the rules engine as well. A batch job would trigger a number of cases for processing. This could be related to a mass change, a change in State or federal policy, or other factors. The rules engine could also be triggered if the worker overrides eligibility results. The worker will have the ability to override select data elements in the results in some circumstances. In that case, the rules engine will run again to determine the full impact of the worker's override.

Rules Components

The rules are highly automated, and they will translate raw data about the household into accurate results without further worker input. This level of automation is supported by having comprehensive rules components to create a detailed view of the eligibility results for each program. The high-level components are known as rules packages. We provide additional detail on the major rules packages in the following sections.

Assistance Unit

The WV IES will determine membership in the assistance unit based on relationships, age, and other relevant factors. The determination is specific to the rules of each program. For health care programs, assistance unit membership is determined on two levels: an individual's health care eligibility and the household size within each person's eligibility result. For childcare assistance, we construct a single assistance unit but determine eligibility only for particular children, while considering the activities of each child's parents.

Eligibility Groups

Eligibility for health care programs depends, in part, on the eligibility groups to which a person belongs. Eligibility groups are based on each person's circumstances, such as whether a person is a child, a parent, disabled, or elderly. Eligibility groups can affect a number of eligibility factors.

The WV IES will determine all eligibility groups for which a person could qualify. All eligibility groups will be stored for that person in the eligibility results. The WV IES will choose one eligibility group on which to base eligibility results, but all groups will display. If circumstances change and eligibility groups change for that person, the WV IES will reassess eligibility based on the new groups. The worker will also have the ability to re-run the rules engine using a different eligibility group based on their assessment or the person's request.

Program Selection

If a particular type of assistance has several possible programs, the WV IES will automatically determine the appropriate program from that group of programs. Health care assistance has two sets of programs—programs for basic coverage (i.e., Medicaid and CHIP), and the Medicare Premium Assistance programs. Program selection for health care assistance will occur monthly for each member separately. Special processing will be needed if a person changes programs from month to month. Other types of assistance that may need to use program selection functionality are cash assistance, childcare assistance and the Low Income Energy Assistance Program (LIEAP).

The WV IES uses threshold tests to select appropriate programs. These tests consider the factors that separate one program from another. This allows the selection of the appropriate program without performing the full processing of all programs in that assistance type. For basic health care programs, the threshold tests look primarily at eligibility groups and income amounts. The threshold tests would be tailored to each assistance type.

Non-Financial Tests

Non-financial eligibility factors include such areas as residence, citizenship and immigration status, and cooperation. Each area of non-financial eligibility is represented by an eligibility test. Failure of the test signifies ineligibility. Non-financial tests and financial tests combined will represent a comprehensive expression of eligibility factors for each program.

For human services programs that are not health care programs, we can perform non-financial tests that can be at two levels. We can perform tests related to the assistance unit as a whole. When these tests fail, they indicate that the entire assistance unit is ineligible for the particular program. Failure of a person-level test indicates the person is ineligible to be included in the assistance unit's benefits. When this test fails, it indicates the reason for ineligibility.

Income Tests

While all assistance programs have income limits, the net countable income determination and the limits applied to that income vary greatly from program to program. The WV IES will align income determinations to each program and provide a high level of automation in the income determination rules.

MAGI determinations for health care programs generally rely on annualized income. We obtain the income amount through an electronic interface with the Optum-built and -maintained Federal Hub. We evaluate the amount using the rules engine to establish reasonable compatibility with the household's statement of income.

For determinations not using the MAGI methodology, we calculate income monthly. For past months and for retrospective budgeting for a future month for SNAP, we base income on actual amounts received. The WV IES will gather actual amounts for the rules engine to use for appropriate months. For future months, we will need to project income. The WV IES will gather and use appropriate amounts for income projection. If income received needs to be translated into a monthly amount, the rules engine will perform the translation.

Some income types require unique processing. For example, self-employment income may need to look at expenses against receipts first or use amounts from a tax return. Seasonal income and student income are other examples of income types that require unique processing. For each income type, the worker or member will simply enter the raw data and the system will calculate countable income amounts.

The WV IES can also apply income exclusions and deductions in the appropriate amounts and in the appropriate order for budgeting income. Our solution will automate budgeting income through the rules engine. The WV IES will automatically determine income limits and apply them against income amounts. The WV IES will store and display these budgeting calculations to the caseworker.

Asset Tests

As with income tests, the WV IES will determine the asset types that are countable or excluded. Treatment of assets is different from treatment of income. Issues of joint ownership may mean that only a pro rata share of the value of the asset is countable. For assets, like other eligibility factors, the worker or member will enter the data and the WV IES will determine how that data affects eligibility.

Benefit Calculation

The rules engine will perform a benefit calculation before returning eligibility results. For some programs, like SNAP, TANF, and LIEAP, the benefit calculation determines the benefit amount to be issued to the household. If an ongoing case has a change in circumstance, the benefit calculation may involve determining an amount of overpayment or underpayment and initiating the

process to establish a claim or issue a supplement. For health care programs, the benefit calculation component may determine a premium amount or an obligation amount based on a spend-down calculation.

Begin and End Dates

The WV IES will automatically determine begin dates and end dates for eligibility. The system will determine the dates at the person level or the program level as appropriate. The WV IES will also determine the dates for the certification period for each program. The worker can adjust these dates as needed. For health care programs, dates of coverage may be different from dates of eligibility. The WV IES will calculate the dates of coverage and the dates of eligibility.

Additional Rules Features

Supporting your business goal to become effective, efficient, and have a system that is innovative, the Optum BRE has several additional rules engine features that will benefit DHHR.

A household may be required to complete specific activities to maintain eligibility for various programs. These activities may include returning forms, providing information, or maintaining a work requirement. The WV IES will track these requirements and the rules engine will apply cooperation criteria to the determination of person and program eligibility.

If a person does not cooperate with a requirement, particularly regarding work-related activities, the household may face a sanction, which could include a specified period of ineligibility. The WV IES will track that period of ineligibility and the rules will apply the sanction to the appropriate months.

Verifications can be a challenging part of the eligibility process. The WV IES will help DHHR with verification of State and federal data sources. For verifications provided by the household, the rules will determine if the particular type of verification provided is acceptable. If verifications are not obtained or provided in the allowed time frame, the WV IES will take appropriate action. This may include making an individual or an entire household ineligible to receive benefits. In some cases, taking appropriate action may mean a particular income deduction is not allowed. The rules engine will apply the appropriate action to the given circumstance.

Health care programs may have particular considerations. For example, the rules engine will allow a determination of presumptive eligibility in appropriate circumstances. The rules engine may also accommodate the process for converting the presumptive eligibility to a regular determination. The WV IES will accommodate the determination of eligibility for the three-month retroactive period, if appropriate. The complex process of spend-down determination and sorting medical bills will be highly automated.

When a member's eligibility changes, the associated enrollment determination processes automatically through system-activated triggers and workflows in the WV IES. If new eligibility is approved, the WV IES identifies the provider enrollment requirements for the particular program. If a member was previously enrolled with a provider, the member can automatically re-enroll with that provider, if allowed. If a new provider selection is required, the WV IES generates the appropriate task or notice for the member, and if specified, a task for the appropriate worker. When the provider selection process is complete, the system notifies the provider, enrollment module or financial management module, as necessary, to facilitate the applicable connection and communication between the member and the service provider.

When an existing eligibility changes, the WV IES identifies whether a new provider enrollment is necessary. For example, if a member has the same program eligibility but has moved out of the provider's service area, his or her provider enrollment needs to change. As with new eligibility, the WV IES triggers the necessary workflow, sends the appropriate tasks and notices, and provides the necessary data to downstream provider, enrollment or financial systems.

When eligibility ends, benefits are terminated without further action by the worker. The program (and possibly case) status is set to Inactive and any SNAP, TANF or other program benefits are terminated. A notice is automatically generated and sent to the member, notifying the individual or household of the termination of benefits.

For health care programs, the individual is dis-enrolled from coverage. For Medicaid and CHIP, a message triggers to the MMIS to end the individual's coverage.

Automated Redeterminations and Reassessments

The WV IES will automate many of the functions involved in the renewal process saving your team time. This includes sending forms or notices at the correct times, tracking the status of the renewal process or creating eligibility (or ineligibility) in the new certification period.

Setting the Certification Period

The BRE will set an appropriate certification period for each program, based on that program's requirements. A start date for the certification period will be determined, taking various exceptional factors, such as three-month retroactive coverage for Medicaid or ineligibility in the initial month into account. An appropriate length of certification will be added onto the start date to obtain a certification end date. A new certification period will be determined with each renewal.

Automatic (no touch) Renewals

Our solution provides you automation. For some health care assistance members whose eligibility was determined using a MAGI methodology, their renewals can be processed automatically with no worker intervention and no need to submit renewal forms. The needed functionality will be available for these members. The WV IES will track the timing for the renewal, start an interface to the Optum-built and -maintained Federal Hub, and process the data through the rules engine to create new results for a new certification period. For other programs not covered by the automated MAGI renewal, the WV IES provides the features discussed in this section.

Sending Out Renewal Forms

Using a batch job process, the WV IES will identify cases due for renewal at a predetermined time. Those households will receive a renewal form and pertinent information about the renewal process, as prescribed by DHHR.

Tracking Renewal Status

The WV IES will track the status of renewal processing throughout the process. Renewal status will be visible to the worker. The status may indicate that a renewal form is due, the form has been returned but is incomplete, a complete form has been returned but is still being processed or the renewal process is complete. By tracking the renewal process in this way, the worker and the system can take appropriate action at the appropriate times. If a complete renewal form has not been submitted by a specified time, the WV IES will send a termination notice.

Renewal or Termination

If a renewal is completed and the household remains eligible, the rules engine will create new eligibility results with a new certification period. If a renewal is completed, but the household is no longer eligible, the rules engine will create new results that indicate the reason for ineligibility. If the household fails to complete the renewal, their eligibility will end. In each case, the household will be notified of the result.

Reinstatement

For some programs, the household may have a grace period, generally one month, to return a late renewal without losing benefits. The system will process these late renewals, set a new certification period, and set program statuses, according to given requirements.

Periodic Processing

To realize the full benefits that our solution has to offer, in addition to processing renewals, there are other processes you may want or need to run on a regular or periodic basis. Two possible processes involve periodic data matching and date-related changes.

Periodic Data Matching: Our solution enables quick data analysis. DHHR may want to verify the accuracy of certain data contained in the system at intervals more frequent than at renewal. There are two likely scenarios for this. One is to crosscheck data between different West Virginia systems. For example, you may want to verify that data is consistent between the eligibility system and the MMIS. Because this process would depend on the exact nature of the other West Virginia systems, it would have to be designed as part of the State implementation. This can readily be done, assuming the data can be mapped between the two systems. The second scenario would be to use external sources to periodically re-verify information in the WV IES. An example of this might be to draw information from the Federal Hub at times other than during application and renewal. Since this would likely use existing interfaces, the only additional need would be to select which cases, at what intervals, to reprocess.

Date-Related Changes: We provide you the functionality to easily track date-related changes. Several date-related changes will affect a household's eligibility. Age is a primary example. When individuals in the household attain certain ages, eligibility can change. The WV IES includes a monthly batch job that will detect those changes when they are still approximately two months in the future. For affected cases, the batch job will create a rules engine request so that new eligibility results are created based on the changed data. Other periodic processing options include SS-A Cost of Living Adjustment (COLA), annual changes to the Federal poverty level, school graduation, closed cases for failing to renew, and end of the 60-day post-partum period in the health care programs, such as Medicaid and CHIP.

Case Creation and Status

We will provide you automation supporting case creation and status. For most income maintenance programs (e.g., Medicaid, SNAP), cases are opened and closed automatically based on the benefit program status. After an application for those programs is submitted, the WV IES creates a new, unique case ID if the primary applicant does not have an existing case. If the primary applicant has an existing open case, the new program is added to the case, retaining the existing, unique case ID. If the primary applicant has an existing closed case, the program is added to that case, retaining the existing ID, and the case is reopened. The case is in a pending status if at least one program is pending and no programs are active. The case is in an active status if eligibility for one or more programs is approved. If all programs are inactive, meaning that eligibility ended or was denied, the case is automatically set to a closed status.

For child welfare and adult protection-related programs, the case creation process relies on completing a screening. After the screening process is complete, the intake can be used to create a new case, or it can be linked to an existing case, similar to the income maintenance structure. When a new case is created, the WV IES creates a unique case ID for the new case. When a screened-in intake is linked to an existing closed status case, the case will automatically be re-opened, and retains its original, unique case ID. If a screened-out intake is linked to an existing closed status case, there will be no change in its status, and the case will retain its original, unique case ID. In the case creation process, the user can view a list of cases that have participants in common with those participants recorded in the intake. The details are expandable to help facilitate the decision, if more than one case is returned.

Figure 4.4-12 shows an example of the case display in the WV IES.

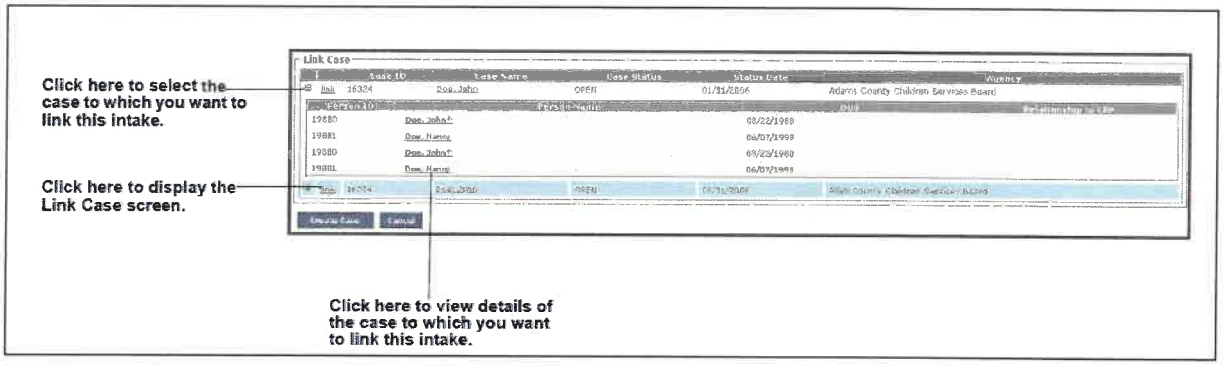


Figure 4.4-12: Link Case.
The WV IES allows you to link member cases when an existing case is present.

For all programs, if an application, case, or intake contains sensitive data or access should be restricted, a user with proper security can restrict access to the case. You can configure the levels of restriction to the functions within the WV IES. This prevents anyone not assigned to the application, case, or intake, or anyone who lacks the proper security, from accessing the information. Restricted cases are flagged in search results.

Assign Unique Case and Member Identifiers

A member identification number is a unique identifier associated with a single, unique person. This identifier is universal throughout the solution. A case is a system entity that collects all of the data, determinations, outcomes, and notes for a primary member or individual, and the members of that person's assistance unit or household for the relevant programs. Unlike the member identifier, a single individual can be associated with multiple cases.

Automatic Application or Case Assignment and Case Transfer

Another feature of our system that will assist your team is the automation of case assignment and transfer. When an application is received, it is automatically assigned to an intake worker for processing. For some programs, it remains an application; for others, it is automatically converted to a case for processing. Assignment is based on the predefined role profile of the worker (e.g., SNAP intake workers are assigned SNAP cases, Child Support workers are assigned Child Support requests). After the initial application or intake activities are completed, the case is created. A workflow automatically routes the case to the appropriate worker or supervisor to continue processing or approve. The case can then be routed to an ongoing maintenance worker, or back to the initiating worker as applicable. If additional information is required, the case can be routed to work queues to await additional information, action, or verifications. Other assignment workflow options can also be used based on the need of the program or business process. Some examples that can be used singly or in combination include:

- Assignment to a worker based on a program or set of programs
- Round-robin assignment to a set of workers or work unit based on a program or set of programs
- Assignment to a worker based on client demographics and programs, such as members with last names beginning with A through C, or homeless members
- Assignment to a work queue accessible by staff members, who can then manually assign cases from the work queue to themselves or others based on workload capacity

Figure 4.4-13 illustrates possible assignment workflow options.

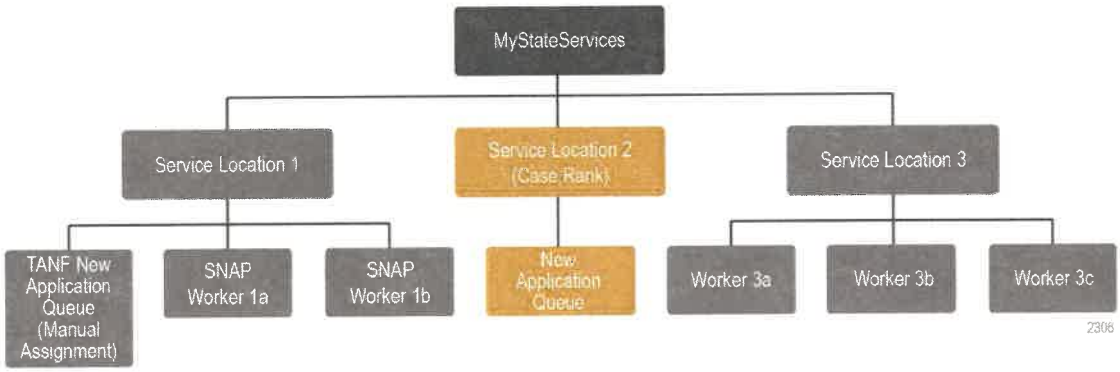


Figure 4.4-13: Case/Application Assignment Workflow.
DHHR can determine the appropriate flow for application or case assignment.

Beyond the automated assignment process, users can transfer cases or applications to other workers within and outside the user's service location, or to other work areas in the enterprise. Case transfers can occur individually or in bulk. The user can choose to trigger an email to the receiving worker if necessary.

An example of a case transfer could be a residency change for a member. If a case is assigned to a worker who specializes in homeless support, the case will need to be transferred when the member secures permanent housing. After the specialty worker makes the necessary changes to prepare the case for transfer (i.e., recording the new address, closing appropriate programs), they can use the case transfer function to assign the case to a new generalist worker, work team, or work queue as appropriate.

Forms Tracking

The WV IES focuses on maximizing automation for all programs. Many forms, documents and notices are triggered automatically from the workflow or other automated process. In many cases, the member must take some action with the form, document or notice to begin, maintain, or renew eligibility. The WV IES maintains a tracking feature for any form, document, or notice that requires return or response. Upon issuing the form, document or notice, the system establishes an issuance or initiation date. A due date is also established, based on the type of form, document, or notice. These issuance and due dates are included in the communication to the member.

As the due date for the member's response approaches, tasks and/or reminders can be issued to the member or worker as necessary to complete the process. The timing and format of the tasks and reminders are configurable. When the member completes the necessary actions, the worker can resolve the tracking manually. Alternatively, the tracking can be auto-resolved based on data recorded in or derived from the WV IES. For example, if a member has 90 days to verify their citizenship or immigration status, the clock can be stopped when the verification type is entered in the appropriate data field. If the member fails to complete the action by the due date, the expired timer will trigger the appropriate workflow to close the program, reduce benefits, or take the appropriate action.

Record and Maintain Member Data and Case Information

In support of the member and case management effort, the WV IES provides case note functionality. Users can record a wide variety of events, contacts and communication made with members, other workers, and other DHHR staff. These notes can be displayed, tracked, and reported on based on the values selected by the worker. Case notes are editable on the same day they are entered as well as subsequently.

In addition to manual case notes, actions taken by workers, members, or the WV IES are documented in activity logs so the solution reflects a permanent record of all services and contacts

with a member or family. The WV IES captures step-by-step transactional records in chronological order, including destination and source information to provide documentary evidence of the sequence of activities taken by the member, worker, or system. The audit trail contains high-level role-based security that tracks the ongoing events in a privileged mode so it cannot be altered or modified.

Audit trails are associated with all transactional types of information performed on the Client Portal, Agent Portal, the Financial Management Module, and other key transactional systems. It tracks changes made to the BRE, Notices Management, and Report/Document Templates to verify these also provide documentary evidence of any changes.

Depending on the type of activity, the solution automatically links some records with other work items. For example, when the caseworker records a face-to-face visit for an investigation, the solution automatically includes that record on the Family Assessment.

Member/Person Data Management

Person records are used to manage information about program members, whether they are applicants, enrollees, or individuals whose information is required to manage a program (e.g., a parent whose income is counted for an enrolled child). A person record captures basic demographic data and other information needed to determine program participation across the enterprise. Each person has a unique ID number assigned by the system. Person management interfaces with the MDM solution to maintain a single instance of the identity. The user can record multiple names, addresses, and phone numbers for each person involved in a case or associated with a case. Additional information, such as background information, citizenship and immigration status, reference numbers, income and assets, adoption history, paternity, education, and medical information can also be recorded and updated over time.

If a person is involved with the system at multiple times for different reasons, the system can track the person's roles without duplicating person information. To maintain accurate person information, the system requires the worker to conduct a search before establishing a new record.

The user's security role controls access to the person's data and the ability to update information. Access can be restricted to only workers assigned to a case or the provider associated with the person. Alternatively, it can be opened up to allow access across a local office.

A person can have many roles within the system. For example, the solution currently defines person roles as follows:

- Case participant: Member, child, family member
- Provider: Foster parent, adoptive parent, household member, caregiver
- Other involved person: Attorney, immigration sponsor, guardian ad litem, Court-Appointed Special Advocate (CASA)

The roles available in the WV IES can readily be configured and changed in reference tables to meet the needs and terminology used by the State of West Virginia.

4.4.3 Service Management Module

Our Service Management Module, powered by CGI, is in use in 14 states, with two more (California and Colorado) currently being deployed. Over the last 22 years, they have provided states with Web-based, modular systems that help states identify member needs, provide services, monitor, and manage member status. This foundation will support the requirements of Service Management and provide coordination within your HHS areas.



Provider Selection

When members are determined eligible for benefits, DHHR staff can manage the initial enrollment period, including special enrollment criteria, as allowed for each program. Within WV IES, a list of providers for eligible programs, within a specified radius, will display. A map view and drive/walk feature is available.

Service Referrals

Incoming referrals are addressed through the intake process. Support for outgoing referrals is provided by program within the case record. Users record the type of referral and pertinent details within the case data. If applicable, automated referrals can also be triggered from a manual action or system process. In all cases, the referral details are available to the user from the case record. They can also be added to the person record as needed. Internal referrals between agencies, work teams, or individual workers will trigger a task notification to the receiving entity.

In many cases, referrals require a follow-up or response from the member. As needed, the WV IES can assign a due date for the response and track compliance. If the appropriate response has not been received by the due date, the system identifies the non-compliant case or person. Depending upon the program and the business need, automated processes can notify the appropriate worker about non-compliance, re-determine eligibility based on non-compliance, or close the case automatically. When necessary, a referral can be resent manually or automatically.

The WV IES offers different types of referrals including the following:

- Social Security Administration (RSDI and SSI benefits)
- Medicare eligibility and enrollment
- Medical Review Team
- Child Support (between agencies and within the bureau)
- Child Protection (between agencies and within the bureau)
- Interstate Compact on the Placement of Children
- Provider referrals
- Fraud
- Treasury Offset Program (TOP)
- Employment services
- Drug treatment

Self Sufficiency and Outcome Tracking

As part of the system's flexibility, the self-sufficiency plan can be configured as optional or mandatory for the related eligibility program. In most cases, a plan is mandatory for the TANF program so benefits approval is conditioned on its completion. The self-sufficiency plan is part of the person record, but compliance feeds into the case record for TANF (or relevant program). Eligibility can be conditioned on as many plans as needed depending, on case membership.

The types of activities are fully configurable to meet the policy needs for West Virginia. These can include job search, employment or work activities, training classes, or substance abuse treatment and counseling. Other options include orientation and assessment; approved educational activities; approved childcare or transportation activities; and medical or other referral activities.

Exceptions to the plan for illness, emergency, or other good cause can be recorded to allow continued participation without a sanction. Adding activities to the plan can be automated (e.g., all plans include an orientation activity, any person without a high school diploma has a GED activity), but activities can also be added manually as needed. The plan includes tracking the activity start

date, expected and actual completion dates, hours assigned or spent on the activity, and the 60-month TANF limit.

The plan status or program outcome is determined based on the recorded data. If the program is active, the plan status will be updated each time eligibility is re-determined to confirm the household remains compliant. A non-compliance reason is determined by the BRE when appropriate, and the program benefits are modified accordingly. In each case, the outcome is reviewable and editable by the appropriate worker before benefits are reduced.

Employment Services

The WV IES records and tracks employment activities in the case and person record for programs with employment participation requirements. It records the initial referral step with service referrals and links to the more detailed employment service data.

Employment service data is configurable to meet West Virginian's program requirements but includes exemption reasons and decisions, voluntary client referrals, work registration, ABAWD months, and activity tracking. Workers can add and enter all necessary data to track member activities including activity types (e.g., training, education, and employment), hours of attendance, verification items, and good-cause determinations.

Using the collected data, the BRE determines exemption, participation, and compliance as it relates to a specific program. The outcome of this determination is reflected in the program eligibility results displayed in the case record. All data collected in the case record, person record, and/or eligibility results is available for reporting purposes.

Sanctions and Benefit Issuance

For programs that impose sanctions, the WV IES allows manual or automated calculation and application of sanctions. Within the program case record and the individual person record, details of the sanction are recorded and editable. The person record displays the history of sanctions or other non-compliance, including fraud, uncompensated transfers, or intentional program violations.

The amount of the sanction or length of the disqualification can be determined automatically by the system, or it can be manually determined and entered by authorized users. In either case, the data will be viewable and editable by users with the correct security role. Displayed data includes begin and end dates; the reason for the sanction/disqualification; applicable program, and the amount of the sanction, or the calculation used to determine penalties.

The data reflected on the person and case records for sanctions and disqualifications is reflected in the relevant benefit issuance calculation. When the BRE receives the request to determine eligibility, the sanction/disqualification data is applied to the determination and benefit calculation as directed by program policy. For a sanction, the appropriate deductions are taken from the benefit amount. For disqualifications, eligibility is denied or suspended as necessary. In both cases, the results of these determinations are reflected in the program eligibility results displayed in the case record. All data collected in the case record, person record, and/or eligibility results is available for reporting purposes.

Case Conference/Multi-disciplinary Investigative Team (MDIT)

As part of the casework process that often occurs before, during, and after assessment, worker/supervisor conferences occur to plan, review the status of the case, and to set the groundwork for future decisions. This type of activity is managed with the documentation of such encounters and decisions in the form of a Supervisor Case Conference Note. Multi-disciplinary investigative team and multi-disciplinary team meetings may occur. This structure can be extended by adding DHHR terminology to similar pages and reference codes for the drop-down selections. These are used to document and track a caseworker's contacts with children, family members, providers, courts, and any other entities in the manner appropriate. This Supervisor Case

Conference Note functionality and that of the Pre-adoptive Staffing Conference can be modified to record results from these meetings and to populate data into State reports.

Removal, Placement, and Service Authorization

During the course of the assessment, we have learned in our other Child Welfare implementations that it may be necessary to remove and place a child in out-of-home care, or to provide services to the child or family members. The WV IES will perform these functions in a clear and simple manner and across all placement types as we have learned from our other 14 deployments of this system. This includes emergency placement and if the placement is to be in licensed foster care, kinship care, a group home, or a residential treatment setting. Our system has functionality that facilitates a placement request and provides the ability to match the child's needs with the prospective placements. Additional functionality exists to establish non-placement services for case participants, such as counseling or parenting skills training. The system uses a service authorization process where the caseworkers complete requests for placement and service authorizations. The caseworker enters the details of the placement or service on the case record, and the financial worker records the authorizations for placements or services documented on the case record. This functionality has also been adapted to meet the needs of APS agencies in some of our other Child Welfare system implementations.

Users can record all required data elements for AFCARS reporting, and additional details per State requirements. Data elements include the child's current legal status; the circumstances of the removal; the child's responsible school district; the date removed; the identification of the primary and secondary caretakers, and the caretaker structure; and the reasons for removal. The caseworker can also enter text to describe any additional circumstance regarding the removal.

The placement request function shown in **Figure 4.4-14**, assists users with identifying the need for placement. It uses a search with the provider match functionality to return prospective placement resources that would best meet a child's needs based on the characteristics entered in the child's Person Profile – Characteristics tab, and the capabilities entered on the provider record.

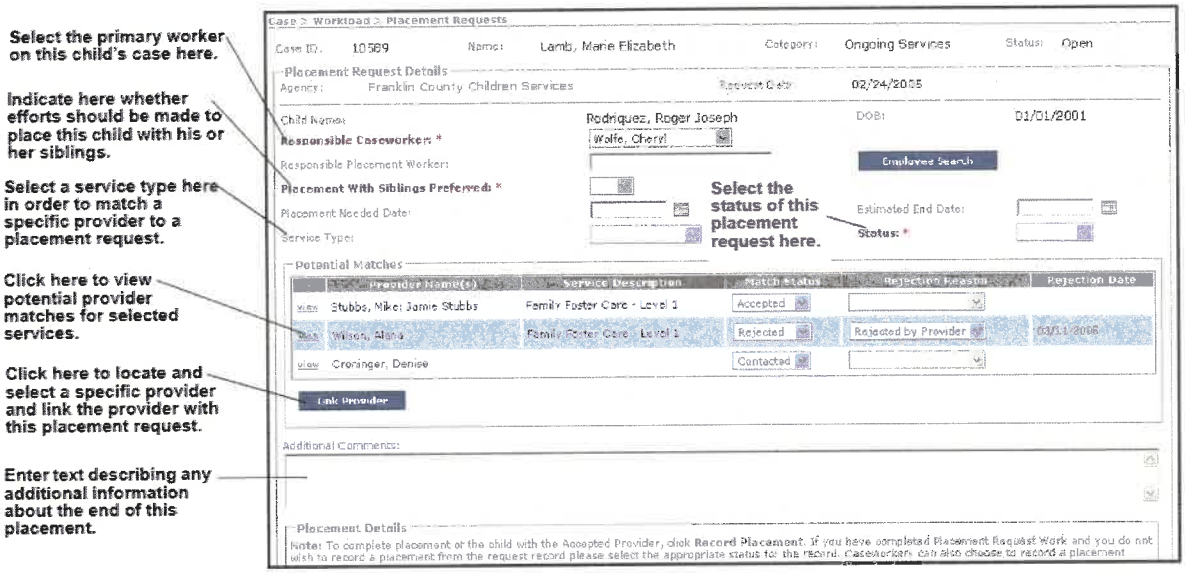


Figure 4.4-14: Placement Request Page Example.
The placement request page offers possible provider matches for the child.

The WV IES also provides data collection for placement ending. This includes when the end of the placement is a discharge from all placements, thereby ending a removal episode. It also applies to

the end of one placement to another placement location. The solution offers the creation of a service authorization to establish services that is other than placement for a participant.

Case Plans

The case plan function in the Child Welfare component is used for addressing the overall needs of the family or case participants. Case plans can be ordered by the court or initiated by the responsible caseworker without court involvement. Case plans can be started at any time during the case lifecycle. Workers are responsible for identifying strengths and concerns and developing the case plan to provide the appropriate services that benefit the family or individual child. Caseworkers can complete one of three types of case plans:

- **Initial case plan:** The first case plan documented for the family within a case episode (open date to close date)
- **Amended case plan:** Completed when there is an existing case plan during the current case episode, and a change is required to services, placements, visitation, or so on
- **Recommended case plan:** Completed and filed with the court when DHHR files for permanent custody; allows the worker to select what they will request from the court

Visitation plans are also frequently established between parents and children, or between siblings, when children are placed and separated. The visitation can typically be established in office, in home, or at an alternate location. The plan can involve supervised or unsupervised visits, depending on family circumstances, and change in circumstances may require changes to the visitation plan. The duration and frequency of the visits can also be established and updated over time.

The Child Welfare component also contains an Independent living plan for those youth qualifying. This functionality supports life skills assessments, youth services assessments, and other means of evaluating youth strengths and needs. It can also serve as the mechanism to initiate the process to provide education and training funding vouchers for eligible youth.

The case management function includes the following tools.

Safety assessment: The safety assessment tool is completed in response to a child abuse and/or neglect (CA/N) report, a dependency report, a family in need of services report (optionally for types other than "Stranger Danger"), or any other instances throughout the life of a case when safety needs should be assessed. It documents the evaluation of safety factors or signs of present danger, past history, child vulnerability, and the family's protective capacities. It helps determine the appropriate safety response. A safety assessment is completed for all intake categories of CA/N, dependency, and family in need of services (FINS, "Stranger Danger" type). It is optional for other intakes with a category of family in need of services.

Safety Plan: The Safety Plan tool is required when the protective capacities in the family cannot control currently active safety threats, and safety interventions must be implemented. A safety plan can be implemented at any time during the life of a case. The Safety Plan identifies specific activities to secure the safety of the child or children; identifies the person(s) responsible for each activity; outlines how the activities will control the identified safety threats; and explains how the plan will be monitored. A Safety Plan is a voluntary agreement between the participants and the State. However, if the Safety Plan is not followed, support legal action may follow.

Family assessment: The family assessment tool assesses the risk, and identifies the strengths and needs in the family to determine what level of service the family needs. Details of a family assessment include the review of safety issues, emerging danger, strengths and needs assessment, family perception, risk assessment, and service planning. The family assessment is completed for all intakes within the CA/N category / Dependency / FINS "Stranger Danger" and is optional for other intake categories.

Specialized assessment / investigation (A/I): The specialized A/I tool allows the user to capture the investigative requirements. It is appropriate when the alleged perpetrator has access to the alleged child victim through his or her affiliation or employment with an institution, and is responsible for the care, physical custody, or control of the child.

Ongoing case assessment / investigation (A/I): The ongoing case A/I tool helps assess or re-assess risk, identify emerging danger, describe child harm, and document investigative activities when a report of child abuse and/or neglect is received.

Risk assessment: The risk assessment tool, completed for CA/N reports, helps determine how likely the family is to mistreat their children in the future. The risk assessment classifies families based on similar characteristics with families who have or have not repeatedly mistreated their children. As an actuarial risk assessment tool, it differentiates cases with low, moderate, high, or intensive classification categories.

National Youth in Transition Database

The Child Welfare component maintains compliance with the National Youth in Transition Database (NYTD). NYTD requires gathering and reporting to the Federal government service and outcome data for youth ages 15 to 21 by surveys and other data collection. These additional data sources include demographic data, academic support, post-secondary support, career preparation, employment and vocational education programs, budget and financial management, housing, health, family support, mentoring, and independent living. Time frames throughout the NYTD workflow, such as for completing the baseline youth survey at age 17, with follow-up surveys at ages 19 and 21, can be tracked and presented to workers and stakeholders. This can occur via ticklers or tasks in a dashboard or calendar view, as well as using automated alert email messages at prescribed points.

As shown in **Figure 4.4-15**, the system tracks if the surveys are completed, and the reasons for not completing (i.e., youth declined, parent declined, youth incapacitated, youth incarcerated, runaway/missing, unable to locate youth/invite, or deceased). When the case closes, users will be prompted to record data for youths aged 17 or over to assist with future efforts to locate them for subsequent NYTD surveys. Recorded data includes permanent connections, familial connections, all associated addresses, and any other details that could be useful. The Contacts section of the page can be used for this purpose. Exceptions can be addressed using the Survey Outcome Exceptions Details page to identify the reason why the process was not completed.



Figure 4.4-15: NYTD Survey Details Page Example.
The worker can view completed and upcoming surveys for the child.

Court and Legal Activity

Within the WV IES, users can create a wide variety of required legal documentation to be submitted in court, to record associated actions, and to record hearings and the resulting judicial

determinations in the Legal Status record. This functionality has also been adapted to meet the needs of some APS agencies in a few of our implementations. The Court and Legal Module can accommodate dependency, guardianship, transfers of custody, voluntary relinquishment, termination, and adoption proceeding information. As with other modules of the system, it is readily adaptable to include and track legal actions, hearing types and judicial determinations that meet your needs.

Workers can access court screens within the case overview interface. The court screens provide two views of information in the court area:

- **Case participants:** This view displays the participants in the case and the legal records associated with each person. When viewing one of these histories, the system presents the person profile record where these details are stored.
- **Case legal actions:** This view displays all of the legal actions associated with this case. Such actions include motions, hearings, subpoenas, rulings for court jurisdiction transfer and legal status. From this view, new legal action records can be added, or the user can view or edit existing records.

The system automatically creates a court calendar, based on the dates entered on the legal action record for each hearing on any case.

Records of all legal actions that involve the members of a case can be created, maintained, and copied for future legal actions as shown in **Figure 4.4-16**. Such actions include motions, hearings, subpoenas, rulings for court jurisdiction transfer, and legal status.

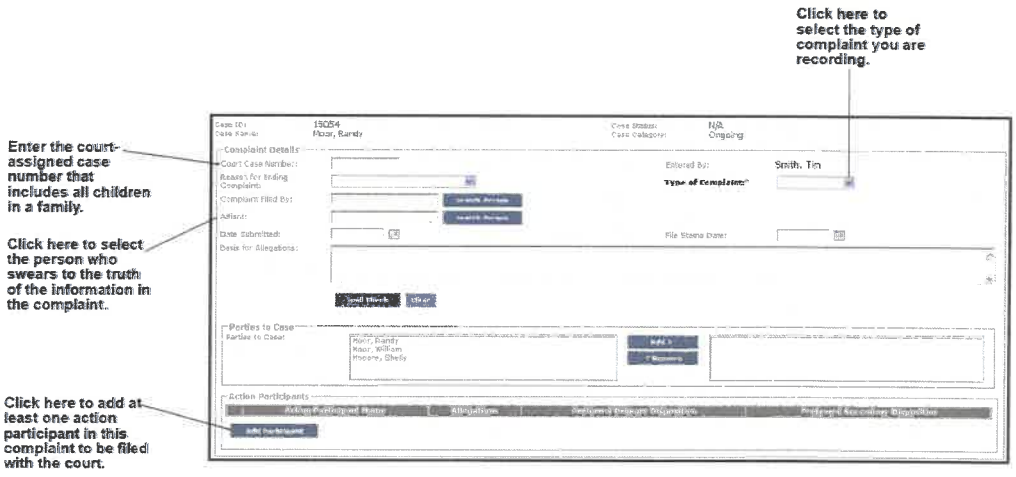


Figure 4.4-16: Example of a Legal Action.
Legal actions associated with a certain participant or all of the legal actions on a case can be viewed.

If a hearing is scheduled to address the motion, petition, or complaint that is filed, it is then documented using the Legal Action Page as shown in **Figure 4.4-17**.

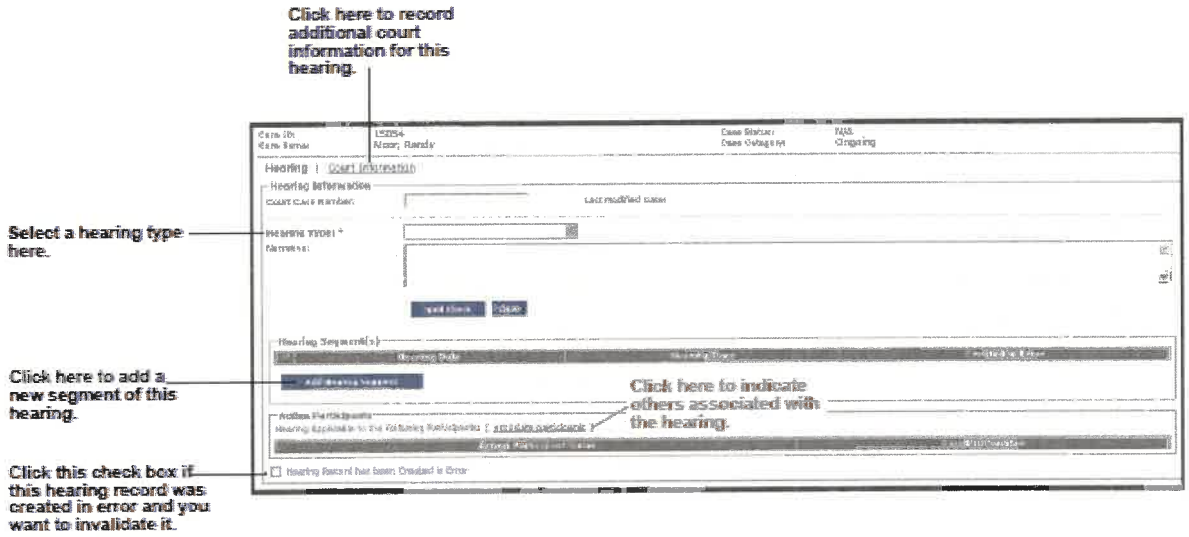


Figure 4.4-17: Legal Action Example for Court Hearings.
The WV IES can record all court hearings related to the case.

Entering hearing data in the system automatically results in creating a court calendar for the case. Workers can access and print this information, and supervisors can access and print the calendars for their workers. If the hearings result in a legal status change, the user can access the Legal Status page to view the existing data, and then make the required updates.

Adoptions

An adoption case is created when the Department is granted permanent custody of a child and then seeks to find an adoptive home for the child in the WV IES. The adoption case includes only the adoptive child/children and tracks the activities related to adoptive cases. This includes recruitment, case plans, study inventory, adoptive placement, and finalization. An adoption case may have more than one child if the children are being adopted together. Some information from the prior history is copied over to the new including:

- **Case plan:** When an adoption case is created, the system copies the case plan to the new adoption case when the case plan meets these criteria:
  - The child/children selected for the adoption case are the only participants in the case plan.
  - The case plan type is Recommended for Permanent Custody.
  - The case plan status is Approved.
  - The child's permanency planning goal is Adoption.
- **Other records**: The WV IES maintains links from the new adoption case to the following existing records for that child or those children:
  - Person profile, including the child's (children's) current legal status and legal status history
  - Medical profile
  - Education profile
  - Eligibility record
  - Services
  - Placement history and current placement record

- Removal information

- **Closed adoption cases:** The case is closed when the adoption is finalized and all relevant information has been completed. When the supervisor approves the closing and sealing of the adoption case, the system performs the following:
  - Applies the provider's address to the address on each child's person profile
  - Adds the child to the adoptive provider as a new child household member, with member type Permanent (The effective date is the journalized date for adoption finalization.)
  - Creates a new person profile record for the adopted child, with a new person ID number, and with a link to the original person profile and person ID (The system restricts access to the adoption record of that child. Only workers with the appropriate security profile may access the child's original adoption case and person profile.)
  - Displays an indicator that the child displayed through a person search was adopted, and that a case displayed in a case search is an adoption case
  - Restricts access to the child's adoptive name, person profile, adoptive placement record, and adoption case to workers with a select security profile

When DHHR has permanent custody of a child, the worker can create an adoption case for the child and begin recording the details of the adoption process as seen in **Figure 4.4-18**. A child can also be selected from another open case and added to this adoption case if DHHR must have permanent custody of that child before the adoption process can proceed.



Figure 4.4-18: Creating an Adoption Case.
Workers can record the activities DHHR has taken to recruit adoptive families for the child/children in the adoption case.

A child study can occur periodically for every adoptive child. In the Child Welfare component, only the face sheet must be recorded. This face sheet provides a convenient listing of the medical resources and the items that will be given to the adoptive parents at placement, though additional details are available for entry.

When a worker conducts a search for adoptive families, the system locates an adoptive family whose service type and other criteria match the needs and characteristics of the adoptive child selected on this page. Workers match providers for one child at a time. When the potential adoptive families have been identified, a pre-matching decision is recorded.

An initial pre-adoptive staffing conference is a formal meeting scheduled soon after DHHR is granted permanent custody of a child. The conference includes workers on the child's original case, and the child's adoption case, as well as other invitees who plan the case transfer. The matching conference is a formal meeting in which representatives of DHHR and others examine how well matched a child and adoptive family are. When the matching conference is complete, DHHR will select a family with whom to place the child/children and record the information on the Decision page.

On the child's adoption case, the worker will track the activities and events by maintaining a short finalization checklist, as shown in **Figure 4.4-19**. When the adoption is finalized, the worker will record the court ruling and the change to the child's legal status in the system.

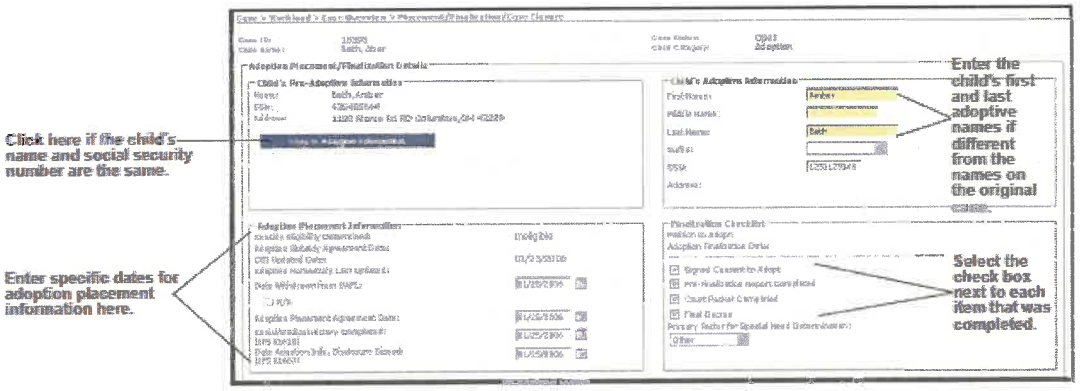


Figure 4.4-19: Adoptions Checklist.
This checklist is a simple reference to the status of the adoption.

When the finalization decision has been recorded, the record of each adopted child in the adoption case is secured. At the end of this process, the adopted child is given a new person ID, and the child's original person profile and case are restricted.

The Child Welfare component also has standard, on-demand, and scheduled reporting capability. The scheduled reporting capability includes AFCARS, NCANDS, NYTD, and other reports that are generated on a scheduled basis. Standard reports are on-demand reports that have predefined formats. On-demand reports are generated only when a worker requests one. Each standard report has one or more worker roles associated with it, and only workers with those roles can generate or retrieve that report.

4.4.4 Financial Management Module



Helping you identify and analyze the financial component of your services is a key component of our system. The modules detailed in this section enable you to understand the financial structure of your programs. The Financial Management Module (FMM) component, powered by Flexi, is a comprehensive, multi-program financial transaction and payment processing system. Flexi Software, founded in 1991, develops enterprise accounting software components, deployed by its partners, to various state governments. Flexi's solution serves as the financial accounting backbone of many state's health and welfare programs across the US. The FMM allows you to perform bookkeeping at program, department, agency, and provider and member levels. Our FMM solution provides enhanced financial reporting and general accounting procedures for processing accounts payable and accounts receivables against the Chart of Accounts. The solution supports multiple DHHR program workflows, including family assistance, childcare, child welfare, and child

support programs. The FMM interacts with the State's master general ledger while simplifying the recording of events, processing of transactions, and reporting of financial information to support the DHHR integrated programs. This feature will improve your effectiveness in supporting the people you serve.

The FMM uses a dual-entry accounting system designed to meet the challenges states face in a multi-program environment. It clearly tracks the movement of money from source to destination and enables DHHR staff to request, approve, issue, and recover benefits, providing an intuitive and easy to use platform for the automation of financial operations.

Agility: Agility for DHHR staff is achieved by leveraging simplification of the recording of events, processing of transactions, and reporting of financial information. Providing the State the flexibility to view the financials in various dashboards can help you make better business decisions. The FMM efficiently creates detailed, auditable, reconcilable accounting from various source systems. It includes an accounting transformation engine with extensive validations, as well as accounting and rules repositories. The accounting engine consistently enforces accounting policies. The repositories provide centralized control, detailed audit trails, and simultaneously accommodates diverse corporate, management and reporting requirements. The FMM can quickly update accounting rules to meet new requirements. Changes in accounting regulations or additions and updates to benefit programs are quickly accommodated with effective dating of rules. Users of the FMM can separately define and reuse setups for each component of a journal entry, such as the journal lines, descriptions and summarization criteria.

Productivity: FMM enables greater productivity in financial operations and reporting procedures. FMM streamlines and automates manual processes, allowing DHHR staff to spend less time re-entering data, searching and collating, and more time assisting the member. It enables the controls needed to eliminate misuse of financial resources and the mitigation measures to protect against the occurrence of expected and unexpected risks. The control measures also provide the historical evidence of performance needed to regulate the current and future activities of DHHR. Auditors can use this historical evidence to evaluate the accuracy of financial accounting.

Control: FMM provides a centralized place to manage integration with security roles, security policies, audit controls, and processing options. FMM uses internal controls to record transactions timely and consistently to verify successful audit and compliance reviews. These controls verify that only authorized users are performing prescribed tasks and that adequate segregation of duties is being enforced to help prevent fraud and abuse. Strong controls validate compliance with regulatory mandates such as Sarbanes-Oxley, International Financial Reporting Standards (IFRS), Generally Accepted Accounting Principles (GAAP), and the host of taxing authorities that regulate state agencies today.

Family Assistance Programs

FMM interfaces with OIL and the Agency Portal. This enables DHHR family assistance programs to determine benefit eligibility issuance, support payments, corrective payments, and recovery. FMM provides users the option to apply financial transactions directly or on behalf of a member, vendor or a provider. It also supports the process of combining funds from different sources to support an individualized set of services. FMM allows expenditures from each source to be tracked and applied to specific individuals eligible for that funding.

Our approach delivers a comprehensive set of configurable business functions that use consistent accounting rules across all financial transactions. This will enable DHHR to track and control funding sources in real time while maintaining fiscal and multi-year budgets. The result is improved accountability and transparency by offering DHHR immediate access to performance indicators and reporting.

Accounts Payable

FMM supports the account payables process by connecting to OIL to securely transmit and receive case information across state agencies and systems. Configurable approval workflows provide staff the ability to hold, adjust, void, and fiscally pend DHHR program payment transactions. FMM has the flexibility to handle any payment scenario including the following:

- Payment processing of full or partial payments made by any medium of exchange, including debit card, check, electronic funds transfer (EFT), and electronic benefit transfer (EBT)
- Aggregated payment disbursement that is reconciled for accuracy through dual-entry accounting and auditing
- Authorization to provide a high level of security for transactions and payments
- Scheduled disbursements through an easy to use scheduler that standardizes the time frame to complete and prioritize payments
- Ability to generate an emergency check outside of the standard process when emergency assistance funds need to be distributed
- Supports the voucher and voucher processing by credit, which is a receipt representing monetary value that is issued but can only be spent on certain items
- Stop, reissue, or collect back payments that have been disbursed in the system
- Supports the authorization and issuance of mass auxiliary payments for select member cases through a batch process

Figure 4.4-20 shows an example of payment processing.

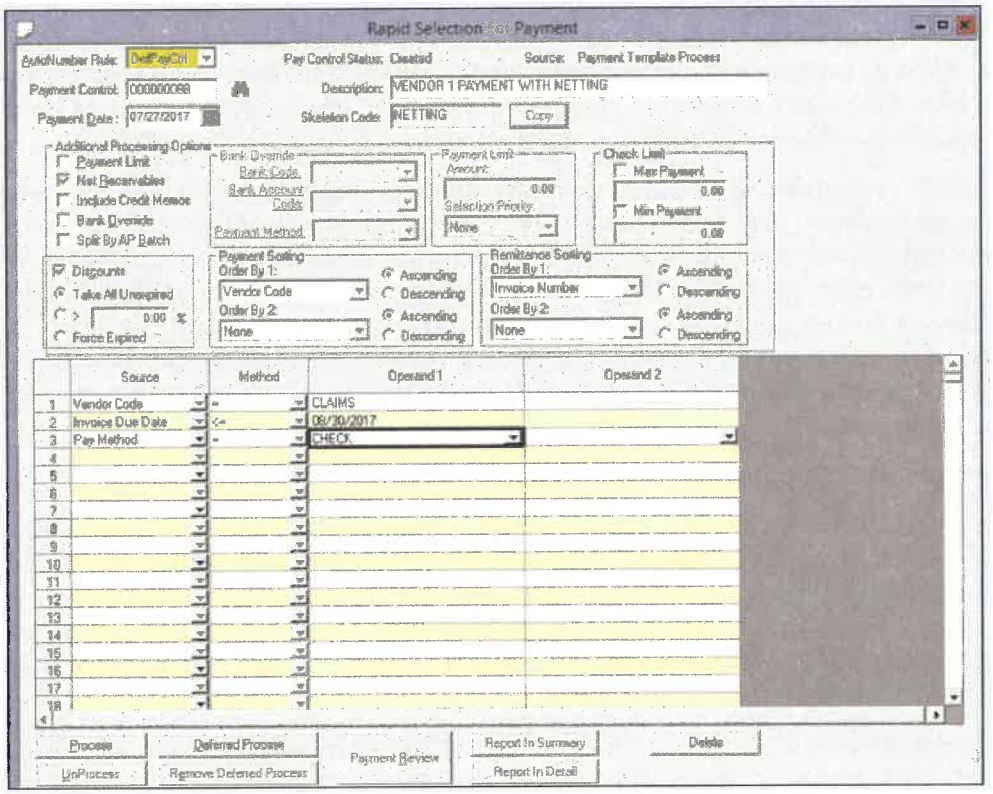


Figure 4.4-20: Accounts Payable Processing.
The financial worker can perform payment-processing functions within the WV IES.

Accounts Receivable

FMM integrates with the Agency Portal through OIL to identify, process and document overpayments, recovery payments, trust funds, and other income sources. WV IES can process and maintain financial reconciliation of payments at a program, department, agency, provider, and member level. FMM enables faster and more efficient invoicing by enabling you to track your invoices more effectively through advanced search functionality and alerting. FMM also includes:

- Invoice generation and delivery that creates consolidated individual, family, or employer bills and delivers them by Web portal, email, or U.S. mail
- Collection and settlement processing made by various mediums of exchange, including netting payables and payment gateways for credit card, check and e-check
- Recoupment rules for benefit recovery at the claim, program, provider and system level
- Increase revenue by offsetting open receivables against payments to the same entity
- Tracking repayments and establishment of repayment plan agreements while automatically calculating interest and overdue fees earned to a member account

Electronic Benefit Transfer (EBT)

FMM integrates with third party EBT financial vendors to deliver electronic benefit issuance and support payments. This provides DHHR an automated process for providing program funds directly to members.

EBT cardholder information is tracked in the Agency Portal and a different cardholder is authorized for each eligible benefit. An authorized worker can designate, change and remove authorized cardholders as needed to make sure payment is made to the appropriate member. Protective payees or legal guardians can be assigned to receive EBT payments on behalf of a member after they are authorized to receive such benefits in the Agency Portal.

Payment requests and member information are submitted in an EBT claim file from the Agency Portal. The claim file is applied to the designated program and account and stored in claim history. After scheduling and authorizing payment, a payment file is disbursed to a third-party vendor to process the payment to a member's EBT account. Payment information is then received back from the third-party vendor to confirm payment and is tracked in the transaction history. Payments can be made on a one-time allotment during a member enrollment and ongoing monthly distribution through a batch process. Our solution can also transmit two months of combined benefits issuance if they are deemed eligible by a DHHR worker based on the date of the month they become eligible.

Our solution can withhold, deduct and reduce EBT benefits from a member account as required. After the member provides a repayment agreement to DHHR, the worker will authorize the recoupment of benefits. Our solution provides full and partial recoupment of EBT benefits through the offset of future benefits. This process reduces the need for manual collection processes and paperwork at the DHHR level.

FMM also provides a benefit aging cycle that interfaces daily with a third-party EBT vendor to identify unused benefits and initiate an inactive account notification at 45, 180 and 270 days to a member. This information is shared to our Agency Portal, including the expunging of benefits for a member at 365 days of inactivity.

FMM supports EBT card management by providing authorized workers the ability to deactivate a member's EBT card or PIN if they are lost or stolen. A replacement card can be requested to the third-party vendor and all details for replacement cards are tracked in an issuance history. A member's EBT account can be accessed to validate they have an existing account during the replacement or an application process. The number of EBT cards issued for any case can be limited and controlled during any eligibility period, as well as monitored for any fraudulent activity. If

a card is later found and returned to a local office, a worker can update the log notes in the member record for proper handling, processing and auditing.

Checks and Electronic Funds Transfers (EFT)

WV IES easily connects to existing State systems and services to provide electronic fund transfers and check processing to support multi-program and entity needs. FMM interfaces with West Virginia Auditor's office to submit check and EFT payment files for printing and processing. In return, FMM receives the check and EFT number that can be updated in the provider or member record to track payables. Transactions are processed through the Automated Clearing House (ACH) network, the secure transfer system that connects all U.S. financial institutions. This transaction is captured in our transaction history and journal entries within the chart of accounts for each program.

FMM allows a user to replace lost, stolen or damaged checks. This process requires a worker to place a stop payment and reissue the check payment upon approval authorization. If a payment is made incorrectly to a vendor, a worker uses the same process to reissue the check.

If benefits are received back from either a check or EFT, a user can capture the disposition of the returned benefits in the member benefit history. In cases where an EFT account number is no longer valid and benefit issuance cannot be completed, the client benefit history automatically updates and the member is un-enrolled from direct deposit. Based on payment information shared from the State Auditor's office, our solution can also track whether a member has a payment returned for non-sufficient funds.

Vouchers

FMM supports the production and issuance of vouchers for School Clothing Allowance (SCA). Vouchers can be issued to the primary member or foster parents and used to pay vendors locations who accept SCA vouchers. This process is accomplished by submitting a batch file nightly to the State printing services based on the individual benefit amount and voucher number assigned by the DHHR worker. Vouchers with name, address, and benefit amount will be mailed to the member annually. Weekly SCA voucher issuance is also supported for replacing a client's previously issued voucher.

Emergency Assistance Vouchers may also be generated and printed locally for a member or vendor for emergency issuance, such as a LIEAP payment. This allows payments to a utility vendor on behalf of a member to apply to old bills or reinstate a service. By designating or limiting the specific vendor and service of the payment, a worker can prevent the payment from splitting to cover two types of bills by the member.

Overpayments and Repayments

FMM interfaces with the Agency Portal to identify overpayment or over issuance of SNAP, TANF, or other program benefits for a member. Benefit amounts calculated in Agency Portal simulations are compared against the history of actual benefits issued. The discrepancy between the two amounts is recorded and used to determine a repayment plan for recoupment with the member. After the DHHR worker determines and submits a repayment amount, the claim is sent to FMM for processing and the WV IES can generate a Notice of Adverse Action to the member before initiating recoupment. Repayment claim status is tracked and updated, along with any repayment or monthly recoupment process that offsets the benefit amount over a period of time. Lump sum payments from a member or vendor may also be applied and tracked to immediately resolve an over issuance claim.

Claims and Adjustments

FMM has the ability to process millions of claims each month for DHHR. Claims are most often processed in a batch and gathered in aggregates in the WV IES. A provider can submit a claim to a specific program and process it, as requested, for disbursement from a DHHR program.

Claims disposition can be tracked as an over issuance. Claims are classified as intentional, unintentional or department error and have their status tracked in the solution. A user can also manually make adjustments, hold or split selected claims. Any adjustments to a claim in the system require an adjustment reason prior to the claim being processed.

Additionally, the WV IES can reverse all accounting transactions while maintaining the history of the reversal. We can adjust payment entries and set up the rules associated with those adjustments.

Transaction History

The WV IES maintains a history of all payment and benefit issuance allocations. You can set the period to display transactions history. A user can select whether to display all data, for the last 30 days, or from the beginning of the year to the current date. This provides a DHHR worker comprehensive visibility into a client's financial history at any time.

Program Configuration

FMM allows an authorized user to configure any DHHR program according to federal requirements. Programs may be added or edited as a system administrator, including setting up payee and payer relationships within a specified program. The relationship identifies who will be a payer and payee when financial transactions take place. Each relationship identifies the payment interface, which defines how the program will pay, and the collection interface, which defines how the program will receive money. For each payer/payee relationship, you can configure the recoupment process corresponding to the specific deals between a specific funding source of a program and a payee.

Provider and Vendor Management

Providers and vendors, such as fuel vendors used for LIEAP, will enroll through DHHR's provider management system. Current provider and vendor information will upload into the FMM module. FMM enables a user to store, manage, and view providers or vendors to use as the payer or payee for a program. Configurable attributes, including vendor name, address, phone number, tax identification number and banking details, can be added to support program functions.

Approvals

Our approval settings help you to configure the business process, action, or settings change made by a financial worker that needs approval from the supervisor before their execution. The settings can be configured to track approvals for partial payments, demand payments and corrective payments within a specific DHHR program. This creates a process of checks and balances between DHHR workers to ensure events such as payments are processed accurately.

Childcare Programs

FMM supports the payment and repayment processes for childcare programs for DHHR. Providers will submit requests for payment invoices. Receivables can be viewed or searched by detailed criteria, including a receivable ID that the system generates. After payment is made to the provider, information passes back to DHHR's provider management system to verify accurate accounting, auditing and payment. A record of all payment allocations is maintained in the transaction history within FMM.

Before any issuance of a childcare demand payment, FMM provides a configurable flow to validate supervisor authorization of all provider invoices. A DHHR worker can hold a provider invoice prior to approval if an error in the payment amount or invoice is present. Approvals are also required for any payment reversals or partial payment reversals on an individual child basis. Any override payment authorizations requested require a specific reason code to complete the process and verify accurate status tracking.

Individual entries for each type of benefit received for a child are generated and stored in an account record located in FMM. All transactional history of benefits issued are shared to the Agency

Portal worker for receiving balance information, particularly to limit payment amounts when a child is receiving Supplemental Security Income (SSI) as a portion of their benefits.

FMM also supports the encumbrance process by providing a check payment to a vendor when the encumbrance entry is entered and the case is cleared for payment in the Agency Portal. The process starts after a DHHR worker enters the date the payment was authorized. Once in payment status, a payment file will be sent to the State Auditor's office to be sent to the vendor. The date paid will be shared back to FMM when the payment is made at the scheduled time and recorded in the vendor account through seamless integration amongst the various systems.

FMM supports the tracking and flagging of any provider as having substantiated misrepresentation to prevent payment to providers. Any provider account that is prohibited from participating in the subsidy system after three corrective actions will be deactivated for 12 months in FMM to prevent further payments.

If an overpayment of a childcare subsidy occurs, FMM supports the repayment procedures for the recovery of payments from a parent or provider. The procedure can begin once the repayment balance is calculated and the repayment schedule is determined in the member/provider repayment agreement by the DHHR worker. The repayment balance and schedule are transmitted to FMM as an over issuance claim. FMM tracks payments received and applies them to the over issuance claim until it is resolved.

Child Welfare Programs

FMM will interface with the Child Welfare solution component of the WV IES to support the child welfare-related financial management tasks performed by caseworkers and financial workers. The tasks are organized in the following functions: services administration and payment rosters and adjustments.

Services Administration

In the Child Welfare solution component, caseworkers complete requests for placement and service authorizations, entering the details of the placement or service on the case record. The financial worker records the authorizations for placements or services, using the Web page seen in **Figure 4.4-21**, documented on the case record. Some services may be provided at no cost including case management supportive services and life skills. Other services include standardized services that a provider provides at a cost. This cost may be adjusted by certain cost factors, like the child's age, or customized to accommodate DHHR's practices.

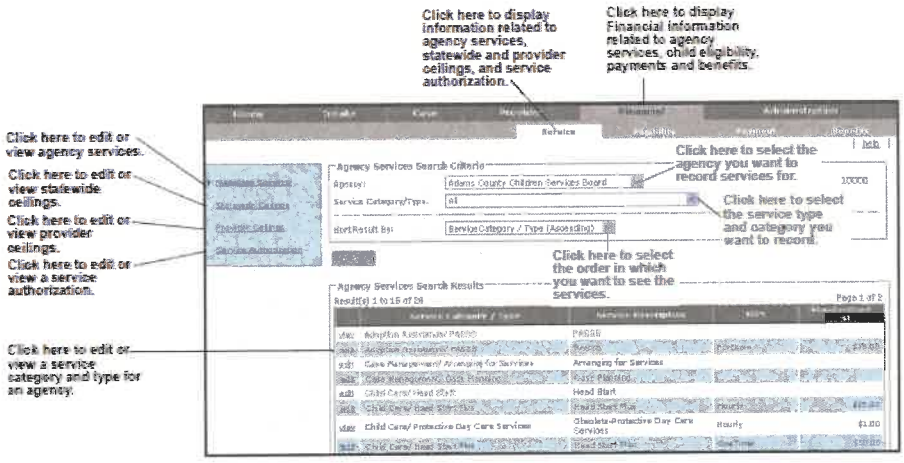


Figure 4.4-21: Establishing DHHR Services.
The financial worker can perform a variety of functions within the WV IES.

Payment Rosters and Adjustments

A payment requests roster organizes payment requests ready for payment into logical groupings for ease of validation and approval. It is accessible to the authorized user through the WV IES, as shown in **Figure 4.4-22**.

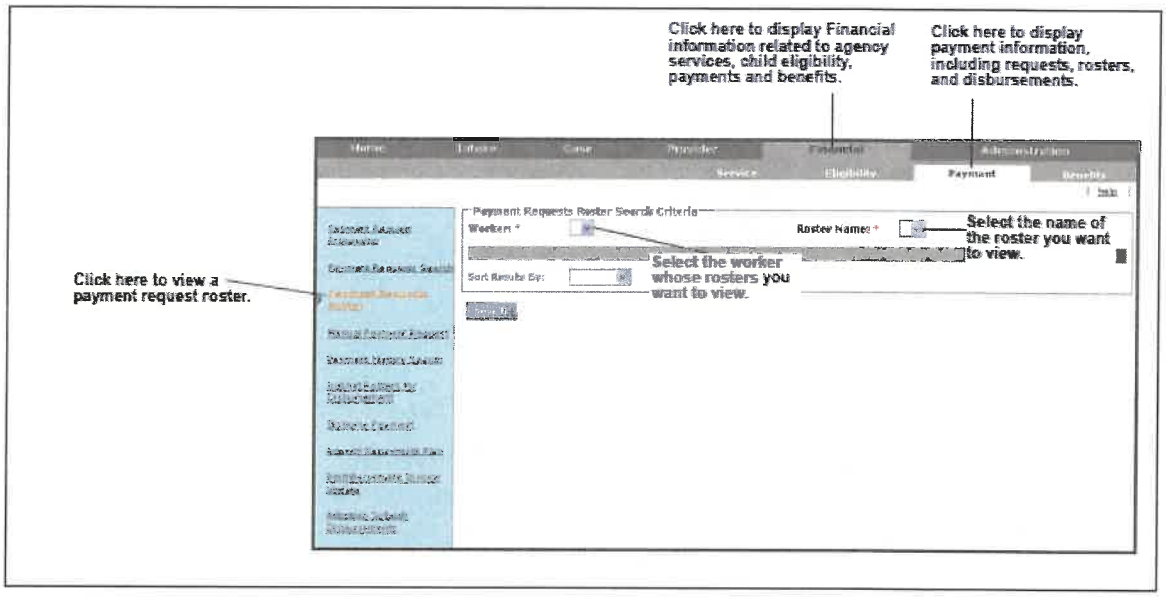


Figure 4.4-22: Viewing Payment Requests Roster.
A payment requests roster organizes payment requests ready for payment into logical groupings for ease of validation and approval.

These groupings are organized according to your practices. You can view a history of the payment requests that have been paid in order to determine the payee, disbursement date, payment ID number, adjustment ID number, amounts, and dates.

Financial payments are usually triggered monthly. The solution will validate a payment authorization request. It will then automatically adjust any calculated amount according to State policies and business rules.

At the highest level, payment rosters are organized according to the financial worker. Beyond that level, the WV IES provides a great deal of flexibility in organizing rosters. For example, a user might want to group foster care miscellaneous services along with regular foster care payments to make it easy to view all activity for a particular provider.

After approval of payment requests, users collect completed rosters into single or multiple files. If the roster files are correct, the user disburses these files to the accounting system for final processing and payment. This functionality can track disbursements made from the system. These payments include those related to education and training funding vouchers and subsidy payments for youth, payments to providers for services, and demand payments. Data from disbursements can be used to determine the actual cost of resources/services.

A repayment plan is created when an agency receives more from the State in IV-E reimbursements than was actually due. The WV IES can accomplish this, as **Figure 4.4-23** shows. Typically, the agency discovers that children who have been receiving IV-E payments are not actually eligible for them, and the agency must return those funds to the State.

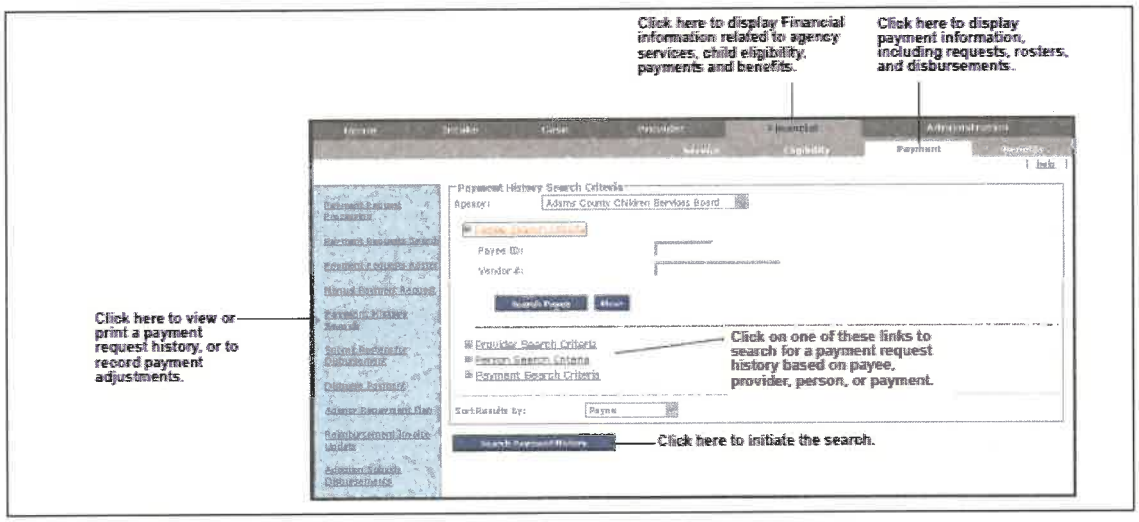


Figure 4.4-23: Setting a Repayment Plan.
An agency may elect to return the funds over a period of time, according to a repayment plan.

The WV IES generates most payment adjustments automatically, when rate and service authorization changes are made during a claim period. Adjustments are made manually for situations that the system does not handle automatically. Adjustments automatically generate payment request records, and they can be viewed during payment processing.

Adjustments display with I for Invalid payment or R to alert the worker that a previous payment needs review, as **Figure 4.4-24** shows. If the payments are invalid, the system will make the necessary adjustments on the next payment to the provider.

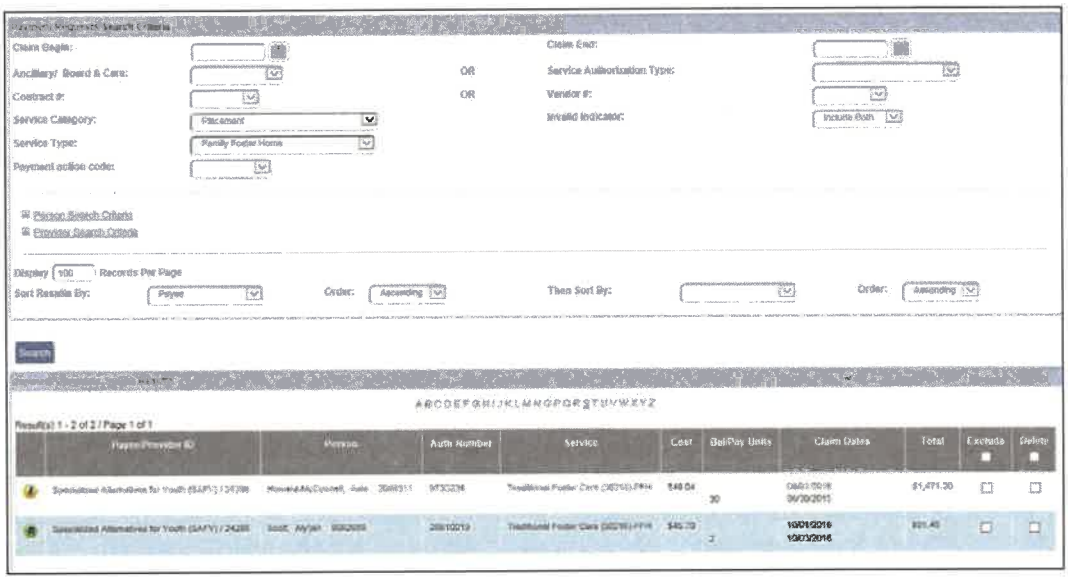


Figure 4.4-24: Payment Adjustments.
Hovering over the icon will let the user know the reason the payment has been marked for review.

Child Support Programs

FMM will interface with the Child Support component of the WV IES to support the collection, distribution, and tracking of child support disbursements through varied cycles. The FMM module provides financial controls for posting and balancing all child support payment and collection transactions. Disbursement of child support can be tracked and monitored through FMM disbursement history, while sharing this information back to the Child Support component for

monitoring and resolution. Payments of fees, including interest, late payment penalties, or recovery costs, automatically record in the transaction history and chart of accounts in FMM. These master program accounts will roll up to the State general ledger and provide the State visibility for reporting across all DHHR integrated programs.

FMM will serve as the payment processing engine for the Child Support module by providing child support payments to one or more obligees through direct deposit by EFT, paper check, or by debit card through a third-party financial institution. The solution can accept payments by check, EFT, or credit card as methods of child support collection and voluntary distribution from an obligor. FMM interfaces with our document management solution to provide notices to generate bills, payment coupons, and collection notices required to support the deposit of payments and collections. FMM also includes the following:

- Prioritization and override capability of support payment allocations
- Distribution of pass through payments
- Adjustments to payments and debts due to tax reversals
- Provides payment, receipt and distribution of incentive payments in support of Federal Financial Participation (FFP)
- Tracking for payments returned due to insufficient funds or fraudulent activity

Child support payments that are made in error can be refunded to an obligor in FMM upon receiving a request made in the Child Support module. FMM can issue and track disbursements to third-party payers, such as employers or the SSA, for any refunds involving income withheld payments. Disbursements that are made in error to an obligee can be recovered through repayment or recoupment of child support funds. FMM will track any over issuance claims and apply payments received to satisfy the repayment agreement obligation.

4.4.5 Training Management Module



We provide a comprehensive training service that addresses the broad set of WV IES stakeholders. The Optum team will use our established and consistent training methodology for the WV IES. This Training Management Plan (draft included in Appendix 6) and training tools support the modular implementation methodology. Following our focus in the Implementation Phase on the 3,500 State employees who will use the IES, we will transition to the "Train the Trainer" approach as specified by the State for the Operations Phase.

We will present demonstrations to show users and providers the system as it relates to the functions they perform. This will include member eligibility lookup, provider enrollment, maintenance procedures, and WV IES portal functionality. We identify training needs through direct communication with users and providers and through evaluation surveys after trainings.

While all 3,500 State staff will receive some level of training, we will work with you to identify those users who will primarily operate the WV IES. These DHHR-designated users, including train-the-trainer designees, will receive focused training on the features and functions of the solution. They will learn how to use the tools to access the information they need to make effective business decisions.

We will schedule instructor-led workshops at regional locations during the Implementation Phase. Web conferences and self-paced eLearning videos posted on the Learning Management System (LMS) will provide targeted information to supplement training and enable providers to enroll and manage their WV IES participation.

Learning Management System

Our LMS already supports more than 60,000 users in a variety of learning communities. With the core LMS already installed, the Optum team will tailor the solution to support different WV IES State and vendor groups. We design our training approach and materials for maximum effectiveness and conformance with Medicaid Information Technology Architecture (MITA) concepts and principles of reusability, electronic information capabilities, industry standards and best practices, interoperability, personalized West Virginia user experiences, privacy and security. The LMS houses eLearning videos and written materials, such as LMS procedures, user manuals or other reference materials.

The LMS includes vital features for trainers to manage and track training delivery and effectiveness, including:

- Real-time integrated reporting that delivers training and learning metrics for all learners
- Tracking, managing and validating training compliance requirements
- Assessing and verifying learning with surveys and assessment results
- Enabling auto-notification, follow-up and verification of learners and their course status
- Registration for self-administered, computer-based e-Learning videos, attendance of webinar training through Web conferences and attendance of instructor-led training sessions
- Managing tasks associated with live, instructor-led learning
- Managing training facilities and resources
- Learning paths based on specific business processes or job and operational requirements

Scheduling Training

The training schedule within the LMS will list available trainings and the date, time and location of each class. We generally plan training sessions during the State's regular operational days and hours.

After contract award, we will develop an initial schedule for DHHR training. We will tailor course outlines, training materials and user manuals to the target audiences. We will meet with the State to determine dates and times for the training schedule. As we finalize materials and identify attendees, we will finalize the number of sessions, dates, and locations and submit them to DHHR. If training sessions or dates change, we will post these changes to the LMS and users registered for the training will receive email notification of the change. After implementation, we will develop continued training for Operations and schedule it accordingly. After we develop the training materials, we will submit them to you for review and approval to coincide with the finalization of the training schedule.

Maintaining Training Curriculum and Class Materials

As business rules or policies are revised, Optum will incorporate updates into the training curriculum, if applicable. To incorporate feedback received on class surveys into the training curriculum, we follow the change control process established for the WV IES. Events that may trigger a training program enhancement include system releases, software upgrades, screen changes, policy changes, and new functionality. As changes to the system are completed, DHHR and the Optum team will determine jointly if the change warrants an update to the training materials. We will follow the established review process to update the materials and reflect the final changes in each document's revision history. We will impose consistent version control on training materials. DHHR will maintain final approval on changes to training materials.

Evaluation of Training

We use the LMS to track and report on the participation and overall satisfaction of the provider community with the training available to them. We will provide training surveys to attendees for

instructor-led (classroom), instructor-led (Web conference presentations) and eLearning training. At the conclusion of training, the LMS automatically sends LMS registered attendees a survey to provide feedback regarding the course.

The completed surveys provide feedback to determine the success of the training program and to identify areas for improvement. We compile results and forward them to you for review on a timeline determined by the State and Optum. The State determines material enhancements necessary to validate acceptable training. We incorporate agreed-upon changes into training materials and methodology, as needed.

Organizational Change Management

Our WV IES Organizational Change Management (OCM) approach will leverage industry-leading organizational OCM methodology combined with Optum best practices to deliver an integrated project plan and approach that is seamless for DHHR. Our Optum OCM team comprises certified practitioners with practical application experience to provide our customers with highly skilled, industry-leading professionals.

There are four distinct phases in our approach to OCM: Getting Started, Preparing for Change, Managing the Change, and Reinforcing the Change. We integrate these phases within the project management lifecycle, verifying project and people deliverables are aligned and thoughtfully considered for an integrated implementation experience as shown in **Figure 4.4-25**.



Figure 4.4-25: Organization Change Management Process.
Our strong OCM process enables us to deliver an integrated approach.

Getting Started

Our OCM offering derives from qualitative and quantifiable data that our team collects at the beginning of the project. Our certified practitioners will assess the implementation timeline and solution offering as it relates to current organizational capabilities and strategic objectives to inform and recommend the service offering. This phase enables a common language for change and a right-sized framework to enable maximum adoption of the solution. The purpose of this phase is to document the approach, explain why change management activities are undertaken, and align the organization around the approach, activities, and integration within the program work streams.

Preparing for Change

A key component of our implementation experience is building a strong partnership with DHHR stakeholders to align leadership goals, process management, and process expectations for the project. In addition, our OCM team will execute organizational assessments and conduct interviews with key stakeholders and sponsors. The purpose of this phase is to build a customized and scaled approach with the necessary sponsorship to effectively mobilize the change and mitigate organizational risk across the transformation lifecycle. This collaborative partnership includes IT and business operations and may involve third parties, vendors and other stakeholders as identified by

your team. Part of the assessment includes identifying the following attributes of the organization: value system and culture; capacity for change; leadership styles; history of past changes; and middle management's pre-disposition to change.

We also identify and document change characteristics including the nature and scope of the change, and the groups and specific individuals who will be affected by the change.

Managing the Change

In this phase, our team will create and implement plans coordinated with the overall project plan. This approach will provide an integrated experience that will move the organization and individuals through the change while meeting business objectives.

The OCM Plan will help guide the implementation with a synergistic approach for activities, including communications, coaching, training, and resistance management. As shown in the next table, the OCM approach focuses on transitioning behaviors through creating awareness, desire, ability, knowledge and reinforcement to support and enable individual change.

From:	To	Objective
Message and audience	Story and community	Speak to the mind and the heart
Content and collection	Context and connection	Convincingly convey why this change matters, and why it is important to the individual
Hierarchy and position	Social architecture and roles	Conscious design of an environment that encourages the desired changes
Control and compliance	Trust and co-creation	Develop aligned and transparent behaviors through inclusion and engagement mechanisms

Reinforcing the Change

This phase confirms the change is adopted and sustained. Our team will proactively collect feedback through surveys and auditing compliance with the new way of doing things to identify gaps and areas of resistance. In partnership with you, we will provide stakeholders with pre-identified recognition measures; corrective action measures; and consultative support for desired outcomes.

4.4.6 Enabling Services Module

In addition to the four required modules, Optum is proposing an Enabling Services module that provides the integration, analytics, reporting, data management and security components required to support the other four modules. These core enablement services are the critical components implemented today across all of our successful deployments for our state customers.



Integration and Verification Services

OIL is an HHS-specific, service-oriented architecture (SOA) equipped with a library of service adapters and data models that are configured to integrate solution modules with internal, other government, or third-party systems. Our integration solution for the WV IES is based upon OIL. The OIL service library contains support for the X12 health care EDI transaction set, the HL7 health care API, as well as support for many CMS FDSH services. The OIL internal data model is also based on these standards.

The library of adapters can be configured and deployed to support both transactional, as well as asynchronous integrations, supporting both modern Web services and legacy file transfer or structured data from a mainframe environment. Using simple proxy adapters that interpret and

translate legacy or non-standard interfaces that wrap around the standard library, integration of non-standard or legacy systems is straightforward. This promotes reuse of the library and modules and minimizes customizations needed to implement integrations.

For each integration that will be implemented as part of WV IES, the process of configuring the OIL and related modules is as follows:

- Identify the functional need for the integration based upon existing integration inventory and/or requirements gathering during project implementation. Validate that existing integrations are needed in the WV IES to meet functional needs. Remove redundant or deprecated integrations from the inventory and update the inventory with newly required integrations.
- Analyze each existing interface by reviewing functional and technical documentation, interface control documents or companion guides, APIs, file or data formats for producer and consumer modules or systems. Determine if the existing interface technology is reusable or needs to be implemented by OIL. Identify volume, velocity, or performance SLAs needed to meet the functional need. For new interfaces added to the inventory, the same information must be gathered and analyzed.
- After producer and consumer module information, interface APIs or file formats and SLAs is collected, the information is reviewed to determine whether the integration can be supported by the existing OIL library and data model, if proxy wrappers are needed to support the integration, and if data model changes or data translations are needed. New integrations that have a high likelihood of reuse may be candidates for inclusion in the OIL library and developed accordingly.
- For integrations that the OIL library fully supports, configuration for the integration is performed, capacity and connectivity is verified, the interface is tested end-to-end and the integration is deployed.
- For integrations that require proxy wrappers, the wrapper logic and transformation is customized and unit tested. Next, library components are configured for the integration. Capacity and connectivity is verified, the interface is tested end-to-end and the integration is deployed.
- For integrations that require data model changes or data translation, the translational logic or model extensions are customized and implemented either in the proxy wrapper, core data model, or both, and unit tested. Next, library components are configured for the integration. Capacity and connectivity is verified, the interface is tested end-to-end and the integration is deployed.
- For integrations identified as having a high degree of reuse, new interfaces and data model enhancements are developed and become part of the OIL library. Then configuration for the integration is performed, capacity and connectivity is verified, the interface is tested end-to-end and the integration is deployed.
- Some interfaces may require a combination of the above steps for the complete implementation of modules.

Our solution will integrate more than 120 external systems, including other State agencies, judicial entities, federal agencies and various third parties when fully configured and deployed. These integrations are necessary to meet the functional requirements of the WV IES:

- Core Integrated Eligibility module
- Child Care, Child Support, and Child Welfare modules
- MMIS
- Provider Management module
- Financial Management module
- Call center platform
- Document and fulfillment services

In addition to the 120 external integrations planned, more than 200 other integrations are needed to support internal communications within and between modules in the WV IES.

Required External Verifications and Integrations

External integrations and verifications required for the WV IES were identified from the table of requirements. We also reviewed the existing interface library for the WV enterprise that was provided in the RFP library to make our determinations.

The collection of functional requirements presents many of the external integrations needed to support the WV IES platform. This includes financial transactions and income or asset verification, identity verification, case administration and exchange of case data, exchange of criminal and judicial data, location services, and paternity status.

These requirements incorporate some, but not all of the 120 integrations in the current West Virginia inventory provided in the RFP library. Integrations identified from the existing inventory include not only the above categories, but also the following:

- Additional financial transactions
- Additional income or asset verifications
- Exchange of child protective data
- Exchange child support enforcement data
- CMS FDSH, FFM, and Medicaid reporting systems
- Credit reporting systems
- Vehicle and drivers licensing systems
- EBT integration and reporting
- Employment and withholding data
- Asset verification system
- Adult protective services systems
- WV State financial systems integration
- SSA verifications and reporting
- State and county civil courts
- Address verification
- State and county criminal courts
- Juvenile justice systems
- State Police
- State employers
- Identity Management

After identifying the total list of integrations identified from the project requirements and inventory, implementation follows the essential methodology described in the previous section.

Provider Management

Establishing and maintaining a strong provider network to serve West Virginians is vital to achieving the best outcomes for them. Toward this goal, Optum will leverage the backend services that integrate with the Client Portal and Agency Portal to interface with DHHR's Provider Portal solution while meeting the Provider Management Requirements specified in Appendix VI, Table 26.

Processing Provider Enrollment Applications

Upon enrollment approval, the WV IES generates a unique provider ID that is associated with the provider and stored in the Provider Profile. The unique provider ID can be alphanumeric or numeric and is configured by Optum to follow DHHR business rules. The Provider Profile is also used to store provider status, and a historical record of a provider's profile is available for viewing by authorized users. In support of provider enrollment, the integrated workflow enables DHHR provider enrollment staff to track all entities contained in an enrollment application throughout the review lifecycle.

The workflow queues reflect the review steps needed to accommodate both federal and State evaluation criteria for provider enrollment applications. Based on business rules, the case entities route only through the review steps that are applicable to their contents. In each workflow queue, DHHR provider enrollment staff can approve or reject an entity and/or outreach the provider for additional documentation.

To support provider home visits and evaluations (such as for childcare licensing), a worker can download an editable PDF version of the visit and evaluation form, and store the editable PDF

forms on their computer. This allows them to easily access, complete, and save the forms during home visits and evaluations without needing Internet connectivity. When Internet connectivity is again available, the worker uploads the completed forms using the file upload feature.

After the entities have been reviewed, the case comes together in a final queue, in which the DHHR provider enrollment staff reviews the results of all evaluations and makes a final determination about the provider's enrollment. If the provider is approved for participation in the program, the WV IES workflow causes the promotion of the provider's enrollment data to production and triggers the generation of a welcome letter and license (if applicable) for the provider. If the provider is denied participation in the program, the workflow prevents the promotion of the provider's enrollment data and triggers the generation of a denial letter, which includes one or more reasons for the denial.

Typical provider enrollment review steps include:

- Application completeness check
- Exclusions review
- Credential review
- Quality tier rating review
- Site visit tracking
- Background check findings review

Typical post-approval steps include rate setting and contract attachment for providers with non-standard rates based on the DHHR provider type and specialty criteria. West Virginia-specific provider enrollment review and post-approval steps will be configured during implementation.

Additionally, based on your business rules, the WV IES accommodates related processing within the context of the provider enrollment workflow:

- A provider outreach cycle that includes actions executed at certain times—For example, an email followed by five days to wait for a response (A letter is then issued followed by 10 days to wait for a response and finally a phone call to the provider followed by 15 days to wait for a response.)
- Routing entities to related agencies, such as the child and family services or the department or agency that coordinates care for Medicaid members with developmental disabilities, for additional review or other needs
- Support of post-approval processing, including routing to other agencies for possible enrollment in other programs that require DHHR approval as a prerequisite
- Support of reviews conducted by third-party vendor, such as for credentialing reviews, that occurs after enrollment applications are approved

Processing Provider Maintenance Requests and Revalidation

Updates submitted using the provider portal will be routed to the provider management utility for processing. DHHR will scan the paper documents, and the digitized images will route to the provider management module for processing.

Similar to new provider enrollment requests, work objects for each entity are modified or added. All maintenance entities are subject to the same reviews as enrollment entities, based on established business rules. Revalidation typically uses the same workflow and same business rules as provider enrollment and maintenance requests, but can be configured differently following DHHR business rules, if required.

Data Management Services

As a leading health care services organization, we have extensive expertise with large data repositories. We can manage data effectively, and we will bring our skills and experiences to the WV IES. Our approach to maintaining data integrity is to work with your team; understand and document your data definitions and semantics; and help you establish data governance, harmonization strategies, master data management, metadata and data quality processes.

Data Protection

All data delivered by participating sources is stored in the WV IES database. Authorization to access member information will be applied through Role-based Access Control (RBAC), whereby access is defined around roles and the set of privileges assigned to that role. RBAC to this data is controlled by the WV IES authorization service. Access to sensitive and protected data is controlled using role-based authorization by leveraging WV IES security infrastructure capabilities. This data is strongly encrypted when it is written to a hard disk and before transmission.

Data Governance and Quality

WV IES uses powerful integrated business rules to assure data reliability and accountability. Data is continually monitored and evaluated against rules to identify potential discrepancies and to immediately communicate these discrepancies to operational or technical support teams for corrective action.

Canonical data models are used to standardize on common data definitions associated with integrated business systems. Canonical schema patterns are implemented to reduce the need for data model transformation during message exchanges between components that reference a common data model.

Data reliability and workflow automation verifies that processes essential for corporate governance are executed 100 percent of the time in accordance with legislation. For example, applicant eligibility status is automatically maintained and re-determined as life events or new legislative rule updates changes come into effect. It will also prevent multiple parents or step-parents from claiming exempt status for work requirements based upon care for a disabled family member exemption.

Individual data is maintained so that it is identifiable by eligibility group and program. Data maintenance constraints are used to cross-reference an applicant ID or case type against other State or federal programs.

Data Quality and Privacy

The WV IES controls data quality through relationship constraints, triggers and validation rules. Data will be isolated logically using horizontal partitioning, which controls data access at an instance or record level according to role permissions.

West Virginia business rule-driven data processing constraints are used to identify confidential records. System-wide data synchronization is automatically maintained. WV IES securely maintains eligibility information in order to provide access to needed health care services.

Data constraints are used to verify accurate, unduplicated counts of members receiving benefits for each program in West Virginia. West Virginia business rule-driven data processing constraints provide modified access, maintenance, and processing of member records flagged as confidential.

Data Integrity

Data usage, data creation, and any identity associated with data usage will have an audit trail created. These dual strategies will firm up the data quality and usage. A master data record is maintained in an integrated repository, including a single unique identifier that is not a Social Security number. File maintenance processing constraints are used to detect duplicate files or records and isolate them for manual review and further processing.

DHHR rule-driven case data management constraints are used to verify duplicate member, and case records are then merged or unmerged as appropriate. Standardized case data management constraints are also used to make sure duplicate members and cases are merged into a consolidated single record or unmerged, as appropriate.

Reporting and Analytic Services

Our Reporting and Analytics Services is a COTS-based reporting and analytics platform. We offer reporting and analytics to you as a service to minimize the burden of hardware, software and hosting management. We add value by combining the reporting and analytics technical solution with our analytics expertise and with the mission of keeping you in the forefront of industry-leading analysis and insights. The design of our Reporting and Analytics Services provide you with standard analytic and reporting requirements. It also offers you a platform to readily undertake complex evaluation studies, monitor quality improvements, track program performance, and identify opportunities to reduce costs of business processes and programs. You can use the data analysis tools to measure your service and delivery KPIs to perform data driven process improvement work, improve your MITA business process, information and technical capability maturity levels. Our solution partners also follow the same processes, tools and services described in this Reporting and Analytics Services discussion.

Reporting and Analytics Services deliver a single entry point for all of your analytic and reporting needs. We designed the solution with industry-leading applications that provide modularity, enterprise performance and extensive data management capabilities. Our analytics promote the goals of the Triple Aim—improving the member experience (including quality and satisfaction); improving the population health; and reducing the per capita cost.

Our WV IES drives this ability by first harmonizing disparate data and then enabling a full range of analytic and presentation tools that deliver simple numerator/denominator calculations to complex statistical analysis capabilities. Our approach to reporting and analytics addresses the gaps caused by fragmented, inconsistent and incomplete data. Our solution enables you to measure how your members are using services across all of your programs and how you are delivering those services. It will provide you the most complete, reliable, transparent and integrated platform to support your reporting and analytical needs.

In this section, we describe our technical solution and how technologies are allocated across the solution. We present the solution architecture and components and how they work together to help you achieve your objectives. We also focus on how the technical components of the solution provide immediate and future value through its extensibility and configurability. The Reporting and Analytics Services technical solution enables you to stay current with industry and regulatory landscape changes, not having to spend time and resources on the prohibitive cost of system changes. Reporting and Analytics Services COTS tools and open architecture will help you move to a modular and agile development methodology and away from a monolithic, proprietary solution that requires extensive, lengthy and costly changes to maintain viability in meeting your needs. This significantly minimizes development dependencies and system and training costs. It allows you to focus on improving your services and constituent's experience.

Reporting and Analytics Services can be broken down into four functional areas: ingestion layer, data layer, service layer, and presentation layer.

Ingestion Layer

The Ingestion Layer serves as the data fabric for our solution. It is powered by Informatica for ETL services. The applications and services are configurable through business rules and designed to scale as data demands increase. The Ingestion Layer enables us to centralize processes and manage multi-sourced eligibility and case management data with a cost-effective and highly extensible architecture comprising three key capabilities: data exchange gateway (data acquisition); ETL services (data ingestion framework); and data enrichment services (data integration and enrichment).

Data Exchange Gateway: Reporting and Analytics Services supports secure data exchange that allows intake and dissemination of data and reports to defined authorized data partners. The data

exchange will be two-way, acquiring data for inclusion in the reporting and analytics solution, and extracting and sending data and reports to authorized data partners.

The Reporting and Analytics Services data exchange promotes security and privacy by protecting data files in transit and at rest with multiple encryption algorithms. Through a simple GUI, we manage digital certificate activation, exchange, overlapping, and replacement.

PHI data in transport will be encrypted by SSL or SFTP. Data at rest will have the capability of being encrypted at standard hardware or software encryption included in our solution, depending on the type of data and storage location.

Through configuration settings rather than code changes or new releases, we establish the rules for each new data source, including customer details and data validation rules that feed the system's enterprise metadata repository. We accept formats such as files, messages, databases and tables.

Data quality validation occurs at each step of the process. Using the metadata and rules established within Informatica, we perform initial file validations such as timely arrival, all files received, record counts, data volume checks, control file validations, duplicate submission checks, acknowledgements and more. Status indicators report overall file process status and execution statistics, which include record counts, records processed, elapsed times, successes, failures, and error codes and descriptions.

ETL Services: Reporting and Analytics Services uses enterprise ETL and metadata management tools and specifications for the same capabilities for one-time data conversion, as well as ongoing data transformation. We implement and document a scalable data acquisition service, which means we can acquire and ingest new data from new data sources. This solution will grow with you throughout the years without the need for additional system development. We acquire all necessary historical and operational source system data in a timely and secure manner. We meet or exceed our customer's security and services levels for data acquisition.

Reporting and Analytics Services uses Informatica software tools to deliver core data services, including cleansing, harmonization, integration, matching, and enrichment. The Reporting and Analytics Services Ingestion Layer data cleansing can be basic, such as the verification of key attributes or the existence of mandatory attributes. Reporting and Analytics Services can also perform complex cleansing, such as name and address lookups and standardization.

We apply the same ETL design for one-time data conversion as for the incremental updates. We transform complex structures into the relational model developed during the DDI phase of the project. In addition, we harmonize character sets and validate structures by applying user-configured schema definitions and metadata, which we update continuously to manage the process and track utilization and changes.

Data Enrichment Services: These services include Optum industry-leading data enrichment applications that integrate, harmonize and enhance the multiple data sources brought into the reporting and analytics solution. We employ separate, configurable modules to create common identifiers for members and providers and to enforce an agreed-upon process for data de-identification and masking. We augment and classify source data to create new data sets. Automated business rules derive new values or append new attributes to existing records from internal and external data sources. In short, our data enrichment capabilities and services provide the first layer of analytics as it groups, calculates, and prepares the data so the user can quickly see and drill down. It makes the data more consumable for analytic purposes.

Data Layer

The Data Layer houses the existing WV IES data marts and supporting infrastructure for our solution. It resides outside the Data Ingestion Layer and serves published, modeled data to business services and users for analysis and reporting. The data marts run on Oracle DBMS

technology for its scalable, capacity-on-demand and high-performance characteristics and benefit from the high-speed network connections and enterprise security infrastructure inherent throughout our hosting environments.

Our proposed Oracle DBMS technology for the reporting and analytics solution includes Oracle 12c databases running on Oracle Exadata Database Machine X6-2 appliance platforms with high capacity disk drives. The Exadata appliance provides extensive scalability and performance. The proposed data marts configuration uses separate sites for the Production and Staging/DR environments to mitigate the risk of potential disasters and outages.

Service Layer

The analytics functions housed within the Service Layer deliver the analytics, reporting and operations required of the solution. At this layer, we continue to support the modularity and reuse standards set by the CMS Seven Conditions and Standards. Each tool has been purposefully selected to perform a specific function within the analytics architecture from data ingestion to presentation. We use open source applications when an alternative meets our functional, performance and security requirements. The service layer accesses data from the Reporting and Analytics Services Data Layer through controlled roles and privileges.

We have incorporated our extensive experience in analytics into the Reporting and Analytics Services module. We combine existing COTS software products such as Cognos, Tableau, and Oracle, with a custom-built, integrated suite of analytics modules that provide intuitive data visualization on top of our data marts and analytics engines.

Presentation Layer

The Presentation Layer delivers a secure foundation for entry through the Reporting and Analytics Services Portal. The Reporting and Analytics Services Portal will be your single sign-on access and navigation point for tools, reports and dashboards—all within a common framework. It will provide a seamless user experience. We designed our portal user interface to be intuitive and simple to navigate, enabling faster adoption by all user levels.

The portal provides users with a convenient entry point to all Reporting and Analytics Services functionality. The modular design of the WV IES will enable access to reports through the Agency portal or through the Reporting and Analytics Services Portal directly. Users may access any of the analytics, reporting, and data stores based on the privileges granted.

For more information on the reporting and analytics capabilities of the WV IES, refer to proposal Section 4.3.13, Enterprise Reporting Capability.

Document Management Services

The Optum Document Management Service will allow document generation from the WV IES portals and creation of all documents needed. Documents are designed to be flexible from creation using a common structure (i.e., logo, customer service, website, address), along with template-specific data elements. The module also incorporates rules to verify they follow guidelines and will follow the appropriate review cycle required by DHHR.

As previously mentioned in proposal Section 4.1.2, Reusability, the Optum Document Management Service is a reusable module that provides the ability to generate notices, letters, documents, or glossy print material and store them in a content repository. The document integration service that provides the adapter and simplified interface to the Optum Document Management Service enables the solution to orchestrate or reuse of DHHR's document management solution—Northwoods Onbase and Compass. Optum will reuse Northwoods functionality deployed for the Bureau for Children and Families (BCF), Family Assistance Division, and the Bureaus of Child Support Enforcement (BCSE), and complete the FACTS functionality. Optum will leverage the existing platform deployed in West Virginia and deploy the centralized platform within the hosting

infrastructure established by Optum. We will also provide ongoing operations for the platform for the duration of the contract.

Many states currently use outdated technology, manual processes and multiple systems to generate notices and forms. Workers are often unable to make necessary changes to documents. WV IES allows the worker to make changes to the document before is it delivered. The parties can also sign documents as needed. When needed, documents are pre-populated from the shared system database.

All unsigned and signed correspondence is automatically stored within the Optum Document Management Service. Documents are stored with reference to the appropriate case ID, person ID, or application ID as needed for future retrieval. This can be configured to use additional identifiers as necessary.

Documents stored in the Optum Document Management Service will follow the retention scheduled dictated by policy. Each notice and document can have a separate retention schedule to take advantage of the security, scalability, and reliability the service provides.

Business Correspondence Flow

Figure 4.4-26 shows the correspondence flow and how all components of the WV IES link to this service.

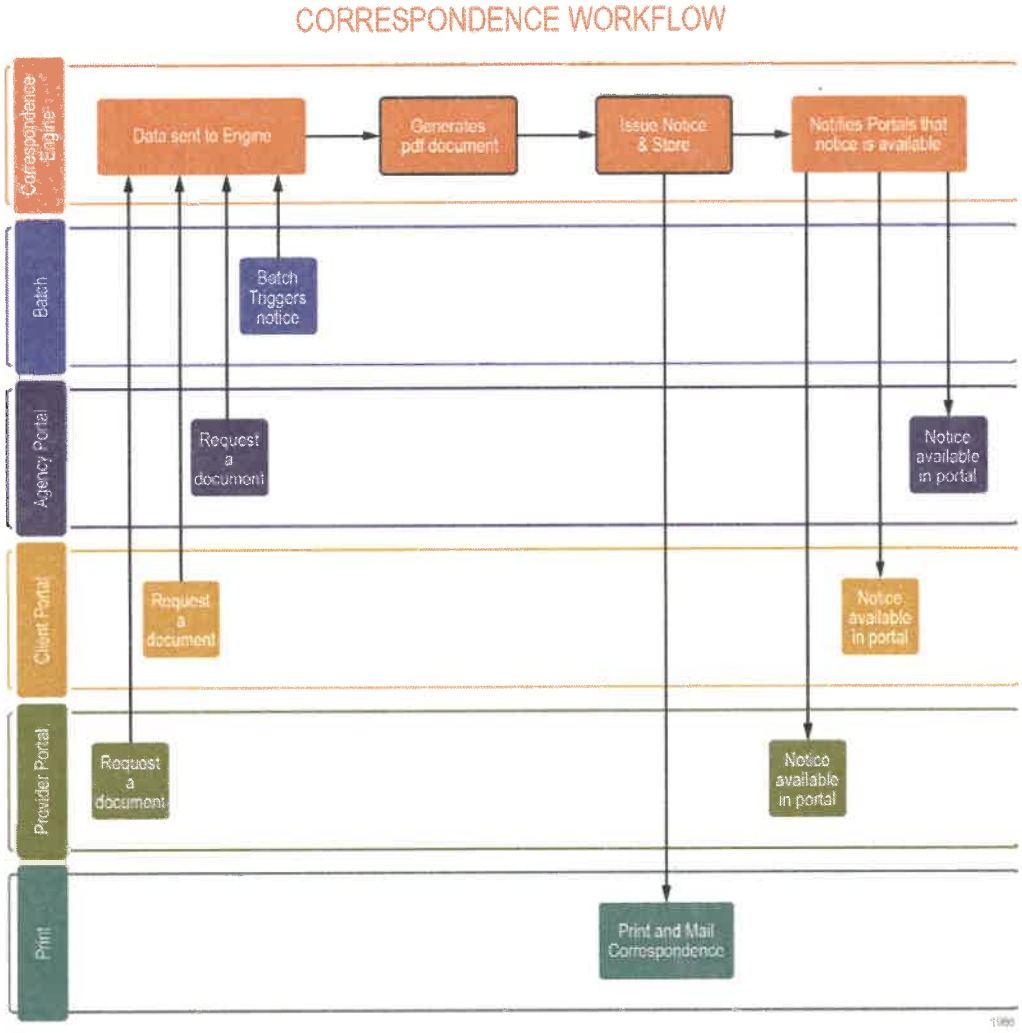


Figure 4.4-26: Business Correspondence Workflow.
All components of the WV IES link to the Optum Correspondence Engine providing an integrated document management solution.

Optum Correspondence Engine

The correspondence engine provides generation of documents in real time to enable the user to retrieve, view, modify, or print documents as needed. Key features of the solution include:

- Generation of correspondence, forms, applications, and other documents
- Generation of certificates
- Generation of privacy and rights and responsibilities forms
- Generation of checklists and worksheets
- Creation of documents in PDF
- Pre-defined templates
- Generation of contracts
- Printing of a blank version of forms, letters, and other documents
- Pre-population of forms, correspondence, applications, and other documents with information from the electronic case record
- The ability to override pre-populated information
- The ability to convert auto-populated fields to mixed case

Client Portal Notice View

Correspondence, forms, and notices are accessible from the self-service Client Portal. As **Figure 4.4-27** shows, members can access the My Messages section of the portal to view their correspondence. When a member requests delivery by regular postal mail, the electronic version displays on the portal, and the appropriate file transmits to print services for mailing. This same process applies when program policy dictates a hard copy is mailed for correspondence.

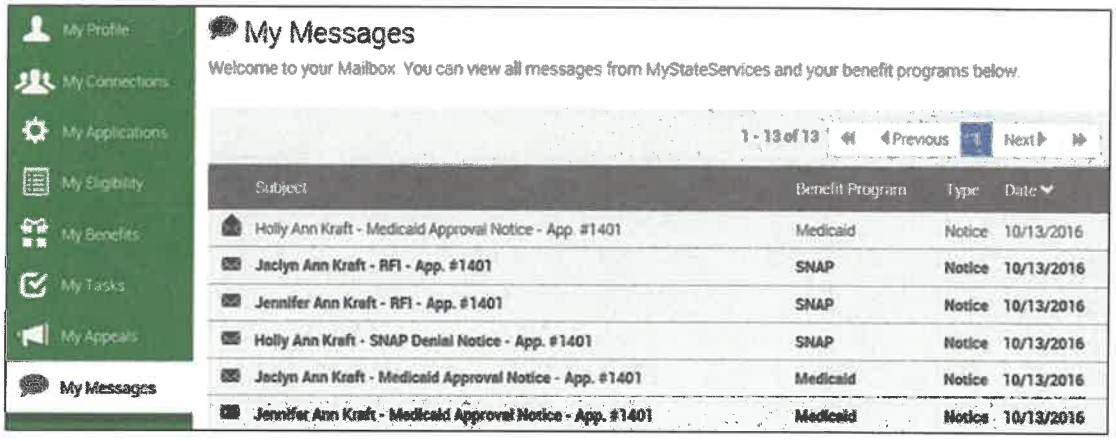


Figure 4.4-27: Access to Documents through the Client Portal.
Members have online access to all of their program correspondence directly through the Client Portal.

When a message is created on the portal representing a notice or form, an email is sent to the member's email address on record. The email notifies the member that correspondence is available in their account. Each message on the portal summarizes the information included in the notice or form. **Figure 4.4-28** provides an example of this message. The content and format of the message display is configurable based on the business or program requirement.

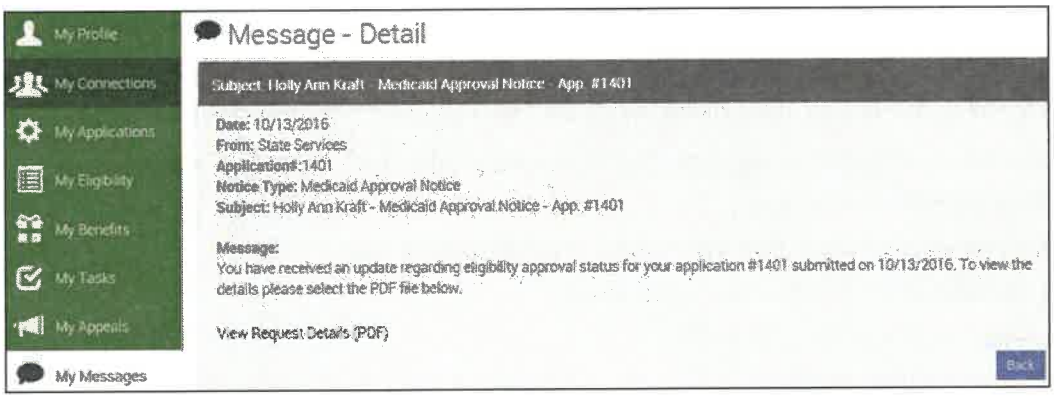


Figure 4.4-28: Client Portal Messaging.
Each message containing an attached document or form provides information related to the attachment.

Agency Portal Notice View

All generated forms, notices, and correspondence are accessible to the worker from the Agency Portal. Workers can access documents from the case or client record, as appropriate. In the limited circumstances that the worker should not access a form or notice, the display of the document is suppressed.

The notice interface enables the worker to search and filter notices by name, program, type, status, and date. Additional search or filter attributes can be added as needed by the business process. The status attribute indicates if the document is delivery pending, has been delivered to the member, was cancelled by a user, or has been reissued. **Figure 4.4-29** shows an example of the notice interface in the Agency Portal.

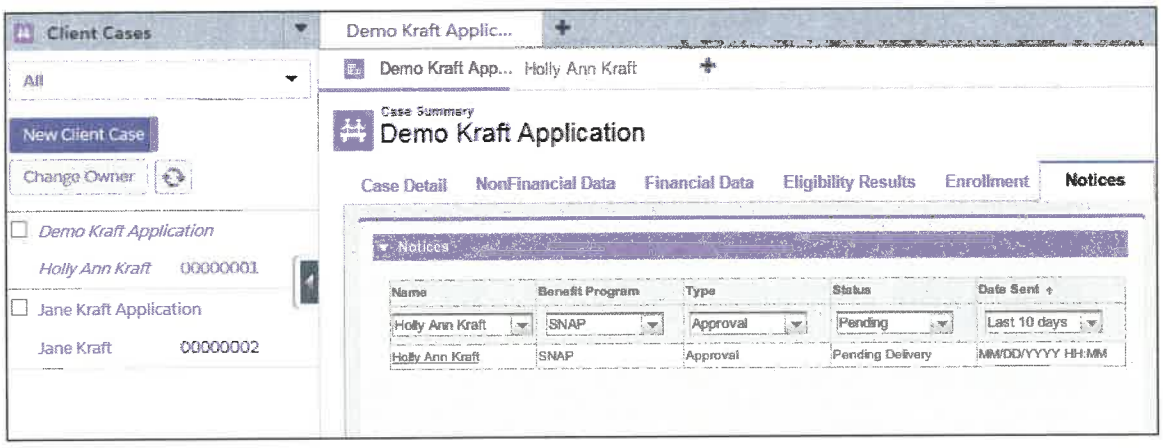


Figure 4.4-29: Notice Access through the Agency Portal.
DHHR workers have access to notices and forms through the Agency Portal. Complete status of the notice is also provided.

Each notice or form is accessed through a link to the document summary. The content and format of the message display is configurable based on the business or program requirement. Within the summary, the PDF for the notice is retrievable through a hyperlink. If the notice was sent to multiple recipients (e.g., the client, authorized representative, and a social worker), all links are contained in the single summary view.

Document Management

In addition to storage of system-generated notices, forms and other correspondence, the solution supports uploading, storage, and retrieval of supporting documentation provided by the member or appropriate third parties. Like system-generated documents, manually uploaded documents will

follow the retention scheduled dictated by policy. Each type of document can have a separate retention schedule as dictated by policy or business process.

Client Portal Document Upload and Management

Any member with a submitted application or open case can upload the document supporting that application or case. Members select the application or case to which the document relates, the person who is supported by the document, and the type of document. The upload process automatically associates the document with the appropriate case, application, and/or person. When accessing the account by computer, the member can browse saved documents to select one to upload. On a mobile device, the member can take a picture of the document and upload from their device. After uploading the document, the member can return and view documents related to their case. **Figure 4.4-30** shows the area within the Client Portal that supports uploading of documents.

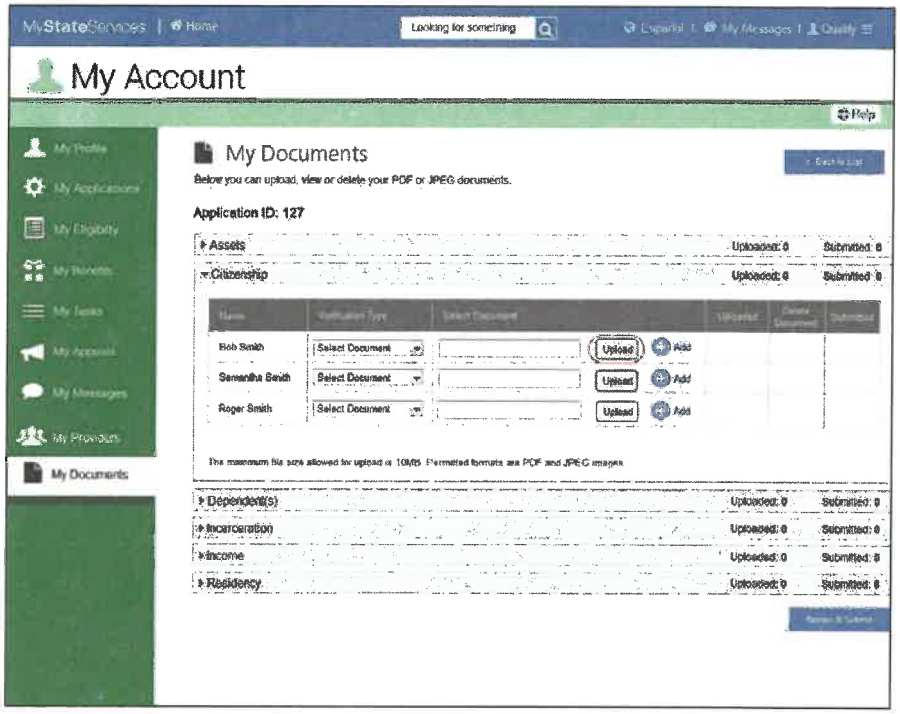


Figure 4.4-30: Uploading Documents from the Client Portal.
Members can upload documents directly from the Client Portal. Uploaded documents are automatically tied to the appropriate case.

The uploaded document is stored with the case and person associations indicated by the client. Concurrently, the worker for that case, application, or person is notified of the uploaded document. The notification can be sent to multiple workers if necessary. The document also becomes immediately accessible from the associated case, application, or person record. In response to the notification, the worker can review the document and take the appropriate actions (e.g., clear verification or update a data value).

Document Upload and Management

Document management functionality has two entry points for DHHR. The bulk of paper documents are generally received through the mailroom or reception area. This function is supported through a dedicated workspace that enables the user to assign identifiers by case, person, or other configurable data element. Scanning barcodes or QR codes are supported for automatically identifying the document type, purpose, or other document attribute, as needed. The workspace supports manual entry or changing the attributes when automated assignment is not possible. In all

cases, submitting the document stores it in federated storage in a similar manner as the client-uploaded document. The appropriate workers are notified of the incoming document.

The second entry point for the portal is from individual workers. Like the client, the workers can upload scanned documents directly to a specific application, case, or person record. Workers navigate to the record and then select the document type and other attributes. By selecting the electronic document from their workstation, the upload process automatically associates the document with the case, application, or person. Workers can select the document type, purpose, or other attribute, as needed.

In all cases, uploaded documents are stored with associated document attributes and identifiers. Documents uploaded from one portal are accessible on the other portal when allowed by policy and business process. For example, if a worker uploads a document for a case indicating that fraud is suspected, that document would not display on the Client Portal. A copy of the member's identification would be available to the member. However, the indicator to suppress the display can be automated based on document type or can be manually entered as necessary. **Figure 4.4-31** shows a sample screenshot for uploading documents from the Agency Portal.

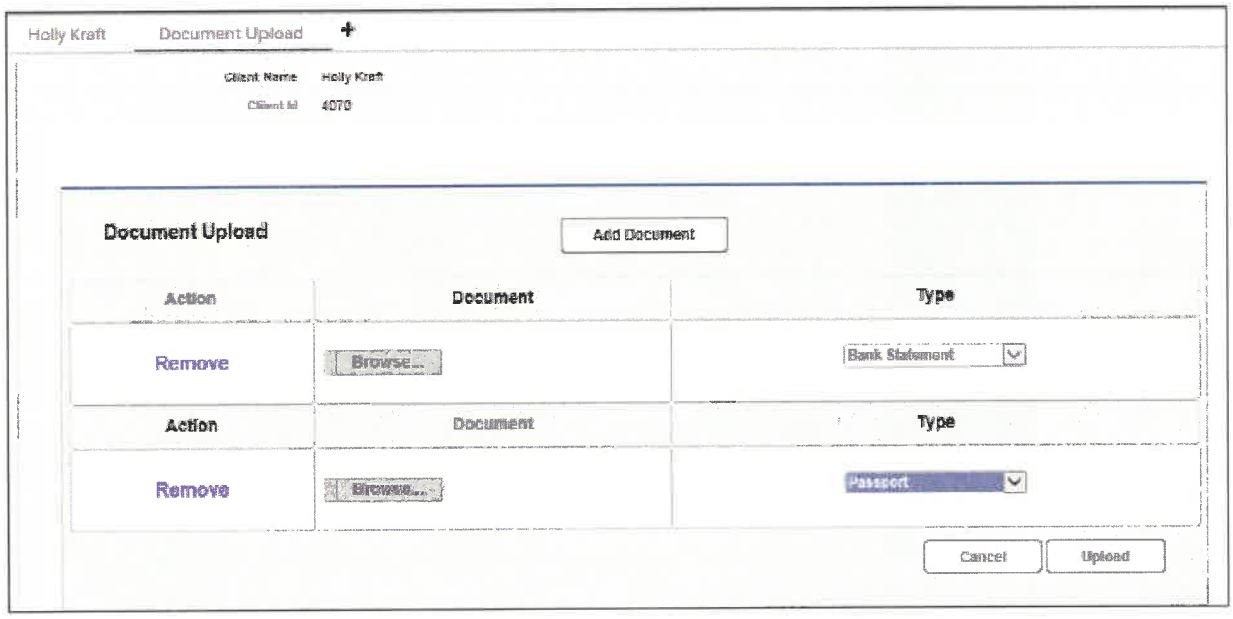


Figure 4.4-31: Uploading Documents from the Agency Portal.
Agency workers can upload documents directly from the Agency Portal and share them with clients, as needed.

General Technology and Operations

Utility services are those items that cover a broad range of the WV IES modules, if not the entire solution we are proposing. Example areas include the alerts, workflows, the Technical Support Call Center, backup and recovery, and security. Optum and our partners will deliver a solution that meets the general technology and operations requirements listed in RFP Appendix VI, Table 26: Business and Technical Specifications.

Workflows and Alerts

The Optum WV IES increases productivity by making sure actions are performed efficiently through automated workflows in a Web-based environment. It will increase job efficiencies through business process automation in the following functional areas:

Workload Management

Queues, created in the embedded workflow management tool, provide the ability to efficiently delegate and track workloads among and between workers. You can accomplish this by automatically assigning workload tasks to workers using the task queue function. Optum will use Drools by Red Hat, an open source rules engine, as part of the Enabling Services Module to manage workflow. Using Drools, we separate coding logic from the business rules that control the transitions and activities for given workflows. This is important as we have found that embedding these workflow rules in the eligibility determination rules, as we have seen in other IE systems, will reduce throughput and performance of the complete eligibility determination process.

Notice Management

The rules engine will play a part in coordinating the notice creation and disbursement to intended members. The notice predefined templates will be reusable and help reduce manual processing. DHHR staff and members will be made aware of ongoing or completed transactions using event notices. Members will have a notification preference to opt-in for email notices; otherwise, they will receive notices through the U.S. mail. All legally required notifications will go out to members through the U.S. mail. These include:

- **Member events:** Members and applicants will receive assistance requests, follow-ups, or legal notifications.
- **Workflow events:** DHHR will receive status update and aging reminders for tasks due for completion.
- **Department events:** Through secure file transfer, the authorized print fulfillment center vendor will receive print delivery notices for printing, envelope inserting, and postal service distribution from the WV IES.
- **System events:** Identified system administrator-designated users will receive scheduled and unscheduled actions and issue notices.

Alert Management

Similar to notices in terms of events, the WV IES will send online alerts to DHHR staff and members when an action is required on the part of a member. Members who have not opted in for electronic notification will receive these reminders in the form of a notice as described above.

Document Management

Through an easy, on-demand process, DHHR staff, or members will have the ability to upload documents through the online secure mechanism. Made available through the Client Portal, the member or applicant can also download forms and information, including completed, submitted applications. The Web portals will handle PHI and PII using authentication and encryption methods.

Electronic Signature Management

Members will have the ability to complete their self-service experience online using the electronic signature capability. This will reduce the member or applicant's need to visit a local service center to sign hard copy documents. This also streamlines the benefit approval application process, reducing the steps required and frustration the member may encounter to complete this task.

Mailroom Management

The automated barcode generation, pre-sorting, and address standardization feature for documents, notices or other member mailings will reduce manual work time and errors.

Technical Support Call Center Services

West Virginia seeks two capabilities in the call center. The first capability is an AVRS/IVR to enable service providers to check client eligibility and case details and query the copayment requirements for a service, with questions about service provider enrollment being routed to a State user for fulfillment in the same manner in which the question was received. The second capability is a Technical Support Call Center that will enable Optum to provide technical support to service providers and State users for needs such as technical problems, problem analysis, and troubleshooting.

The call center will be located in West Virginia available from 7 a.m. to 7 p.m. ET, with an on-call person to handle voice messages after hours. User support will be provided through multiple channels, such as telephone, client portal, email, and mail. State users include DHHR field staff, in-person assisters, clients, authorized representatives, and hospital-based presumptive eligibility staff, in programs like Medicaid, CHIP, SNAP, WV WORKS, LIEAP, and WV School Clothing Allowance.

The Optum Team brings AVRS/IVR and technical support experience with large-scale Medicaid claims processing operations. This enables us to provide West Virginia call center services that meet or exceed performance standards and minimize disruption of services to clients, providers, and State users. Optum will provide effective and accurate AVRS/IVR phone services and technical support allowing system users access to information and timely responses to queries by telephone, client portal, email, and mail. In the first year, this capability will be implemented and scaled to accommodate initial migrated programs and additional programs in the second year.

Key Call Center Features

- Facilitates minimal disruption of operations to clients, providers, and state users
- Seamless integration with the State's telephone system
- The Operations Desktop tool gives State users access to client and provider records, and contact history in one screen
- Years of experience operating contact centers as a fiscal agent partner to multiple state Medicaid agencies
- Best-in-class tools for tracking and reporting inquiries

The AVRS/IVR solution is a tool primarily for the State users to help callers with inquiries; the technical support call center solution is for Optum to help users with troubleshooting technical issues. The call center solution is built upon a flexible and reliable architecture, with an open standards solution and compatibility with the State's phone systems for ease of integration. We maintain an expandable call architecture that can handle and track a high volume of calls. The call queue structures allow call center management staff to restrict who can answer particular call types. The architecture also enables us to route calls that do not require technical support directly to DHHR to answer callers' questions. As such, DHHR will be able to handle general inquiries from child services providers and clients and assign them to the appropriate queue.

Software used for the call center integrates with all of the systems to effectively connect State specialists or Optum technical support specialists with the appropriate information. Each State specialist and Optum technical support specialist will have full desktop access to imaged documents, case history, call history, workflow detail, and provider and client data. The Optum Team will operate the technical support call center with State-approved scripts to respond to inquiries. We will continue to work with the State monthly to review and recommend upgrades to scripts.

Online access to the system data, particularly client data, can occur only when performed by an authorized user through approved screens and procedures. Optum security personnel do not grant full access to the entire system's functions for State or Optum users to prevent data fraud and protect data integrity. Changes made to select sensitive data are recorded in a report that lists the change made, date of change, and the user initiating the change. An audit trail is maintained to record access to the system, track changes, and archive a before-and-after copy of the change.

Relevant information is captured for each customer contact using the call-tracking feature. Upon taking a customer call, online chat, or other interaction, information about the interaction is captured within the call-tracking record. The call-tracking solution offers flexibility in recording information relevant to the client contact, using both predefined descriptions and free text fields. Information, such as call type, call category, inquiry description, and customer service clerk ID, is integrated into the call-tracking system. The solution provides a comprehensive set of historic reports that measure service level, document performance levels, and enable management to make well-informed business decisions. Custom reports can also be created to meet State-specific requirements or business needs.

In addition, technical support call center specialists and State specialists receive graphical representation of items, such as interactions handled, average call duration, and other group metrics and goals. These representations are configured to meet specific contract performance metrics, providing immediate performance feedback. Management can review similar metrics through the supervisor resource manager tool.

The proposed solution integrates with the State document imaging and storage solution, to enable staff members to produce letters on demand or schedule them as part of batch processing, using the State mailroom. It generates batch and ad hoc letters from standard predefined templates. Additionally, staff can interactively create ad hoc letters using predefined templates. Inquiries by mail can initiate through the portal or AVRS/IVR. The request routes directly to a workflow queue to be processed and fulfilled by State mailroom staff. The workflow queue auto-populates an object record from the request in the CRM, processes and saves the record, thereby providing an audit trail for the transaction request and its fulfillment. Optum also tracks and retains an image of all outgoing correspondence to providers and clients, from the State's mailroom. Outgoing documents are indexed by appropriate member or provider ID, time and date stamped, and stored in the online repository for future research and retrieval. Outgoing mail is prepared for distribution in the State's mailroom.

Optum understands the diverse cultural make-up of the West Virginia community and can support the State in interacting with providers and clients that communicate in different languages. We will support the project with a proven translation service for both verbal and written interactions we do not have staffed within our call center. These services will comply with State and federal regulations for multi-lingual support, including Executive Order 13166.

AVRS/IVR Solution Overview

The AVRS/IVR solution is a tool primarily for the State users to help service callers with questions. The AVRS/IVR solution promotes extensive self-service response services to providers, State users and clients. Users accessing the AVRS self-service feature have immediate access, at any time, to client eligibility and client case detail and queries for the copayment requirement for a service, through touch-tones or voice activation. Through the AVRS, users have self-service, secure, toll-free access, 24 hours a day, seven days a week, to information through a standard touch-tone telephone.

The AVRS provides for incoming call management and enhanced capabilities, including intelligent call routing; robust automated voice solutions; and comprehensive real-time and historic reporting. This enables callers to easily navigate through an efficient set of menu trees to obtain desired information. This solution prompts the caller for security and identifying information, such as provider or client ID, before allowing access to relevant real-time information. Calls to the AVRS/IVR that require additional support can transfer to the appropriate State provider specialist or the voice messaging system after call center hours of operation.

The technical support call center facility will be located in Charleston, West Virginia, using our CRM system. The CRM is integrated with the other components within the IES. Our solution can handle

multiple types of inbound transactions, distribute all inbound transactions to the appropriate work queue, and query appropriate data stores to retrieve information.

With the AVRS/IVR solution, service providers can call or submit and receive responses to check client eligibility and case detail and query the copayment requirements for services. Information requests and other queries are received through the customer services contact center and in the State mailroom.

Our CRM includes integration of several solution components:

- A software and technology solution supports our call center operations, including telephony, contact monitoring and tracking, AVRS/IVR, management and reporting.
- A workflow management system is fully integrated with other solution components.
- An internal communication Web portal is used to share documentation and a knowledge base.

A document management solution, provided by the State, integrates with the AVRS/IVR and technical support call center solutions. This State-provided solution provides a document capture and storage system, as well as correspondence generation. By integrating these components, the contact center can accept, capture, document, organize, report, and communicate information and inquiry responses.

Intelligent routing, also known as data-directed or skills-based routing, provides the capability to route incoming contacts to the appropriate DHHR provider specialist. The solution stores relevant skill information for each DHHR specialist, such as Spanish language skills or specific training to handle calls of a particular type.

The call-tracking solution provides complete call tracking, automated screen population of caller data, real-time contact metrics, access to all provider management databases and historical and trend reporting. To provide responses quickly, accurately, and efficiently for one-stop call resolution, State users have access to imaged documents and attachments entered through the Provider Web portal, mailroom, internal reports, call and case history, and workflow details; the most current provider and client data; and claims history.

Technical Support Call Center Solution Overview

The technical support call center solution helps users with troubleshooting technical issues. With access to similar technology of the AVRS/IVR solution, technical help desk staff will give users technical assistance according to DHHR-specified time parameters. West Virginia users can seek assistance using a toll-free telephone number, a local number, email, and the Web portal. Our technical staff members are well trained in the solution, the WV IES portals, and many other technical applications. The Technical Support Call Center can handle multiple types of inbound transactions, as illustrated in **Figure 4.4-32**. Tickets are distributed to the appropriate work queue for resolution.

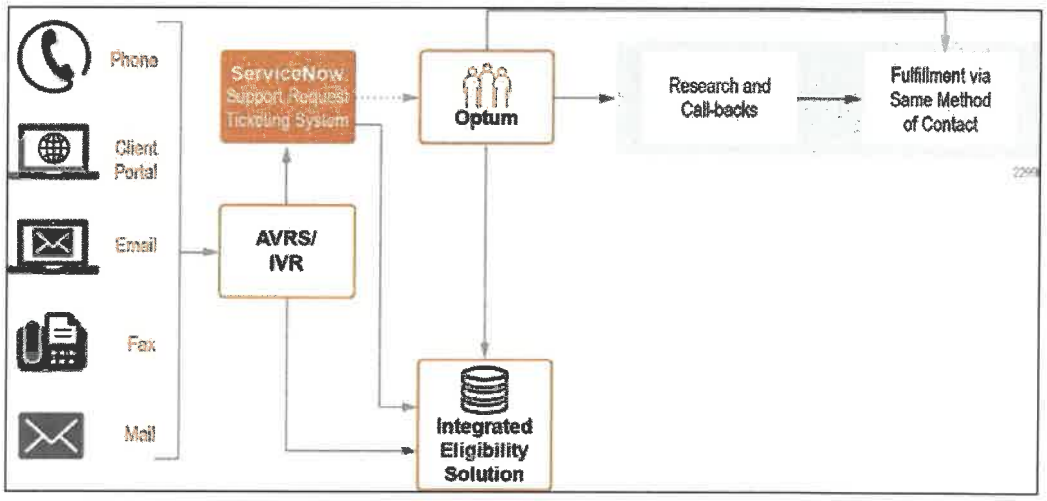


Figure 4.4-32: Technical Support Call Center Overview.
The technical support call center supports a variety of contact methods for the client and State user's convenience.

Our model directs calls to the most appropriate help desk staff to resolve caller inquiries quickly. System users request technical system support by phone or a Web-based help desk ticket system that routes requests to appropriate technical support and tracks progress of the request to resolution. Technical support call center staff record the details of the contact, nature of the contact, and resolution. A further distinction is made between simple inquiries, such as resetting passwords versus complex inquiries regarding particular applications or functions. Using menu-driven routing, we route the least complex calls to Level 1 queues and more complex calls to Level 2 queues. If research and follow-up are necessary, the staff routes the open ticket to the appropriate resource. These inquiries are tracked in the Optum CRM tool to resolution. In cases where the frontline technical call center representative cannot resolve the issue, the case and ticket are referred to the Optum infrastructure team, and a separate ticket is created for tracking and resolution. When the issue is resolved, the ticket system is closed, and the technical call center representative is notified for final communication to the inquirer and ticket closure. The Optum team monitors ticket activity to verify tickets are resolved appropriately and timely.

Security

As described previously, we meet stringent security regulations through embedded controls designed and based on a layered SOA model and associated threats to each layer. We distribute security controls across the environment to prevent unauthorized, opportunistic access. The techniques and mechanisms we will use to protect data include advanced data protection; application and platform hardening; encryption and entitlement review; multi-factor authentication; physical, logical and virtual isolation; and RBAC. A complete description of our approach to security is provided in our Draft Security, Privacy and Confidentiality Management Plan included in Appendix 6 of our proposal.

We use a defense-in-depth approach to security comprising multiple layers of technology, network segmentation, and processes to detect and prevent cyber threats. This includes multiple security technologies deployed on the network; intrusion prevention and detection systems; firewalls; and network segmentation and access controls.

Continuous monitoring of the WV IES measures the ongoing effectiveness of deployed security controls, changes in information systems and operational environments, and compliance with legislation, directives, policies, and standards. This information is vital input to make sure we quickly identify risks and problems and maintain ongoing security and compliance of the WV IES. We will monitor events on the information systems to detect anomalies and suspect activity. Our monitoring and incident response teams operate 24 hours a day, seven days a week to address any potential

security threats. Optum will provide routine reports to DHHR. We will use a Security Information and Event Management solution for log aggregation and monitoring to identify anomalous, unauthorized, or inappropriate access according our information security procedures and industry best practices. We will investigate anomalies discovered using additional information captured in our logs for forensic purposes. Log information will be available to DHHR upon request.

We will perform an annual security assessment to review the technical and non-technical policies, procedures, and controls that protect West Virginia data and services from internal and external threats. Information collected from these assessments is used to enhance our security posture.

Disaster Recovery and Business Continuity

The goal of our disaster recovery planning is to protect DHHR and IES stakeholders in the event that all, or key aspects, of the WV IES are rendered unusable. Preparedness is the key. We have instituted an Enterprise Disaster Recovery program to first eliminate or reduce disaster risk in critical technology areas, and then plan for facilitation and the timely and predictable restoration of key applications, data, and supporting critical infrastructure. As described in previous sections, we leverage geographically dispersed resilient operations and data centers to perform critical business functions to minimize any single points of failure. Our highly available and resilient core infrastructure maintains acceptable levels of service and recovers quickly from a degraded state. In addition, Optum uses the most current anti-viral software to prevent network intrusions that could potentially lead to disaster events.

Our solution is designed as Active/Standby where the production instance and the stage instance are located in two geographically separate data centers. The multi-data center approach includes criteria for strategic placement of the critical application's production processing as well as recovery, development and tape management environments. Each of our key data centers includes an Operational Command Center with staff actively monitoring the components and systems 24 hours a day, seven days a week. If an event occurs in one of our data centers, staff located at the other data center would continue system operations. Optum has a dedicated data center facility management team who monitors, proactively maintains, and manages all aspects of these data centers. The off-site storage for tape is within an Optum-controlled data center facility located within the region that provides full environmental redundancies.

We develop a Disaster Recovery and Business Continuity Plan to fully document the approach to mitigating operational risks and the plan to restore operations in the event of a disaster. A draft version of that plan is included in Appendix 6 of our proposal. The plan is tested on a regular basis and refreshed as changes occur, but no less than once per calendar year.

Business Associate Agreements

Optum will establish Business Associate Agreements (BAAs) or contractual agreements with any subcontractors who have access to data subject to protection by HIPAA and with the State. The content of the BAA will be consistent with the West Virginia State standard Business Associate Addendum.

Physical Office Security

Our approach to maintaining the security of access to West Virginia HHS data extends beyond system-level controls and includes physical controls for our project office and data center facilities. This includes controlling access to the facility and monitoring and reporting attempted access. Electronic door locks control access to facilities with proximity sensors. Employees and authorized users are issued security cards that provide access to sensitive areas of the facility based on their role and approved access level. The database of individuals with authorized access will be made available to DHHR upon request.

On-site security personnel monitor our data centers 24 hours a day, seven days a week. Surveillance cameras monitored by security personnel cover the building perimeter and all access points to secure areas. We require visitors to all facilities to sign in and have an authorized employee escort at all times. We will provide access to designated State staff to conduct visits of the facility.

4.4.7 Service Level Agreements Appendix VIII

We take a planned approach to designing and configuring our WV IES for resiliency, expandability, and capability of achieving and maintaining the SLAs and KPIs defined in the RFP, Appendix VIII. We implement and maintain performance monitoring tools to make sure the WV IES is performing to expectations, and that any performance issues are quickly identified and addressed.

Optum will produce reports that will demonstrate compliance with applicable KPIs. We will submit a monthly performance report card to DHHR no later than the 10th of each month that demonstrates performance against all KPIs for the previous month. During the initial phase of the contract, we will submit an example of the monthly report card for DHHR's review and approval. Upon DHHR's request, we will also provide all reports and data used in determining SLA compliance and calculating KPI metrics.

If a defined KPI is not met, we will provide a corrective action plan to the Office of Management Information Systems (OMIS) within 10 days of OMIS's request. We actively monitor system performance and address issues quickly to minimize if defined KPIs are missed.

The remainder of this section addresses our approach to adhere to the six RFP-defined SLAs.

SLA001: Solution Availability

Optum agrees to Solution Availability SLA as defined in the RFP. We will monitor and maintain availability through our established Availability Management Processes. Our primary goal related to solution availability is to mitigate service disruption as soon as possible, and in alignment with business priorities and service levels.

Our Availability Management services will consistently maintain high availability and resilience of the WV IES. We take an aggressive approach to understand and analyze the cause of any unplanned outage, and the time taken to resolve it. Our incident and problem management services provide the required input to help us deliver relevant and appropriate corrective actions. Unplanned downtime can be reduced by monitoring and early detection, or it can be eliminated by product lifecycle management or problem management.

Our infrastructure and deployment tools enable us to scale vertically and horizontally quickly and easily. We redeploy established and previously deployed container images, without business impact, to a platform with more computing power. We can also establish another instance of the full application suite that is fully load balanced. This lets us quickly respond to unplanned downtime from system constraints and greatly reduce impact to end users.

SLA002: Solution Performance

Optum agrees to the Solution Performance SLA and the associated KPIs defined in the RFP. We will monitor and maintain WV IES performance using our Automated Performance Monitoring Solution. It includes industry-leading and proven monitoring tools. We use HP OpenView for server monitoring, and SiteScope, Gomez, and Dynatrace for systems monitoring. We implement bottoms-up monitoring to assess the health of the individual configuration items supporting the application. We take a top-down monitoring approach of the application service chain. This includes Vital Business Function (VBF) availability monitoring by scheduling synthetic, multi-step transactions at a constant interval. Fault Domain Isolation is applied to monitor availability of infrastructure components. Our monitoring services monitor elements including URL checks, SOAP, ping, database query time, CPU/memory utilization, log file, file system-UNIX, and C drive-Wintel.

Our monitoring solution can monitor, chart, and trend application performance. We run scripted tests from various browsers, locations, and user workstations for last-mile measurement. The tools can send alerts if the threshold is reached for any performance parameter. Monitoring includes user experience monitoring, data center real user monitoring, deep application transaction management, synthetic monitoring, cloud provider monitoring, and business service monitoring. Our monitoring solutions can answer basic questions like:

- Where is the time being spent?
- What is happening inside the browser when it is not communicating with the server?
- What is happening at the network level when we have an application slowdown?
- Can we replay known good transactions from key points around the Internet?

These tools will monitor the WV IES performance and alert us of system slowness or failure.

SLA003: Operations Issue Management

Optum agrees to the Operations Issue Management SLA and the error categorization criteria defined in the RFP. We will use our Incident and Problem Management process to adhere to this performance metric. Our Incident Management process focuses on restoring normal service levels as quickly as possible and minimizing adverse impact on the business. It relies on incident prioritization determined by business impact and urgency to verify close alignment with DHHR needs. For high-priority incidents, we assign an incident manager who establishes a war room as needed and convenes all necessary service support teams in the war room to restore service. The war room ends upon achieving full service restoration. We use our Impact Communicator tool to send frequent updates to all stakeholders, according to the approved Communication Management Plan.

After restoring the service, our Problem Management process is used to identify the root cause of incidents and begin corrective actions to fully remediate the underlying cause of the incidents. Problem management helps minimize service interruptions and prevent future impact.

We use advanced tools to capture detailed metrics and generate status reports according to DHHR requirements related to frequency, template, and content. These reports include KPIs, such as SLA metrics, incident influx, and backlog for high-priority incidents. The following table provides examples of the types and frequency of reports we generate.

Report Name	Description	Frequency
Monthly Service Level Report	Includes the incident restoration chart and Optum SLA compliance during the previous month	Monthly
Incident Management Report	Description of incidents that have occurred in prior week/month, status and priority level, and whether escalated to DHHR	Weekly and monthly
Immediate Priority Level 1/Priority Level 2 Notifications	Notification of any incident opened as Priority Level 1 or Priority Level 2 and email message to designated distribution	Upon incident open
Watch Report	Descriptions of all Priority Level 1 and 2 incidents opened/closed in the past 24 hours, grouped by condition and priority level	Daily

SLA004: Database Updates

Optum agrees to the Database Updates SLA and the associated performance standards defined in the RFP. We will manage adherence to this SLA through our scheduled and ad hoc processes.

As part of our scheduled processes, we will perform daily and monthly database backups as agreed to with DHHR. We will also make available to authorized users all data received from all external data sources within four hours of receiving the data. We will verify that all scheduled mass changes and rate/business rule changes described in the Operation Phase Requirements OPP0030 through OPP0038 are completed and verified as accurate on the date agreed between OMIS and Optum. Scheduled batch processes will be completed and verified as accurate on the date and time agreed-upon by OMIS and Optum. Optum will create, maintain, and deliver a monthly operations processes calendar to DHHR, including all data exchanges and database backups scheduled for the month.

As part of our ad hoc processes, we will resolve database errors reported by partner systems within two business days of error detection. Optum will resolve duplicate member entries within 24 hours of identification. We will confirm all data fixes are implemented within 24 hours, unless otherwise specified by OMIS.

SLA005: Technical Support

Optum agrees to the Technical Support SLA and related performance standards as defined in the RFP. The Technology Support Center (TSC) will provide technical support for State users including DHHR field staff, clients, authorized representatives, in-person assisters, authorized hospital-based presumptive eligibility staff, and other system users. We deliver a high-touch customer experience and maintain ownership of incidents from open to close. Our services include a dedicated staff focused on availability and stability to meet or exceed SLAs.

We will provide adequate levels of well-trained staff to provide technical support Monday through Friday, from 7 a.m. to 7 p.m. ET, excluding State holidays. We will provide an after-hours contact for technical support during non-business hours, seven days a week, 365 days a year. This contact will respond to telephone inquiries within two hours of receipt. Client support will be provided during the same operational hours. Our integrated knowledge management system provides the analysts with all the information they need to properly record, triage, and either correct or escalate any user issues. Optum provides secure client-specific access through a Web portal. Through this portal, clients can access incident information recorded in our ticket management system. Incidents are classified based on impact and urgency to determine the ticket priority as agreed upon with the client and based on business needs.

SLA006: Reporting

Optum agrees to the Reporting SLA and the associated performance standards defined in the RFP. This includes the timely availability of daily, weekly, monthly, quarterly, and annual reports produced within the WV IES. It also includes timely production and submittal of all Federal and State reports and data files, and the average error rate determined by all in-scope quality control reports.

We will use the CommunicationForce performance reporting system we currently use to support the RAPIDS maintenance and operations contract. CommunicationForce uses technologies like Tableau and DataMeer to create a visual performance reporting system for current, as well as historical, trends for all the SLAs and KPIs that are measured. These will be measured and reported monthly and periodically in overall and individual areas as per DHHR requirements.

5. Attachment B: Mandatory Specification Checklist

Optum will comply with all mandatory specifications contained in RFP Section Four, Subsection 5.

The following table describes how we will meet the mandatory requirements.

Requirement	Optum Meets	How Optum Meets
5.1 Charleston West Virginia-based Facility	Yes	We will establish a facility in Charleston, WV that meets the required specifications.
5.2 OMIS Office Space at Vendor Facility	Yes	We will establish DHHR staff office space with the required specifications.
5.3 Modularity	Yes	Our solution is a based on a modular approach. We provide more details on how we comply with these requirements in Section 4.1, Shared Use.
5.4 Vendor Facility Conference Space	Yes	We will provide State Stakeholders with access to conference space per the required specifications.
5.5 Disaster Recovery Facility	Yes	Optum will provide facilities sufficient for recovery activities during DDI and operations in accordance with the Recovery Time Objective and Recovery Point Objectives documented in the Disaster Recovery and Business Continuity Management Plans.
5.6 Participation in Orals	Yes	We will participate in Oral Presentations as scheduled and will follow the provided agenda.
5.7 Security Compliance	Yes	Optum's WV IES will comply with all current security policies and procedures of DHHR and WVOT as identified in the RFP. We will comply with applicable future security policies and procedures implemented by DHHR or WVOT.
5.8 Location of Work	Yes	All work pertaining to the WV IES will be carried out and performed onshore within the continental United States by Optum and our business partners, subcontractors, independent contractors, and other entities supporting us.
5.9 Off-Site Facility Locations	Yes	We will host the Optum WV IES and provide a physically separate secure secondary location in Optum's secure Tier III data centers.
5.10 Enhanced Federal Financial Participation	Yes	Optum warrants that our proposed and implemented WV IES will meet the CMS and FNS requirements and ACF Certification Requirements that are required to verify enhanced Federal Financial Participation (FFP) where enhanced funding is available and normal FFP where enhanced match rates are unavailable. We warrant that certification will be retroactive to the first day of operations to ensure full FFP.

Requirement	Optum Meets	How Optum Meets
5.11 Lost Federal Medical Assistance Percentages (FMAP)	Yes	Optum agrees to be responsible for the portion of lost FMAP due to system deficiencies or deficiencies noted during Federal reviews that are solely the responsibility of Optum and are for components included in the scope of this RFP.
5.12 Support for Multiple Programs	Yes	The Optum WV IES will support all of the health and human services programs defined in RFP Section 4.2.1. It will provide the capability to integrate relevant support programs administered by any other State Agency, U.S. Territory or political subdivision subject to the formalized change control plan to manage additional programs. Such support for these programs will be according to the SLAs defined in RFP Appendix VIII: Service Level Agreements, Tables 28-34. Please also see proposal Section 4.2.1, Enterprise Hosted Solution, for additional clarification and detail.
5.13 Compatibility with WVOT Supported Software	Yes	Optum will make sure that all hardware, software, and communications components installed for use by Department staff are compatible with the most current WVOT-supported versions documented on the WVOT website.
5.14 Health Insurance Portability and Accountability Act (HIPAA)	Yes	Optum will comply with this requirement. We have implemented appropriate and reasonable controls to protect the privacy and security of confidential and sensitive information, including Protected Health Information (PHI) and electronic protected health information (ePHI). In addition, we continue to comply with all applicable federal and State laws that affect the confidentiality of consumer information. We continually assess and enhance our HIPAA privacy and security program to provide the controls and safeguards needed to secure confidential and sensitive information.
5.15 Federal Security Requirements	Yes	Optum will comply with this requirement. Our WV IES will comply with all applicable federal security requirements listed in RFP Subsection 5.15. We will also implement TLS v1.2, or current, approved version of TLS, to interface with FDSH.
5.16 State Security Requirements	Yes	Optum will conform to the documents listed in the State Security Requirements including the Department and Agency Information Security Policies and West Virginia Executive Branch Privacy Policy: Security Safeguards.
5.17 Federal and State Regulatory Changes	Yes	Optum agrees to incorporate all applicable requirements mandated through federal and State regulations and legislation, including new reporting requirements, as defined by the scope of work in the RFP.
5.18 Right of Access	Yes	Optum will provide the right of access to systems and facilities to DHHR or its designee and federal personnel to conduct audits and inspections. Source materials will be provided as allowed under the Escrow Agreement, unless in the public domain.
5.19 Deliverable Updates	Yes	Optum will update deliverables at the request of the DHHR to align with changes in approach or methodology, or to include new or updated information that was not available at the time the deliverable was initially submitted and approved. Additionally, we have included time within our project plan for updating deliverables, as needed, at the end of each project phase and release. This process is described in detail in our draft Document Management Plan and in proposal Section 4.3.1, Project Management.

Requirement	Optum Meets	How Optum Meets
5.20 Turnover and Closeout Operations	Yes	Optum agrees to operate the WV IES, perform all functions described in the RFP, and continue all operations from the date of acceptance of each release until each function is turned over to a successor at the end of the contract, including any optional additional periods or extensions. Proposal Section 4.3.10, Turnover and Closeout, provides details of Optum's four-step turnover and closeout methodology and approach.
5.21 Compliance with Service Level Agreements (SLAs)	Yes	Optum agrees to comply with all of the SLAs in RFP Appendix VIII: Service Level Agreements, Tables 28-34. We will take a similar approach that we used for RAPIDS and will work with DHHR during the initial Periodic Review, and thereafter on a regular basis, to establish baselines, achieve, and monitor SLAs for the IES project.
5.22 Potential Performance Payment	Yes	Optum understands and agrees that we will be subject to reduced payments as outlined in RFP Appendix VIII: Service Level Agreements, Tables 28-34.
5.23 Status Reporting	Yes	Optum agrees to provide status reporting within the required timeframes and in the agreed-upon format. Details on our approach to status reporting are included in our draft Communication Management Plan, included in Appendix 6.
5.24 Project Management	Yes	Optum will leverage our systematic, mature, and measurable project management methodology based on the universally recognized PMI Project Management Body of Knowledge (PMBOK) Guide, the Carnegie Melon University, and the Software Engineering Institute (SEI) principles described in the Capability Maturity Model Integration (CMMI) framework.
5.25 Adaptability to Current and Future Needs	Yes	Our solution is highly modular in design, configurable, and scalable to meet the current and future needs of the Department and the State of West Virginia. Details on our approach to change management are included in our Change Management Plan included in Appendix 6. We will adhere to the definition of modifications and enhancements provided in RFP Section 5, Subsection 5.50.
5.26 Medicaid Information Technology Architecture (MITA) Alignment	Yes	Optum has designed a solution that supports the MITA goals for the State, as defined in the SS-A and other West Virginia MITA Artifacts. Further details are provided in proposal Section 4.3, Common Governance.
5.27 State Ownership (45 CFR §95.615 and 45 CFR §95.617)	Yes	Optum agrees DHHR retains ownership of all data, procedures, applications, and all materials developed by contract funding during DDI and Operations. Licensing for COTS software will be provided in alignment with 45 CFR. Optum understands that DHHR will not issue change orders related to software cost increases.

Requirement	Optum Meets	How Optum Meets
5.28 Escrow	Yes	Optum will comply with this requirement. Optum agrees to place the source code for all Optum proprietary software comprising the IE Platform and all software developed by Optum under this contract for the IE platform with a designated escrow agent acceptable to DHHR. For COTS products, the medium necessary to reinstall the COTS version as part of the overall IES platform will be kept in escrow including future versions of such medium as they are released during the term of the contract. The escrow agent will release deposited material in accordance with the escrow agreement, including release of the deposited material to DHHR after the escrow agent has been notified that conditions in either (a) or (b) (defined in RFP Requirement 5.28) have been met. Maintenance manuals and additional documentation will be placed into escrow to the extent available from the manufacturer within 60 days of approval by the State. In the event that this contract expires and is not renewed or extended, DHHR will have ability to own the rights to use any source material that has already been released from escrow prior to contract expiration or non-renewal and the escrow for any source material deposited but not released will continue until the earlier to occur of one year after contract termination or DHHR ceasing use of the object code version of the escrowed materials.
5.29 Enhanced Staffing	Yes	Optum will provide increased staffing levels if contract requirements, timelines, or quality, standards are not being met, based solely on the discretion of, and at no additional cost to DHHR.
5.30 Compliance with Rehabilitation Act of 1973	Yes	We will verify that all applications associated with this contract are compliant with Section 508 of the Rehabilitation Act of 1973. All of the internal and external webpages provided by Optum for the State of West Virginia will also be Section 508 compliant.
5.31 Data Retention and Accessibility	Yes	Optum will verify that data entered, maintained and generated will meet the requirements of 45 CFR Part 75.
5.32 Vendor Staff Approval and Removal	Yes	Optum agrees that key staff personnel and all other personnel assigned to the project are subject to Agency approval and that key staff will be replaced only with persons of equal or greater experience and qualifications. We understand that DHHR has the right to reject or remove any staff proposed or later assigned to the project.
5.33 Key Staff On-Site Requirements	Yes	Optum will have key staff assigned on a full-time basis and will be on-site between 8 a.m. to 5 p.m. Eastern Time. These roles are full-time positions that will be filled by one person. All key staff will begin on the project within 30 calendar days.
5.34 Viewing Human Services Program Information	Yes	The Optum WV IES will control and restrict access to Vendor staff from viewing their own and immediate family human services program case information.
5.35 HIPAA Compliance Officer	Yes	As outlined in the Staffing Management Plan in Appendix 6, we have designated our Security Manager as the HIPAA Compliance Officer.

Requirement	Optum Meets	How Optum Meets
5.36 Publication and Copyright of State Data	Yes	Optum agrees that it will not publish or copyright any data using the Agency's name without prior written approval by the Agency. Optum agrees to the definition of data provided in RFP Section 5.36 as it pertains to data produced in support of the contract. Except for preexisting intellectual property or other intellectual property developed with funding other than from the contract, which shall include commercial software, the agency will be the owner of the all data provided by the vendor and subcontractors and other representatives or agents of Optum.
5.37 Equal Employment Opportunity, Clean Air Act, and Clean Water Act	Yes	Optum will comply with Federal Executive Order 11246, the Clean Air Act and the Clean Water Act.
5.38 Drug Free Workplace Act of 1988	Yes	Optum agrees to provide and maintain a drug free workplace.
5.39 Responsibility for Conduct of Subcontractors	Yes	Optum will accept all financial, legal, ethical, and all other forms of responsibility for the conduct of our subcontractors, business partners, independent contractors and all those supporting and working on the project for us.
5.40 Responsibility for Medicaid and Family Assistance Programs	Yes	Optum agrees to take full responsibility for the end-to-end Medicaid and Family Assistance programs eligibility and enrollment processes no sooner than December 31, 2017 and no later than January 1, 2018.
5.41 Software and Hardware Licensing Costs	Yes	Optum will assume software and hardware licensing costs related to the legacy and modern systems beginning at the execution of the contract through the completion of the contract. We will also renew licensing as appropriate and as mutually agreed upon with DHHR. We will also procure the appropriate licensing required for the modernized WV IES at the start of the project.
5.42 Corrective Action Plans	Yes	Optum will comply with this requirement. When a Key Performance Indicator (KPI) reflected in an SLA is not met, we will provide OMIS a written Corrective Action Plan (CAP) no later than 10 business days from the date of the OMIS request. Implementation of the CAP will be done only upon OMIS approval of the CAP.
5.43 Cost of Maintaining Access to State Systems	Yes	Optum will be responsible for all expenses to obtain and maintain access to State systems including hardware, software, network infrastructure, and licensing costs.
5.44 Cost of State Access to Vendor Solution	Yes	The pricing for our solution includes hosted environment costs, including data center related hardware and software, data center technical support, application software and licenses, certification, M&O costs (including application support, administration and help desk).

Requirement	Optum Meets	How Optum Meets
5.45 Federal Risk and Authorization Management Program (FedRAMP) Certification	Yes	Our proposed solution is designed upon our own hosting services. The Client Management Services module will be hosted by our Cloud Service Provider in a FedRAMP-certified government cloud.
5.46 Responsibility for Ongoing Security Monitoring	Yes	Optum will be fully responsible for ongoing security monitoring of the WV IES for the life of the contract, or until such time that the State and the Vendor come to an agreement to take a different approach to security monitoring. Security monitoring is described in the Security Requirements section in RFP Appendix VI, and is independent of any other audits and inspections that take place.
5.47 Alignment of Proposed Project Schedule and RFP Cost Sheet	Yes	Our proposed project schedule aligns with the cost structure proposed in the RFP Cost Sheet (RFP Attachment C).
5.48 Solution Acceptance	Yes	Our implementation approach indicates a multi-phased release, and final Solution Acceptance will be sought once all releases and all modules have been implemented in Production.
5.49 Third Party Audit	Yes	Optum will share the results of existing third-party audits (including SOC 2 audits) with the State of West Virginia upon request. We will also share the results of any CMS or IRS security compliance audits.
5.50 Modification and Enhancements Hours Pool	Yes	We agree to perform software modification and enhancements per the Change Management Plan. Optum affirms our understanding that only activities approved through the Change Management Plan will be included in the hours counted against the pool of 30,000 hours. A draft version of our Change Management Plan is contained in Appendix 6.
5.51 West Virginia Department of Health and Human Resources (DHHR) OMIS Vendor Employee Confidentiality Statement (VECS)	Yes	Optum agrees to verify that all project staff has completed a DHHR OMIS Vendor Employee Confidentiality Statement before beginning work on the WV IES Project.
5.52 Support for ACF Biennial Data Quality Reviews Required §1355.52(d}(3)	Yes	We agree to support completion of the Biennial Data Quality Review required by ACF in a manner that is consistent with the requirements established in 45 CFR §1355.52(d)(3).

Requirement	Optum Meets	How Optum Meets
5.53 Technical Support Call Center Location	Yes	The call center technology, equipment, facilities, and Technical Support Call Center (TSCC) functionality for the Optum WV IES will comply with the requirements provided in Section 5.53 of the RFP and in Appendix VI, Table 26.
5.54 COTS Waiver Documentation	Yes	Optum will work with the State to determine what documentation is needed to meet the requirements specified in RFP Section 5.54 and will develop that documentation accordingly.
5.55 Audit Compliance Support and Deliverables	Yes	Optum's IES and vendor partners who are hosting WV IES modules will provide compliance support services specified in RFP Section 5.55. We will work in cooperation and coordination with the State to determine ownership and responsibility of applicable NIST SP 800-53 and CMS MARS-E security controls and State security policies. Any security requirements designated as 'Not Implemented" or "Partially Implemented" will have an associated Plan of Action and Milestones (POA&M).
5.56 Federal Royalty-Free Rights to Use Software or Documentation Developed	Yes	Optum and our WV IES partners will comply with the legal requirements detailed in RFP Section 5.10, Enhanced Federal Financial Participation, as well as those herein regarding the federal government's right to use software or documentation developed and funded through this project for federal government purposes.
5.57 West Virginia FFM and FDSH	Yes	Optum will interface with the West Virginia FFM and the Federal Data Services Hub (FDSH). Optum developed, implemented and currently operates the FDSH for CMS to facilitate routing enrollment verification requests.
5.58 Federal Comprehensive Child Welfare Information System (CCWIS)	Yes	Optum will meet all federal rules and regulations for a Comprehensive Child Welfare Information System (CCWIS) including, but not limited to, the Final Rule published in 45 CFR 1355.

By signing below, I certify that I have reviewed this Request for Proposal in its entirety; understand the requirements, terms and conditions, and other information contained herein; that I am submitting this proposal for review and consideration; that I am authorized by the bidder to execute this bid or any documents related thereto on bidder's behalf; that I am authorized to bind the bidder in a contractual relationship; and that, to the best of my knowledge, the bidder has properly registered with any State agency that may require registration.

OptumInsight
(Company)



Jean Benson, Senior Vice President, Optum Corporate Finance
(Representative Name, Title)

Phone: 952-205-6031 Fax: 952-205-9009
(Contact Phone/Fax Number)

August 8, 2017
(Date)

DESIGNATED CONTACT: Vendor appoints the individual identified in this Section as the Contract Administrator and the initial point of contact for matters relating to this Contract.

T. Fant Smith V.P. Business Development, Optum

(Name, Title)

David Smith, VP, Business Development, Optum

(Printed Name and Title)

The Geary Plaza, 700 Washington Street, Suite 210, Charleston, WV 25301

(Address)

(770) 329-8101

(Phone Number) / (Fax Number)

TDavid.Smith@Optum.com

(email address)

CERTIFICATION AND SIGNATURE: By signing below, or submitting documentation through wvOASIS, I certify that I have reviewed this Solicitation in its entirety; that I understand the requirements, terms and conditions, and other information contained herein; that this bid, offer or proposal constitutes an offer to the State that cannot be unilaterally withdrawn; that the product or service proposed meets the mandatory requirements contained in the Solicitation for that product or service, unless otherwise stated herein; that the Vendor accepts the terms and conditions contained in the Solicitation, unless otherwise stated herein; that I am submitting this bid, offer or proposal for review and consideration; that I am authorized by the vendor to execute and submit this bid, offer, or proposal, or any documents related thereto on vendor's behalf; that I am authorized to bind the vendor in a contractual relationship; and that to the best of my knowledge, the vendor has properly registered with any State agency that may require registration.

OptumInsight, Inc.

(Company)

Jean C Benson

(Authorized Signature) (Representative Name, Title)

Jean Benson, Senior Vice President, Optum Corporate Finance

(Printed Name and Title of Authorized Representative)

August 8, 2017

(Date)

Phone: 952-205-6031 Fax: 952-205-9009

(Phone Number) (Fax Number)

Purchasing Divison
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

State of West Virginia
Request for Proposal
27 — Miscellaneous

Proc Folder: 302511

Doc Description: Addendum #7 - Integrated Eligibility Solution RFP

Proc Type: Central Master Agreement

Date Issued	Solicitation Closes	Solicitation No	Version
2017-08-02	2017-08-08 13:30:00	CRFP 0511 HHR1700000004	8

BID RECEIVING LOCATION

BID CLERK
DEPARTMENT OF ADMINISTRATION
PURCHASING DIVISION
2019 WASHINGTON ST E
CHARLESTON WV 25305
US

VENDOR

Vendor Name, Address and Telephone Number:

OptumInsight, Inc.
1100 Optum Circle
Eden Prairie, MN 55344
952-833-7100

FOR INFORMATION CONTACT THE BUYER

April Battle
(304) 558-0067
april.e.battle@wv.gov

Signature X Jean C Benson **FEIN #** 41-1858498 **DATE** August 8, 2017

All offers subject to all terms and conditions contained in this solicitation

ADDITIONAL INFORMATION:
Addendum #7 is issued to provide an update to the previously issued Oral Presentations Agenda. Note: In preparation for the IES RFP Oral Presentations, DHHR will allow prospective bidders the flexibility to incorporate the solution demonstration throughout the presentation, but all agenda items still must be covered within the time allocated for the presentation. No other changes.

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
1	Total DDI Costs	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :

Total DDI Costs (See Appendix II: Deliverables, Milestones, and Payments)

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
2	Monthly Maintenance and Operations Year 2	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :

Monthly Maintenance and Operations Year 2 months at $ per month

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
3	Monthly Maintenance and Operations Year 3	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :

Monthly Maintenance and Operations Year 3 months at $ per month

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
4	Monthly Maintenance and Operations Year 4	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :

Monthly Maintenance and Operations Year 4 months at $ per month

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
5	Monthly Maintenance and Operations Year 5	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :

Monthly Maintenance and Operations Year 5 months at $ per month

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
6	Monthly Maintenance and Operations Year 6	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :

Monthly Maintenance and Operations Year 6 months at $ per month

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
7	Monthly Maintenance and Operations Year 7	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :

Monthly Maintenance and Operations Year 7 months at $ per month

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
8	Monthly Maintenance and Operations Year 8	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :

Monthly Maintenance and Operations Year 8 months at $ per month

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
9	Monthly Maintenance and Operations Year 9	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :

Monthly Maintenance and Operations Year 9 months at $ per month

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
10	Monthly Maintenance and Operations Year 10	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :

Monthly Maintenance and Operations Year 10 months at $ per month

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
11	Modifications and Enhancements Year 1 Hourly Rate	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :

Modifications and Enhancements Year 1 Hourly Rate 30,000 hours at $ per hour

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
12	Modifications and Enhancements Year 2 Hourly Rate	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :

Modifications and Enhancements Year 2 Hourly Rate 30,000 hours at $ per hour

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
13	Modifications and Enhancements Year 3 Hourly Rate	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :

Modifications and Enhancements Year 3 Hourly Rate 30,000 hours at $ per hour

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
14	Modifications and Enhancements Year 4 Hourly Rate	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :

Modifications and Enhancements Year 4 Hourly Rate 30,000 hours at $ per hour

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
15	Modifications and Enhancements Year 5 Hourly Rate	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :

Modifications and Enhancements Year 5 Hourly Rate 30,000 hours at $ per hour

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
16	Modifications and Enhancements Year 6 Hourly Rate	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :

Modifications and Enhancements Year 6 Hourly Rate 30,000 hours at $ per hour

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
17	Modifications and Enhancements Year 7 Hourly Rate	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :

Modifications and Enhancements Year 7 Hourly Rate 30,000 hours at $ per hour

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
18	Modifications and Enhancements Year 8 Hourly Rate	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :

Modifications and Enhancements Year 8 Hourly Rate 30,000 hours at $ per hour

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
19	Modifications and Enhancements Year 9 Hourly Rate	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :

Modifications and Enhancements Year 9 Hourly Rate 30,000 hours at $ per hour

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
20	Modifications and Enhancements Year 10 Hourly Rate	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :
Modifications and Enhancements Year 10 Hourly Rate 30,000 hours at $ per hour

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
21	Modifications and Enhancements Year 1 Services	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :
Modifications and Enhancements Year 1 Services

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
22	Modifications and Enhancements Year 2 Services	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :
Modifications and Enhancements Year 2 Services

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
23	Modifications and Enhancements Year 3 Services	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :

Modifications and Enhancements Year 3 Services

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
24	Modifications and Enhancements Year 4 Services	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :

Modifications and Enhancements Year 4 Services

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
25	Modifications and Enhancements Year 5 Services	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :
Modifications and Enhancements Year 5 Services

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
26	Modifications and Enhancements Year 6 Services	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :
Modifications and Enhancements Year 6 Services

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
27	Modifications and Enhancements Year 7 Services	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :
Modifications and Enhancements Year 7 Services

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
28	Modifications and Enhancements Year 8 Services	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :
Modifications and Enhancements Year 8 Services

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
29	Modifications and Enhancements Year 9 Services	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :
Modifications and Enhancements Year 9 Services

INVOICE TO	SHIP TO
BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV25301 US	BUYER - 304-957-0209 HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
30	Modifications and Enhancements Year 10 Services	0.00000		See pricing in cost proposal	

Comm Code	Manufacturer	Specification	Model #
81111511			

Extended Description :

Modifications and Enhancements Year 10 Services

SCHEDULE OF EVENTS

Line	Event	Event Date
1	Non-Mandatory Pre-Bid Call	2017-06-14
2	Questions Due	2017-06-21
3	Oral Presentations	2017-08-21

ADDITIONAL TERMS AND CONDITIONS

See attached document(s) for additional Terms and Conditions

ADDENDUM ACKNOWLEDGEMENT FORM
SOLICITATION NO.: CRFP 0511 HHR1700000004

Instructions: Please acknowledge receipt of all addenda issued with this solicitation by completing this addendum acknowledgment form. Check the box next to each addendum received and sign below. Failure to acknowledge addenda may result in bid disqualification.

Acknowledgment: I hereby acknowledge receipt of the following addenda and have made the necessary revisions to my proposal, plans and/or specification, etc.

Addendum Numbers Received:
(Check the box next to each addendum received)

[X] Addendum No. 1	[X] Addendum No. 6
[X] Addendum No. 2	[X] Addendum No. 7
[X] Addendum No. 3	[ ] Addendum No. 8
[X] Addendum No. 4	[ ] Addendum No. 9
[X] Addendum No. 5	[ ] Addendum No. 10

I understand that failure to confirm the receipt of addenda may be cause for rejection of this bid. I further understand that that any verbal representation made or assumed to be made during any oral discussion held between Vendor's representatives and any state personnel is not binding. Only the information issued in writing and added to the specifications by an official addendum is binding.

OptumInsight, Inc.
Company

Authorized Signature

August, 8, 2017
Date

NOTE: This addendum acknowledgement should be submitted with the bid to expedite document processing.

STATE OF WEST VIRGINIA
Purchasing Division

PURCHASING AFFIDAVIT

MANDATE: Under W. Va. Code §5A-3-10a, no contract or renewal of any contract may be awarded by the state or any of its political subdivisions to any vendor or prospective vendor when the vendor or prospective vendor or a related party to the vendor or prospective vendor is a debtor and: (1) the debt owed is an amount greater than one thousand dollars in the aggregate; or (2) the debtor is in employer default.

EXCEPTION: The prohibition listed above does not apply where a vendor has contested any tax administered pursuant to chapter eleven of the W. Va. Code, workers' compensation premium, permit fee or environmental fee or assessment and the matter has not become final or where the vendor has entered into a payment plan or agreement and the vendor is not in default of any of the provisions of such plan or agreement.

DEFINITIONS:

"**Debt**" means any assessment, premium, penalty, fine, tax or other amount of money owed to the state or any of its political subdivisions because of a judgment, fine, permit violation, license assessment, defaulted workers' compensation premium, penalty or other assessment presently delinquent or due and required to be paid to the state or any of its political subdivisions, including any interest or additional penalties accrued thereon.

"**Employer default**" means having an outstanding balance or liability to the old fund or to the uninsured employers' fund or being in policy default, as defined in W. Va. Code § 23-2c-2, failure to maintain mandatory workers' compensation coverage, or failure to fully meet its obligations as a workers' compensation self-insured employer. An employer is not in employer default if it has entered into a repayment agreement with the Insurance Commissioner and remains in compliance with the obligations under the repayment agreement.

"**Related party**" means a party, whether an individual, corporation, partnership, association, limited liability company or any other form or business association or other entity whatsoever, related to any vendor by blood, marriage, ownership or contract through which the party has a relationship of ownership or other interest with the vendor so that the party will actually or by effect receive or control a portion of the benefit, profit or other consideration from performance of a vendor contract with the party receiving an amount that meets or exceed five percent of the total contract amount.

AFFIRMATION: By signing this form, the vendor's authorized signer affirms and acknowledges under penalty of law for false swearing (*W. Va. Code* §61-5-3) that neither vendor nor any related party owe a debt as defined above and that neither vendor nor any related party are in employer default as defined above, unless the debt or employer default is permitted under the exception above.

WITNESS THE FOLLOWING SIGNATURE:

Vendor's Name: OptumInsight, Inc.

Authorized Signature: Glen C Benson Date: 8/3/2017

State of Minnesota

County of Hennepin, to-wit:

Taken, subscribed, and sworn to before me this 3rd day of August, 2017.

My Commission expires 1/31, 2020.

AFFIX SEAL HERE

NOTARY PUBLIC Vicki L Martin

VICKI L. MARTIN
NOTARY PUBLIC - MINNESOTA
My Commission Expires
January 31, 2020

Brian A. Cunningham, MBA

IES Account Manager

Qualifications Summary

The son and grandson of three generations of West Virginia coal miners, Mr. Cunningham displays a distinct passion for serving the underserved. He has nearly 17 years of experience with federally funded HHS providers, public health insurance eligibility and enrollment, care coordination, rural health financing strategies, and Medicaid managed care; much of it at the grassroots level.

Mr. Cunningham has eight years of experience in large integrated eligibility settings through his tenure with the West Virginia Primary Care Association (WVPCA), eligibility related support to the Bureau of Medical Services through the Lewin Group, his service as an AmeriCorps health fellow, and his current role as the executive client manager for the West Virginia Integrated Eligibility Project. Highlights of his eligibility experience include:

- Mr. Cunningham leads operations and data management initiatives that require an understanding of DHHR programs. He makes sure Optum is responsive to DHHR needs for the West Virginia integrated eligibility maintenance and operations (M&O) project.
- While at the WVPCA, Mr. Cunningham served as the executive director of the federally funded West Virginia Covering Kids and Families Project and the Access to Benefits Coalition where he led the State's outreach and enrollment efforts for HHS programs. Under his leadership, West Virginia achieved a number one national ranking in per capita coverage of children.
- With the Lewin Group, Mr. Cunningham worked directly with RAPIDS and the MMIS to identify gaps in eligibility throughput in support of West Virginia's Medicaid Managed Care Program.
- As an AmeriCorps health fellow, Mr. Cunningham helped families enroll in Medicaid and CHIP, the Supplemental Nutrition Assistance Program (SNAP), the Low Income Energy Assistance Program (LIEAP), Qualified Medicare Beneficiary (QMB) and health center sliding scale programs in some of the most rural and economically challenged regions of central Appalachia.
- Most recently, he designed and implemented West Virginia's initiative to transition upper payment limit (UPL) funds to managed care as well as the state Medicaid agency's pay-for-performance (P4P) program for Medicaid managed care organizations (MCOs).

Professional Experience

Client Relationship Management Experience

- As the executive client manager on the West Virginia Integrated Eligibility Project, aligns processes across local eligibility offices, MMIS, MCO enrollment broker, and multiple state agency stakeholders
- As deputy director of the West Virginia Primary Care Association, drove a government relations strategy that secured five new FQHC pharmacies, led to a landmark 340b arrangement with DHHS, and expanded behavioral health services available through FQHCs
- As executive director of the Access to Benefits Coalition, collaborated with DHHS, Bureau for Senior Services, AARP, and other stakeholders to build and operate one of the nation's only state-based call centers dedicated to helping duals navigate MMA

Management Experience

- For the Iowa Medicaid Adult Quality Measures Improvement Project, managed the implementation of a provider call center and development and dissemination of patient gaps-in-care profiles
- For the Medicaid Care Coordination Initiative, led the development of a portfolio of care management solutions that were deployed at UnitedHealth Care Medicaid MCOs
- Spearheaded implementation of Web-based Medicaid member portal including personal health records
- As the executive director of West Virginia's Central Fill Pharmacy, leveraged a broad network of stakeholders to create the framework for a safety-net pharmacy that continues to this day

Work History

2016-Present
Executive Client Manager, Optum, West Virginia
2013-2016
Managing Consultant, The Lewin Group, West Virginia

- As West Virginia Integrated Eligibility Project executive client manager, leads operations and data management initiatives; aligns processes across eligibility offices, the MMIS, the MCO enrollment broker, and multiple state agencies
- For West Virginia Medicaid Managed Care Administration Project, provides on-site programmatic technical help to BMS; engaged with West Virginia MMIS and RAPIDS partners to obtain eligibility and claims data to support MCO rate setting
- For the Iowa Medicaid Adult Quality Measures Improvement Project, led provider call center implementation and developed patient gaps-in-care profiles

2007-2013 **Senior Director, Market Management and Product Development, Optum, Minnesota**

- Led development of a portfolio of care management solutions for UnitedHealthcare Medicaid MCOs; spearheaded Web-based member portal
- Crafted HEDIS outreach/engagement solution for prominent Medicaid MCO; customer improved from $3.5 million penalty to $900,000 incentive following year

2006-2007 **Product Development Director, Vested Health, LLC, West Virginia**

- Helped develop Web-based provider payment solution for Consumer Directed Health Plans (CDHPs); implemented industry-leading proprietary ROI model

2006-2007 **Principal, Cunningham Consulting, West Virginia**

- As executive director of State's Central Fill Pharmacy, leveraged stakeholders to create safety-net pharmacy framework; provided FQHCs 340b pharmacy consults

2000-2006 **Deputy Director, West Virginia Primary Care Association, West Virginia**

- Designed and operated four-year, $10 million CHIP/Medicaid engagement; drove strategy to secure five new FQHC pharmacies, led to landmark 340b arrangement with DHHS, and expanded behavioral health services through FQHCs
- Led the State's outreach and enrollment efforts for HHS programs.

1999-2000 **Health Fellow, AmeriCorps/Valley Health, FQHC, West Virginia**

- Served year of community service to enroll 2,000+ rural Appalachia children/families in public health insurance/safety-net programs; drafted legislation that expanded WVCHIP

Education

- Master of Business Administration, University of Charleston, Charleston, West Virginia
- Bachelor of Arts, Political Science, West Virginia University, Morgantown, West Virginia

Technical Skills

- Software: Microsoft Office Suite

Stephen Secrist

IES Deputy Account Manager/Operations Manager

Qualifications Summary

Mr. Secrist has 20 years of leadership experience in operational management and development, including seven years of health care IT and Medicaid experience. As an associate director at Optum, he defined the business processes and helped develop the technology for the Optum Medicaid Management System (OMMS). He is the work stream lead for provider and member management for OMMS and works on the modules that we pre-certify. Mr. Secrist serves as a subject matter expert on CMS Medicaid certification, provider management and enrollment, claims processing, financial management, constituent services, and data file management. He has experience with Microsoft SQL Server, QNXT, FileNET, Agile, and Scrum.

Mr. Secrist has six years of experience managing large health care organizational units for a MMIS fiscal agent organization serving the State of West Virginia. His relevant experience includes:

- Mr. Secrist served as deputy account manager for the West Virginia MMIS fiscal agent contract, performing the same role we propose for the WV IES project.
- He managed operations for the West Virginia Medicaid account, including all operational departments within Molina Medicaid Solutions, which included seven managers, two supervisors, and 120 employees.
- Mr. Secrist served as quality assurance manager for the West Virginia Bureau for Medical Services. He managed quality assurance staff and was responsible for the annual SAS-70 compliance audit, which required interactions with multiple teams across the Molina Medicaid Solutions teams.

Mr. Secrist is skilled at collaborating with state government customers, multiple stakeholders, and vendors to build positive working relationships. His background includes achieving organizational objectives and improving financial performance for complex enterprise projects involving multiple vendors. He provides executive oversight and leadership for operations for Medicaid/client accounts. He has contributed his expertise on the Affordable Care Act (ACA), MITA architecture, quality assurance (QA), audits, program management, operational reporting, and issue resolution.

Professional Experience

Management Experience

- Has served in health care leadership positions since 2010, including as quality assurance manager, director of operations, deputy account manager and associate director general management

Delivery Experience

- Managed operations for the West Virginia Medicaid account; provided executive oversight and development of the organizational strategy, performance, project management staff, and Medicaid Management Information System (MMIS) upgrades and improvements
- Managed 21 call center representatives who responded to telephone and written inquiries regarding claims status, eligibility requests, electronic data interchange (EDI) inquiries, pharmacy inquiries, and member inquiries
- Managed 23 provider enrollment representatives and contractors to complete the federally required provider revalidation of 26,000 West Virginia Medicaid providers

Work History

2016-Present **Associate Director General Management, Optum, Minnesota**

- Contributes operational and technical subject matter expertise for CMS Medicaid certification, provider management and enrollment, claims processing, financial management, constituent services and data file management

- Defined the business processes and helped develop the technology for OMMS

2014-2016 **Deputy Account Manager, Molina Medicaid Solutions, West Virginia**

- Managed operations for the West Virginia Medicaid account, including all operational departments within Molina Medicaid Solutions, which included seven managers, two supervisors, and 120 employees
- Provided executive oversight and development of the organizational strategy, performance, project management staff, and MMIS upgrades and improvements

2013-2014 **Director of Operations, Molina Medicaid Solutions, West Virginia**

- Managed 21 call center representatives who responded to telephone and written inquiries regarding claims status, eligibility requests, electronic data interchange (EDI) inquiries, pharmacy inquiries, and member inquiries
- Managed 23 provider enrollment representatives and contractors to complete the federally required provider revalidation of 26,000 West Virginia Medicaid providers
- Supervised provider field representatives responsible for assisting the provider community with billing, training issues, and federally required provider site visits

2010-2013 **Quality Assurance Manager, Molina Medicaid Solutions, West Virginia**

- Managed four QA analysts, a technical writer, and a trainer, and developed processes to streamline the quality audits the analysts performed
- Developed the MITA report card, which reports all audit findings to the West Virginia Bureau for Medical Services, and delivered the report card to the customer monthly
- Managed the annual SAS-70 compliance audit, which requires interactions with multiple teams across the Molina Medicaid Solutions teams, and verified the successful completion and delivery of the annual SAS-70 audit to the West Virginia Bureau for Medical Services

1997-2010 **CNC Machinist/ Quality Control, RI-JA Machining Company, West Virginia**

- Responsible for the setup and programming of computer numerical control and manual machines
- Created and implemented quality standards and change dynamics to meet the expectations of the new organizational strategy
- Assisted the vice president with data acquisition, cost analysis, strategic planning, departmentalization and productivity analysis

Education

- Doctorate of Executive Leadership, University of Charleston, Charleston, West Virginia (current doctoral candidate completing final dissertation)
- Master of Science, Strategic Leadership, Mountain State University, Beckley, West Virginia
- Bachelor of Science, Organizational Leadership, Mountain State University, Beckley, West Virginia

Technical Skills

- Software: Agile, Scrum, Windows, Microsoft Office Suite, Microsoft SQL Server, QNXT, FileNET, Venetica (process manager), Cincom (letter manager), ASG Cypress (report distribution manager), Apropos AVRS and Call Center Toolsets (contact manager), application lifecycle management

Partha Mukhopadhyay, PMP

IES Project Manager

Qualifications Summary

Mr. Mukhopadhyay is a PMP-certified senior director in Optum IT Government Solutions with more than 20 years of IT experience. He has 10 years of project management experience delivering large solutions in multiple technology environments, which includes project management of IT projects that encompassed the full system development life cycle from initiation through post implementation within a human services department or health insurance marketplace. He also has nine years of experience as a manager of an organizational unit within an integrated eligibility engagement in the United States. He also has 11 years of experience as a manager of an organizational unit within a human services agency. Before joining Optum, he was a senior manager with Deloitte's consulting practice where he focused on providing system integration services to public sector clients. He has 11 years of integrated eligibility (IE) experience and extensive knowledge of Medicaid Management Information System (MMIS) and various other interfaces.

Highlights of his relevant experience include:

- He serves as the Engagement Advisor for the West Virginia IE M&O project.
- As the engagement director for the Vermont Health Insurance Exchange (HIX), he managed various aspects of the project execution activities for multiple teams that numbered 200+ staff. They included the business, development, technical architecture, quality assurance, M&O and PMO teams.
- Working for Deloitte, Mr. Mukhopadhyay led integrated eligibility and child care projects for health and human services (HHS) departments in Illinois, Minnesota, New Hampshire, and Wisconsin:
  - The Illinois Integrated Eligibility System (IL IES) is a modernized eligibility system for several HHS medical programs and two key human services programs, Supplemental Nutrition Assistance Program (SNAP) and Temporary Assistance for Needy Families (TANF).
  - For Minnesota, he served as an engagement manager of the Minnesota Child Care project. The project included functionality for case management, eligibility determination, fund management, and payments processing for child care subsidies.
  - For New Hampshire, Mr. Mukhopadhyay led the implementation of a full functional IE system and one of the largest, most complex IT systems within the State of New Hampshire. The solution coordinates policy, eligibility, and benefits determination for SNAP, Medicaid, and TANF programs.
  - He led the delivery of the first statewide Child Care system in Wisconsin. He worked on the Client Assistance and Re-employment System (CARES) project for the Wisconsin Department of Health and Human Services. He was one of the original designers of this mainframe system and directed the development and implementation activities of the project team. CARES is a large-scale, online family assistance information system (FAMIS) that supports SNAP, TANF, Medicaid, Child Care, and JOBS programs.

Professional Experience

Management Experience

- Led a team of 45 technical professionals on a $60 million, custom state agency implementation project; responsibilities included providing direction to database administrators, technical architects, infrastructure staff, data conversion and development leads for a J2EE-based solution using IBM servers, Oracle database, FileNet, and Business Objects (Crystal Reports)
- Led multiple teams of a $20 million implementation project; responsible for the profit and loss responsibilities of the new system; led the M&O team of 30 staff
- Delivered two $40-60 million custom development state government projects; managed all aspects of the project execution activities of multiple teams
- Experienced in most aspects of business operations, budgeting, project planning, cost analysis, risk assessment, quality assurance, quality control, resource planning, professional staff development, system development life cycles, scope / contract management, management reports, executive level presentations, proposal development, and contract negotiation

- Excellent communication skills and capabilities for establishing team collaboration
- Strong people management skills with an excellent track record of staff retention

Project Management Experience

- Follows Project Management Body of Knowledge (PMBOK) processes for project financials, risk management, quality control, people management, customer relationship, and status reporting
- Leads DDI of large-scale public sector information systems projects
- Delivers enterprise-wide solutions using Rational Unified Process (RUP), Agile, COTS and various custom methodologies
- Experience managing and delivering large scale Capability Maturity Model (CMM) projects of sizes varying from 40 to 200 staff and revenue ranging from $20-150 million
- Experience managing all lifecycles of system development projects
- Strong customer relationships in support of customers' strategic interests and benefits
- Consistently delivers complex projects with high client satisfaction

Exchange Experience

- Served as an engagement director of the Vermont HIX integration projects; helped Vermont establish full integration with insurance carriers and payment processors; contributed to the exchange receiving the rating as the best exchange in the country by the Government Audit Office
- Contributed to the phased implementation of Vermont's integrated system supporting automated renewals, Change of Circumstances, self-service capabilities, and automated notices for both qualified health plans and Medicaid customers

Work History

2015-Present **Senior Director, Optum, Minnesota**

- Serves as engagement advisor for the West Virginia IE M&O project; engagement director for the Massachusetts Long Term Services and Support (LTSS) project; and IT engagement director for the technology areas of Arkansas LTSS project
- Served as an engagement director of the Vermont exchange integration projects

1994-2015 **Senior Manager, Deloitte, Chicago, Illinois**

- Delivered two $100 million custom development state government projects and
- Managed all aspects of the project execution activities of multiple teams

Education

- Master of Science, Science, Indian Institute of Technology (IIT), India
- Bachelor of Science, Science, Calcutta University, India

Technical Skills

- Hardware/Software: Microsoft Office Suite
- Certifications: Project Management Professional (PMP), Project Management Institute (PMI), Trained in Capability Maturity Model (CMM)

Project Management Institute

THIS IS TO CERTIFY THAT

Partha Mukhopadhyay

HAS BEEN FORMALLY EVALUATED FOR DEMONSTRATED EXPERIENCE, KNOWLEDGE AND PERFORMANCE IN ACHIEVING AN ORGANIZATIONAL OBJECTIVE THROUGH DEFINING AND OVERSEEING PROJECTS AND RESOURCES AND IS HEREBY BESTOWED THE GLOBAL CREDENTIAL

Project Management Professional

IN TESTIMONY WHEREOF, WE HAVE SUBSCRIBED OUR SIGNATURES UNDER THE SEAL OF THE INSTITUTE

Ricardo Triana • Chair, Board of Directors

Mark A. Langley • President and Chief Executive Officer

PROJECT MANAGEMENT INSTITUTE CORPORATE SEAL 1969 PENNSYLVANIA

PMP® Number [redacted]

PMP® Original Grant Date **12 November 2008**

PMP® Expiration Date **11 November 2017**

PMI® Project Management Institute

Mike Mikulay

IES Line of Business Manager (Integrated Eligibility)

Qualifications Summary

Mr. Mikulay is an applications development director with 26+ years of information technology (IT) leadership experience and over 4 years of experience with the functionality being bid. Working for Optum, he oversaw development for the program determination, notices, and Medicaid Management Information System (MMIS) interface components of the Massachusetts Health Insurance Exchange (HIX). As a director of applications development for Optum, he oversaw the development of our integrated eligibility (IE) commercial product to support health and human services departments for state and county government. He managed large-scale application portfolios with a record of delivering multi-million dollar initiatives on time and on budget. His core competencies include customer relationship management, program/project management, application portfolio management, managing virtual teams, vendor management, iterative, rapid application development; change management; disaster recovery and business continuity; software contract negotiation; staff development and team building; and budget and expense management.

Mr. Mikulay has over four years of health and human services (HHS) program management experience. He is knowledgeable in quality assurance/control procedures, strong documentation, and reporting. He has demonstrated problem management skills and experience with change and incident management. Mr. Mikulay also has more than one year of implementation experience with functionality we are proposing. His relevant experience includes:

- As mentioned above, Mr. Mikulay oversaw development for MMIS interface components and other components of the Massachusetts HIX.
- He led development for the Optum IE commercial product as previously mentioned. In this role, he was responsible for delivery of the client portal, rules engine, and reporting components.
- As part of the UnitedHealthcare Office of the CIO, Mr. Mikulay served as the single point of accountability for IT deliverables for large, strategic commercial and public sector clients that included the State of Arizona.
- Mr. Mikulay has experience overseeing production support teams that support more than 100 applications. For each of these applications, he has been accountable for quality assurance and control procedures. His application production support responsibilities included change and incident management.

Professional Experience

Management Experience

- Led development for the HHS IE commercial product to support states and counties
- Directed a project to outsource production support for more than 100 applications
- Served in IT management and leadership roles since 1990 and director level roles since 2002
- 26 years of management experience in a challenging and evolving IT environment
- Led programs, projects, applications development, and support for the UnitedHealthcare Specialty Benefits Financial Protection Services line of business

Client Relationship Management Experience

- As part of the UnitedHealthcare Office of the CIO, served as the single point of accountability for IT deliverables for large, strategic commercial and public sector clients that included the State of Arizona
- Managed client IT expectations as a client relationship director; made sure that customer IT requirements were delivered successfully, verified IT Go Live readiness for customer implementations, monitored the health of customer-related post Go Live IT metrics and served as an escalation point for customers regarding IT service and support issues

Work History

2014-Present

Director, Applications Development, Optum, Minnesota

- Led development for an IE commercial product to support HHS departments of state and county governments, focusing on delivery of the financial management, reporting and analytics, client portal, and rules engine components
- Managed overall quality assurance/control procedures, documentation, reporting, and change and incident management during the implementation of the functionality being bid
- Led user experience/user interface (UX/UI) and onshore /offshore development teams of approximately 20 staff to build an IE demonstration system
- Oversaw development for the program determination, notices, and MMIS interface components of the Massachusetts HIX

2012-2014

Director, IT Client Relationship Management, UnitedHealthcare, Minnesota

- As part of the UnitedHealthcare Office of the CIO, served as the single point of accountability for IT deliverables for large, strategic commercial and public sector clients that included the State of Arizona for QA, documentation as well as change and incident management

2010-2014

Director, Applications Development, UnitedHealthcare, Minnesota

- Directed the project to replace three legacy underwriting/rating/proposal applications with one, consolidated application
- Led IT strategy and planning for the data architecture program

2002-2009

Director, Applications Development, ING, Minnesota

- Directed programs, projects, applications development, and support for the Employee Benefits line of business

1990-2002

Prior Positions Summary

- Manager, Applications Development, ING, Minnesota

Education

- Master of Business Administration, University of St. Thomas, St. Paul, Minnesota
- Mini Master of Information Technology, University of St. Thomas, St. Paul, Minnesota
- Mini Master of Electronic Commerce, University of St. Thomas, Minneapolis, Minnesota
- Mini Master of Software Design and Development, University of St. Thomas, Minneapolis, Minnesota
- Bachelor of Science, Computer Science, University of Minnesota, Minneapolis, Minnesota

Technical Skills

- Hardware/Software: Managed complex, multi-platform environments such as client server & web (WINTEL & UNIX/AIX) and mainframe (z/OS & MVS) platforms, Oracle, UDB, DB2, SQL Server, and Sybase databases, and Informatica, Hyperion, Actuate, Business Objects, Citrix, CICS, Java, COBOL, Microsoft Office Suite, MS Project, Clarity, Ariba, CA Agile, ALM, and IBM ODM toolsets
- Certifications: Six Sigma Executive Green Belt

Joseph M. Simms, PMP

IES Line of Business Manager (Child Care)

Qualifications Summary

Mr. Simms is a PMP with 30 years of health and human services program management experience and 24 years of child care subsidy experience, which is the functionality we are bidding for West Virginia. He has more than 25 years of experience in information technology, management consulting, program management, quality assurance/control, documentation, reporting, and business development as a member of executive management teams. Mr. Simms has demonstrated problem management skills and experience with change and incident management. He also has more than one year of implementation experience with functionality we are proposing. Mr. Simms is an expert in the full software development life cycle (SDLC), multi-million dollar engagements and implementing enterprise-wide technology solutions. He has led regional and national sales programs, professional services, and system solutions practices for both public sector and commercial clients.

Mr. Simms' relevant Health Insurance Exchange/Integrated Eligibility Systems and MMIS systems experience includes leadership positions in the following $50-400 million federally certified initiatives:

- Massachusetts—HIX/IES Solution
- Rhode Island—HIX/IES Solution
- Delaware—HIX/IES Solution
- Indiana—Indiana Client Eligibility System Modernization
- Pennsylvania—Medical Assistance Management Information System (MAMIS), Client Information System (CIS)
- Ohio—Client Registration Information Management System (CRIS-E)
- California—Statewide Automated Welfare System (SAWS)
- Los Angeles County—Los Angeles Eligibility Assistance Determination System (LEADER)
- Michigan—Automated Statewide Information System & Technology (ASSIST)

Mr. Simms' relevant state project management, strategic planning, Project Management Office (PMO), quality assurance and independent verification and validation (IV&V) experience includes:

- Rhode Island—HIX/IES
- Massachusetts—HIX/IES
- Michigan—MMIS
- Maine—MMIS
- Florida—MMIS, Child Support and Child Welfare
- New York—Child Support Enforcement
- Michigan—Child Support Enforcement
- Pennsylvania—Child Support Enforcement
- Minnesota—Unemployment Insurance

Professional Experience

Client Relationship Management Experience

- Extensive experience working in consulting and management positions for various companies and projects, all requiring close client working relationships

Management Experience

- Has held senior management positions, such as executive vice president and managing principle, in various companies since 1983

Work History

2009-Present **President/Chief Executive Officer, NexSys Management Group, LLC, Pennsylvania**

- Oversees the Minority Business Enterprise (MBE) firm that provides strategic

management and technical consulting services to state and local governments and the private sector, serving in various positions for different projects

- As senior health and human services (HHS) project manager, provided senior program management and industry expertise for delivery of a $400 million Rhode Island Affordable Care Act (ACA) health care and integrated eligibility solution
- As senior HHS project director, held national responsibility for delivering large-scale projects in health care, human services and health benefit/information exchange solutions leading quality assurance, documentation, reporting and change/incident management
- Served as PMO director for the State of Rhode Island
- Served as project director for strategic planning for Massachusetts
- Held leadership positions for the Indiana Comprehensive Eligibility System Replacement Planning Project, the Indiana Medical Management Information System Replacement Planning Project, and projects for the Kentucky Cabinet for Health and Family Services, the Indiana Family Social Services Agency, and the Maryland Department of Human Resources

2004-2009 **Chief Operating Officer/Business Development Executive, Protech Solutions, Arkansas**

- Held national responsibility for marketing and business development activities, including marketing plans and contract negotiations
- Responsibilities included national PMO, quality assurance, client satisfaction, engagement management and all delivery operations

1997-2004 **Various Leadership Positions, GOVCONNECT, Inc., Ohio**

- Held business development and delivery responsibility for a territory of 31 states
- On an annual basis, directed more than 165 IT professionals, an average of 130 projects, and $40 million in managed revenue with a 30 percent profit margin

1993-1997 **National Managing Principal, Unisys Corporation, Pennsylvania**

- Served on the executive management team that transformed Unisys from a hardware company to a full services solutions and professional services company

1983-1993 **National Managing Principal, Deloitte & Touch, Pennsylvania**

- Achieved fast-track partnership by establishing a highly profitable national practice based on large-scale, solution-oriented engagements keyed by long-term client relationships, repeatable solutions and cross-functional service offerings

Education

- Bachelor of Science, Computer Science with a minor in Business Administration, West Virginia University, Morgantown, West Virginia
- Master of Business Administration, Continuing Studies, Robert Morris University, Moon, Pennsylvania

Technical Skills

- Certifications: Project Management Professional (PMP), Certified Diversity Professional (CDP), Certified Management Consultant (CMC)

July 26, 2017

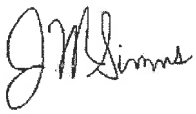
Ms. April Battle
West Virginia Department of Administration, Purchasing Division
2019 Washington Street East
Charleston, WV 25305-0130

RE: Letter of Intent for Joe Simms

Ms. Battle:

As required in the Integrated Eligibility Request for Proposal (CRFP 0511 HHR1700000004), I am submitting this letter of intent to become a full time employee of PCG, if Optum is selected as the successful bidder for this project. Upon award, I will assume the role of IES Line of Business Manager as a PCG employee.

Sincerely,



Joe Baile, PMP

IES Line of Business Manager (Child Welfare)

Qualifications Summary

Mr. Baile is a program manager and PMP with more than 14 years of health and human services (HHS) program management experience and 9 years of experience in the Child Welfare functionality we are bidding for West Virginia. Mr. Baile has nine years of Statewide Automated Child Welfare Information System / Comprehensive Child Welfare Information System (SACWIS/CCWIS) experience which exceeds the one year requirement. As a program manager, he has extensive experience in quality assurance and control, documentation and reporting and incident management, problem management and change management.

Since 2001, Mr. Baile has worked as a project manager/technical lead on engagements in areas that include child welfare systems, CCWIS replacement, early intervention, IT support and services, and TANF Welfare-to-Work. He has experience in requirements analysis and creation, cost benefit analysis, identifying solution options, and recommending proposed solutions. Mr. Baile's background includes executing project management activities across teams to implement Medicaid and Third Party Liability claims and offering provider support and business process redesign. Mr. Baile has an in-depth knowledge of the state HHS environment and programs specific to child welfare, including how to best interface with customers to meet their state-specific requirements.

Professional Experience

Client Relationship Management Experience

Extensive experience working in consulting and management positions for state client projects, all requiring close client working relationships

Management Experience

Has held project management and technical lead positions in various engagements with state clients since 2001

Work History

2001-Present

Program Manager, Public Consulting Group, Inc., Minnesota

Mr. Baile has performed program management on numerous projects for state clients includeing

- Child Welfare System Replacement Feasibility Study for the Virginia Department of Social Services: Performed requirements analysis and creation, cost benefit analysis, identifying solution options, and recommending proposed solution. Responsibilities included quality assurance and control, documentation, reporting/incident management and problem management/change management
- CCWIS Replacement Planning project for the State of Arizona, Department of Child Safety: Led project team and collaboration across the client organization to gain information and build agreement for formal feasibility study to replace existing SACWIS-compliant CHILDS system
- Early Intervention State Fiscal Agent for the State of New York, Department of Health: Responsible for program management activities across teams to implement Medicaid and Third Party Liability claims, provider support, and business process redesign
- IT Support and Services for the Commonwealth of Pennsylvania, Department of Public Welfare: Managed IT and business analysis team to support enhancement and maintenance of large-scale statewide enterprise IT system, PELICAN, which supports

early childhood and early intervention services

- TANF Welfare-to-Work Employment Service for the California San Diego County, Health and Human Services Agency (HHSA): Managed development of case management and data analysis system to support project with the County of San Diego HHSA to provide service management services for individuals in the CalWORKs and refugee assistance programs
- Administration Services Organization for the District of Columbia, Department of Health Care Finance: Managed construction of claim quality control engine to verify accuracy and supporting documentation for D.C. Medicaid claims submitted to the fiscal agent
- SACWIS Analysis and Feasibility Study for the Commonwealth of Pennsylvania, Department of Public Welfare: Managed large-scale contractual services project, supervising 21 employees with full project management responsibilities including risk management, scheduling and budgeting, task assignment, and client liaison
- Juvenile Case Management System for the District of Columbia, Department of Youth Rehabilitation Services: Managed large-scale contractual services project, including supervising 12 employees on a statewide schools information system for regular and special education
- Encounter Information and Billing System for the State of Louisiana, Office of Public Health: Managed large-scale contractual services project, including supervising seven employees working on a clinical system to track services provided by the Louisiana walk-in clinics and billing Medicaid claims
- Provider and Member Information System for the Commonwealth Care Alliance, Boston, Massachusetts: Managed small-scale contractual services project, including supervising three employees working on project investigating feasibility of options for systems, designing and developing member/provider directory system
- Special Education Information System for the School District of Philadelphia (SDP) : Reviewed and optimized business processes for special education in the SDP and implemented a special education information system to support these with automated data collection and reporting
- HIPAA Messaging Application for Medicom, Boston, Massachusetts: Managed small-scale contractual services project, including supervising four employees on a dot.com initiative to build a messaging system for health care organizations to take advantage of HIPAA regulations

Prior to 2001 **Various Positions, Various Organizations and Locations**

- Worked as a project manager and lead designer of applications for a number of companies in the United States, including AirQual Inc., Knowledge Ventures, Pfizer, Lockheed Martin, Pillsbury, and MediaOne
- Worked in the United Kingdom as a project manager and lead designer for The British Library, University of Sussex (UK) Library, the London Underground Library, and the New Delhi Radio Library

Education

- Diploma in Business Studies, UK Open University, Milton Keynes, United Kingdom
- Master of Information Science, London Metropolitan University, London, United Kingdom
- Bachelor of Arts, Architecture, University of Manchester, Manchester, United Kingdom

Technical Skills

- Certifications: Project Management Professional (PMP)

PUBLIC CONSULTING GROUP

Public Focus. Proven Results.™

July 27, 2017

Ms. April Battle
West Virginia Department of Administration, Purchasing Division
2019 Washington Street East
Charleston, WV 25305-0130

RE: Letter of Intent for Public Consulting Group, Inc.

Ms. Battle:

As required in the Integrated Eligibility Request for Proposal (CRFP 0511 HHR1700000004), Public Consulting Group, Inc. (PCG) intends to subcontract with Optum if selected as the successful bidder for this project. PCG shall provide two IES Line of Business Managers, Christopher "Joe" Baile and Joseph Simms, along with training resources. Optum and PCG have entered into a teaming agreement to this effect.

Sincerely,

Kathleen Fallon
PCG Practice Area Director

Erica McGill

IES Line of Business Manager (Child Support Enforcement)

Qualifications Summary

Ms. McGill is a Systems Analysis Program Management Consultant with more than 15 years of experience in systems architecture, process improvement, system integration, business and system analysis, and requirements gathering. She has four years of health and human services (HHS) program management experience and has over three years of experience with the functionality we are proposing for the WV IES. She has strong experience in quality assurance, control procedures, documentation, reporting, change management, and incident management skills.

Ms. McGill's additional background includes health care claims adjudication, benefit configuration, and the system development life cycle (SDLC). She is experienced working on high-profile projects in fast-paced environments with a commitment to quality and exceeding customer expectations.

Her relevant experience includes:

- Technical support management for the Massachusetts and Vermont Health Information Exchange (HIX) projects; She delivers solutions to enhance the HIX application performance and decrease processing time
- Coordinates and manages tasks and milestones to achieve targeted implementation time frames, making sure goals for integration projects are achieved

Ms. McGill's specific areas of expertise include:

- Business system analysis: technical documents, systems design and specifications, testing/quality assurance, data mapping
- Configuration analysis: benefit configuration, provider contracting, membership/billing configuration, pricing, claims adjudication analysis
- System implementation: client systems analysis and implementation; design, build, and document; post production support
- Electronic data interchange: EDI transactions 837I, 837P, 837D, 835, 834, 820, 278, and 274; 999 and functional error resolution; ASC X12, data mapping, HIPAA
- Quality assurance: unit testing, system integration testing; business partner testing, creating test plans and test cases; environment planning
- Claims processing: claims adjudication, policy, claims and provider pricing, validation, and testing

Professional Experience

Client Relationship Experience

- Has served in system analysis program management roles since 2005 that require extensive customer relationship management

Work History

2013-Present **IT System Analyst Program Consultant, Optum Technology, Optum, New Jersey**

- As a system analyst and program management professional on the HIX team, performs quality assurance/control, documentation, reporting, change/incident management on the Massachusetts and Vermont HIX projects
- Coordinates and manages tasks and milestones to achieve implementation targeted time frames and makes sure goals for integration projects are achieved
- Verifies appropriate resources are assigned to complete tasks according to the project implementation plan

- Delivers solutions to enhance the HIX application performance while decreasing processing time
- Identifies and documents business processes including current and future state
- Defines, develops, and documents business requirements for the qualified health plan (QHP) and Medicaid business; performs unit and system integration testing
- Participates in data mapping and 834 EDI transaction error resolution
- Researches and documents system defects
- Completes configuration activities in areas such as provider, member, and finance
- Participates in test development, test plan execution, and UAT
- Performs project and program management duties, such as developing and presenting status reports, work plans, and client presentations
- Identifies and documents business process re-engineering opportunities
- Defines, develops, and documents business requirements and prepares configuration documents

2007-2013 **Senior Business System Analyst, Horizon Blue Cross Blue Shield, New Jersey**

- Facilitated business process analysis with clients to identify business objectives; gathered business requirements and performed analysis to identify viable solutions
- Created technical documents and high-level solution designs; led development, testing, and implementation of system fixes and enhancements
- Created test benefit files for testing purposes and logged and tracked defects using the ClearQuest tool; provided analytical support to internal customers
- Delivered comprehensive case review analysis on health care claims and recommendations on systemic claim processing strategies

2005-2007 **Senior Application Programmer, Horizon Blue Cross Blue Shield, New Jersey**

- Led benefit configuration based on contracts, plan policies, government mandates
- Audited claims data to confirm validity and accuracy of group benefit files
- Participated in test development and execution of testing plans
- Acted as the subject matter expert for benefit coding area

2001-2005 **Business System Analyst, Emblem Healthcare, New York**

- Executed system acceptance testing for error conditions and enhancements
- Recommended changes to enhance the efficiency and features of the claims system
- Performed HIPAA compliancy testing on 837I, 837P, 837D and 835
- Tested newly acquired pricing mechanisms such as Hospital for Special Surgery (HSS) and Ambulatory Payment Classification (APC)

Education

- Bachelor of Science in Computer Science, New Jersey City University, New Jersey

Technical Skills

- Software: Waterfall, Agile, MS Project, MS Word, MS Excel, MS PowerPoint, MS Access, Outlook, SharePoint, Visio, Lotus Notes, NASCO, Facets, Health Insurance Exchange, ClearQuest, Planview
- Certifications: HealthEdge Certified

Janelle A. McDonald, MPA, PMP

IES System Manager

Qualifications Summary

Janelle McDonald is a director and executive consultant with 15 years of experience delivering large-scale IT and business process model solutions for state health and human services clients. Ms. McDonald has more than eight years of experience as manager of an organizational unit within a human services agency and manager of an organizational unit within an integrated eligibility (IE) engagement performing operations in a U.S. She specializes in entitlement modernization, strategic business development, operations/management and communications. Ms. McDonald identifies program goals, objectives and resource needs within time, resource and budgetary limitations. She has been consistently recognized for delivering continuous quality service, improved productivity, qualified staff and developing organizational expertise. Her relevant work experience includes:

- 18 months as certification manager to an integrated eligibility engagement for the State of Iowa
- One year working for the States of Minnesota and Missouri
- Four years managing as the state director for a development disabilities facility in Arizona
- Four year managing as a fiscal officer for rural health services
- From 2005 to 2014, worked extensively with various companies, such as EngagePoint, KPMG, CSG Government Solutions, Cognosante, CNSI, Xerox, Renown Health Systems, and ACS managing organizational units within a human services agency or organizational unit within an integrated eligibility engagement for state health and human service programs, including Hawaii and Iowa.
- Worked in legislative, policy, budget and planning, and fiscal control positions in the Arizona State government from 1980 to 2004, and in a policy analyst position in the Montana State government from 2004 to 2005.

Her areas of specialty include:

- Medicaid managed care and fee-for-service eligibility, enrollment and claims payment including 820 transactions
- IE determination and Medicaid Management Information Systems (MMIS)
- Federal regulatory compliance across the human services spectrum, including Titles 42 Public Health and Title 45 Public Welfare
- State program and policy for Child Support, foster care and other public welfare programs
- Human Service Enterprise System Projects:
  - MMIS
  - State Automated Child Support Enforcement
  - Statewide Automated Child Welfare Information System, Title IV-E
  - State Data Exchange (SDX) and Beneficiary and Earnings Data Exchange (BENDEX)

Ms. McDonald's core accomplishments include:

- Devised an integrated 834 companion guide to pass eligibility data for all entitlement programs to the Medicaid claims engine; guide covered managed care organization (MCO) enrollment deemed populations such as TANF, SNAP and Women, Infants and Children (WIC), and Medicare dual eligibility
- Enhanced Hawaii's project system testing tools to extract Requirements Traceability Matrix (RTM), automate test scripts for user acceptance testing (UAT) and provide Web-based training modules

Professional Experience

Client Relationship Management Experience

- Extensive experience working in consulting, management and subject matter expert (SME) positions since 1980 for various companies and projects, all requiring close client working relationships

Management Experience

- Currently the director of Optum Medicaid Management System, managing business design teams

Work History

2016-Present

Director, Optum Medicaid Management System, Optum Government Solutions (Contractor), Minnesota

- Manages design teams for claims, member, provider and financial management; participates in business development efforts including presentations to clients; creates schedules, resource plans, and implementation documentation for medium- to large-scale projects
- Provides subject matter expertise across Medicaid functional areas, including eligibility determination, EDI 834 and 820 transitions, claims adjudication edits with pre- and post-payment review, Federal Financial Participation and Federal Medical Assistance Percentage management, third-party liability and coordination of benefits

2014-2015

Various Positions, Griffin Enterprise Solutions, Georgia

- As deputy project manager for the Iowa Health Quality Healthcare Initiative, oversaw fiscal agent operations transition planning, including state plan amendments, transition work plan, and risk and issue reporting
- As project manager for the Iowa ICD-10 implementation, led 12-member team through external testing and implementation of ICD-10 remediation on legacy MMIS system

2005-2014

Consultant/Subject Matter Expert, Various Health Care Companies and Locations

- Worked extensively with various companies, such as EngagePoint, KPMG, CSG Government Solutions, Cognosante, CNSI, Xerox, Renown Health Systems, and ACS
- Positions included SME, certification manager, technical manager, senior project manager, deputy functional manager/system certification manager, senior systems development specialist and data warehouse manager, certification manager for MMIS replacement and integrated eligibility system

1980-2005

Various Positions, State Government in Arizona and Montana

- Worked in legislative, policy, budget and planning, and fiscal control positions in the Arizona State government from 1980-2004, and in a policy analyst position in the Montana State government from 2004-2005

Education

- Master in Public Administration and IT Systems Engineering, Montana State University, Bozeman
- Bachelor in Public Administration, Major in Health Care Financing, University of Arizona, Tucson

Technical Skills

- Software: Microsoft Office Suite, Microsoft Project, Visio, HP Application Lifecycle Management, IBM Rational and WebSphere, SharePoint, Business Intelligence Tableau and Cognos Analytics, Optum Integration Layer, Toad
- Programming languages: SQL (MS SQL & MySQL), JAVA, HTML, COBOL, C++, CICS
- Certifications: Project Management Professional (PMP)

11000 Optum Circle | Eden Prairie, MN 55344 | phone: (888) 445-8745 | fax: (952) 917-7878 | www.optum.com

July 19, 2017

Ms. April Battle
West Virginia Department of Administration, Purchasing Division
2019 Washington Street East
Charleston, WV 25305-0130

RE: Letter of Intent for Janelle McDonald

Ms. Battle:

As required in the Integrated Eligibility Request for Proposal (CRFP 0511 HHR1700000004), I am submitting this letter of intent to become a full time employee of Optum, if Optum is selected as the successful bidder for this project. Upon award, I will assume the role of IES System Manager as an Optum employee.

Sincerely,

Janelle McDonald

Brett Masek

Test Manager

Qualifications Summary

Mr. Masek has 18 years of IT management and quality assurance testing experience. At Optum, Mr. Masek delivers testing solutions to address service oriented architecture (SOA) standards and best practice needs while supporting conversion to and from client solutions. Mr. Masek evaluates technologies against business needs and analyzes the cost and benefit implications with the business drivers. His expertise includes process improvement, strategic testing optimization, mobile testing, internal and external auditing, test operations, and security testing.

Mr. Masek has more than four years of experience in the last eight years managing the complete testing lifecycle in an eligibility or related commercial of the shelf (COTS) solution through the following experience:

- As the director of IT software quality assurance with Optum, Mr. Masek manages the complete testing life cycle of COTS solution deployments for the Massachusetts Health Insurance Exchange that manages integrated eligibility and enrollment for Medicaid and qualified health plans.
- As the director of testing with AmerisourceBergen Corporation, Mr. Masek, managed all aspects of the complete testing life cycle, such as SIT, regression, UAT, automation, security, performance, partner/vendor, and blueprint for various applications. This testing encompassed custom applications, COTS applications, SAP, and other enterprise-level solutions.
- At AmerisourceBergen, he worked with insurance companies and providers to determine eligibility for drug coverage of illnesses that can be complex and expensive to treat (e.g., cancer, AIDS).

Professional Experience

Testing Experience

- Heavily involved in testing activities since 1998, holding a variety of leadership positions and has extensive experience in a wide variety of testing tools, development methodologies, programming languages, and databases
- Redesigned testing as a service and created a global organizational structure that handled rapid company growth to 150+ engineers and a $12 million budget
- Transitioned testing team from waterfall to Agile with focus on testing as a service and TestOps
- Restructured automated testing from record and playback to a reusable cross automation framework
- Created business case and initiated mobile testing approach and implementation
- Implemented a validation testing team to meet FDA 21 CFR Part 11 requirements

Management Experience

- Supervises geographically dispersed cross-organizational teams (managers, leads and testers)
- Held director level and higher leadership positions since 1998 with a focus on testing and quality
- Created a quality structure for 60+ engineers, CRM engineers, and leadership with a $12 million budget
- Managed 40+ quality employees throughout the U.S. and India with a yearly $8 million budget
- Oversaw a $6 million budget with 50+ QA, testing and CRM department staff globally

Work History

2016-Present **Director – IT Software Quality Assurance, Optum Technology Government Solutions, North Carolina**

- Provides on-site leadership for the complete testing lifecycle for the Massachusetts Health Connector

- Works across teams, assesses processes, and delivers quality projects on time

2010-2016 **Director – Testing, AmerisourceBergen Corporation, North Carolina**

- Redesigned testing as a service, managed all aspects of testing, and managed patient eligibility for drug coverage

2009-2010 **Manager – Project & Systems, Blue Cross/Blue Shield of South Carolina**

- Managed a team of 25+ analysts, designers and leads; created and managed project plans for IT ranging from 1,000 to 10,000 man hours

2008-2009 **Senior Manager – Quality Assurance, NETAPP, North Carolina**

- Planned and organized QA strategic position for 100+ test engineers with a budget of over $10 million; analyzed and implemented common processes and templates across 11 different products

2006-2008 **Director – Quality Assurance & Project Management, American Healthtech, Mississippi**

- Grew a testing and CRM team from a three-person group to a team of over 20 engineers with a yearly $5 million budget

2006 **Senior Director – Quality Management, Metavante, Florida**

- Created a quality structure for 60+ engineers, leads, managers and CRM engineers with a budget of $12 million

2004-2006 **Director – Quality Assurance, First American Default Technologies, Florida**

- Managed 40+ QA employees in U.S. and India with $8 million budget

1998-2004 **Director – Testing, Harland Financial Solutions, Florida**

- Oversaw a $6 million budget with 50+ QA, testing and CRM department staff with over 50+ engineers globally

Education

- Bachelor of Science, Industrial and Systems Engineering, Ohio State University, Columbus, Ohio

Technical Skills

- Test Management Tools: HP TestDirector, HP Quality Center, Microfocus QA Director, MS Test Manager
- Automated Testing Tools: soapUI, CrossBrowserTesting, ZapTest, Selenium, Junit, Microfocus SilkTest, Microfocus TestPartner, Rational Functional Tester, HP UFT, HP QTP
- Performance Testing Tools: HP Performance Center, HP Load Runner, MS Visual Studio Test Professional, Microfocus QALoad, Microfocus SilkPerformer, IBM Rational Performance Tester
- Security Testing Tools: Burp Suite, Rapid7, AppSpider, HP Fortify, HP WebInspect, OWASP Security Testing Tools
- Methodologies: Agile, SCRUM, Kanban, SAFe, Staged Delivery, Spiral, Waterfall
- Certifications: Quality Assurance Institute Certified Software Quality Analyst (CSQA), Scaled Agile Framework Certification (SAFe), ITIL Foundation Certificate in IT Service Management (ITIL)

Michael C. Buckley, USN/SS, PMP, CISSP, CRISC, CCSK

IES Security Manager

Qualifications Summary

Mr. Buckley is a PMP, a computer and information security products architect, a **Certified Information Systems Security Professional (CISSP)**, and senior manager with more than 20 years of IT security experience in infrastructure/network and multi-platform environments for projects of similar scope to West Virginia's. He has familiarity with technical and risk assessment techniques, tools, and practices. He is also experienced working with federal security and privacy requirements. Mr. Buckley is a Certified Information Systems Security Professional (CISSP), CSA Certificate of Cloud Security Knowledge (CCSK), and U.S. Navy Submarine Qualified veteran.

Mr. Buckley has a record of leading cross-functional security product development teams from concept through delivery. He has delivered IAM, VPN, PKI, EPCS and endpoint security solutions to Fortune 500 enterprises; commercial customers; state, federal and local governmental bodies; and health care and pharmaceutical customers. His background includes experience as a security product development manager, process engineer and enterprise security engineer. He is skilled at communicating complex information to all levels of personnel, from executives and engineers to customers.

Mr. Buckley has extensive experience with technical and risk assessment techniques, tools and practices, and working with federal security and privacy requirements. His core competencies include:

- Analytical and Assessment Skills
- Identity and Access Management (IAM)
- Verbal/Written/Presentations Skills
- Multinational Cross-functional Teams
- Outsourcing and Offshoring
- SDLC, PLM, PMI/PMBOK
- PKI, Digital Signing, Biometrics
- VPN, Remote Access
- Risk Assessment/Remediation
- ITILv3, Process Improvement
- TCP-IP, IPSec, SSL
- NIST, FISMA, FEDRamp, FICAM, WebTrust
- SOX, HIPAA, PCI, DEA 1311, ISO27001, HiTrust
- GXP, GLP, GCP, CFR21 Part 11
- Business Cases, RFP, RFI, Vendor Management

Professional Experience

Client Relationship Management Experience

- IT security architect who partners with teams within Optum and UnitedHealth Group to provide feedback, remediation plans, recommendations and evidence of closure for any security findings
- Experience in security consulting and management positions for various companies and projects, all requiring close client working relationships

Management Experience

- Experience in security consulting and management positions since 2005 for various companies and projects

Work History

2015-Present | **IT Security Architect, Randstad contractor to Optum, Connecticut**

- Performs security risk assessments for UnitedHealth Group acquired entities, new applications and technologies; recommends corrective actions and reviews remediation plans for security assessments and audits
- Partners with various teams within Optum and UnitedHealth Group to provide

feedback, remediation plans, recommendations and evidence of closure for any security findings; creates required artifacts to articulate the security posture, gaps, recommendations and remediation plans as a result of a security assessment

2010-2015

Senior Consultant/Solutions Architect, Verizon Innovation Product Development Group, New Jersey

- Led development teams to bring innovative key identity and access management solutions and security products to market through effective utilization of strategic planning and hybrid waterfall and Agile product development
- Worked in identity and access management product development; managed 40+ vendors, team building, cost estimating, incident and disaster recovery response planning and process documentation, quality assurance, operations, service delivery and advanced engineering
- Delivered the Universal Identity Service (UIS) product, which is a One-Time Passcode (OTP) secure authentication, used for single sign-on (SSO), authentication and digital signing to provide software as a service (SaaS) authentication for federal, state and local governments and Fortune 500 companies
- Delivered identity managed service offering (ID-MSO) and managed PKI for an offering that delivered a high security credential used by state and federal government customers

2007-2010

Manager, BT- Digital Credentials and Signing, Pfizer Pharmaceutical Inc., Connecticut

- Served as manager and technical lead for various security projects, including the Pfizer Certificate Management System, the Device Administration Service, MySignatureBook, the Remote Key Management Signature Authentication Services, the Voice Biometric System, and the SILS SAFE Certificate Service

2003-2007

Global Identity/Enterprise Systems Engineer, Comsys contractor at Pfizer, Connecticut

- Maintained and engineered changes to the Global Identity Software package
- Served as lead technician for global identity services responsible for resolving escalations from advance desktop support during deployment of a single Digital Identity using SmartCard technology

Education

- Three Rivers Community College pursuing a degree in general studies and computer science

Technical Skills

- Certifications: Project Management Professional (PMP) Certified, United States Navy Submarine Qualified, Certified Information Systems Security Professional (CISSP) Certified, ISAC Certified in Risk and Information Systems Control (CRISC) Certified, CSA Certificate of Cloud Security Knowledge (CCSK), nCipher Certified Systems Engineer
- Training: Microsoft Certified Professional training, over 80 credit hours of U.S. Navy analog/digital electronics training, CEH courses and certification in progress, Certified Information Security Auditor (CISA) courses completed, SANS Forensics training

International Information Systems Security Certification Consortium

The (ISC)² Board of Directors hereby awards

Michael Buckley

the credential of

Certified Information Systems Security Professional

having met all of the certification requirements, which include the professional experience prerequisite, adoption of the (ISC)² Code of Ethics, and successful performance on the required competency examination, subject to recertification every three years, this individual is entitled to all of the rights and privileges associated with this designation, as defined in the (ISC)² Bylaws.

C Schou

Corey Schou - Chairperson

Jennifer Minella

Jennifer Minella - Secretary



ANSI

ISO/IEC 17024

[redacted]

Certification Number

April 30, 2018

Expiration Date

Certified Since 2009

1095

(ISC)²

Senthil R Kannimar, PMP, CSM

Change Control Manager

Qualifications Summary

Mr. Kannimar is a PMP, Certified Scrum Master (CSM) and program manager with 22 years of experience leading all phases of technology projects and delivering implementations for multiple industries, including more than five years of experience managing large-scale health and human services (HHS) projects. He has 15 years of experience managing the change request and approval process as part of his project management responsibilities. Mr. Kannimar's background includes responsibility for project management, change management/control, configuration management, estimating tools, resource management, release management, and risk and issue management for multiple projects. His relevant experience includes:

- As an IT PMO manager from 2016 to the present with Optum, he leads health care projects for various federal and state agencies, including Veterans Affairs (VA Community Care Network project), the Commonwealth of Massachusetts (MA Long-Term Services and Supports), and the State of Arkansas (AR Individual Assessment).
- As a consultant for Accenture from 2007 to 2009, he led a 75-person team performing analysis, DDI, enhancements, and testing of rewriting a legacy system to a Web portal on a project for Allstate Insurance, Sentry Insurance, and the California Public Employees' Retirement Benefits System (CalPERS). CalPERS is the state agency managing the pensions and health benefits for more than one million California residents.
- As a consultant for HTC Global Services from 2003 to 2007, he led a 25-person team as project manager performing analysis, change management, DDI, enhancements, and testing of rewriting a legacy system to a Web portal for an HTC Global Services project for California Public Employees' Retirement Benefits System (CalPERS). CalPERS is the state agency managing the pensions and health benefits for more than one million California residents.

Mr. Kannimar follows Agile and waterfall methodologies to manage large project teams. He is skilled at system migrations, enterprise implementation, database design, requirements analysis, return on investment (ROI) analysis, budgeting, vendor management, and aligning business goals with technology.

Professional Experience

Client Relationship Management Experience

- Extensive experience in consulting, management and technical positions since 1991 for various companies and projects, all requiring close client working relationships

Management Experience

- Managed the project change request and approval process, risks and issues for multiple projects
- Led and managed software implementations of J2EE Web portals, legacy data migration, and customer collaboration integration; also managed and implemented PMO processes
- Implemented governance process for program prioritization and funding including change control
- Managed the software implementation of the retirement pension system using J2EE, IBM tools, Oracle 11 and iLOG; rewrite of legacy to Web-based portal

Work History

2016-Present

IT PMO Manager, Optum, Illinois

- Leads health care projects for various federal and state agencies
- Implements PMO processes and makes sure projects execute consistently
- Focuses on operational aspects of the program and project leadership, project

teams, technology, vendors, clients and other interfaces

- Involved in PMO development, service quality, training, and account management

2015-2016 **Program Manager/Agile Coach, TATA Consultancy Services, Illinois**

- Managed small business policy rating and pricing online system using Predictive Model R, implementing Java, ESB, IIB10 as integration bus with other products
- Responsibilities included managing the project change request and approval process

2014-2015 **Sr. Project Manager, Perficient, Inc., Toronto, Ontario**

- Managed IBM Sterling OMS Call Center Module implementation for Sears Canada, implementing ESB as integration bus with other products
- Managed IBM Sterling OMS core application implementation for Kirkland's, implementing ESB as integration bus with other products.
- Managed provider-only and member-only portal project for LegalShield
- Managed schedule, budget, resources and weekly reports to the leadership team
- Managed the project change request and approval process

2013-2014 **Program Manager, Peterson Technology Partners, Illinois**

- Developed and implemented program/project management processes for the Shopyourway e-commerce and rewards program
- Managed the day to day program operations, risks and issues

2010-2014 **Project Manager, NTT Data Inc., Texas**

- Led 110-person team with analysis, DDI, enhancements and testing of multiple projects for State Farm Insurance, Life/Health, CRM, and customer collaboration
- Managed risks, issues, dependencies, change control and implementation

1999-2010 **Consultant/ Project Manager/Senior Developer, Various Consulting Firms and Locations**

- Worked with various companies such as TekSystems, Accenture, and HTC Global Services on projects that included change management/control, resource management, release management and risk/issues management responsibilities
- From 2007-2009, led a 75-person team for an Accenture project for Allstate Insurance, Sentry Insurance, and CalPERS
- From 2003-2007, led 25-person team for an HTC Global Services project for CalPERS

Education

- Bachelor of Engineering, Computer Science, University of Madras, Chennai, Tamilnadu, India

Technical Skills

- Software: MS Office Suite, J2EE, IBM tools, Oracle 11 and iLOG, Java, ESB, IIB10, Java, DB2, Oracle, Primavera, Lotus Notes, CVS, and IBM products including Portal, P8, MQ, ISAM, ISIM and TFIM
- Certifications: Project Management Professional (PMP), Certified Scrum Master (CSM)

Kalyan Guntupalli, PMP

Deliverables/Requirements Manager

Qualifications Summary

Mr. Guntupalli has more than 13 years of health care IT experience, including requirements management, architecture, analysis, design, deployment, IT support and process design and implementation in an n-tier system. For the last four years, he has been managing the deliverable development, submission, review, and acceptance tasks for State eligibility and enrollment systems in Massachusetts and Vermont. He implements ITIL processes, including incident, problem, change, and release management for state government projects. He has strong collaboration skills and builds successful operations through automation, reporting, innovative strategies, technical expertise, and retaining high-performing teams.

Mr. Guntupalli has 13 years of experience managing deliverable development, submission, review, and acceptance for enterprise state system implementations. He executes government contracts and manages cross-functional deliverables. His relevant experience includes:

- Working in a senior leadership role with Optum, he created and implemented a process for contract deliverables and streamlined reporting using CommunicationForce. For the Vermont Health Connect health insurance exchange (HIX), he managed 30+ contract deliverables and 15+ client deliverables.
- In his work with Cognizant Technology, Mr. Guntupalli was responsible for managing requirements, deliverables, and project delivery for multiple UnitedHealth Group projects.

Mr. Guntupalli's specific areas of knowledge and expertise include:

- ITIL Expert Certified (MALC, OSA, CSI, SOA, RCV)
- PMP certified
- IT service operations management
- IT Service Level Management
- Service support planning
- Contract management and delivery
- Client deliverable management and support
- ITSM implementation
- Business process management and automation
- Key performance metrics analysis and reporting
- Project management
- Executive reporting
- SOA
- Tableau
- SDLC
- Object Oriented Analysis/Design
- Lean Sigma

Professional Experience

Management Experience

- Has held technical senior management and leadership roles since 2005
- PMP certified and Expert Certification in ITIL Managing Across Lifecycle (MALC)

Work History

2013-Present

ITIL Subject Matter Expert/Process Manager/Senior Manager – Delivery/M&O Consultant/ APM Lead/Director IT – M&O, Optum, Minnesota

- Serves as the process owner responsible for IT application and infrastructure maintenance and operations
- Establishes ITIL processes and tools; implements KPIs and reporting
- Responsible for engagement and contract delivery; manages process improvement
- Collaborates with state and service provider teams; and technical and consulting teams
- Implemented ITIL processes to support State exchanges in Massachusetts and Vermont for open enrollment and UPMC implementation, which includes incident management, problem management, request fulfillment, change management, release management and service asset and configuration management

- Key SME for project transition from an incumbent vendor for multiple state government contracts, including Vermont HIX and the West Virginia RAPIDS takeover

2009-2013 **Application Development Consultant/Senior Application Developer, Optum, Minnesota**

- Responsible for delivery across multiple projects using multiple IT service providers and served as SME for ITIL processes for the onshore and offshore teams for a project that consisted of multiple portal application and middleware solutions, including:
  - Consumer Activity Presentment Portal: Offers self-service capabilities for OptumHealth Financial services and OptumHealth Bank account holders
  - OptumHealth Financial Services Employer Portal: Site supports enrollment, contribution, termination and reporting
  - OptumHealth Financial Service (OHFS) BUS: Offers common SOAP interfaces for query and update ability into OHFS back-end applications; provides a line of business SOA messaging solution for OHFS
- Created and implemented a process for contract deliverables and streamlined reporting using CommunicationForce
- Managed 30+ contract deliverables and 15+ client deliverables for Vermont HIX project
- Implemented controls and timeline to accommodate internal and external review processes; helped in delivering quality deliverables aligned with customer needs
- Responsible for application and business architecture deliverables for federal compliance for PCI handling; handled multiple health savings account (HSA) implementation projects

2004-2009 **Application Service Coordinator/Manager, Cognizant Technology Solutions, Minnesota**

- Responsible for delivery across multiple projects for UnitedHealth Group
- Served as an Onshore Coordinator for the HSA area

Education

- Bachelor of Engineering, Electrical and Electronics, Sri Ram Engineering College, Chennai, India

Technical Skills

- Languages: Java 1.4.2, HTML, XHTML ,Monk(eGate),.NET,C#
- Technology: J2EE (JSP 2.0, Servlets 2.3), Swings, Struts 1.3, springs (Basic), Hibernate 3.0 (Basic), Portal (IBM Websphere Portal 6.0), Portal (BEA Aqualogic and IBM Websphere Portal 6.0), Webseries, Webmethods, CID (Jenkins), SOAP, JMS, DOM/SAX, Pega 7.1, Salesforce API/APEX
- Process Management: ITIL V3, COBIT, Enterprise IT Governance and CMMI SVC
- Operating System: UNIX – AIX 5.3, Window 2003 server
- Databases: IBM DB2 8.1/9.1, MySQL 4.1,Oracle 10g,MSAccess,SQL server 2005/2008/2012
- Development Tools, Services: Eclipse 3.0, WSAD 5.1, RAD 6.0/7.0, MS SQL Analysis, Business Objects (Crystal Reports XI), Infosphere, JavaScript
- Defect Tracking Tools: Prolite, Test Director, HP ALM
- Configuration Tools: Visual Source Safe, CVS, SVN, Rational ClearCase, Jenkins
- Design Tools: Rational Rose (Use Case), MS-Visio
- Testing Tools: Load runner, Test Director (Basics), Selenium
- Certifications: Project Management Institute – Project Management Professional (PMP), ITIL Managing Across Lifecycle (MALC) – Expert Certification

Mark Kurten

Business Delivery Lead

Qualifications Summary

Mr. Kurten is a West Virginia resident and senior director with 15 years of IT senior management and enterprise-class application development experience, which includes one year of experience in a large health care integrated eligibility setting. He leads a team in West Virginia that supports its legacy integrated eligibility system, giving him an understanding and appreciation for the State's operations, culture and people.

Mr. Kurten is a technically sophisticated management professional with a career combining strong leadership qualifications with hands-on application development experience. He maintains focus on achieving bottom-line results while formulating and implementing advanced technology and business solutions to meet diverse customer needs. His areas of expertise include enterprise-class application development, team building and coaching, strategic and tactical planning, budget management, customer relationship management, implementation, vendor negotiation and management, and staffing.

Professional Experience

Management Experience

- Held technical leadership positions since 2000, from manager level to director and vice president
- Serves as senior director of application development for Optum in West Virginia

Delivery Experience

- Extensive experience in application development and delivery
- Managed delivery teams of up to 100 team members

Work History

2016-Present **Senior Director of Application Development, Optum, West Virginia**

- Serves as senior director for Optum Government Solutions Services, which provides scalable health care technology solutions and services using the Optum Cloud and Software as a Service (SaaS) to improve the performance of state and federal government health and human services programs
- Leads a team of 43 staff members and contractors, with overall accountability for the $55 million engagement with the Department of Health and Human Services for the State of West Virginia supporting its legacy Integrated Eligibility system
- Oversaw the transition for an M&O engagement from a vendor that was incumbent for 20 years
- Implemented ITIL-based change and release management processes and ITIL-based incident and problem management processes
- Created a continuous improvement environment within the team, focusing on areas such as establishing automated regression testing, incremental and automated deployments, decoupling code where applicable, and improving code coverage with unit testing to drive higher availability, application performance and overall stability

2000-2016 **Technology Manager/Vice President, Wells Fargo, West Virginia**

- Managed development teams and business analysts in U.S. and India supporting Consumer Lending products for Wells Fargo, a multi-billion dollar line of business

- Managed consolidation and retirement of five existing employee benefit applications into a single application for Benefitpoint, the insurance services system of record for Wells Fargo employee benefit products and services
- Served as the technology manager for an implementation project that consisted of more than 100 project team members for Nexsure, Wells Fargo's insurance services system of record for property and casualty insurance
- Managed the development and implementation of a custom workers' compensation system following a waterfall methodology using VB.NET, ASP.NET, C# and SQL Server 2000 (64-bit)

1995-2000 **Senior Developer and Technical Manager, Professional Consulting Services, Illinois**

- Managed the development and implementation of a sales order entry/accounts receivable System for Lakewood Engineering and Manufacturing
- Developed a TCP/IP socket server system for Rutgers University
- Developed a payment processing system for Cook County Recorder of Deeds
- Developed interfaces for Identix TP600 Fingerprinting Systems
- Developed a Payment Collection system for Chicago Water Department

Education

- Northern Michigan University, Marquette, Michigan

Technical Skills

- Programming Languages: .NET, C/C++, Visual Basic, Java and Pascal
- Platforms/Operating Systems: Windows NT, Windows 2000 through Windows 2012 R2 Server operating systems, AS400
- Internet/Development Standards: XML/SOAP, HTTP/SSL, SMTP, TCP/IP, LDAP, MIME, XHTML/CSS, SOA
- Business Intelligence Software: Business objects Crystal Reports ver. 6.0 through 10.0 & Seagate's Crystal Enterprise platform, Cognos
- Database Analysis: ERwin data modeling
- Database and Database tools: SQL Server 6.0, SQL Server 7.0, SQL Server 2000, SQL Server 2005, SQL Server Reporting Services 2005, SQL Server 2000 DTS, DB2
- SDLC Methodology: Waterfall and Agile
- Certifications: ITIL Foundation

James Marine

Interface Manager

Qualifications Summary

Mr. Marine is a senior consultant with 24 years of experience in health care IT, specializing in system integration architecture and solutions. He has 20 years of experience managing and performing system integration, messaging modules, and interface development. Mr. Marine's area of expertise includes developing strategies to implement specific vendor product components to support an integrated technical architecture. He provides in-depth knowledge of a specific family of technologies, such as enterprise application integration (EAI), service-oriented architecture (SOA), master data management (MDM), business intelligence (BI), message-oriented middleware (MOM), Big Data/NoSQL solutions, and integration engines. He has experience with EDI; Extract, Transform, Load (ETL); business intelligence; data warehouse and system integration. His health care IT knowledge includes the following areas:

HL7	■ Message types – ADT, ORM, ORU, DFT, BAR, MDM and others ■ Versions 2.1 - 2.6 ■ Functional interface specifications ■ Interface development, testing, and troubleshooting
Integration/Interface Engines	■ SeeBeyond – eGate 4.5.x, ICAN 5.0.5, JCAPS 5.1.3 ■ Mirth Connect ■ OpenESB ■ Oracle SOA Suite 12c for Healthcare Integration ■ IBM Integration Bus v10

Mr. Marine's project management tasks cover team leadership, resource management, status reporting, and meeting coordination. As part of his integration architecture role, he is responsible for requirements gathering and definition, integration environment architecture, technical team leadership and technical documentation.

Professional Experience

Client Relationship Management Experience

- Extensive experience working in consulting, technical management and subject matter expert positions since 1998 for various companies and projects, all requiring close client working relationships

Management Experience

- Serves as technical lead and has held positions as technical lead, technical manager and subject matter expert for various health care organizations

Work History

2016-Present **Senior Consultant, Optum, North Carolina**

- Served as technical lead for the system analysis and remediation of encounter fallout during the encounter submission of 837 institutional and professional claims between a health care organization and the insurance payer

2008-2016 **Senior Consultant, Computer Sciences Corporation, North Carolina**

- Served as integration architect on provider integration projects and a national health care payer organization project; using Oracle SOA Suite 12c, designed and led SOA implementation to simplify integration of clinical research management applications and c of a composite application to support end-user workflow processing
- Using Caché ObjectScript, developed a lightweight extract, transform, and load (ETL) process for retrieving data from Caché that was inaccessible from more direct application interfaces; laid the groundwork for the integration infrastructure of a critical result surveillance application for a single-facility organization in the Midwest
- Served as technical lead for a team of developers with the implementation, testing and support of a composite application; used SOA design principles and implemented integration architecture for data updates from centralized Medicare administration application to a payer organization's regional processing system that adhered to CMS regulations
- Developed and implemented an MDM solution as part of a clinical results viewer/physician's portal application for multi-facility organizations in the Northeast, Mid-West and West Coast; provided subject matter expertise for Oracle, Sun and SeeBeyond integration software (including JCAPS, ICAN, eGate and others)

2000-2008 **Technical Master III—Integration, First Consulting Group, North Carolina**

- Served as technical integration manager accountable for detailed development and support in enterprise-wide systems integration; effectively managed technical projects and achieved project margins
- Implemented high availability server solution, automatic and manual, for multi-server eGate implementations
- Served as integration architect/team lead for Health Level Seven (HL7) International interface development and implementation

1998-2000 **Senior Integration Systems Analyst, First Consulting Group, North Carolina**

- Served as systems integration subject matter expert
- Performed ETL of data from operational data stores and sequential files into a data warehouse (Oracle database) using DataStage (ETL tool)
- Using ERwin, assisted with the design of the data model and the creation of the entity relationship diagram (ERD) used to create the physical database schemas
- Developed technical documentation, including functional interface specifications, installation instructions and support documentation

Education

- Bachelor of Science, Computer Science, Johnson C. Smith University, Charlotte, North Carolina

Technical Skills

- Tools/Methods: DLC, Agile, Eclipse, NetBeans, SoapUI, XML Spy, JDeveloper, SQL Developer, Oracle Fusion Middleware, Oracle Database, Microsoft SQL Server, PostgreSQL, Microsoft Office Suite, Tableau Desktop
- Certification/Training: HL7 2.5 Control Specialist, Apache Cassandra, Tableau

Jeff Downes

Data Architect 1

Qualifications Summary

Mr. Downes is an IT professional with more than 30 years of experience in data architecture design, database development, and tuning for operational and analytic database systems. He has broad experience with business process modeling and process improvement using case design and object modeling. He uses complex SQL to both query and update databases. Mr. Downes has database design experience on multiple platforms including SQL Server, DB2, Oracle and Teradata.

Mr. Downes has more than six years of experience implementing enterprise data architecture infrastructures in health IT environments, data modeling and architecture, (including expertise data language standards and middleware, data transfer standards, Web-based architecture, and entity relationship diagrams), and data warehouse architecture and building data structures. Highlights of his experience include:

- As a senior data modeler and solution architect with Optum, Mr. Downes is responsible for the data integration across multiple system components. These include Siebel, Oracle SOA and Oracle BI Publisher. The data integration was required for the Vermont Health Insurance Exchange (HIX).
- At Optum, Mr. Downes designed the data structures required for the Vermont (HIX) to comply with IRS reporting requirements. His efforts helped Vermont become one of the first exchanges to comply with these requirements.
- For ING US Financial Services, Mr. Downes managed a team of four information architects for the data warehouse. He established data governance and metadata management frameworks for the project.

Mr. Downes is ITIL V2 certified. He has served as a solution architect for financial cost management, configuration management and medical claim reporting systems. Mr. Downes has extensive experience implementing solutions for managing business operations and financial performance.

Professional Experience

Data Architecture Experience

- More than 30 years of data architecture experience including positions as a data modeler, data architect, and solution architect
- Solution architect responsible for solution design integrating Siebel, Oracle SOA and Oracle BI Publisher
- Data architect on data governance team responsible for defining Hartford Steam Boiler (HSB)'s data framework to support Master Data Management
- Senior data modeler/solution architect responsible for managing development work with multiple vendors
- Managed team of four information architects for the data warehouse using IAA framework; established data governance and metadata management frameworks

Insurance Industry Experience

- Wide range of industry experience in data architecture positions with many leading insurance organizations, including UnitedHealth Group, The Travelers, Hartford Insurance and Cigna
- Currently a senior data modeler/solution architect with UnitedHealth Group
- Served as a solution architect for medical claim reporting systems

Work History

2014-Present **Senior Data Modeler/Solution Architect, UnitedHealth Group, Connecticut**

- Responsible for solution design integrating Siebel, Oracle SOA and Oracle BI

Publisher; created data models needed to support state HIX IRS reporting requirements

2013-2014 **Senior Data Modeler, Cigna, Connecticut**

- Designed model for medical claims for implementation in Teradata; developed and advised on Teradata databases, including defining the Primary Index for proper data distribution and optimal access

2012-2013 **Senior Data Analyst, Hartford Steam Boiler (HSB) Inspection and Insurance Co., Connecticut**

- Data architect on data governance team responsible for defining HSB's data framework to support Master Data Management

2008-2011 **Business Intelligence Analyst/Manager Information Architecture, ING US Financial Services, Connecticut**

- Managed team of four information architects for the data warehouse using IAA framework; established data governance and metadata management frameworks

2007-2008 **Configuration Management Process Owner, IBM Global Services, Connecticut**

- Established industry-leading approach to configuration management with BMC's Atrium CMDB; designed and built an IT service data model that was used to manage the key relationships between IT service organizations

2004-2007 **Configuration Management Process Owner, Hartford Financial Services Group, Connecticut**

- Set strategic direction for configuration management and facilitated implementation of change process controls over the configuration management database

1995-2004 **IT Enterprise Architect/Solution Architect, eBill Project/ Application Development Consultant, UnitedHealth Group, Connecticut**

- Worked with business leaders to develop IT strategic plans for IT Investment decisions; responsible for identifying major data concepts and business processes

Education

Master of Science, Computer Science, Rensselaer at Hartford, Connecticut
Bachelor of Science, Accounting, The University of Connecticut

Technical Skills

- Data Modeling: Building dimensional models, logical, and physical data models
- Database: Teradata, Mainframe DB2, UDB, Oracle, SQL Server
- Software: JAVA, Toad, MS Access, Visio, Erwin v9, WordPress
- Solution Architecture: SQL, ETL, Rational Unified Process, Object Modeling, Use Cases, Agile, XML
- IT Service Management: ITIL 2.0 Certification
- Certifications: ITIL 2.0 Certification

Shubi Kamerkar

Data Architect 2

Qualifications Summary

Ms. Kamerkar is an IT professional with more than 15 years of experience developing logical and physical data and process models. At Optum, she leads the data architecture team for data modeling in the data management services area. She is responsible for creating and implementing strategies for government and commercial clients' information management. Ms. Kamerkar participates in systems development, new business development, and client-server implementations for Optum. She has extensive experience managing projects involving requirements gathering and analysis, creating standards documentation, and training personnel.

Ms. Kamerkar has six years of experience implementing enterprise data architecture infrastructures in a health IT environment(s), data modeling and architecture, (including data language standards and middleware, data transfer standards, Web-based architecture, and entity relationship diagrams), and data warehouse architecture and building data structures. Highlights of her experience include:

- As a senior data modeler and solution architect with Optum, Ms. Kamerkar manages the metadata for the Massachusetts Health Insurance Exchange (HIX).
- Ms. Kamerkar created the data models needed to support that state health insurance exchange IRS reporting requirements.
- She is responsible for creating data governance, data modeling standards, and data dictionaries at Optum. Ms. Kamerkar also oversees the master data management (MDM) project for the data management team.
- Ms. Kamerkar led the data architecture team for the Optum integrated eligibility solution development.

Professional Experience

Data Architecture/Management Experience

- Currently responsible for creating and implementing strategies for information management for government and commercial clients
- Has been working in data modeling and architecture positions since 1998
- She has led teams for data architecture, data quality, metadata, and MDM projects
- Led data architecture work by creating standards, templates and training for all of the data modeling needed to create the management database (MDB)

Training Experience

- Helped clients upgrade and migrate their systems, create best practices, and develop standards for data modeling; provided customized training to help clients receive the best return on investment (ROI)
- Developed and delivered monthly educational seminars for clients on topics based on user needs
- Helped clients with Computer Associate's (CA's) data modeling suite; delivered on-site training for data models (IDEF and IE), process models (IDEF0, IDEF3, DFD), and component based models (UML)

Work History

2014-Present **Data Architecture Lead, Optum, Pennsylvania**

- Works in data management services; leads the data architecture team for data modeling and canonical message modeling and reporting; responsible for creating and implementing strategies for information management for government and commercial clients

2010-2014 **Demand Manager, UnitedHealth Group, Pennsylvania**

- Served as demand manager for enterprise information management, office of the CIO; led the team for internal project management. Also led the team for data architecture, data quality, metadata, and MDM projects

2007-2010 **Technical Marketing Consultant, Programmer's Paradise, New Jersey**

- Helped programmers set up and deliver pre-sales, post-Sales, education and services around CA's modeling suite
- Assisted clients upgrade and migrate their systems, create best practices, develop data modeling standards, and obtain the best ROI as previously described
- Developed and delivered monthly educational seminars for existing customers on topics that spoke directly to the users

2004-2007 **Sr. Data and Process Modeling Consultant, Computer Associates, Inc., New Jersey**

- Led the data architecture work for the Office of the CTO/Development by creating standards, templates and training for all the data modeling needed to create the management database (MDB)

2001-2004 **Database Training and Services Consultant, Computer Associates, Inc., New Jersey**

- Helped clients with CA's award winning data modeling suite; delivered on-site training for data models (IDEF and IE), process models (IDEF0, IDEF3, DFD), and component based models (UML)

1998-2001 **Technical Consultant, Platinum Technology, Inc., New Jersey**

- Addressed technical issues for end users, re-sellers and distributors; responded by telephone, email, fax and the internet to support ERwin, ModelMart, testbytes and BPwin products

Education

Bachelor of Science, Microbiology and Chemistry, University of Bombay, Maharashtra, India

Technical Skills

- Database: Oracle, SQL server, MS Access
  Query Tools: SQL Developer
  Database Modeling Tool: ERwin and ModelManager
- Certifications: CA Certified ERwin Database Modeling Trainer

Appendix VI Table 26 Business and Technical Specifications

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
Business Relationship Management (BRM)							
BRM0001	1	The solution should exchange Medicare Premium Assistance (MPA) data (for eligibility) with the Medicaid Management Information System (MMIS).	Income Maintenance Manual		X		
BRM0002	1	The solution should receive and process a monthly Master Medicare Premium Assistance (MPA) File from the Centers for Medicare and Medicaid Services (CMS).	Income Maintenance Manual		X		
BRM0003	1	The solution should deliver Medicare Premium Assistance (MPA) payments to the Social Security Administration (SSA).	Income Maintenance Manual		X		
BRM0004	1	The solution should provide notification to the authorized system users of Third Party Liability (TPL) updates, regardless of the program or source that supplied the TPL information.	Income Maintenance Manual		X		
BRM0005	1	The solution should deliver notification through an interface to the Medicaid Management Information System (MMIS) that a Qualified Medicare Beneficiary (QMB) eligible individual is receiving nursing facility services.	Income Maintenance Manual		X		
BRM0006	1	The solution should transfer Third Party Liability (TPL) information to the Medicaid Management Information System (MMIS), regardless of the program or source that supplied the TPL information.	Income Maintenance Manual		X		
BRM0007	1	The solution should electronically receive disability determination notification decisions and documentation from State authorized sources.	Income Maintenance Manual		X		
BRM0008	1	The solution should electronically transmit disability determination notification decisions and documentation from State authorized sources.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
BRM0009	1	The solution should receive an eligibility data file from the Federally Facilitated Marketplace (FFM) in the format that meets FFM requirements.	Income Maintenance Manual	X			
BRM0010	1	The solution should send an eligibility data file to the Federally Facilitated Marketplace (FFM) in the format that meets FFM requirements.	Income Maintenance Manual	X			
BRM0011	1	The solution should provide data to the Medicaid Management Information System (MMIS) necessary for the provisioning of benefits for State designated programs.	Income Maintenance Manual		X		
BRM0012	1	The solution should accept, process, and manage data from the Social Security Administration's (SSA) Low Income Subsidy (LIS) data file.	Income Maintenance Manual	X			
BRM0013	1	The solution should deliver client eligibility data as defined by the State.	Income Maintenance Manual		X		
BRM0014	1	The solution should receive client eligibility data as defined by the State.	Income Maintenance Manual		X		
BRM0015	1	The solution should designate a data field that has been verified through electronic data exchange.	Income Maintenance Manual	X			
BRM0016	1	The Vendor should develop, maintain, and/or support all interfaces contained in the State-approved interface inventory according to West Virginia business rules.	Interface Control Documents	X			
BRM0017	1	The Vendor should develop and maintain a comprehensive interface inventory.	Not Applicable	X			
BRM0018	1	The solution should exchange information necessary to support the Treasury Offset Program (TOP).	Income Maintenance Manual	X			
BRM0019	1	The solution should receive payment information from the West Virginia Auditor's Office and update the client record with the warrant or EFT number.	Income Maintenance Manual		X		
BRM0020	1	The solution should redirect a failed direct deposit payment to the Electronic Benefits Transfer (EBT) vendor for re-issuance on an EBT card.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
BRM0021	1	The solution should support deposit of benefits into the local office account based upon a documented request by transmitting benefit information to the West Virginia Auditor's Office, according to West Virginia business rules.	Income Maintenance Manual		X		
BRM0022	1	The solution should send client requests for Support Services payments to the Electronic Benefits Transfer (EBT) vendor.	Income Maintenance Manual		X		
BRM0023	1	The solution should receive service payment updates from the Electronic Benefits Transfer (EBT) vendor for processing as the need arises through an interface.	Income Maintenance Manual		X		
BRM0024	1	The solution should interface with the Federal Data Services Hub (DSH) to receive data to verify client eligibility criteria.	Income Maintenance Manual	X			
BRM0025	1	The solution should interface with the Federal Data Services Hub (DSH) to submit data for matching verification of client eligibility criteria.	Income Maintenance Manual	X			
BRM0026	1	The solution should automatically trigger a data exchange with the West Virginia Income and Eligibility Verification System (IEVS) according to West Virginia business rules based on an applicant's Social Security Number (SSN).	Income Maintenance Manual		X		
BRM0027	1	The solution should match data received through a data exchange with the Income and Eligibility Verification System (IEVS) to a client's case file(s) based on an applicant's Social Security Number (SSN).	Income Maintenance Manual		X		
BRM0028	1	The solution should generate automated alerts based on the results of data matching with external systems according to West Virginia business rules.	Income Maintenance Manual		X		
BRM0029	1	The solution should receive and track data and information on annual out-of-wedlock births from the Office of Maternal, Child and Family Health.	Code of Federal Regulations		X		
BRM0030	1	The solution should deliver client data to the Winning Intercept Network (WIN) to allow for support withholdings to be calculated before lottery payouts are generated.	BCSE Policy Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
BRM0031	1	The solution should receive a response from the Winning Intercept Network (WIN) to allow for support withholdings to be calculated before lottery payouts are generated.	BCSE Policy Manual		X		
BRM0032	1	The solution should support the process of contempt proceedings according to West Virginia business rules.	BCSE Policy Manual	X			
BRM0033	1	The solution should support the order for body attachment process according to West Virginia business rules.	BCSE Policy Manual	X			
BRM0034	1	The solution should support the process for prosecution of criminal non-support according to West Virginia business rules.	BCSE Policy Manual	X			
BRM0035	1	The solution should support the processes for legal action outside of Family Court, including but not limited to: employer actions, appeals, abuse and neglect actions, and motions to intervene, according to West Virginia business rules.	BCSE Policy Manual	X			
BRM0036	1	The solution should support the Child Support program during a bankruptcy proceeding on the part of the obligee according to West Virginia business rules.	BCSE Policy Manual	X			
BRM0037	1	The solution should support the Child Support program during a bankruptcy proceeding on the part of the obligor according to West Virginia business rules.	BCSE Policy Manual	X			
BRM0038	1	The solution should automatically interface with the Federal Case Registry to transmit and register all new cases (IV-D) and orders (non-IV-D) and all participants associated with those cases and orders as defined in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement A Guide for States.	Child Support Enforcement: A Guide for States		X		
BRM0039	1	The solution should automatically transmit changes or deletions to any information previously provided to the Federal Case Registry (FCR) within five (5) business days of receipt by the IV-D agency of new or changed information.	Child Support Enforcement: A Guide for States		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
BRM0040	1	The solution should accept and process all administrative information received from the Federal Case Registry (e.g., rejections, warnings, Social Security Number verification or identification results), including providing system-related warnings and rejections to an authorized user so that the data can be evaluated and any appropriate action taken as defined in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement A Guide for States.	Child Support Enforcement: A Guide for States		X		
BRM0041	1	The solution should communicate with the Federal Case Registry via the network provided by the Federal Parent Locator System (FPLS) using the file transfer protocols required by the network provided by the FPLS.	Child Support Enforcement: A Guide for States		X		
BRM0042	1	The solution should send all required fields established in the latest version of the Administration for Children and Families Child Support Enforcement Guide for States to the Federal Case Registry to register cases and participants.	Child Support Enforcement: A Guide for States		X		
BRM0043	1	The solution should make data received from the Federal Case Registry (FCR) available online to the system user.	Child Support Enforcement: A Guide for States		X		
BRM0044	1	The solution should electronically capture in the case record any data received from the Federal Case Registry (FCR).	Child Support Enforcement: A Guide for States		X		
BRM0045	1	The solution should maintain an audit trail so the State can track the status of the case on the Federal Case Registry.	Child Support Enforcement: A Guide for States	X			
BRM0046	1	The solution should connect to, and retrieve information from, the National Law Enforcement Telecommunications System (NLETS).	BCSE Policy Manual		X		
BRM0047	1	The solution should connect to and retrieve information from the American Association of Motor Vehicle Administrators (AAMVA).	BCSE Policy Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
BRM0048	1	If an automated interface to support a locate request cannot be established for a specific data source, the solution should automatically prepare the case information required to submit the case to the data source through alternative means as described in the latest version of the Administration of Children and Families (ACF) Child Enforcement Guide for States.	Child Support Enforcement: A Guide for States		X		
BRM0049	1	The solution should allow an authorized system user to enter into the automated case record all manual attempts to obtain information and the results if an automated interface cannot be established for a specific source.	Child Support Enforcement: A Guide for States	X			
BRM0050	1	The solution should automatically follow up when locate information is solicited and no response is received within a configurable period of time, according to West Virginia business rules. The solution should:	Child Support Enforcement: A Guide for States		X		
BRM0051	2	Re-access the source using an automated interface, if available.	Child Support Enforcement: A Guide for States		X		
BRM0052	2	If an automated interface is not available, notify the system user and automatically generate the documents or alerts necessary to encourage a response.	Child Support Enforcement: A Guide for States	X			
BRM0053	1	The solution should accept unsolicited locate information from the Federal Parent Locator Service (FPLS) as proactive matches occur between State participants registered through the Federal Case Registry (FCR) are matched to New Hire, Quarterly Wage, and Unemployment Insurance claim records on the National Directory of New Hires (NDNH).	Child Support Enforcement: A Guide for States		X		
BRM0054	1	The solution should make data received electronically, through any of the interfaces used to support the locate process available online, to an authorized system user, along with the capability to electronically record in the case record any data received through an interface.	Child Support Enforcement: A Guide for States	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
BRM0055	1	At least quarterly, The solution should automatically resubmit all cases in locate status to Workforce West Virginia and to all other automated locate sources, with the exception of Federal Parent Locator Service (FPLS).	Child Support Enforcement: A Guide for States		X		
BRM0056	1	The solution should follow up with a locate source according to West Virginia business rules.	Child Support Enforcement: A Guide for States		X		
BRM0057	1	For any persons requiring an Federal Parent Locator Service (FPLS) locate, the solution should automatically:	Child Support Enforcement: A Guide for States	X			
BRM0058	2	Prepare a Federal Case Registry (FCR) locate person transaction containing the necessary identifying information for referral.	Child Support Enforcement: A Guide for States	X			
BRM0059	2	If the client is only involved in a case not registered in the Federal Case Registry (FCR), include in the transaction case and order information necessary to register the case in the FCR.	Child Support Enforcement: A Guide for States	X			
BRM0060	2	Annotate the automated case record with the referral.	Child Support Enforcement: A Guide for States	X			
BRM0061	2	Receive automated information back from the Federal Parent Locator Service (FPLS).	Child Support Enforcement: A Guide for States		X		
BRM0062	2	Record the results of the match in the automated case record and notify the system user of the results.	Child Support Enforcement: A Guide for States	X			
BRM0063	2	Provide the data electronically online to the authorized system user along with the capability to electronically record in the case record any data received from the Federal Parent Locator Service (FPLS).	Child Support Enforcement: A Guide for States	X			
BRM0064	1	The solution should include all required fields established in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States in all submissions to Federal Parent Locator Service (FPLS) for locate.	Child Support Enforcement: A Guide for States		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
BRM0065	1	For any foster care locate only request (i.e., title IV-B), the request to Federal Parent Locator Service (FPLS) should be coded with an AD and/or conform to any other instructions established by Office of Child Support Enforcement (OCSE).	Child Support Enforcement: A Guide for States		X		
BRM0066	1	The solution should support the process of establishing paternity, including administrative processes, for all cases in which paternity has not yet been established.	Child Support Enforcement: A Guide for States	X			
BRM0067	1	The solution should accept identifying information on voluntary acknowledgments of paternity.	Child Support Enforcement: A Guide for States	X			
BRM0068	1	The solution should automatically generate completed administrative or judicial documents which are required to establish paternity.	Child Support Enforcement: A Guide for States	X			
BRM0069	1	The solution should automatically enter the date of all generated administrative or judicial documents which are required to establish paternity in the case record.	Child Support Enforcement: A Guide for States	X			
BRM0070	1	The solution should automatically enter the type of all generated administrative or judicial documents which are required to establish paternity in the case record.	Child Support Enforcement: A Guide for States	X			
BRM0071	1	The solution should initiate actions to establish paternity according to State and Federal business rules.	Child Support Enforcement: A Guide for States	X			
BRM0072	1	The solution should periodically reinitiate service-of-process for those cases where previous attempts have failed, but adequate information exists to attempt service-of-process according to West Virginia business rules.	Child Support Enforcement: A Guide for States	X			
BRM0073	1	The solution should automatically generate documents required to support genetic testing as described in the most recent version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
BRM0074	1	The solution should support the 'long arm' process according to West Virginia business rules.	Child Support Enforcement: A Guide for States	X			
BRM0075	1	The solution should maintain an automated case record for all cases worked using the 'long arm' statute, including actions taken and information received from the other state.	Child Support Enforcement: A Guide for States	X			
BRM0076	1	The solution should maintain data and status on Title IV-D cases where paternity establishment is handled outside of the Title IV-D agency.	Child Support Enforcement: A Guide for States	X			
BRM0077	1	The solution should store information regarding whether a child was born out of wedlock and whether paternity was established in any state.	Child Support Enforcement: A Guide for States	X			
BRM0078	1	The solution should provide the ability to transmit information regarding whether a child was born out of wedlock and whether paternity was established in any state.	Child Support Enforcement: A Guide for States		X		
BRM0079	1	The solution should monitor paternity establishment case activities to ensure service-of-process and order establishment are completed within State and Federal time frames following the location of the alleged father or non-custodial parent as defined in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States	X			
BRM0080	1	The solution should automatically generate the required documents needed to establish an order of support or to serve process.	Child Support Enforcement: A Guide for States	X			
BRM0081	1	The solution should record the date and type of documents generated in the case record.	Child Support Enforcement: A Guide for States	X			
BRM0082	1	The solution should automatically generate the documents required to petition for the inclusion of medical support provisions in new or modified support orders.	Child Support Enforcement: A Guide for States	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
BRM0083	1	The solution should deliver client data to the Medicaid Management Information System (MMIS) for the transfer of medical support information, including notifying the Title XIX agency whenever a medical support provision is included in a support order.	Child Support Enforcement: A Guide for States		X		
BRM0084	1	The solution should receive a response to the delivery of client data from the Medicaid Management Information System (MMIS) related to the transfer of medical support information.	Child Support Enforcement: A Guide for States		X		
BRM0085	1	The solution should track actions and dates to ensure that:	Child Support Enforcement: A Guide for States	X			
BRM0086	2	All cases requiring locate services are referred to the locate function (unit) according to State and federal regulations.	Child Support Enforcement: A Guide for States	X			
BRM0087	2	Incoming interstate cases are automatically referred to the State Parent Locator System (SPLS) or the appropriate processing function within 10 working days of receipt.	Child Support Enforcement: A Guide for States	X			
BRM0088	1	The solution should electronically transmit all required fields established in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States to provide the Title IV-A agency with updates to Title IV-A case-related information at the time of a change.	Child Support Enforcement: A Guide for States		X		
BRM0089	1	At the time of a change, The solution should electronically transmit all required fields established in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States to provide the IV-E agency with updates to Foster Care-related information.	Child Support Enforcement: A Guide for States		X		
BRM0090	1	The solution should automatically generate hard copies of Title IV-E reports.	Child Support Enforcement: A Guide for States	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
BRM0091	1	When an order that requires medical support is established, or at the time of a subsequent change, The solution should electronically transmit all required fields established in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States to provide the Medicaid Management Information System (MMIS) with updates to Medicaid-related information.	Child Support Enforcement: A Guide for States		X		
BRM0092	1	The solution should provide for management of all interstate cases.	Child Support Enforcement: A Guide for States	X			
BRM0093	1	The solution should support all functions assigned to the Central Registry and related activities.	Child Support Enforcement: A Guide for States		X		
BRM0094	1	The solution should automatically transmit client data related to interstate referrals through the Child Support Enforcement Network (CSENet) using Direct File Transfer (Frame Relay communications) and all CSENet Standard Transactions (i.e., CSI, LO1, PAT, EST, ENF, MSC, and COL).	Child Support Enforcement: A Guide for States		X		
BRM0095	1	The solution should automatically receive client data related to interstate referrals through the Child Support Enforcement Network (CSENet) using Direct File Transfer (Frame Relay communications) and all CSENet standard transactions (i.e., CSI, LO1, PAT, EST, ENF, MSC, and COL).	Child Support Enforcement: A Guide for States		X		
BRM0096	1	The solution should automatically receive, process, access locate sources, and respond to (LO1) requests from the Child Support Enforcement Network (CSENet).	Child Support Enforcement: A Guide for States		X		
BRM0097	1	The solution should provide the system user with online access to information received in response to a locate (LO1) request, and allow the system user to electronically move selected information to the case record.	Child Support Enforcement: A Guide for States	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
BRM0098	1	The solution should provide the system user with online access to information received in response to a Case Status Information (CSI) request, and allow the system user to electronically move selected information to the case record.	Child Support Enforcement: A Guide for States	X			
BRM0099	1	The solution should use the IV-D case identifier to identify the case in all Child Support Enforcement Network (CSENet) transactions, and on all documents generated by the solution, including documents that require a raised seal or notarization.	Child Support Enforcement: A Guide for States		X		
BRM0100	1	The solution should manage responding state case actions including, but not limited to:	Child Support Enforcement: A Guide for States	X			
BRM0101	2	The solution should automatically forward the interstate case to the appropriate processing unit with the State.	Child Support Enforcement: A Guide for States	X			
BRM0102	2	If an incoming interstate case is received with inadequate documentation, The solution should automatically, or if necessary, through system user intervention, forward the case to the appropriate function for any action that can be taken.	Child Support Enforcement: A Guide for States	X			
BRM0103	2	The solution should provide the initiating State, through Child Support Enforcement Network (CSENet), advance notice of hearings that may result in either paternity establishment or establishment/adjustment of a support order.	Child Support Enforcement: A Guide for States		X		
BRM0104	2	The solution should periodically provide case status updates to initiating states through Child Support Enforcement Network (CSENet).	Child Support Enforcement: A Guide for States		X		
BRM0105	2	The solution should automatically note all actions in the automated case record, including the transfer of the case to another state/jurisdiction if the non-custodial parent is located there.	Child Support Enforcement: A Guide for States	X			
BRM0106	2	When a case is closed by a responding state, The solution should enter the reason and date of closure in the automated case record.	Child Support Enforcement: A Guide for States	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
BRM0107	1	The solution should manage initiating state case actions, including but not limited to:	Child Support Enforcement: A Guide for States		X		
BRM0108	2	Within ten (10) working days of receiving new case information, The solution should use the Child Support Enforcement Network (CSENet) to automatically transmit such information to the responding state and notify the authorized system user of the action.	Child Support Enforcement: A Guide for States		X		
BRM0109	1	The solution should provide for management of all Tribal Title IV-D cases as specified in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States	X			
BRM0110	1	The solution should process income withholdings transmitted in both the Cash Concentration and Disbursement Plus (CCD+) and Corporate Trade Exchange (CTX) National Automated Clearing House Association (NACHA) payment formats.	Child Support Enforcement: A Guide for States		X		
BRM0111	1	The solution should send electronic versions of the electronic income withholding order (eIWO).	Child Support Enforcement: A Guide for States		X		
BRM0112	1	The solution should receive electronic versions of the income withholding order (eIWO).	Child Support Enforcement: A Guide for States		X		
BRM0113	1	The solution should deliver client information to the State tax department to facilitate the offset of any State income tax returns due to the obligor.	BCSE Policy Manual		X		
BRM0114	1	The solution should receive a response from the State tax department to submitted requests for the offset of any State income tax returns due to the obligor.	BCSE Policy Manual		X		
BRM0115	1	The solution should accept information on children eligible for Tricare coverage from the Federal Case Registry (FCR) match with Department of Defense's Defense Enrollment Eligibility Reporting System (DEERS) system.	Child Support Enforcement: A Guide for States		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
BRM0116	1	The solution should support the Administrative Enforcement Interstate (AEI) collections process according to West Virginia business rules.	Child Support Enforcement: A Guide for States	X			
BRM0117	1	The solution should support procedures under which the State has (and uses in appropriate cases) authority to withhold, suspend, or restrict the use of driver's licenses, professional and occupational licenses, and recreational and sporting licenses of individuals who owe overdue support or who fail, after receiving appropriate notice, to comply with subpoenas or warrants related to paternity or child support proceedings.	Child Support Enforcement: A Guide for States	X			
BRM0118	1	The solution should submit client data electronically regarding insurance matches to the Federal Parent Locator System (FPLS).	Child Support Enforcement: A Guide for States		X		
BRM0119	1	The solution should receive information electronically about insurance matches from the Federal Parent Locator System (FPLS).	Child Support Enforcement: A Guide for States		X		
BRM0120	1	The solution should use electronic funds transfer/electronic data interchange (EFT/EDI) procedures and formats that conform to the requirements defined by the National Automated Clearinghouse Association (NACHA) and the Accredited Standards Committee (ASC) X12 Financial Committee as stated in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States		X		
BRM0121	1	The solution should maintain all information required to complete the OCSE-157 annual data report.	Child Support Enforcement: A Guide for States	X			
BRM0122	1	The solution should receive genetic test result data from the genetic test result vendor.	Child Support Enforcement: A Guide for States		X		
BRM0123	1	The solution should generate and maintain a hearing docket according to West Virginia business rules.	BCSE Policy Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
BRM0124	1	The solution should maintain information about all legal officers in West Virginia, including but not limited to attorneys, judges, circuit clerks, and county clerks, according to West Virginia business rules.	BCSE Policy Manual	X			
BRM0125	1	The solution should schedule and maintain court dates at the case level according to West Virginia business rules.	BCSE Policy Manual	X			
BRM0126	1	The solution should alert the client prior to the scheduled appointment/hearing date according to West Virginia business rules.	BCSE Policy Manual	X			
BRM0127	1	The solution should deliver client data to all auxiliary Statewide customer service systems, including but not limited to, the State's Automated Voice Response System (AVRS)/Integrated Voice Response (IVR) system.	BCSE Policy Manual		X		
BRM0128	1	The solution should receive client data from all auxiliary Statewide customer service systems, including but not limited to, the State's Automated Voice Response System (AVRS)/Integrated Voice Response (IVR) system.	BCSE Policy Manual		X		
BRM0129	1	The solution should maintain fully editable court orders according to West Virginia business rules.	BCSE Policy Manual	X			
BRM0130	1	The solution should populate appropriate data fields within the case record based on information in the system-generated court order according to West Virginia business rules.	BCSE Policy Manual	X			
BRM0131	1	The solution should maintain a history of the court identification numbers and parties associated with each case according to West Virginia business rules.	BCSE Policy Manual	X			
BRM0132	1	Whenever key locate data elements are added or changed due to the receipt of new information, The solution should immediately re-submit the case to all appropriate automated and manual locate sources, with the exception of Federal Parent Locator Service (FPLS).	Child Support Enforcement: A Guide for States		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
BRM0133	1	The solution should automatically generate all other documents needed to support the license suspension process when appropriate, or prompt the system user to take action through the solution to generate documents in support of such process.	Child Support Enforcement: A Guide for States	X			
BRM0134	1	The solution should process Electronic Funds Transfer/Electronic Data Interchange (EFT/EDI) transactions received from employers, sources of income, or individuals according to West Virginia business rules.	Child Support Enforcement: A Guide for States		X		
BRM0135	1	The solution should process Electronic Funds Transfer/Electronic Data Interchange (EFT/EDI) transactions received from other states.	Child Support Enforcement: A Guide for States		X		
BRM0136	1	The solution should transmit interstate collections to other states using Electronic Funds Transfer/Electronic Data Interchange (EFT/EDI) technology.	Child Support Enforcement: A Guide for States		X		
BRM0137	1	The solution should allow the system user to query the West Virginia Circuit Court System's e-filing system without exiting the solution.	BCSE Policy Manual		X		
BRM0138	1	The solution should support the process of generating court documents, conversion to .pdf format, and submitting them to the court system using the West Virginia Circuit Court's e-filing solution.	BCSE Policy Manual		X		
BRM0139	1	The solution should fully automate the credit bureau reporting process, using rules-based processing, according to West Virginia business rules.	BCSE Policy Manual			X	
BRM0140	1	The solution should update provider and child records based on data received from OASIS regarding payments made according to West Virginia business rules.	Not Applicable		X		
BRM0141	1	The solution should exchange information with Titles IV-A Temporary Assistance for Needy Families (TANF), IV-D (Office of Child Support Enforcement), and XIX (Medicaid).	Not Applicable		X		
BRM0142	1	The solution should deliver case information to the West Virginia Department of Education.	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
BRM0143	1	The solution should receive case information from the West Virginia Department of Education.	Not Applicable		X		
BRM0144	1	The solution should deliver case information to the West Virginia Circuit Court System.	Not Applicable		X		
BRM0145	1	The solution should receive case information from the West Virginia Circuit Court System.	Not Applicable		X		
BRM0146	1	The solution should deliver case information to the West Virginia Juvenile Justice System.	Not Applicable		X		
BRM0147	1	The solution should receive case information from the West Virginia Juvenile Justice System.	Not Applicable		X		
BRM0148	1	The solution should process contracts and contract changes related to Child Protective Services (CPS) according to West Virginia business rules.	Child Protective Services Policy	X			
BRM0149	1	The solution should record contract monitoring results related to Child Protective Services (CPS).	Not Applicable		X		
BRM0150	1	The solution should deliver case information to the Child Abuse and Neglect Data System or Central Registry.	Not Applicable		X		
BRM0151	1	The solution should receive case information to the Child Abuse and Neglect Data System or Central Registry.	Not Applicable		X		
BRM0152	1	The solution should deliver case information to the Social Security Administration in support of Child Protective Services (CPS).	Not Applicable		X		
BRM0153	1	The solution should receive case information from the Social Security Administration (SSA) in support of Child Protective Services (CPS).	Not Applicable		X		
BRM0154	1	The solution should deliver case information to the Bureau for Behavioral Health and Health Facilities in support of Child Protective Services (CPS).	Not Applicable		X		
BRM0155	1	The solution should receive case information from the Bureau for Behavioral Health and Health Facilities in support of Child Protective Services (CPS).	Not Applicable		X		
BRM0156	1	The solution should provide decision support to assist the system user in requesting issuance of an administrative subpoena according to West Virginia business rules.	Child Protective Services Policy		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
BRM0157	1	The solution should support Adult Services reporting to the court according to West Virginia business rules.	Social Services Manual		X		
BRM0158	1	The solution should deliver case data to the National Adult Maltreatment Reporting System (NAMRS).	Not Applicable		X		
BRM0159	1	The solution should receive case data with the National Adult Maltreatment Reporting System (NAMRS).	Not Applicable		X		
BRM0160	1	The solution should deliver case information to the Administrative Service Organization (ASO).	Adoption Policy Manual		X		
BRM0161	1	The solution should receive case data from the Administrative Service Organization (ASO).	Adoption Policy Manual		X		
BRM0162	1	The solution should support the creation of the Multi-disciplinary Investigative Team (MDIT) report to the prosecutor according to West Virginia business rules.	Child Protective Services Policy		X		
BRM0163	1	The solution should deliver payment data as defined by the State.	Income Maintenance Manual		X		
BRM0164	1	The solution should receive payment data as defined by the State.	Income Maintenance Manual		X		
BRM0165	1	The solution should transmit and receive HIPAA-compliant transactions using multiple methods (e.g., web-based, dial-up, batch file).	Not Applicable		X		
BRM0166	1	The solution should transmit and receive HIPAA-compliant transactions using a variety of devices including PCs and touch tone phones.	Not Applicable		X		
BRM0167	1	The solution should support the development of 1095B forms in alignment with Internal Revenue Service rules.	Internal Revenue Code	X			
BRM0168	1	The solution should deliver social services case information to the federal National Electronic Interstate Compact Enterprise (NEICE).	Not Applicable		X		
BRM0169	1	The solution should receive social services case information from the federal National Electronic Interstate Compact Enterprise (NEICE).	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
BRM0170	1	The solution should automatically deliver client information to the Systematic Alien Verification of Entitlement (SAVE) system to verify immigration status.	Income Maintenance Manual	X			
BRM0171	1	The solution should automatically receive and process a response from the Systematic Alien Verification of Entitlement (SAVE) system containing immigration status results.	Income Maintenance Manual	X			
BRM0172	1	The solution should deliver client data to the Social Security Administration to verify Social Security Number (SSN).	Income Maintenance Manual	X			
BRM0173	1	The solution should receive verified Social Security Numbers (SSN) from the Social Security Administration in response to a request to verify client data.	Income Maintenance Manual	X			
BRM0174	1	The solution should deliver client data to the Social Security Administration's Qualifying Quarters of Coverage Data Exchange to support the eligibility determination process.	Income Maintenance Manual	X			
BRM0175	1	The solution should receive client data from the Social Security Administration's Qualifying Quarters of Coverage Data Exchange to support the eligibility determination process.	Income Maintenance Manual	X			
BRM0176	1	The solution should deliver client data to the Social Security Administration's Prisoner Match Data Exchange to support the eligibility determination process.	Income Maintenance Manual	X			
BRM0177	1	The solution should receive client data from the Social Security Administration's Prisoner Match Data Exchange to support the eligibility determination process.	Income Maintenance Manual	X			
BRM0178	1	The solution should deliver client data to the West Virginia State prisoner match that falls under the Department of Military Affairs and Public Safety (DMAPS), Regional Jail, Corrections Authority, and Public Safety authority.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
BRM0179	1	The solution should receive client data from the West Virginia State prisoner match that falls under the Department of Military Affairs and Public Safety (DMAPS), Regional Jail, Corrections Authority, and Public Safety authority.	Income Maintenance Manual		X		
Client Management (CM)							
CM0001	1	The solution should open a case according to West Virginia business rules.	Not Applicable		X		
CM0002	1	The solution should close a case according to West Virginia business rules.	Not Applicable		X		
CM0003	1	The solution should re-open a case according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
CM0004	1	The solution should allow a system user to open a case for a child from another state who was referred to West Virginia for medical assistance through the Interstate Compact on Medical Assistance (ICAMA).	Adoption Policy Manual	X			
CM0005	1	The solution should create unique client IDs that can be used to track any benefit assigned to that client.	Income Maintenance Manual	X			
CM0006	1	The solution should create a unique identifier (ID) for each individual member of a case.	Not Applicable	X			
CM0007	1	The solution should create a unique identifier (ID) for each application for each program.	Not Applicable	X			
CM0008	1	The solution should allow an applicant to designate a representative to act on their behalf, also known as an authorized representative.	Income Maintenance Manual	X			
CM0009	1	The solution should provide a voter registration application and declination form at any point a client engages in an application, recertification, or reports a change of address in conjunction with benefits.	Income Maintenance Manual	X			
CM0010	1	The solution should generate the DFA-HIP-1 (Certificate of Coverage) to the client at the client's request.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
CM0011	1	The solution should generate a DFA-HIP-1 (Certificate of Coverage) for any former Medicaid beneficiary dating back to July 1, 1996, upon request by the client or their authorized representative.	Income Maintenance Manual		X		
CM0012	1	The solution should transfer an existing case number from one county to another, and to maintain the original case number according to West Virginia business rules.	Income Maintenance Manual		X		
CM0013	1	The solution should store visual acuity data to be used in eligibility determinations.	Income Maintenance Manual	X			
CM0014	1	The solution should allow a flag to be entered to alert the system user that an accommodation for a client's special need may be necessary.	Income Maintenance Manual	X			
CM0015	1	The solution should allow a system user to change a payee.	Income Maintenance Manual	X			
CM0016	1	The solution should allow for tracking of timely delivery of Periodic Review Letter (PRL) notices according to West Virginia business rules.	Income Maintenance Manual		X		
CM0017	1	The solution should track the county in which the client receives benefits.	Income Maintenance Manual	X			
CM0018	1	The solution should automatically access automated data sources when completing a location request on a obligor whose Social Security Number is available according to West Virginia business rules.	BCSE Policy Manual		X		
CM0019	1	The solution should maintain case history according to the West Virginia record retention policy.	Child Support Enforcement: A Guide for States		X		
CM0020	1	The solution should update common data elements in all linked case records.	Child Support Enforcement: A Guide for States	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
CM0021	1	The solution should identify other cases that an individual is associated with, as identifying information is entered into a new case according to West Virginia business rules.	Child Support Enforcement: A Guide for States	X			
CM0022	1	The solution should capture information about a customer's attorney(s) according to West Virginia business rules.	Child Support Enforcement: A Guide for States	X			
CM0023	1	The solution should capture information about a customer's Guardian Ad Litem (GAL) according to West Virginia business rules.	Child Support Enforcement: A Guide for States	X			
CM0024	1	The solution should maintain more than one Social Security Number (SSN) for an individual and track the validity of each SSN.	Child Support Enforcement: A Guide for States	X			
CM0025	1	The solution should maintain information regarding an individual's incarceration according to West Virginia business rules.	BCSE Policy Manual	X			
CM0026	1	The solution should maintain information about an individual's marital history according to West Virginia business rules.	BCSE Policy Manual	X			
CM0027	1	The solution should retain the entire history file of a closed case in an easily accessible automated manner according to West Virginia business rules.	Child Support Enforcement: A Guide for States		X		
CM0028	1	The solution should allow the system user to view other cases in which the client is present.	Not Applicable	X			
CM0029	1	The solution should process changes to guardians and update personal identification numbers (PINs) according to West Virginia business rules.	West Virginia CHIP Process Flow - July 2014		X		
CM0030	1	The solution should identify individuals who are receiving West Virginia Children's Health Insurance Program (WVCHIP) benefits in more than one state at the same time.	Income Maintenance Manual		X		
CM0031	1	The solution should record client contacts.	Not Applicable	X			
CM0032	1	The solution should track a child across multiple occurrences and/or cases.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
CM0033	1	The solution should contain validation routines that require a supervisor to review missing data or failed cross edits before a closure can occur according to West Virginia business rules.	West Virginia DHHR Annual Progress Services Report	X			
CM0034	1	The solution should allow for overrides of specified fields to edit or enter new information on a case according to West Virginia business rules.	West Virginia DHHR Annual Progress Services Report		X		
CM0035	1	The solution should, upon request, display a case record or screen as it existed at a specified time according to West Virginia business rules.	West Virginia DHHR Annual Progress Services Report		X		
CM0036	1	The solution should support the documentation of education information according to West Virginia business rules.	Adoption Policy Manual	X			
CM0037	1	The solution should support the documentation of immunization and health information according to West Virginia business rules.	Adoption Policy Manual	X			
CM0038	1	The solution should allow the system user to associate forms and other case documentation with the individual(s) to whom they were distributed by case and/or by client.	Adoption Policy Manual	X			
CM0039	1	The solution should track who receives a notice of adoption proceedings.	Adoption Policy Manual	X			
CM0040	1	The solution should identify a client who is the victim of family/domestic violence.	Child Protective Services Policy	X			
CM0041	1	The solution should flag cases with clients identified as victims of family/domestic violence.	Child Protective Services Policy			X	
CM0042	1	The solution should provide decision support to assist the system user in determining if a request for case information is allowable according to West Virginia business rules.	Child Protective Services Policy			X	
CM0043	1	The solution should support the approval process of a request for case information according to West Virginia business rules.	Child Protective Services Policy			X	
CM0044	1	The solution should allow the system user to link all services to a client's case record.	Foster Care Policy	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
CM0045	1	The solution should support the required steps to be taken upon death of a client according to West Virginia business rules.	Foster Care Policy	X			
CM0046	1	The solution should store photographs in the case record.	Foster Care Policy	X			
CM0047	1	The solution should allow the authorized system user to link all referrals, investigations, and cases for the same client identifier together according to West Virginia business rules.	Social Services Manual	X			
CM0048	1	The solution should create an adoption record for all types of adoptions according to West Virginia business rules.	Adoption Policy Manual	X			
CM0049	1	The solution should document special characteristics related to the client according to West Virginia business rules.	Child Protective Services Policy	X			
CM0050	1	The solution should document information about medications prescribed, including but not limited to, dosage, prescribing physician, and titration plan.	Foster Care Policy	X			
CM0051	1	The solution should document that a notification was made about exposure to a communicable disease.	Foster Care Policy			X	
CM0052	1	The solution should track whether a client has had a payment returned for non-sufficient funds.	Income Maintenance Manual	X			
CM0053	1	The solution should flag an individual as ineligible to submit personal checks for the purpose of resolving an over issuance.	Income Maintenance Manual	X			
CM0054	1	The solution should alert system users when they have accessed the record of a client that has a penalty in place.	Income Maintenance Manual	X			
CM0055	1	The solution should capture additional information about special living situations when a client's current situation qualifies as a special living situation according to West Virginia business rules.	Income Maintenance Manual		X		
CM0056	1	The solution should track if a client is a resident of a drug and alcohol treatment center.	Income Maintenance Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
CM0057	1	The solution should track if a client is a resident of a shelter for battered persons.	Income Maintenance Manual	X			
CM0058	1	The solution should track if a client is homeless according to West Virginia business rules.	Income Maintenance Manual		X		
CM0059	1	The solution should track if a client is a resident of a homeless shelter according to West Virginia business rules.	Income Maintenance Manual		X		
CM0060	1	The solution should track the history of a case and approval/denials.	Income Maintenance Manual	X			
CM0061	1	The solution should allow the user to update the applicant's case comments with the account number, the name on the account, and if not the applicant, the relationship of this person to the applicant, according to West Virginia business rules.	Income Maintenance Manual		X		
CM0062	1	The solution should maintain a case comment log of all case comments.	Not Applicable	X			
CM0063	1	The solution should mark someone as "medically frail" according to the West Virginia business rules and criteria.	Income Maintenance Manual		X		
CM0064	1	The solution should update the 20% utility discount application with a change of address.	Income Maintenance Manual		X		
Eligibility and Enrollment Management (EE)							
EE0001	1	The solution should allow clients and applicants to complete forms online through a client portal.	Income Maintenance Manual	X			
EE0002	1	The solution should provide a dynamic online application available through the client portal that aligns with the West Virginia approved online application.	State Medicaid Plan		X		
EE0003	1	The online application should support intelligent queuing of questions using prior responses from the client.	State Medicaid Plan	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0004	1	The solution should accommodate all data elements contained on all West Virginia eligibility applications.	State Medicaid Plan		X		
EE0005	1	The solution should provide the information in the client portal in Spanish.	Not Applicable	X			
EE0006	1	The solution should assist applicants and clients in calculating the gross profit for self-employment, irregular, and new business income through the client portal.	Income Maintenance Manual	X			
EE0007	1	The solution should allow an applicant to apply for and evaluate eligibility for all Department of Health and Human Resources (DHHR) assistance programs for which the applicant may qualify, even if another eligibility determination is pending.	Income Maintenance Manual		X		
EE0008	1	The solution should allow the entry of information about benefits received from another state according to West Virginia business rules.	Income Maintenance Manual		X		
EE0009	1	The solution should allow the entry of months of benefits received from another state according to West Virginia business rules.	Income Maintenance Manual		X		
EE0010	1	The solution should generate the date of application according to West Virginia business rules.	Income Maintenance Manual		X		
EE0011	1	The solution should track all asset types required to support the West Virginia eligibility determination process.	Income Maintenance Manual		X		
EE0012	1	The solution should apply assets to eligibility determinations for those programs and eligibility groups that have asset tests and assessments.	Income Maintenance Manual	X			
EE0013	1	The solution should exclude an asset determination from those programs, as well as from eligibility groups that do not include asset tests.	Income Maintenance Manual	X			
EE0014	1	The solution should accommodate specific asset handling rules, by asset type, for each West Virginia assistance program or eligibility group according to West Virginia business rules.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0015	1	The solution should allow the system user to note the method used to validate an applicant's assets.	Income Maintenance Manual	X			
EE0016	1	The solution should apply "good cause" considerations to any assets assigned to an applicant's case, resulting in a modification to the manner in which the assets are treated during the eligibility determination process for the case.	Income Maintenance Manual		X		
EE0017	1	The solution should modify the way assets are counted for an applicant or client's case based on current living arrangements according to West Virginia business rules.	Income Maintenance Manual		X		
EE0018	1	The solution should modify the handling of any assets included on an applicant or client's case based on the presence of a completed DFA-22 form on the file.	Income Maintenance Manual		X		
EE0019	1	The solution should modify the handling of any assets included on an applicant or client's case based on the presence of an approved DFA-V-1 form, used to protest the value of a vehicle that counts as an asset.	Income Maintenance Manual		X		
EE0020	1	The solution should allow for the assignment of single and/ or multiple owners to a single asset.	Income Maintenance Manual	X			
EE0021	1	The solution should allow the full Current Market Value (CMV) of a single asset to apply to all assistance groups that include an identified owner(s) of that asset according to West Virginia business rules.	Income Maintenance Manual		X		
EE0022	1	The solution should split the Current Market Value (CMV) of an asset amongst multiple owners of the asset according to West Virginia business rules.	Income Maintenance Manual		X		
EE0023	1	The solution should modify the counting of any assets included on an applicant or client's case based on the presence of letter of disputed ownership from the individual.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0024	1	The solution should count the assets of an immigrant's sponsor on the immigrant's case.	Income Maintenance Manual	X			
EE0025	1	The solution should automatically populate the asset limit and value of the client's assets in all denial notices resulting from excessive assets.	Income Maintenance Manual		X		
EE0026	1	The solution should track the data necessary to process and determine Medicare Premium Assistance (MPA) for Medicare Part A, Part B, and Part D premiums.	Income Maintenance Manual	X			
EE0027	1	The solution should process closures prior to the scheduled end of a client's eligibility period according to West Virginia business rules.	Income Maintenance Manual		X		
EE0028	1	The solution should re-evaluate Medicaid eligibility whenever updated information that may impact eligibility is added to a client's case file.	Income Maintenance Manual	X			
EE0029	1	The solution should produce the DFA-HIP-1 (Certificate of Coverage) when a client's Medicaid coverage ends.	Income Maintenance Manual		X		
EE0030	1	The solution should allow an authorized system user to indicate that a case has an absent parent, and modify handling of the client's case based on the entry contained in that field.	Income Maintenance Manual	X			
EE0031	1	The solution should implement a postpartum eligibility period for pregnant women of a configurable duration.	Income Maintenance Manual	X			
EE0032	1	The solution should perform an automated re-determination using electronic data matches with external data sources.	Income Maintenance Manual		X		
EE0033	1	The solution should automatically close eligibility at the end of the month in which the adverse notice deadline occurred if no re-determination is completed according to West Virginia business rules.	Income Maintenance Manual		X		
EE0034	1	The solution should allow a client to report a change in circumstances during their certification period through the client portal.	Income Maintenance Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0035	1	The solution should support the process for rolling renewals, which requires that clients be provided with a new certification period if they are found eligible for ongoing coverage as a result of a reported change in circumstance according to West Virginia business rules.	Income Maintenance Manual		X		
EE0036	1	The solution should support Medicaid and WVCHIP eligibility re-determination for all eligibility types based on reported changes according to West Virginia business rules.	Income Maintenance Manual		X		
EE0037	1	The solution should allow authorized system users to manually correct an incorrect eligibility period(s).	Income Maintenance Manual	X			
EE0038	1	The solution should execute a "mass change" to apply the same change and automatically update each case in a subset of client cases selected by querying the client database for any field on the case.	Income Maintenance Manual	X			
EE0039	1	The solution should execute a "mass change" to apply the same change and automatically redetermine eligibility for each case in a sub-set of client cases selected by querying the client data base.	Income Maintenance Manual	X			
EE0040	1	The solution should support the resource development process as described in Income Maintenance Manual (IMM) Chapter Five (5).	Income Maintenance Manual		X		
EE0041	1	The solution should produce a pending Medicaid number according to West Virginia business rules.	Income Maintenance Manual		X		
EE0042	1	The solution should produce and assign a unique Medicaid identification (MA ID) number for Medicaid recipients only.	Income Maintenance Manual		X		
EE0043	1	The solution should capture multiple addresses for an individual, and identify the address type (e.g., mailing, physical, temporary, etc.).	Income Maintenance Manual	X			
EE0044	1	The solution should determine an individual eligible for Medicaid under a "pass through" according to West Virginia business rules.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0045	1	The solution should implement an integrated process to complete the disability determination according to West Virginia business rules specified in Chapter 12 of the Income Maintenance Manual (IMM).	Income Maintenance Manual		X		
EE0046	1	The solution should receive case materials from the Medical Review Team (MRT) and append these materials to the relevant client file.	Income Maintenance Manual		X		
EE0047	1	The solution should allow the system user to view and track SSI-related disability eligibility determination cases by the age of the case.	Income Maintenance Manual	X			
EE0048	1	The solution should allow for initial and final reviews of medical information and eligibility determinations.	Income Maintenance Manual	X			
EE0049	1	The solution should allow a system user to bypass certain steps in the determination of disability or blindness according to West Virginia business rules.	Income Maintenance Manual		X		
EE0050	1	The solution should allow the eligibility for all other Medicaid coverage groups for an applicant to be considered if a Medicaid application is denied or a benefit is stopped because SSA found a client not disabled for the purposes of SSI.	Income Maintenance Manual	X			
EE0051	1	The solution should track if a client has, or is currently applying for, Social Security benefits based upon their disability.	Income Maintenance Manual	X			
EE0052	1	The solution should automatically append income generated through the Children with Special Care Needs (CSCN) program to the case file and trigger an eligibility re-determination.	Income Maintenance Manual		X		
EE0053	1	The solution should compare the income/ assets of all persons in the income group against the eligibility thresholds for the number of persons in the needs group to determine those in the assistance group that are eligible for benefits according to West Virginia's business rules.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0054	1	The solution should provide a preliminary determination of whether an applicant may be required to file a federal tax return based on household size and income.	Income Maintenance Manual	X			
EE0055	1	The solution should automatically determine individuals eligible for specific Medicaid eligibility groups based on information provided by external data sources according to West Virginia business rules.	Income Maintenance Manual		X		
EE0056	1	The solution should allow exchanging information from the Medicaid eligibility group of a client with another West Virginia assistance program to support the eligibility lifecycle of that program.	Income Maintenance Manual		X		
EE0057	1	The solution should make eligibility determinations using the Modified Adjusted Gross Income (MAGI) methodology according to West Virginia business rules.	Income Maintenance Manual		X		
EE0058	1	The solution should track the source of all income attached to an individual's case.	Income Maintenance Manual	X			
EE0059	1	The solution should be configurable to allow for income disregard amounts to be used in the eligibility determination.	Income Maintenance Manual	X			
EE0060	1	The solution should be configurable to allow for income deduction amounts to be used in the eligibility determination.	Income Maintenance Manual	X			
EE0061	1	The solution should determine eligibility using the Aid to Families with Dependent Children (AFDC) income methodology according to West Virginia business rules.	Income Maintenance Manual		X		
EE0062	1	The solution should determine eligibility for individuals who are unable to provide all data typically required to establish a complete Medicaid application.	Income Maintenance Manual	X			
EE0063	1	The solution should accept auto-enrollment in specific Medicaid eligibility groups based on data delivered by other external entities.	Income Maintenance Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0064	1	The solution should track an applicant's status as a "Battered Aliens/ Aliens Subjected To Extreme Cruelty" and allow for modified handling of the case based on this status.	Income Maintenance Manual	X			
EE0065	1	The solution should require that the system user enter evidence supporting the applicant's status as a "Battered Aliens/Aliens Subjected To Extreme Cruelty".	Income Maintenance Manual	X			
EE0066	1	The solution should submit an online application for the Health Insurance Premium Payment (HIPP) program assistance for Medicaid-eligible individuals according to West Virginia business rules.	Income Maintenance Manual		X		
EE0067	1	If an applicant is found eligible for multiple coverage groups, the solution should provide the ability for an applicant to choose which eligibility group they wish to be found eligible for.	Income Maintenance Manual	X			
EE0068	1	The solution should allow a member to be enrolled in one eligibility group while awaiting a final determination of eligibility on a separate eligibility group.	Income Maintenance Manual	X			
EE0069	1	The solution should pend benefits to allow an applicant time to gather any additional documentation requested by the system user.	Income Maintenance Manual	X			
EE0070	1	The solution should evaluate all applications for all other assistance programs based on the available information.	Income Maintenance Manual	X			
EE0071	1	The solution should automatically enroll participants in Medicaid and WVCHIP using the data delivered by the Federally Facilitated Marketplace (FFM) according to West Virginia's business rules, except in cases where West Virginia business rules require that additional information be obtained from the client or manual review is required by a system user.	Income Maintenance Manual		X		
EE0072	1	The solution should allow a user to complete a re-determination online.	Income Maintenance Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0073	1	The solution should allow re-determinations submitted online to be processed automatically except when West Virginia business rules require that a system user manually review the case.	Income Maintenance Manual		X		
EE0074	1	The solution should automatically evaluate eligibility for other coverage groups if a re-determination is denied.	Income Maintenance Manual	X			
EE0075	1	The solution should automatically apply the West Virginia business rules for reasonable compatibility.	Income Maintenance Manual		X		
EE0076	1	The solution should allow coverage to remain open in more than one group at the same time according to West Virginia business rules.	Income Maintenance Manual		X		
EE0077	1	The solution should allow individuals to be added to a household assistance group without completing an application form according to West Virginia business rules.	Income Maintenance Manual		X		
EE0078	1	The solution should provide the information necessary to calculate co-payment amounts to the West Virginia Medicaid Management Information System (MMIS).	Income Maintenance Manual		X		
EE0079	1	The solution should support the Children with Special Health Care Needs (CSHCN) program administered by the Office for Maternal, Child, and Family Health.	Medicaid Provider Manual Chapter 400, Member Eligibility			X	
EE0080	1	The solution should determine if the applicant is a Medicare Premium Assistance (MPA) recipient, a recipient of other Department of Health and Human Resources (DHHR) program benefits, or is unknown to the eligibility enterprise, and respond according to West Virginia business rules when a LIS file is received.	Income Maintenance Manual		X		
EE0081	1	The solution should allow a system user designated as an Authorized Employee to conduct Presumptive Eligibility determinations and submit a full Medicaid eligibility application.	Income Maintenance Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0082	1	The solution should provide for a seamless transition between the Presumptive Eligibility period and the full Medicaid eligibility period.	Income Maintenance Manual	X			
EE0083	1	The solution should provide for a seamless transition between the Presumptive Eligibility application and the full Medicaid eligibility application.	Income Maintenance Manual	X			
EE0084	1	The solution should make presumptive determinations of eligibility according to West Virginia business rules.	Income Maintenance Manual		X		
EE0085	1	The solution should support an abbreviated application for use in the Presumptive Eligibility program according to West Virginia business rules.	Income Maintenance Manual		X		
EE0086	1	The Vendor should manage the authorized employee enrollment process according to West Virginia business rules.	Income Maintenance Manual		X		
EE0087	1	The solution should generate a temporary Medicaid card to support the Presumptive Eligibility program.	Medicaid Provider Manual Chapter 400, Member Eligibility		X		
EE0088	1	The solution should track presumptive eligibility components by facility and approval rating.	Medicaid Provider Manual Chapter 400, Member Eligibility			X	
EE0089	1	The solution should conduct an eligibility determination for the special pharmacy program according to West Virginia business rules	Income Maintenance Manual		X		
EE0090	1	The solution should transfer an application for special pharmacy benefits from the solution to the Bureau for Medical Services (BMS) Medicaid policy unit for determination of eligibility.	Income Maintenance Manual		X		
EE0091	1	The solution should transfer a notification that an individual may be receiving duplicate benefits for the coverage of immunosuppressant drugs to the Bureau for Medical Services (BMS) Medicaid policy unit.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0092	1	The solution should automatically terminate eligibility for Transitional Medicaid if the client does not return any Periodic Review Letter (PRL) in a timely manner according to West Virginia business rules.	Income Maintenance Manual		X		
EE0093	1	The solution should verify an applicant's foster care status in the State of West Virginia.	Income Maintenance Manual		X		
EE0094	1	The solution should allow verified income information from one assistance program to be used for an eligibility determination for another program based on the business rules of each program.	Income Maintenance Manual	X			
EE0095	1	The solution should require that whenever a Social Security Number (SSN) is used through the client portal and the abbreviated application for Presumptive Eligibility, it is entered twice to verify that the number has been entered accurately.	Income Maintenance Manual	X			
EE0096	1	The solution should continue with an eligibility determination process even if a Social Security Number (SSN) has not yet been verified.	Income Maintenance Manual	X			
EE0097	1	The solution should allow an authorized user to view Social Services data for eligibility verification. (For example, to verify whether a child aged out of the West Virginia foster care system and to obtain provider income and client detail information.)	Income Maintenance Manual	X			
EE0098	1	The solution should view the last time a verified data element was verified with an external or internal data source.	Income Maintenance Manual	X			
EE0099	1	The solution should support the verification process for the following:	Income Maintenance Manual	X			
EE0100	2	Asset and asset disregard	Income Maintenance Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0101	2	Income	Income Maintenance Manual	X			
EE0102	2	Income deductions	Income Maintenance Manual	X			
EE0103	2	Work requirements	Income Maintenance Manual	X			
EE0104	2	Enumeration	Income Maintenance Manual	X			
EE0105	2	Categorical relatedness	Income Maintenance Manual	X			
EE0106	2	General factors for all programs.	Income Maintenance Manual	X			
EE0107	1	The solution should capture all of the information necessary to support the documentation, review, and eligibility determination of a pending application.	Income Maintenance Manual	X			
EE0108	1	The solution should withhold, deduct, or otherwise reduce benefits from Electronic Benefit Transfer (EBT) accounts according to West Virginia business rules.	Income Maintenance Manual		X		
EE0109	1	The solution should track the number of replacement Electronic Benefit Transfer (EBT) cards issued according to West Virginia business rules.	Income Maintenance Manual		X		
EE0110	1	The solution should generate an education letter for excess Electronic Benefit Transfer (EBT) card replacements based on West Virginia business rules.	Income Maintenance Manual		X		
EE0111	1	The solution should select a different authorized cardholder for each benefit.	Income Maintenance Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0112	1	The solution should allow an authorized system user to designate, change, and remove an authorized Electronic Benefits Transfer (EBT) cardholder.	Income Maintenance Manual	X			
EE0113	1	The solution should support the ability for legal guardians to receive Electronic Benefits Transfer (EBT) cards on behalf of the client.	Income Maintenance Manual	X			
EE0114	1	The solution should support the ability for protective payees to receive Electronic Benefits Transfer (EBT) cards on behalf of the client.	Income Maintenance Manual	X			
EE0115	1	The solution should allow an authorized system user to reactivate an Electronic Benefits Transfer (EBT) account.	Income Maintenance Manual	X			
EE0116	1	The solution should allow the system user to determine whether an applicant has an existing Electronic Benefits Transfer (EBT) account.	Income Maintenance Manual	X			
EE0117	1	The solution should limit the number of Electronic Benefits Transfer (EBT) cards issued for any case according to West Virginia business rules.	Income Maintenance Manual		X		
EE0118	1	The solution should automatically disenroll the client from direct deposit whenever notification is received that their direct deposit transaction could not be completed.	Income Maintenance Manual		X		
EE0119	1	The solution should allow the system user to deactivate the Electronic Benefits Transfer (EBT) Card and/or PIN for an EBT Card and/or PIN according to West Virginia business rules.	Full Financial Clerks Manual		X		
EE0120	1	For Child Support debit cards, The solution should store notes in the customer's account and the negotiable log for the reason(s) why the card was returned.	Full Financial Clerks Manual		X		
EE0121	1	The solution should create and update a "negotiable log" for entering information about Electronic Benefit Transfer (EBT) cards received by mail in the local office.	Income Maintenance Manual		X		
EE0122	1	The solution should verify residency of the deceased for burial assistance eligibility determinations.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0123	1	The solution should support assignment of support rights to the State according to West Virginia business rules.	BCSE Policy Manual	X			
EE0124	1	The solution should support continuation of Bureau for Child Support Enforcement (BCSE) services for cases tied to other state assistance programs after the client's eligibility for those programs has ended, according to West Virginia business rules.	BCSE Policy Manual	X			
EE0125	1	The solution should support the manual application process for all Bureau for Child Support Enforcement (BCSE) services, according to West Virginia business rules.	BCSE Policy Manual	X			
EE0126	1	The solution should track the target return date for all establishment forms according to West Virginia business rules.	BCSE Policy Manual	X			
EE0127	1	The solution should automatically open and assign a child support case upon receipt of a transmittal through the Federal Case Registry or Child Support Enforcement Network.	BCSE Policy Manual	X			
EE0128	1	The solution should establish a file on cases received manually from other states according to West Virginia business rules.	BCSE Policy Manual	X			
EE0129	1	The solution should allow for the capture and maintenance of the application requested date.	Child Support Enforcement: A Guide for States	X			
EE0130	1	The solution should allow for the capture and maintenance of the date the application and program information was sent to the applicant.	Child Support Enforcement: A Guide for States	X			
EE0131	1	The solution should allow for the capture and maintenance of the date the signed application and fee were received from the applicant.	Child Support Enforcement: A Guide for States	X			
EE0132	1	The solution should support the establishment of a case record within twenty (20) calendar days of receipt of a signed application.	Child Support Enforcement: A Guide for States	X			
EE0133	1	The solution should automatically submit a case to the Federal Case Registry.	Child Support Enforcement: A Guide for States		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0134	1	The solution should automatically accept automated referrals from the State IV-A agency.	Child Support Enforcement: A Guide for States		X		
EE0135	1	The solution should accept and process all required fields tied to State IV-A referrals established in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States		X		
EE0136	1	The solution should automatically accept automated referrals from the State IV-E (Foster Care) agency.	Child Support Enforcement: A Guide for States		X		
EE0137	1	The solution should automatically record, in the automated case record, the date the IV-E referral was received.	Child Support Enforcement: A Guide for States	X			
EE0138	1	The solution should accept and process all required IV-E referral information established in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States		X		
EE0139	1	The solution should automatically accept automated referrals from the State Medicaid agency.	Child Support Enforcement: A Guide for States		X		
EE0140	1	The solution should automatically record, in the automated case record, the date the Medicaid referral was received.	Child Support Enforcement: A Guide for States	X			
EE0141	1	The solution should accept and process all required Medicaid referral information fields established in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0142	1	The solution should automatically establish unique numbers (i.e., IV-D case identification numbers and participant identification numbers) that allow for case identification and the linking of cases to multiple non-custodial parents and obligations.	Child Support Enforcement: A Guide for States	X			
EE0143	1	The solution should use and include, or accept the IV-D case identifier in all scenarios established in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States		X		
EE0144	1	The solution should identify all IV-D and non IV-D case types established in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States, according to West Virginia business rules.	Child Support Enforcement: A Guide for States		X		
EE0145	1	The solution should track whether a Medicaid-Only Title IV-D client wants services related to securing medical support.	Child Support Enforcement: A Guide for States	X			
EE0146	1	The solution should only initiate medical support services for Medicaid-Only IV-D cases, when the client indicates they only want services related to securing medical support.	Child Support Enforcement: A Guide for States	X			
EE0147	1	The solution should initiate all appropriate Title IV-D services for Medicaid-Only Title IV-D cases, if the client does not indicate that they only wish to receive medical support.	Child Support Enforcement: A Guide for States	X			
EE0148	1	The solution should provide, for automated case records, a comprehensive and chronological case history of all actions taken, whether manual or automated.	Child Support Enforcement: A Guide for States	X			
EE0149	1	The solution should track the assignment of Medical Support Rights according to West Virginia business rules.	Income Maintenance Manual		X		
EE0150	1	The solution should accept and maintain all required identifying information about the non-custodial parent established in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0151	1	The solution should accept and maintain all required identifying information about the caretaker established in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States	X			
EE0152	1	The solution should accept and maintain all required identifying information about the children established in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States	X			
EE0153	1	The solution should maintain information that indicates whether a participant is subject to family violence according to West Virginia policy.	Child Support Enforcement: A Guide for States	X			
EE0154	1	The solution should accept and maintain the required information on non-IV-D orders for inclusion with IV-D cases in the State Case Registry for transmission to the Federal Case Registry as established in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States	X			
EE0155	1	The solution should accept updates to the mandatory data elements for non-IV-D cases and requests for deletion of non-IV-D orders on the State Case Registry as established in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States		X		
EE0156	1	The solution should support the process of initiating an interstate case simultaneously with case creation according to West Virginia business rules.	Child Support Enforcement: A Guide for States	X			
EE0157	1	The solution should automatically record, in the automated case record, the date the IV-A referral was received.	Child Support Enforcement: A Guide for States	X			
EE0158	1	The solution should establish an automated case record for each application.	Child Support Enforcement: A Guide for States	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0159	1	The solution should establish an automated case record for each referral.	Child Support Enforcement: A Guide for States	X			
EE0160	1	The solution should capture health and safety requirements according to West Virginia business rules.	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0161	1	The solution should track health and safety requirements according to West Virginia business rules.	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0162	1	The solution should link the provider identification (ID) number to all provider-related data and notifications.	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0163	1	The solution should allow a provider with multiple sites to have a unique identification number for each site.	Child Care Subsidy Policies and Procedures Manual		X		
EE0164	1	The solution should enable service providers to complete a letter of intent prior to completion of an application.	Child Care Center Information Packet		X		
EE0165	1	The solution should enable service providers to submit a letter of intent prior to completion of an application.	Child Care Center Information Packet		X		
EE0166	1	The solution should enable service providers to complete a needs assessment prior to completion of an application.	Child Care Center Information Packet		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0167	1	The solution should enable service providers to submit a needs assessment prior to completion of an application.	Child Care Center Information Packet		X		
EE0168	1	The solution should provide a configurable workflow for the child care license application process, including but not limited to the following:	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0169	2	Application	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0170	2	Submission	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0171	2	Review	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0172	2	Approval/denial notification	Child Care Provider Regulation: Policy & Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0173	2	Issuance of license	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0174	1	The solution should receive the Application for Approval for Family Child Care.	Child Care Subsidy Policies and Procedures Manual		X		
EE0175	1	The solution should prevent the granting of an initial child care provider license until all required criteria have been entered and completed.	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0176	1	The solution should support the application of variances and waivers to certain specific licensing/registration rules, according to West Virginia business rules.	Child Care Provider Regulation: Policy & Procedures Manual			X	
EE0177	1	The solution should capture information about each waiver and variance.	Child Care Provider Regulation: Policy & Procedures Manual			X	
EE0178	1	The solution should support the process to review each request for a waiver or variance according to West Virginia business rules.	Child Care Provider Regulation: Policy & Procedures Manual			X	

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0179	1	The solution should support the dual provider waiver process including application, review, and approval or denial.	Child Care Provider Regulation: Policy & Procedures Manual			X	
EE0180	1	The solution should track scheduled child care provider fingerprinting according to West Virginia business rules.	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0181	1	The solution should prevent the registration or licensure of any home or facility according to West Virginia business rules.	Child Care Provider Regulation: Policy & Procedures Manual			X	
EE0182	1	The solution should inform the Child Care Resource & Referral system user when the application for registration or approval has been denied.	Child Care Subsidy Policies and Procedures Manual		X		
EE0183	1	The solution should capture data related to monitoring activities, including but not limited to: data pertaining to the physical inspection of the facility and the determination of compliance with applicable rules.	Child Care Provider Regulation: Policy & Procedures Manual			X	
EE0184	1	The solution should support the on-site evaluation process.	Child Care Provider Regulation: Policy & Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0185	1	The solution should capture on-site evaluation notes within the checklist of observable standards.	Child Care Provider Regulation: Policy & Procedures Manual			X	
EE0186	1	The solution should maintain configurable checklists by provider type, which are completed during site visits and inspections.	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0187	1	The solution should track staff investigations and inspections of all provider types, including the entry of observations, issues, and case notes.	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0188	1	The solution should schedule service provider visits for establishing, postponing, or canceling visits.	Child Care Provider Regulation: Policy & Procedures Manual			X	
EE0189	1	The solution should distinguish between inspection types according to West Virginia business rules.	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0190	1	The solution should create a report of cases of observed non-compliance for reporting to the State Quality Rating and Improvement System (QRIS) Coordinator.	Child Care Provider Regulation: Policy & Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0191	1	The solution should generate corrective action plans, unique to each service provider, with configurable time frame tracking based on the date of issuance.	Child Care Provider Regulation: Policy & Procedures Manual			X	
EE0192	1	The solution should flag licensing requirements as needing follow-up and assign configurable timeframes for completion.	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0193	1	The solution should identify all child care providers who are participating in the child care subsidy system.	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0194	1	The solution should identify provider applications as invalid or withdrawn and include the reason.	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0195	1	The solution should support the child care provider license revocation process.	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0196	1	The solution should process a request for closure.	Child Care Provider Regulation: Policy & Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0197	1	The solution should generate checklists of child care regulations according to West Virginia business rules.	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0198	1	The solution should allow authorized system users to add, modify, and delete child care regulations.	Not Applicable		X		
EE0199	1	The solution should provide worksheets for system users to complete the following, according to West Virginia business rules:	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0200	2	Capacity computations for indoor and outdoor space	Child Care Provider Regulation: Policy & Procedures Manual			X	
EE0201	2	Staffing level needed based on staff schedule and capacity by age group	Child Care Provider Regulation: Policy & Procedures Manual			X	
EE0202	2	Inventory of required equipment	Child Care Provider Regulation: Policy & Procedures Manual			X	
EE0203	1	The solution should support the provider application decision process according to West Virginia business rules.	Child Care Provider Regulation: Policy & Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0204	1	The solution should allow a system user to complete electronic inspection reports.	Not Applicable		X		
EE0205	1	The solution should allow a system user to complete the inspection checklist.	Not Applicable		X		
EE0206	1	The solution should support the child care licensing process according to West Virginia business rules.	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0207	1	The solution should prevent the printing of a license that does not have the appropriate approval.	Not Applicable		X		
EE0208	1	The solution should record serious occurrence reports made by providers according to West Virginia business rules.	Child Care Provider Regulation: Policy & Procedures Manual			X	
EE0209	1	The solution should support the emergency child care center closure process according to West Virginia business rules.	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0210	1	The solution should allow the system user to request a certificate of registration upon completion of inspection report.	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0211	1	The solution should calculate the capacity for a registered home based upon the ages of provider's children according to West Virginia business rules.	Child Care Provider Regulation: Policy & Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0212	1	The solution should identify incomplete fields in the provider record prior to requesting approval for issuance of a final certificate of registration or license.	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0213	1	The solution should allow authorized system users to conduct investigations in the field, with access to all worksheets that support the investigation process.	Not Applicable		X		
EE0214	1	The solution should generate a summary investigation report in a text document that includes, but is not limited to, the following information:	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0215	2	The statement of complaint	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0216	2	Dates the investigation was conducted	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0217	2	Specific violations found	Child Care Provider Regulation: Policy & Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0218	2	Technical assistance provided/recommended	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0219	2	Corrective action plan issued	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0220	2	Negative action recommended	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0221	1	The solution should determine a child care provider applicant's exempt status according to West Virginia business rules.	Child Care Provider Regulation: Policy & Procedures Manual		X		
EE0222	1	The solution should support the secure web-based submission and review of provider applications for quality tier ratings according to West Virginia business rules.	Child Care Licensing Policy		X		
EE0223	1	The solution should support the process of submission, review, and tracking of requests/applications for, and distributions of funds to support the cost of accreditation or to request a mentor through the Center Accreditation Support Services (CASS) program via a secure web application.	Child Care Licensing Policy		X		
EE0224	1	The solution should support the suspension process for Family Child Care according to West Virginia business rules.	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0225	1	The solution should allow an applicant to complete an application for child care assistance online.	Child Care Subsidy Policies and Procedures Manual		X		
EE0226	1	The solution should receive an application for child care assistance that was completed online.	Child Care Subsidy Policies and Procedures Manual		X		
EE0227	1	The solution should support the child care assistance application process.	Child Care Subsidy Policies and Procedures Manual		X		
EE0228	1	The solution should support the child care assistance reapplication process.	Child Care Subsidy Policies and Procedures Manual		X		
EE0229	1	The solution should support the child care assistance status change process.	Child Care Subsidy Policies and Procedures Manual		X		
EE0230	1	The solution should support the child care assistance redetermination process.	Child Care Subsidy Policies and Procedures Manual		X		
EE0231	1	The solution should automatically close applications according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
EE0232	1	The solution should allow a system user to update a household case when the household reports a change.	Child Care Subsidy Policies and Procedures Manual	X			
EE0233	1	The solution should allow for a client status change re-assessment of a case when certain changes are reported according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0234	1	The solution should determine a family or child's eligibility for child care services according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
EE0235	1	The solution should determine eligibility for children in foster or kinship/relative care according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
EE0236	1	The solution should determine a family's need for child care services according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
EE0237	1	The solution should calculate the number of hours of child care a family is eligible for according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
EE0238	1	The solution should determine eligibility for job search time according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
EE0239	1	The solution should allow the system user to document the method of verification.	Child Care Subsidy Policies and Procedures Manual	X			
EE0240	1	The solution should associate verification documentation to a case record.	Income Maintenance Manual	X			
EE0241	1	The solution should capture verification of client information, including but not limited to: identity, citizenship, West Virginia residency, income, employment, school, training, WV WORKS participation, and foster parent and kinship/relative caretaker status, according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
EE0242	1	The solution should support an approval workflow for policy exceptions according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0243	1	The solution should support the need for overnight care.	Child Care Subsidy Policies and Procedures Manual		X		
EE0244	1	The solution should determine an applicant's financial eligibility for child care services at entry according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
EE0245	1	The solution should determine an applicant's financial eligibility for child care services at exit according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
EE0246	1	The solution should determine a client's financial eligibility for child care services at entry according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
EE0247	1	The solution should determine a client's financial eligibility for child care services at exit according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
EE0248	1	The solution should determine family size according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
EE0249	1	The solution should calculate a family's monthly gross income according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
EE0250	1	The solution should capture all forms of countable income according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
EE0251	1	The solution should calculate net income from self-employment according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0252	1	The solution should capture allowable deductions in calculating net income according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
EE0253	1	The solution should calculate unearned income from all sources according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
EE0254	1	The solution should convert income received on other than a monthly basis to a monthly income according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
EE0255	1	The solution should allow a system user to search for and identify providers who have been previously denied or terminated as a provider.	Child Care Subsidy Policies and Procedures Manual	X			
EE0256	1	The solution should track preservice orientation and training attended by providers.	Child Care Subsidy Policies and Procedures Manual		X		
EE0257	1	The solution should process the four types of child care applications, including the following:	Not Applicable		X		
EE0258	2	Application Determination	Not Applicable		X		
EE0259	2	Review	Not Applicable		X		
EE0260	2	Re-Application Determination	Not Applicable		X		
EE0261	2	Client Status Change Application	Not Applicable		X		
EE0262	1	The solution should update the reasons for needing child care.	Not Applicable			X	
EE0263	1	The solution should allow the system user to review and update the Child Care Determination.	Not Applicable		X		
EE0264	1	The solution should display the information collected during the intake process concerning family eligibility for child care services.	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0265	1	The solution should allow the Early Care and Education (ECE) role to approve the Policy Exception requests.	Not Applicable		X		
EE0266	1	The solution should allow the Early Care and Education (ECE) role to view Policy Exceptions.	Not Applicable		X		
EE0267	1	The solution should allow the system user to create an intake for the child care system.	Not Applicable			X	
EE0268	1	The solution should allow the system user to create a Participating Adult-Head of Household client for child care eligibility.	Not Applicable		X		
EE0269	1	The solution should allow the system user to create a Participating Adult-Not Head of Household client for child care eligibility.	Not Applicable		X		
EE0270	1	The solution should create a Participating as Child client who needs child care for child care eligibility.	Not Applicable		X		
EE0271	1	The solution should create a Foster Child client for child care eligibility.	Not Applicable		X		
EE0272	1	The solution should create a Non-Participating Member client for child care eligibility.	Not Applicable		X		
EE0273	1	The solution should create a Department of Health and Human Resources (DHHR) Kinship Relative Child client for child care eligibility.	Not Applicable		X		
EE0274	1	The solution should allow the system user to select the reason(s) the Participating Adult-Head of Household and/or Participating Adult-Not Head of Household need child care.	Not Applicable		X		
EE0275	1	The solution should allow the system user to create a history of school attendance when Going to School is chosen as a reason for needing child care.	Not Applicable			X	
EE0276	1	The solution should allow the system user to create a history of Other Activity when WV WORKS is chosen as a reason for needing child care.	Not Applicable			X	
EE0277	1	The solution should create a Schedule for Participating Adult-Head of Household and/or Participating Adult-Not Head of Household for the purpose of viewing how much care is needed in a given week.	Not Applicable			X	

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0278	1	The solution should display the household checklist during the creation of a child care household.	Not Applicable			X	
EE0279	1	The solution should provide the client data necessary to calculate WVCHIP premium amounts to the West Virginia Medicaid Management Information System (MMIS).	Not Applicable		X		
EE0280	1	The solution should reconcile eligibility differences between the solutions database and other systems such as the Medicaid Management Information System (MMIS) on at least a monthly basis.	West Virginia CHIP Process Flow - July 2014		X		
EE0281	1	The solution should provide a process of reconciling the West Virginia Children's Health Insurance Program (WVCHIP) coverage spans when discrepancies are identified.	West Virginia CHIP Process Flow - July 2014		X		
EE0282	1	The solution should process redeterminations for WVCHIP according to West Virginia business rules.	West Virginia CHIP Process Flow - July 2014		X		
EE0283	1	The solution should process deemed newborn children born to mothers enrolled as targeted low-income children.	West Virginia State Plan Amendment #: WV-13-0001	X			
EE0284	1	The solution should process eligibility for WVCHIP within the specified waiting period according to West Virginia business rules.	West Virginia CHIP State Plan Amendment #10		X		
EE0285	1	The solution should allow applications or re-applications to be received from any entity approved to take a WVCHIP application.	Income Maintenance Manual		X		
EE0286	1	The solution should exempt newborns from citizenship verification according to West Virginia business rules.	Income Maintenance Manual		X		
EE0287	1	The solution should modify the start of coverage according to West Virginia business rules.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0288	1	The solution should use the data delivered by the Federally Facilitated Marketplace to automatically enroll clients for WVCHIP using West Virginia's business rules, except in cases where West Virginia's business rules require that additional information be obtained from the client or manual review is required by a system user.	Income Maintenance Manual		X		
EE0289	1	The solution should support the system user in determining if the applicant meets the good cause criteria according to West Virginia business rules.	Income Maintenance Manual		X		
EE0290	1	The solution should determine initial eligibility according to Title IV-E eligibility and according to West Virginia business rules.	Not Applicable	X			
EE0291	1	The solution should record the legal requirements (judicial determinations) related to IV-E eligibility.	Not Applicable	X			
EE0292	1	The solution should track the legal requirements (judicial determinations) related to IV-E eligibility.	Not Applicable	X			
EE0293	1	The solution should, during initial eligibility determination, track a child's IV-E eligibility in an out-of-home placement.	Not Applicable	X			
EE0294	1	The solution should record eligibility determination decisions.	Not Applicable	X			
EE0295	1	The solution should generate eligibility determination documents.	Not Applicable	X			
EE0296	1	The solution should process redeterminations.	Not Applicable	X			
EE0297	1	The solution should generate eligibility redetermination documents.	Not Applicable	X			
EE0298	1	The solution should track time-sensitive actions for IV-B and IV-E cases according to West Virginia business rules.	Not Applicable	X			
EE0299	1	The solution should maintain and link data used for determining eligibility for IV-E payments.	Not Applicable	X			
EE0300	1	The solution should support the Residential Childcare and Child Placing licensing regulatory review process according to West Virginia business rules.	Child Welfare Licensure Inquiry Information			X	

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0301	1	The solution should provide decision support to assist the user in determining eligibility for State Paid Kinship Care Placement Payment according to West Virginia business rules.	Foster Care Policy	X			
EE0302	1	The solution should prevent the generation of multiple medical cards for one individual according to West Virginia business rules.	Foster Care Policy		X		
EE0303	1	The solution should determine a foster child's eligibility for Continued Medicaid coverage according to West Virginia business rules.	Foster Care Policy		X		
EE0304	1	The solution should establish a foster child's Continued Medicaid coverage eligibility period according to West Virginia business rules.	Foster Care Policy		X		
EE0305	1	The solution should redetermine a foster child's eligibility for Continued Medicaid coverage according to West Virginia business rules	Foster Care Policy		X		
EE0306	1	The solution should allow the system user to terminate a foster child's Continued Medicaid coverage according to West Virginia business rules.	Foster Care Policy		X		
EE0307	1	The solution should allow the system user to process changes that impact a foster child's Medicaid eligibility reported by the family according to West Virginia business rules.	Foster Care Policy		X		
EE0308	1	The solution should support the Transitional Living eligibility determination process according to West Virginia business rules.	Foster Care Policy	X			
EE0309	1	The solution should allow a system user to enter all Residential Childcare and Child Placing Licensing applications according to West Virginia business rules.	Residential Child Care Licensing Definitions			X	
EE0310	1	The solution should schedule an on-site visit.	Residential Child Care Licensing Definitions			X	
EE0311	1	The solution should allow the appropriate system user to enter information about on-site visits according to West Virginia business rules.	Residential Child Care Licensing Definitions			X	

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0312	1	The solution should allow the appropriate system user to make a decision on an application according to West Virginia business rules.	Residential Child Care Licensing Definitions			X	
EE0313	1	The solution should generate a list of areas of non-compliance according to West Virginia business rules.	Residential Child Care Licensing Definitions			X	
EE0314	1	The solution should allow the system user to enter information about approved waivers and variances to specific regulations according to West Virginia business rules.	Residential Child Care Licensing Definitions			X	
EE0315	1	The solution should allow the provider to submit a request for a waiver or variance to specific regulations according to West Virginia business rules.	Residential Child Care Licensing Definitions			X	
EE0316	1	The solution should allow the system user to record the category of the license issued according to West Virginia business rules.	Residential Child Care Licensing Definitions			X	
EE0317	1	The solution should allow the system user to record the approval date and expiration date of the license issued according to West Virginia business rules.	Residential Child Care Licensing Definitions			X	
EE0318	1	The solution should allow the appropriate system user to amend the license according to West Virginia business rules.	Residential Child Care Licensing Definitions			X	
EE0319	1	The solution should support the suspension of placements process according to West Virginia business rules.	Residential Child Care Licensing Definitions			X	
EE0320	1	The solution should allow the system user to enter required information about the license amendment or modification according to West Virginia business rules.	Residential Child Care Licensing Definitions			X	
EE0321	1	The solution should allow the system user to enter required information about a suspension of placement with a provider according to West Virginia business rules.	Residential Child Care Licensing Definitions			X	
EE0322	1	The solution should allow the system user to revoke a license according to West Virginia business rules.	Residential Child Care Licensing Definitions			X	

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0323	1	The solution should allow the user to enter required information about the license revocation according to West Virginia business rules.	Residential Child Care Licensing Definitions			X	
EE0324	1	The solution should allow the system user to document any delays in the home study process.	Homefinding Policy			X	
EE0325	1	The solution should allow the system user to complete the Home Study Report, pre-populating the document with previously entered data when possible, according to West Virginia business rules.	Homefinding Policy	X			
EE0326	1	The solution should support the waiver request process for providers according to West Virginia business rules.	Homefinding Policy		X		
EE0327	1	The solution should support the waiver approval process for providers according to West Virginia business rules.	Homefinding Policy		X		
EE0328	1	The solution should allow the system user to document the home study denial including the reasons for the denial according to West Virginia business rules.	Homefinding Policy		X		
EE0329	1	The solution should assist the system user with the process to review requests to be a formal or informal respite provider according to West Virginia business rules.	Homefinding Policy			X	
EE0330	1	The solution should support the provider recertification process according to West Virginia business rules.	Homefinding Policy		X		
EE0331	1	The solution should support the process to request a policy waiver to allow a provider to deliver services to more than one program simultaneously (dual provider) according to West Virginia business rules.	Homefinding Policy		X		
EE0332	1	The solution should support the process to approve a policy waiver to allow a provider to deliver services to more than one program simultaneously (dual provider) according to West Virginia business rules.	Homefinding Policy		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0333	1	The solution should maintain a control number for all Emergency Assistance applications	Income Maintenance Manual		X		
EE0334	1	The solution should determine Emergency Assistance eligibility based on West Virginia business rules.	Income Maintenance Manual		X		
EE0335	1	The solution should determine eligibility requirements for specific items of need according to West Virginia business rules.	Income Maintenance Manual		X		
EE0336	1	The solution should include availability of income to the applicant and all other members of the AG in determining eligibility.	Income Maintenance Manual	X			
EE0337	1	The solution should deny an Emergency Assistance application if the emergency need was met by community resources.	Income Maintenance Manual		X		
EE0338	1	The solution should determine if an applicant for Emergency Assistance meets eligibility requirements for federally-matched emergency assistance (Title IV-A).	Income Maintenance Manual		X		
EE0339	1	The solution should support the complete eligibility lifecycle for the Supplemental Nutrition Assistance Program (SNAP) according to West Virginia business rules.	Income Maintenance Manual		X		
EE0340	1	The solution should capture if an applicant or client is meeting work requirements through WV WORKS, and automatically update work requirements for the Supplemental Nutrition Assistance Program (SNAP) accordingly.	Income Maintenance Manual		X		
EE0341	1	The solution should identify and distinguish between an individual who is an undocumented alien and an alien under the five-year ban.	Income Maintenance Manual	X			
EE0342	1	The solution should prevent multiple parents or stepparents from claiming exempt status for work requirements based upon the Care For A Disabled Family Member exemption.	Income Maintenance Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0343	1	The solution should make Disaster Supplemental Nutrition Assistance Program (D-SNAP) eligibility determinations in accordance with unique disaster-specific eligibility criteria configured by the State according to West Virginia business rules.	Income Maintenance Manual		X		
EE0344	1	The solution should track whether a disaster declaration has been made.	Income Maintenance Manual	X			
EE0345	1	The solution should restrict Disaster Supplemental Nutrition Assistance Program (D-SNAP) eligibility determinations to a specific time period during which the D-SNAP program is authorized.	Income Maintenance Manual	X			
EE0346	1	The solution should implement the unique eligibility criteria established in response to a disaster within 24 hours of the authorization to implement the Disaster Supplemental Nutrition Assistance Program (D-SNAP).	Income Maintenance Manual		X		
EE0347	1	The solution should limit Disaster Supplemental Nutrition Assistance Program (D-SNAP) eligibility to clients living or working within specific geographic areas impacted by the disaster.	Income Maintenance Manual		X		
EE0348	1	The solution should allow the Disaster Supplemental Nutrition Assistance Program (D-SNAP) eligibility criteria to vary depending on specific eligibility guidance provided in response to the disaster.	Income Maintenance Manual		X		
EE0349	1	The solution should automatically notify the correct county office when a client has been screened for Supplemental Nutrition Assistance Program (SNAP) Expedited Service eligibility.	Income Maintenance Manual		X		
EE0350	1	The solution should support the combined issuance process according to West Virginia business rules.	Income Maintenance Manual		X		
EE0351	1	The solution should receive a completed joint Supplemental Security Income (SSI) / Supplemental Nutrition Assistance Program (SNAP) application from the local Social Security Administration (SSA) office within one working day.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0352	1	The solution should redetermine the period of ineligibility based upon a request by a client.	Income Maintenance Manual	X			
EE0353	1	The solution should allow the system user to manually override the default eligibility redetermination date.	Income Maintenance Manual	X			
EE0354	1	The solution should provide system users with a list of upcoming redeterminations according to West Virginia business rules.	Income Maintenance Manual		X		
EE0355	1	The solution should support the benefit aging cycle according to West Virginia business rules.	Income Maintenance Manual		X		
EE0356	1	The solution should track the reason individuals who reside with an assistance group (AG) are not considered AG members according to West Virginia business rules.	Income Maintenance Manual		X		
EE0357	1	The solution should track the reason individuals who reside with an assistance group (AG) are ineligible to be included in the AG according to West Virginia business rules.	Income Maintenance Manual		X		
EE0358	1	The solution should average fluctuating expenses to support the eligibility lifecycle for the WV WORKS program and the Supplemental Nutrition Assistance Program (SNAP).	Income Maintenance Manual		X		
EE0359	1	The solution should maintain a LIEAP application register or log that captures, at a minimum, the name of the applicant, how and when the application was received and if the application is regular or emergency LIEAP, and any other information according to West Virginia business rules.	Income Maintenance Manual		X		
EE0360	1	The solution should accept LIEAP application from outside agencies or sub-grantee agencies electronically.	Income Maintenance Manual		X		
EE0361	1	The solution should tag a case or application as a life-threatening emergency for prioritization.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0362	1	The solution should ensure cases or applications tagged as life-threatening emergencies are prioritized and resolved within the time frame according to West Virginia business rules.	Income Maintenance Manual		X		
EE0363	1	The solution should determine eligibility for regular LIEAP according to West Virginia business rules.	Income Maintenance Manual		X		
EE0364	1	The solution should determine eligibility for emergency LIEAP according to West Virginia business rules.	Income Maintenance Manual		X		
EE0365	1	The solution should establish the LIEAP assistance group (AG) according to West Virginia business rules.	Income Maintenance Manual		X		
EE0366	1	The solution should allow supervisory approval to override certain eligibility criteria which would make an applicant ineligible according to West Virginia business rules.	Income Maintenance Manual		X		
EE0367	1	The solution should prevent final determinations from being made by other agencies or sub-grantee agencies.	Income Maintenance Manual	X			
EE0368	1	The solution should determine if an applicant is considered "vulnerable" or "invulnerable" according to West Virginia business rules.	Income Maintenance Manual		X		
EE0369	1	The solution should set maximum allowable income amounts for eligibility for assistance programs according to West Virginia business rules.	Income Maintenance Manual		X		
EE0370	1	The solution should calculate gross monthly income according to West Virginia business rules.	Income Maintenance Manual		X		
EE0371	1	The solution should identify if the primary source of home heating indicated in an application differs from the primary source of home heating indicated on a previous application from the same applicant.	Income Maintenance Manual		X		
EE0372	1	The solution should determine if an applicant is using a PSC-regulated utility vendor according to West Virginia business rules.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0373	1	The solution should allow a system user to make corrections in a case denied in error.	Income Maintenance Manual	X			
EE0374	1	The solution should allow the system user portal to be accessed from mobile devices.	Income Maintenance Manual	X			
EE0375	1	The solution should maintain denial reason codes specific to LIEAP.	Not Applicable		X		
EE0376	1	The solution should allow the user to enter case comments on any screen (so the system user does not have to jump to another screen).	Not Applicable		X		
EE0377	1	The solution should track identified asset transfers from a client's spouse to another person according to West Virginia business rules.	Income Maintenance Manual		X		
EE0378	1	The solution should enter an exclusion for the client's homestead as a countable asset according to West Virginia business rules.	Income Maintenance Manual		X		
EE0379	1	The solution should apply multiple penalties for the same annuity according to the West Virginia business rules.	Income Maintenance Manual		X		
EE0380	1	The solution should apply partial penalties for asset transfers according to the West Virginia business rules.	Income Maintenance Manual		X		
EE0381	1	The solution should make eligibility determinations using the Supplemental Security Income (SSI) methodology according to West Virginia's business rules.	Income Maintenance Manual		X		
EE0382	1	The solution should adjust or waive enrollment fees in accordance with West Virginia business rules as needed.	Income Maintenance Manual		X		
EE0383	1	The solution should verify citizenship through data exchange.	Income Maintenance Manual	X			
EE0384	1	The solution should allow an Assistance Group ineligible for WV WORKS to submit an application to be evaluated for West Virginia School Clothes Allowance.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0385	1	The solution should keep a log of receipt of School Clothes Allowance applications.	Income Maintenance Manual		X		
EE0386	1	The solution should support the processing of all School Clothes Allowance applications by August 31 of the program year.	Income Maintenance Manual		X		
EE0387	1	The solution should support the processing of all School Clothes Allowance applications within 30 days of the date of application.	Income Maintenance Manual		X		
EE0388	1	The solution should create an Application Register containing client information according to West Virginia business rules.	Income Maintenance Manual		X		
EE0389	1	The solution should provide a Medicaid and WVCHIP applicant with a copy of the Department's Notice of Privacy Practices (NOPP) at the time of application or redetermination.	Income Maintenance Manual		X		
EE0390	1	The solution should generate a rights and responsibilities form for applicants to review and sign each time an application or review is completed, when appropriate, according to West Virginia business rules.	Income Maintenance Manual		X		
EE0391	1	The solution should determine School Clothes Allowance eligibility based on WV business rules.	Income Maintenance Manual		X		
EE0392	1	The solution should determine the appropriate School Clothes Allowance benefit for each household according to West Virginia business rules.	Income Maintenance Manual		X		
EE0393	1	The solution should verify income eligibility for School Clothes Allowance based only on the month of July of the current program year according to West Virginia business rules.	Income Maintenance Manual		X		
EE0394	1	The solution should support the direct certification process with the National School Lunch Program (NSLP) according to West Virginia business rules and federal regulations.	USDA Administrative Notice 26-2013			X	

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
EE0395	1	The solution should assist the system user in determining the category a qualified alien falls into in order to qualify for benefits.	Income Maintenance Manual	X			
EE0396	1	The solution should track the category that a qualified alien falls into in order to receive SNAP benefits.	Income Maintenance Manual	X			
EE0397	1	The solution should collect and report information on Non-custodial parents.	eCFR — Part 265 Code of Federal Regulations - Data Collection and Reporting Requirements	X			
EE0398	1	The solution should support the eligibility lifecycle for WV WORKS according to West Virginia business rules.	Income Maintenance Manual		X		
EE0399	1	The solution should support the eligibility lifecycle for the Special Needs WV WORKS category.	Income Maintenance Manual		X		
EE0400	1	The solution should support the eligibility life cycle for the Employment Assistance Program (EAP) WV WORKS category.	Income Maintenance Manual		X		
EE0401	1	The solution should direct systems users, clients, and providers to the appropriate web portal according to West Virginia business rules.	Not Applicable		X		
Financial Management (FM)							
FM0001	1	The solution should capture information related to burial payments reported on the DFA-67-A.	Income Maintenance Manual		X		
FM0002	1	The solution should capture information about overdue fees.	Child Care Subsidy Policies and Procedures Manual		X		
FM0003	1	The solution should support the accounts payable process.	Not Applicable	X			
FM0004	1	The solution should transmit case information in support of the accounts payable process.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
FM0005	1	The solution should receive case information in support of the accounts payable process.	Not Applicable	X			
FM0006	1	The solution should support the accounts receivable process according to West Virginia business rules, which includes, but is not limited to: overpayments, trust funds, and other income or resources.	Not Applicable		X		
FM0007	1	The solution should transmit case information in support of the accounts receivable process.	Not Applicable	X			
FM0008	1	The solution should receive case information in support of the accounts receivable process.	Not Applicable	X			
FM0009	1	The solution should process and maintain financial reconciliation of payments, overpayments, and recovery payments.	Not Applicable	X			
FM0010	1	The solution should support the boarding care payment process according to West Virginia business rules.	Adoption Policy Manual	X			
FM0011	1	The solution should support the provision of the initial clothing allowance process according to West Virginia business rules.	Adoption Policy Manual	X			
FM0012	1	The solution should support the provision of the school clothing allowance process according to West Virginia business rules.	Adoption Policy Manual	X			
FM0013	1	The solution should determine if payments are eligible for federal reimbursement.	Adoption Policy Manual	X			
FM0014	1	The solution should document the amount and duration of the adoption assistance payment based on West Virginia business rules.	Adoption Policy Manual	X			
FM0015	1	The solution should document information about changes made to the adoption assistance payment.	Adoption Policy Manual	X			
FM0016	1	The solution should support the process for reimbursement of non-recurring adoption expenses according to West Virginia business rules.	Adoption Policy Manual	X			
FM0017	1	The solution should allow an authorized user to create a 'vendor for' payment.	Adoption Policy Manual		X		
FM0018	1	The solution should support the tracking of Gibson payments according to West Virginia business rules.	Child Protective Services Policy			X	

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
FM0019	1	The solution should support the request for, and approval of, a demand payment according to West Virginia business rules.	Child Protective Services Policy	X			
FM0020	1	The solution should generate the BA-67 voucher according to West Virginia business rules.	Foster Care Policy			X	
FM0021	1	The solution should generate multiple BA-67 vouchers to separate vendors according to West Virginia business rules.	Foster Care Policy	X			
FM0022	1	The solution should allow the system user to track deposits to the individual's centralized account.	Foster Care Policy			X	
FM0023	1	The solution should allow the system user to add a comment onto each transaction made on the centralized account.	Foster Care Policy			X	
FM0024	1	The solution should allow the system user to add a comment onto the client account record.	Foster Care Policy	X			
FM0025	1	The solution should allow the system user to track disbursements from the individual's centralized account.	Foster Care Policy			X	
FM0026	1	The solution should allow the system user to track and disburse interest earned on the individual's centralized account according to West Virginia business rules.	Foster Care Policy			X	
FM0027	1	The solution should apply the interest calculation to the centralized account according to West Virginia business rules.	Foster Care Policy			X	
FM0028	1	The solution should allow the system user to track the priority order of transactions within an individual's account according to West Virginia business rules.	Foster Care Policy			X	
FM0029	1	The solution should generate and track the provision of additional payments according to West Virginia business rules.	Foster Care Policy	X			
FM0030	1	The solution should document the amount of the pre-placement activities/start-up money payments.	Foster Care Policy		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
FM0031	1	The solution should track provider payments for supervision and services according to West Virginia business rules.	Foster Care Policy	X			
FM0032	1	The solution should support the process of providing and tracking the distribution of Education and Training Funding Vouchers according to West Virginia business rules.	Foster Care Policy	X			
FM0033	1	The solution should generate payment agreements between the Department and Assisted Living Providers in accordance with West Virginia business rules.	Social Services Manual		X		
FM0034	1	The solution should allow update of the payment agreement according to West Virginia business rules.	Social Services Manual		X		
FM0035	1	The solution should support the reconciliation of Personal Care Home Provider invoices for payment in accordance with West Virginia business rules.	Social Services Manual		X		
FM0036	1	The solution should support the reconciliation of Assisted Living demand payment invoices in accordance with West Virginia business rules.	Social Services Manual		X		
FM0037	1	The solution should allow the user to document the representative payee on a client's financial account according to West Virginia business rules.	Legal Guardianship Policy	X			
FM0038	1	The solution should separate the subsidy amount when a youth in foster care has an infant child of their own and the child is removed from his/her custody according to West Virginia business rules.	Legal Guardianship Policy	X			
FM0039	1	The solution should make a non-child specific payment to a provider according to West Virginia business rules.	Homefinding Policy			X	
FM0040	1	The solution should track all payments made to a provider according to West Virginia business rules.	Homefinding Policy	X			
FM0041	1	The solution should generate a payment for Homeless Services in accordance with West Virginia business rules.	Homeless Services Policy		X		
FM0042	1	The solution should support the completion and approval of the voucher Authorization for Payment Form.	Homeless Services Policy			X	

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
FM0043	1	The solution should generate automatic payments to providers based on West Virginia business rules.	Foster Care Policy	X			
FM0044	1	The solution should identify accounts involved and total payments for each payment run.	Foster Care Policy		X		
FM0045	1	The solution should generate the Emergency Assistance Voucher (DFA-67).	Income Maintenance Manual			X	
FM0046	1	The solution should generate, store, and retrieve a correspondence list per child account.	Full Financial Clerks Manual		X		
FM0047	1	The solution should determine the threshold methodology prescribed by the federal government for tracking the enhanced Federal Medical Assistance Percentages (FMAP) for newly eligible clients.	Income Maintenance Manual	X			
FM0048	1	The solution should store the Federal Medical Assistance Percentages (FMAP) classification for each client.	Income Maintenance Manual	X			
FM0049	1	The solution should deliver the Federal Medical Assistance Percentages (FMAP) category for each client to the Medicaid Management Information System (MMIS).	Income Maintenance Manual		X		
FM0050	1	The solution should facilitate repayment of outstanding claims with WV WORKS, school clothing, and supportive payment.	Income Maintenance Manual		X		
FM0051	1	The solution should capture the disposition for a returned benefit.	Income Maintenance Manual		X		
FM0052	1	The solution should support the process of issuing supplemental LIEAP payments.	Income Maintenance Manual		X		
FM0053	1	The solution should prevent LIEAP payments from being split to cover two types of bills (e.g., electric and gas).	Income Maintenance Manual		X		
FM0054	1	The solution should allow payments to be applied to old bills or to reinstate service according to West Virginia business rules.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
FM0055	1	The solution should allow payments to be authorized to cover repairs according to West Virginia business rules.	Income Maintenance Manual		X		
FM0056	1	The solution should assist the system user in determining if the payment should be made to the utility vendor or directly to the client, according to West Virginia business rules.	Income Maintenance Manual		X		
FM0057	1	The solution should allow payments to be made to the utility vendor.	Income Maintenance Manual	X			
FM0058	1	The solution should allow payments to be made directly to a client according to West Virginia business rules.	Income Maintenance Manual		X		
FM0059	1	The solution should allow a system user to correct a payment.	Income Maintenance Manual	X			
FM0060	1	The solution should allow a system user to credit an account.	Income Maintenance Manual	X			
FM0061	1	The solution should allow a system user to adjust a LIEAP payment amount according to West Virginia business rules.	Income Maintenance Manual		X		
FM0062	1	The solution should carry out the repayment process for payments made in error to recoup funds according to West Virginia business rules.	Income Maintenance Manual		X		
FM0063	1	The solution should allow for payments to be received from a client or vendor.	Income Maintenance Manual	X			
FM0064	1	The solution should reduce a payment by the amount of a previous unpaid repayment and pay the client only the balance.	Income Maintenance Manual	X			
FM0065	1	The solution should reissue a check if payment was made to the wrong vendor.	Income Maintenance Manual	X			
FM0066	1	The solution should change the name of the payee according to West Virginia business rules.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
FM0067	1	The solution should allow a system user to request that a stop payment action is made on a lost, stolen, or destroyed check.	Income Maintenance Manual	X			
FM0068	1	The solution should track repayments owed by a client.	Income Maintenance Manual	X			
FM0069	1	The solution should generate and issue a School Clothes Allowance Voucher to the primary person in the case for each eligible child according to West Virginia business rules.	Income Maintenance Manual			X	
FM0070	1	The solution should generate a School Clothes Allowance Voucher which includes the following information on the voucher:	Income Maintenance Manual			X	
FM0071	2	Case name and address	Income Maintenance Manual			X	
FM0072	2	Denomination of the voucher	Income Maintenance Manual			X	
FM0073	2	The individual benefit and voucher number assigned by the data system	Income Maintenance Manual			X	
FM0074	1	The solution should generate School Clothes Allowance (SCA) vouchers according to West Virginia business rules, with only up to five SCA vouchers in one envelope.	Income Maintenance Manual			X	
FM0075	1	The solution should generate School Clothes Allowance vouchers with the appropriate instruction sheet and letter from the Governor.	Income Maintenance Manual			X	
FM0076	1	The solution should generate School Clothes Allowance benefit checks to foster parents according to West Virginia business rules.	Income Maintenance Manual		X		
FM0077	1	The solution should pay vendors who accept School Clothes Allowance vouchers.	Income Maintenance Manual			X	
FM0078	1	The solution should issue replacement School Clothes Allowance vouchers according to West Virginia business rules.	Income Maintenance Manual			X	

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
General Technical (GT)							
GT0001	1	The solution should create flags and send alerts, according to West Virginia business rules.	Not Applicable		X		
GT0002	1	The solution should set time requirements for a user to perform certain actions, according to West Virginia business rules.	Income Maintenance Manual		X		
GT0003	1	The solution should generate alerts based on configurable proximities to any established time requirement.	Income Maintenance Manual	X			
GT0004	1	The solution should allow users to override certain alerts and warnings, according to West Virginia business rules.	Income Maintenance Manual		X		
GT0005	1	The solution should have configurable alerts to notify users if actions taken are being attempted before allowed, according to West Virginia business rules.	Income Maintenance Manual		X		
GT0006	1	The solution should automatically generate alerts, according to West Virginia business rules.	Not Applicable		X		
GT0007	1	The solution should create and distribute broadcast message alerts to groups of system users based on role, to individual system users, or to all users.	Income Maintenance Manual	X			
GT0008	1	The solution should include in alerts the reason for the alert and any relevant information related to required next steps, according to West Virginia business rules.	Income Maintenance Manual		X		
GT0009	1	The solution should alert users if they attempt to take an action without completing all prerequisite steps for that action.	Income Maintenance Manual	X			
GT0010	1	The solution should alert a user, who may or may not override the alert based on security role, if a decision or determination appears to go against established West Virginia business rules.	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0011	1	The Vendor should maintain an up-to-date inventory of alerts used in the solution and make this inventory available to the State upon request. The inventory should contain related programs and system components, a definition of the alert's purpose, and the creator of the alert.	Not Applicable		X		
GT0012	1	The solution should seamlessly integrate the generation of alerts into the workflow management process.	Not Applicable	X			
GT0013	1	The solution should allow authorized system users to create ad-hoc alerts.	Not Applicable	X			
GT0014	1	The solution should allow configuration of alerts to be in the following formats including, but not limited to:	Not Applicable		X		
GT0015	2	Email	Not Applicable		X		
GT0016	2	Application Pop-Up Box	Not Applicable		X		
GT0017	2	Automatic Reports	Not Applicable	X			
GT0018	1	The solution should allow the user to create custom "ticklers" to alert the system user to take an action.	Child Care Subsidy Policies and Procedures Manual	X			
GT0019	1	The solution should automatically reset alerts when changes are made to a case, according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
GT0020	1	The solution should generate alerts identifying data conflicts.	Not Applicable	X			
GT0021	1	The solution should support graphical display of alerts, according to West Virginia business rules.	Not Applicable			X	
GT0022	1	The solution should send an alert to the appropriate users when any form is changed.	Not Applicable	X			
GT0023	1	The solution should interface with the State's Asset Verification System (AVS) according to West Virginia business rules.	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0024	1	The solution should be able to receive and store data from the State's Asset Verification System (AVS) according to West Virginia business rules.	Not Applicable		X		
GT0025	1	The solution should be able to transmit data to the State's Asset Verification System (AVS) according to West Virginia business rules.	Social Security Act, Section 1940		X		
GT0026	1	The solution should store all data delivered by participating sources in a manner that makes the data accessible to authorized viewers of the related client record.	Social Security Act, Section 1940		X		
GT0027	1	The solution should consolidate the outcomes of verifications completed in a single location defined by the State for use by authorized system users.	Social Security Act, Section 1940		X		
GT0028	1	The solution should provide seamless integration of data delivered through the State's Asset Verification System (AVS) and the data delivered through other data verification sources required by the State.	Social Security Act, Section 1940		X		
GT0029	1	The solution should deliver the aggregated results of all data verifications to the system user in a format agreed upon with the State.	Social Security Act, Section 1940		X		
GT0030	1	The solution should electronically process all responses to verification requests and supporting documentation delivered by participating data sources.	Social Security Act, Section 1940		X		
GT0031	1	The solution should accept all responses to verification queries electronically in cases that the financial institution (FI) has the capability to deliver an electronic response.	Social Security Act, Section 1940		X		
GT0032	1	The solution should create a log of all verification requests that take place, and should include the date and time of the request, the requestor's name, all responses (regardless of whether data was returned), and supporting documentation delivered with the response.	Social Security Act, Section 1940		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0033	1	The solution should query all participating data sources for each applicant for whom verification is required (not only those data sources that the client reports doing business with), according to West Virginia business rules.	Social Security Act, Section 1940		X		
GT0034	1	The Vendor should make available to the State a list of all data sources queried according to West Virginia business rules.	Social Security Act, Section 1940		X		
GT0035	1	The solution should provide ad hoc reporting, to authorized users, of all data related to the requests and responses received from or transmitted to the State's Asset Verification System (AVS).	Social Security Act, Section 1940		X		
GT0036	1	The solution should maintain the database of participating financial institutions over the life of the contract.	Social Security Act, Section 1940			X	
GT0037	1	The solution should provide the capability to request data going back five (5) years from the client's date of application.	Social Security Act, Section 1940			X	
GT0038	1	The solution should provide data on the following account types:	Social Security Act, Section 1940		X		
GT0039	2	Checking Accounts	Social Security Act, Section 1940		X		
GT0040	2	Savings Accounts	Social Security Act, Section 1940		X		
GT0041	2	Investment Accounts	Social Security Act, Section 1940		X		
GT0042	2	Individual Retirement Accounts	Social Security Act, Section 1940		X		
GT0043	2	Treasury Notes	Social Security Act, Section 1940		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0044	2	Certificates of Deposit	Social Security Act, Section 1940		X		
GT0045	2	Annuities	Social Security Act, Section 1940		X		
GT0046	2	Other assets held or managed by the financial institution	Social Security Act, Section 1940			X	
GT0047	1	The solution should receive, transmit, and process address changes.	Not Applicable	X			
GT0048	1	The solution should capture and track information about mail returned from a bad address.	Not Applicable		X		
GT0049	1	The Vendor should provide a Business Rules Engine (BRE) and migrate existing business rules to this BRE.	Not Applicable		X		
GT0050	1	The Vendor should implement business rules in the BRE for all human services programs not included in the business rules migration.	Not Applicable		X		
GT0051	1	The Vendor should provide an Enterprise Service Bus (ESB) solution to support the West Virginia Integrated Eligibility Solution.	Not Applicable	X			
GT0052	1	The solution should provide a Technical Support Call Center.	Not Applicable	X			
GT0053	1	The Vendor should maintain staff and systems to manage, track, and report on user support services via multiple channels, including:	SLA 005	X			
GT0054	2	Telephone	SLA 005	X			
GT0055	2	Client Portal	SLA 005	X			
GT0056	2	E-mail	SLA 005	X			
GT0057	2	Mail	SLA 005	X			
GT0058	1	The Vendor should provide an integrated contact management system that tracks and manages user contacts from all channels.	SLA 005	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0059	1	The Vendor should provide an integrated contact management system that provides reporting on user contact metrics based on user-defined queries.	SLA 005	X			
GT0060	1	The solution should provide electronic call answering methods for callers to a toll-free phone line to leave messages during hours when the Call Center is not staffed.	SLA 005	X			
GT0061	1	The Technical Support Call Center for State users should be available Monday through Friday from 7:00 a.m. to 7:00 p.m. Eastern Time, excluding State holidays, and on an emergency basis as requested by the State.	SLA 005	X			
GT0062	1	The Vendor should provide an afterhours contact for technical support during all non-business hours, seven (7) days a week, 365 days a year. The afterhours contact should respond to all verbal (telephone) inquiries from State staff within two hours of receipt.	SLA 005	X			
GT0063	1	The Technical Support Call Center for client users should be available Monday through Friday, from 7:00 a.m. to 7:00 p.m. Eastern Time.	SLA 005	X			
GT0064	1	The client solution should provide electronic call answering methods for callers to a toll-free phone line to leave messages during hours when the Technical Support Call Center is not staffed.	SLA 005	X			
GT0065	1	The Vendor's staff should return all after-hours client calls on the next business day, in the caller's choice of language, or provide oral interpretation services.	SLA 005	X			
GT0066	1	The Technical Support Call Center should be located within the State of West Virginia.	Not Applicable	X			
GT0067	1	The vendor's solution should provide client user Technical Support Call Center functions, including live representative customer service, for the State and other client users.	Not Applicable			X	

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0068	1	The solution should provide functionality that creates, edits, sorts, and filters tickets or electronic records of calls made to the Technical Support Call Center to be used by both Vendor Technical Support Call Center and State staff.	Not Applicable	X			
GT0069	1	The solution should track the following:	Not Applicable	X			
GT0070	2	The caller	Not Applicable	X			
GT0071	2	The question(s) and/or issue(s)	Not Applicable	X			
GT0072	2	The Vendor and/or State staff responding to the ticket	Not Applicable	X			
GT0073	2	The date(s)	Not Applicable	X			
GT0074	2	The time(s)	Not Applicable	X			
GT0075	2	The status (opened or closed)	Not Applicable	X			
GT0076	1	The solution should add electronic attachments to a ticket.	Not Applicable	X			
GT0077	1	The solution should allow configuration of call routing and delegation criteria and severity, prioritization, and escalation criteria.	Not Applicable	X			
GT0078	1	The solution should have a central database for call tracking records that can be queried by both Vendor and State users.	Not Applicable	X			
GT0079	1	The solution should use State data repositories to automatically display information regarding the caller when applicable.	Not Applicable			X	
GT0080	1	The vendor's Technical Support Call Center should capture date-specific and user-specific free-form text for each call center ticket.	Not Applicable			X	
GT0081	1	The solution should provide separate toll-free Technical Support Call Center telephone numbers for the State users, client users, and other entities as identified by the State.	Not Applicable		X		
GT0082	1	The solution should authenticate the caller/user (per State specified criteria).	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0083	1	The solution should, as applicable, auto-populate call center screens with caller information when the call representative answers the call. This would include the ability to access contact and correspondence history.	Not Applicable		X		
GT0084	1	The solution should repeat call options automatically.	Not Applicable		X		
GT0085	1	The solution should integrate with an automated phone messaging system.	Not Applicable	X			
GT0086	1	The solution should use automated message purge function with activity reporting.	Not Applicable		X		
GT0087	1	The solution should define phone routing that allows the system to forward calls to the individual/entity (internal and external agencies included) capable of handling the caller's needs.	Not Applicable	X			
GT0088	1	The solution should configure navigation paths and prompts based on the caller's selection.	Not Applicable		X		
GT0089	1	The solution should record customized messages directed to selected State or client groups.	Not Applicable	X			
GT0090	1	The Vendor should maintain sufficient staff and telephone lines to perform all required Technical Support Call Center functions required in this Request for Proposal (RFP).	Not Applicable	X			
GT0091	1	The Vendor should utilize the same telephone system for all Technical Support Call Center users (Clients and the State) and should record and report statistics, as defined by the State.	Not Applicable	X			
GT0092	1	The solution should use separate, dedicated toll-free telephone numbers for use by State users, client users, and other stakeholders, as defined by the State.	Not Applicable	X			
GT0093	1	The solution should provide tools and processes for monitoring and reporting the following call metrics:	Not Applicable	X			
GT0094	2	Call Abandonment Rate	Not Applicable	X			
GT0095	2	Call Length	Not Applicable	X			
GT0096	2	Hold Time	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0097	2	Ring Busy Rate	Not Applicable	X			
GT0098	2	Peak Hour Statistics	Not Applicable	X			
GT0099	2	Speed of Answer	Not Applicable	X			
GT0100	1	The solution should provide a voice messaging system for afterhours callers, indicating hours of operation and providing options for leaving messages, in addition to a voice messaging option at State-designated intervals during the queue hold times.	Not Applicable	X			
GT0101	1	The Vendor should obtain State approval of all scripts to be used in the call center.	Not Applicable	X			
GT0102	1	The Vendor should review call scripts monthly to determine if revisions are necessary and report recommendations to the State.	Not Applicable	X			
GT0103	1	The solution should document call information, as specified by the State.	Not Applicable	X			
GT0104	1	The Vendor should monitor, record, and audit calls for quality control, customer service, and training purposes. The vendor should document and retain results on all calls and submit documentation to the State upon request.	Not Applicable	X			
GT0105	1	The solution should provide random sampling with variable characteristic selections for audit purposes.	Not Applicable		X		
GT0106	1	The Vendor should perform online backups without interruption to production operations.	Not Applicable	X			
GT0107	1	The solution should save incomplete eligibility determinations and to bring the end user back to the location at the time of the save when they continue work on the determination.	Not Applicable		X		
GT0108	1	The solution should document when a delay in eligibility determination is beyond the Department's control.	Income Maintenance Manual	X			
GT0109	1	The solution should allow a system user to override processing time requirements if certain conditions are met, according to West Virginia business rules.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0110	1	The solution should record the total processing time of eligibility determinations with the start and end times according to West Virginia business rules.	Income Maintenance Manual		X		
GT0111	1	The solution should direct a user to the location of a potential error in an eligibility determination process.	Not Applicable	X			
GT0112	1	The solution should identify individuals by eligibility group and program.	Income Maintenance Manual		X		
GT0113	1	The solution should provide a Current Market Value (CMV) calculator providing the end user with the ability to identify the CMV of any asset (for which CMV is applicable) and program or eligibility group combination according to West Virginia business rules.	Income Maintenance Manual		X		
GT0114	1	The solution should allow a case to be flagged with a domestic/ family violence indicator.	Income Maintenance Manual	X			
GT0115	1	The solution should allow for modified access, maintenance, and processing of client records flagged with the domestic/ family violence indicator, according to West Virginia business rules.	Income Maintenance Manual		X		
GT0116	1	The solution should allow a case to be flagged with a drug abuse indicator, when appropriate.	Income Maintenance Manual		X		
GT0117	1	The solution should allow system users, with appropriate permissions, to disagree with eligibility decisions and send the decision back for reconsideration, according to West Virginia business rules.	Income Maintenance Manual		X		
GT0118	1	The solution should make automated real-time eligibility determinations in the event that there are no triggers in the case that require system user intervention.	West Virginia CHIP Process Flow - July 2014	X			
GT0119	1	The solution should configure reason codes for denials or pendings, according to West Virginia business rules.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0120	1	The solution should allow authorized system users to terminate eligibility at any time during the client's coverage period.	Income Maintenance Manual		X		
GT0121	1	The solution should require that, when a client's eligibility is terminated during their coverage period, a reason for the termination be entered by the authorized system user.	Income Maintenance Manual	X			
GT0122	1	The solution should allow the authorized system user to redact information contained in any form, letter, or report, and save the redacted version to the case as a new file.	Not Applicable			X	
GT0123	1	The solution should allow printing of a blank version of all forms, letters, and other case documents.	Not Applicable		X		
GT0124	1	The solution should pre-populate forms, correspondence, applications, and other system-generated documents with selected information from the electronic case record.	Not Applicable	X			
GT0125	1	The solution should set parameters on fields to prevent system users from entering information outside of those parameters.	Income Maintenance Manual	X			
GT0126	1	The solution should generate variable length reports and forms, when applicable.	Not Applicable		X		
GT0127	1	All client-facing content produced by The Vendor should be written at no greater than an eighth grade reading level.	Not Applicable	X			
GT0128	1	The solution should generate all forms and program applications used by the West Virginia enterprise.	Income Maintenance Manual		X		
GT0129	2	The solution should generate the data file containing forms and applications for delivery to the printing vendor for print and distribution.	Income Maintenance Manual	X			
GT0130	1	The Vendor should maintain an up-to-date inventory of all forms utilized and make this inventory available to the State upon request.	Not Applicable	X			
GT0131	1	The solution should allow updates to form templates by both State and/ or vendor system support staff.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0132	1	The solution should group forms with related correspondence to ensure that all relevant materials are delivered to the client in a single mailing, or posting to their client portal account.	Not Applicable	X			
GT0133	1	The solution should allow the end user to modify any and/or all text of a form in a rich text format as identified by the State.	Not Applicable	X			
GT0134	1	The solution should generate and supply forms in the following methods, including, but not limited to:	Not Applicable		X		
GT0135	2	Email	Not Applicable		X		
GT0136	2	Portable Document Format (PDF)	Not Applicable	X			
GT0137	2	Electronic File Exchange	Not Applicable		X		
GT0138	1	The solution should generate machine-readable barcodes on forms.	Not Applicable	X			
GT0139	1	The solution should generate machine-readable Quick Response (QR) codes on forms.	Not Applicable	X			
GT0140	1	The solution should populate information on authorizations or forms being issued as defined by the State.	Income Maintenance Manual		X		
GT0141	1	The solution should allow users to override and change pre-populated information in forms, when appropriate, according to West Virginia business rules.	Income Maintenance Manual		X		
GT0142	1	The solution should generate complete and incomplete forms based on ad-hoc client requests.	Income Maintenance Manual	X			
GT0143	1	The solution should generate batch forms, according to West Virginia business rules.	Not Applicable		X		
GT0144	1	The solution should make certain fields required in forms according to West Virginia business rules.	Income Maintenance Manual		X		
GT0145	1	The solution should identify which fields in forms are required and which are optional.	Income Maintenance Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0146	1	The solution should save delivered forms to the client's case record.	Income Maintenance Manual	X			
GT0147	1	The solution should track if the client has signed necessary forms prior to taking actions that require the form to be completed.	Income Maintenance Manual	X			
GT0148	1	The solution should allow users view any form listed in the case record.	Income Maintenance Manual	X			
GT0149	1	The solution should allow users to print any form listed in the case record.	Not Applicable	X			
GT0150	1	The solution should employ online real-time or batch updates of data between the eligibility solution and other systems, depending on the interface requirements.	Not Applicable	X			
GT0151	1	The solution should make information about data exchange errors and discrepancies available to the appropriate system users.	Income Maintenance Manual	X			
GT0152	1	The solution should allow authorized system users to schedule and modify system events as defined by the State.	Income Maintenance Manual		X		
GT0153	1	The Vendors should provide technical specifications associated with the solution. The technical specifications should include:	Not Applicable	X			
GT0154	2	Complete listing of all software, hardware, and configurations that are required to establish fully functional installations in each of the required environments.	Not Applicable	X			
GT0155	2	Complete specifications for all software, environments, and hardware used to support the solution.	Not Applicable	X			
GT0156	2	Complete inventory of development tools that are provided with the solution and any that Department of Health and Human Resources (DHHR) should establish and maintain separately, as well as the necessary skill sets that users should develop to use vendor-owned tools.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0157	2	The vendor should provide Department of Health and Human Resources (DHHR) with a capacity analysis report for the solution and the hosted environment (including hardware, environment, and network specifications).	Not Applicable	X			
GT0158	1	The Vendor should provide capacity estimates for proposed processor, memory, and storage for the hosted environment.	Not Applicable	X			
GT0159	1	The Vendor should provide capacity and input/output per second (IOPS) estimates for the hosted environment.	Not Applicable		X		
GT0160	1	The Vendors should include a complete licensing inventory of all components, modules, and programs indicating whether licenses should be purchased. The inventory should include the number of licenses that should be purchased for each component, module, and program, including zero licenses for those areas that do not require licenses.	Not Applicable	X			
GT0161	1	The Vendor should be responsible for the implementation and integration of all third-party software used in support of the solution.	Not Applicable	X			
GT0162	1	The Vendor should be responsible for managing the procurement process and include the State in the selection of any software or hardware that will be used to support the West Virginia solution.	Not Applicable	X			
GT0163	1	The Vendor should provide a data governance plan that establishes the vendor's approach to managing the varying types of data owned by the multiple State agencies and programs that should be stored within the solution.	Not Applicable	X			
GT0164	1	The Vendor should provide a Master Data Management (MDM) solution to support the West Virginia enterprise.	Not Applicable	X			
GT0165	1	The Vendor should resolve existing data inconsistencies in the Master Data Management (MDM) solution through a collaborative review and reconciliation process with State stakeholders.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0166	1	The Vendor should integrate client data for all human services programs served by the West Virginia Integrated Eligibility Solution into the Master Data Management (MDM) platform.	Not Applicable	X			
GT0167	1	The solution should merge duplicate clients and cases, according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
GT0168	1	The solution should unmerge duplicate clients and cases according to West Virginia business rules.	Not Applicable		X		
GT0169	1	The solution should merge all data in the client or case record, creating a single consolidated record.	Not Applicable	X			
GT0170	1	The solution should unmerge all data in the client or case record, creating multiple independent records.	Not Applicable	X			
GT0171	1	The solution should maintain an accurate, unduplicated count of clients receiving benefits for each program in the West Virginia Enterprise.	Not Applicable		X		
GT0172	1	The solution should automatically generate all required correspondence to individuals within the designated timeframes required by State and Federal regulations and policies.	Not Applicable	X			
GT0173	1	The solution should generate the data file containing all notices for delivery to the printing vendor for printing and distribution.	Not Applicable	X			
GT0174	1	The solution should generate all notices, forms, and letters as requested in Spanish.	Not Applicable	X			
GT0175	1	The solution should track metrics for each type of correspondence generated in the solution.	Not Applicable	X			
GT0176	1	The Vendor should provide correspondence metric reports upon request by the State.	Not Applicable		X		
GT0177	1	The Vendor should develop and maintain an inventory of all correspondence stored in the system.	Not Applicable		X		
GT0178	1	The solution should view any correspondence listed on the case file.	Income Maintenance Manual	X			
GT0179	1	The solution should track the status of notices that are moving through the generation process.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0180	1	The solution should post finalized correspondence in real time, when appropriate, to the client portal, according to West Virginia business rules.	Income Maintenance Manual		X		
GT0181	1	The solution should notify system users when a system-generated correspondence that has not been finalized is approaching the predetermined delivery timeframe required by West Virginia business rules.	Income Maintenance Manual		X		
GT0182	1	The Vendor should facilitate mass e-mail and fax notifications.	Not Applicable	X			
GT0183	1	The solution should store the date that the notice was delivered for printing.	BCSE Policy Manual	X			
GT0184	1	The solution should generate machine-readable barcodes on notices.	Not Applicable	X			
GT0185	1	The solution should generate machine-readable Quick Response codes on notices.	Not Applicable	X			
GT0186	1	The solution should reissue any correspondence or form as defined by the State.	Income Maintenance Manual		X		
GT0187	1	The solution should track when any correspondence or form has been reissued, as defined by the State.	Income Maintenance Manual		X		
GT0188	1	The solution should produce all correspondence in a printer friendly 8.5 x 11 format in landscape or portrait orientation according to West Virginia business rules.	Not Applicable		X		
GT0189	1	The solution should produce all correspondence in Portable Document Format (PDF) format.	Income Maintenance Manual	X			
GT0190	1	The solution should automatically save a Portable Document Format (PDF) copy of each final correspondence in the client case record.	Income Maintenance Manual	X			
GT0191	1	The solution should produce specified correspondence to clients at configurable intervals in advance of actions which result in benefit changes according to West Virginia business rules.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0192	1	The solution should populate fields in correspondence with appropriate information on local or regional organizations which are closest to the client based on the client's zip code, location of the organization, and on West Virginia's business rules.	Income Maintenance Manual		X		
GT0193	1	The solution should allow clients, providers, and employers as identified by the State to choose if correspondence should be sent via post mail or via electronic methods.	Income Maintenance Manual	X			
GT0194	1	In the event that a client, provider, or employer has elected to receive electronic correspondence, the solution should automatically post final notices to the appropriate portal of the intended notice recipient.	Income Maintenance Manual	X			
GT0195	1	The solution should automatically send an email notifying the client a piece of correspondence is available in their client portal account if the client has requested to receive correspondence electronically.	Income Maintenance Manual	X			
GT0196	1	The solution should deliver correspondence data files for printing within 24 hours of the correspondence becoming final according to West Virginia business rules.	Income Maintenance Manual		X		
GT0197	1	The solution should generate correspondence using pre-defined templates according to West Virginia business rules.	Income Maintenance Manual		X		
GT0198	1	The solution should provide automatic default file names for saved correspondence that contain the date of the notice, the related program, and the title of the correspondence, using a standard naming convention to be agreed-upon with the State.	Income Maintenance Manual		X		
GT0199	1	The solution should generate, save, and post or queue for printing automatic system-generated correspondence based on West Virginia business rules.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0200	1	The solution should set time parameters for production of correspondence.	Income Maintenance Manual	X			
GT0201	1	The solution should allow users to override and change pre-populated information in correspondence, when appropriate, according to West Virginia business rules.	Income Maintenance Manual		X		
GT0202	1	The solution should convert auto-populated fields to mixed case if appropriate in correspondence according to West Virginia business rules.	Income Maintenance Manual		X		
GT0203	1	The solution should allow authorized users to override the generation of specific correspondence.	Not Applicable	X			
GT0204	1	The solution should associate correspondence with a case, according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
GT0205	1	The solution should assist system users in identifying which sections of correspondence should be filled in manually.	Income Maintenance Manual		X		
GT0206	1	The solution should categorize and classify types of correspondence, using parameters agreed upon with the State.	Not Applicable		X		
GT0207	1	The solution should reference the Income Maintenance Manual section upon which a decision is based in correspondence, according to West Virginia business rules.	Income Maintenance Manual		X		
GT0208	1	The solution should assist system users in determining the correct correspondence to use in a situation according to West Virginia business rules.	Income Maintenance Manual		X		
GT0209	1	The solution should determine the appropriate notices and forms which will be sent to a client or applicant.	Income Maintenance Manual	X			
GT0210	1	The solution should create a single notice, which maintains compliance with all applicable noticing requirements, for benefit changes that occur on a client's case in a single business day.	Income Maintenance Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0211	1	The solution should allow a system user to attach electronic supporting documentation to a case record.	Income Maintenance Manual	X			
GT0212	1	The solution should allow users to add free form text to individual or groups of correspondence.	Not Applicable		X		
GT0213	1	The solution should assign time requirements for certain actions or approvals to be carried out, according to West Virginia business rules.	Income Maintenance Manual		X		
GT0214	1	The solution should provide flexible web-based reporting that meets external reporting needs and requirements defined by State.	Not Applicable	X			
GT0215	1	The solution should generate standard reports (as defined by the State during DDI) and customized West Virginia-specific reports.	Not Applicable		X		
GT0216	1	The solution should provide for the electronic delivery of reports to identified destinations and recipients.	Not Applicable	X			
GT0217	1	The solution should generate user-defined and ad-hoc reports from all data captured in the solution, including but not limited to: eligibility data, case management data, solution performance data, and solution use data.	Not Applicable	X			
GT0218	1	The solution should schedule any report to be run at varying levels of immediacy, frequency, or user-defined condition.	Not Applicable	X			
GT0219	1	The solution should correct, rerun, verify, and distribute a report for which a problem occurred, for any period in which a problem occurred, or a specified point in time.	Not Applicable	X			
GT0220	1	The solution should produce all reports as defined by the State.	Not Applicable		X		
GT0221	1	The solution should allow, initially, up to 25 State-authorized users to create ad-hoc reports.	Not Applicable	X			
GT0222	1	The solution should report on both duplicate and unduplicated counts.	Not Applicable	X			
GT0223	1	The solution should display to the user the number of pages that should be printed before the user proceeds with printing a report.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0224	1	The Vendor should maintain a comprehensive list of all reports and their intended use (business area supported).	Not Applicable		X		
GT0225	1	The Vendor should maintain a list of users and owners of each standard report.	Not Applicable		X		
GT0226	1	The solution should retain and maintain access to reports for the period of time specified by the report owner.	Not Applicable	X			
GT0227	1	The solution should generate reports in Portable Document Formation (PDF), Excel, and Word formats, as agreed upon with the State.	Not Applicable	X			
GT0228	1	The solution should export reports for enhanced manipulation and analysis.	Not Applicable	X			
GT0229	1	The solution should provide integrated print capability for any report.	Not Applicable	X			
GT0230	1	The Vendor should provide a searchable data dictionary.	Not Applicable	X			
GT0231	1	The solution should allow multiple simultaneous users to create and run, in near real-time, ad-hoc and canned reports, without going through a formal change control process.	Not Applicable	X			
GT0232	1	The solution should provide for the electronic delivery of reports to identified destinations.	Not Applicable	X			
GT0233	1	The solution should produce multi-dimensional, flexible, ad-hoc reports that meet reporting needs, across business functions.	Not Applicable		X		
GT0234	1	The solution should generate a listing of all standard online reports available, the description of each report, and provide a link to the most recent report for role-based report access.	Not Applicable	X			
GT0235	1	The solution should provide a process by which reports may be delivered by email, in accordance with Health Insurance Portability and Accountability Act (HIPAA), Federal Tax Information (FTI), and all Federal and State rules.	Not Applicable	X			
GT0236	1	The solution should provide archival storage of reports that complies with the State's records retention standards.	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0237	1	The solution should store reports for rapid retrieval.	Not Applicable	X			
GT0238	1	The solution should allow for users to extract data, manipulate the extracted data, and specify the desired format and media of the output.	Not Applicable	X			
GT0239	1	The solution should display consistent State-approved headers and footers.	Not Applicable		X		
GT0240	1	The solution should identify and use consistent report fields.	Not Applicable	X			
GT0241	1	The solution should use consistent data schemes and version control.	Not Applicable	X			
GT0242	1	The solution should provide a way to schedule when, with what frequency, or on what regular days within a month all reports are generated and distributed.	Not Applicable	X			
GT0243	1	The solution should track and store detailed information regarding all reporting requests, including, but not limited to:	Not Applicable	X			
GT0244	2	Who requested the information	Not Applicable	X			
GT0245	2	Date of request	Not Applicable	X			
GT0246	2	Time of request	Not Applicable	X			
GT0247	2	What data the report included	Not Applicable	X			
GT0248	2	Report storage upon completion	Not Applicable	X			
GT0249	2	Route the entire history of the generated report online	Not Applicable	X			
GT0250	1	The solution should categorize and organize reports by source system, data content, purpose, frequency, and other staff-selected options.	Not Applicable	X			
GT0251	1	The solution should search the reports repository by date, time, report title, report ID, run date, report requester, and keywords.	Not Applicable	X			
GT0252	1	The solution should highlight, cut, paste, and print any selection of the report.	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0253	1	The solution should provide a control to restrict highlighting, cutting, copying, and modifying reports based on roles.	Not Applicable		X		
GT0254	1	The solution should sort the reports list by date, time, report title, run date, and other criteria, as defined by the State.	Not Applicable	X			
GT0255	1	The solution should establish and apply archival and purge parameters to reports, as defined by the State.	Not Applicable		X		
GT0256	1	The solution should easily and flexibly create new reports through an automated report writer tool that is designed for use by non-technical state staff who are not trained in SQL or other query languages.	Not Applicable		X		
GT0257	1	The solution should use identifiers, mathematical functions, and formatting, and manipulate data within reports.	Not Applicable	X			
GT0258	1	The solution should customize and define frequency for individual performance reports.	Not Applicable	X			
GT0259	1	The solution should provide role-based access to run and view reports.	Not Applicable	X			
GT0260	1	The solution should track client attendance for scheduled events.	Not Applicable			X	
GT0261	1	The solution should allow system users to check-in and check-out a client or visitor when they have arrived or departed from the office.	Not Applicable			X	
GT0262	1	The solution should notify the responsible system user when a client has checked in for an appointment with them.	Not Applicable			X	
GT0263	1	The solution should check availability for system users prior to scheduling appointments.	Not Applicable			X	
GT0264	1	The solution should alert users when they have scheduled an appointment outside the allowable timeframe based on West Virginia business rules for timeliness.	Not Applicable			X	
GT0265	1	The solution should provide an inventory of standard meeting types, which are tied to specific program business rules.	Not Applicable			X	

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0266	1	The solution should track client waiting times.	Not Applicable			X	
GT0267	1	The solution should provide a schedule history, allowing authorized users to review a comprehensive schedule history.	Not Applicable			X	
GT0268	1	The solution should automatically update client case records with all scheduling information.	Not Applicable			X	
GT0269	1	The solution should provide daily, weekly, monthly, and annual schedule views.	Not Applicable			X	
GT0270	1	The solution should allow clients to schedule appointments with their local county office via self-service.	Not Applicable			X	
GT0271	1	The solution should track appointments made by the system user and automatically deliver schedule information to their electronic calendar.	Income Maintenance Manual			X	
GT0272	1	The Vendor should comply with any request from the State to remove any resource from the project for any reason.	Not Applicable	X			
GT0273	1	The Vendor should provide staff at the quantity and skill levels necessary to meet agreed-upon project scope and schedule of the contract as outlined in the approved Staffing Management Plan.	Not Applicable	X			
GT0274	1	The Vendor should maintain compliance with the approved Staffing Management Plan for the full duration of the contract.	Not Applicable	X			
GT0275	1	The Staffing Management Plan should at a minimum:	Not Applicable	X			
GT0276	2	The vendor should include an organizational chart illustrating project reporting lines of authority, displaying the project team by role with the name of the individual filling each role for positions designated in the RFP as "Key", and the touchpoints with State staff and members of the vendor's organization outside the project.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0277	2	The vendor should include a staffing matrix which identifies each key and support staff project role, number of individuals allocated to that role, percent allocation to the project by individual by project phase, and whether the role is to be filled by an employee of the vendor's organization or a subcontractor.	Not Applicable	X			
GT0278	2	Explain the planned use of subcontractors (individuals and/or firms) and the vendor's subcontractor management plan.	Not Applicable	X			
GT0279	2	The vendor should include an approach to acquiring and replacing staff for the project team.	Not Applicable	X			
GT0280	2	The vendor should include a description of alternative actions, or contingency plans, if the vendor is unable to recruit sufficient numbers of adequately trained staff for each functional or operational area on a timely basis, or if the vendor's original staffing estimates are too low.	Not Applicable	X			
GT0281	2	The solution should include a description of the process to onboard and orient new team members to the project.	Not Applicable	X			
GT0282	2	The solution should include a description of project roles and responsibilities for each project role identified in the organizational chart.	Not Applicable	X			
GT0283	2	The solution should describe the overall approach for management of project resource needs, allocation of staff to each project phase, transition of staff between phases, and the processes and tools used for resource management.	Not Applicable	X			
GT0284	1	The Vendor should take the following actions prior to making any changes in individuals filling Key Staff positions:	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0285	2	The vendor should provide a written request to the State Project Sponsor for approval of a change in individual for any "Key Staff" at least four (4) business weeks prior to the identified date for the individual's last day on the project, including a justification for the change, at least one replacement candidate resume, and a replacement and transition plan with timeline.	Not Applicable	X			
GT0286	2	When it is not possible to provide four (4) weeks advance notice of a change in a Key Staff position (such as in the event of a death or unexpected departure from the vendor's organization), the vendor should notify the State immediately with the information related to the change, and present a transition and replacement plan within five (5) business days.	Not Applicable	X			
GT0287	2	The vendor should obtain State approval of the change and the new resource proposed.	Not Applicable	X			
GT0288	1	A Key Staff position should not remain vacant for more than 30 calendar days. In the event the vacancy extends past the 30 days The Vendor should provide written notification to the State.	Not Applicable	X			
GT0289	1	The State reserves the right to interview and reject replacement candidates for Key Staff.	Not Applicable	X			
GT0290	1	The State reserves the right to reject a request for a change in Key Staff when the request does not involve a death or departure from the organization.	Not Applicable	X			
GT0291	1	All Key Staff should be employees of the prime vendor's organization, or should provide a letter of commitment to become employed by the vendor by the contract start date.	Not Applicable	X			
GT0292	1	The Vendor should name a temporary replacement acceptable to the State within three business days of the date any Key Staff position becomes vacant.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0293	1	The Vendor should ensure that any individuals replacing staff overlap with their predecessor by at least one week to transition knowledge and information before the departing member leaves the project/role, except in the event of death, departure from the vendor's company, or when otherwise approved by the State.	Not Applicable	X			
GT0294	1	The solution should allow the system user to record case activity in the form of case notes.	Income Maintenance Manual	X			
GT0295	1	The solution should query case notes in client case records.	Income Maintenance Manual	X			
GT0296	1	The solution should allow authorized system users to identify data elements that have been verified either through external data sources or through supporting data provided by the client.	Not Applicable	X			
GT0297	1	The solution should provide context-sensitive help to system users from all screens.	Not Applicable	X			
GT0298	1	The solution should display the verification history of a data element consisting of the date, source of verification, and requestor of verification.	Not Applicable	X			
GT0299	1	The solution should cross-reference the applicant's ID number or case type with other State and Federal Programs if the ID number is different for the other program(s).	Not Applicable	X			
GT0300	1	The solution should perform a provider payment search based on provider specific criteria.	Not Applicable			X	
GT0301	1	The solution should review staff payment search results.	Not Applicable		X		
GT0302	1	The solution should allow a case to be assigned/reassigned, according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0303	1	The solution should associate a child with a provider.	Child Care Subsidy Policies and Procedures Manual	X			
GT0304	1	The solution should allow an authorized system user to print the entire case record.	Child Care Subsidy Policies and Procedures Manual		X		
GT0305	1	The solution should initiate a mass change to static data, such as provider reimbursement levels or income eligibility levels.	Child Care Subsidy Policies and Procedures Manual	X			
GT0306	1	The solution should maintain a complete and accurate case history file.	Child Support Enforcement: A Guide for States	X			
GT0307	1	The solution should maintain the data elements defined in the Federal Child Support Enforcement Data Standards Registry.	Child Support Enforcement: A Guide for States	X			
GT0308	1	The solution should contain spell-check functionality for free text fields.	Not Applicable			X	
GT0309	1	The solution should allow various types of signatures for applications, according to West Virginia business rules, including, but not limited to, electronic, and telephonic.	Income Maintenance Manual		X		
GT0310	1	The solution should enable authorized system users to query the solution, using selected data elements captured in the solution.	Income Maintenance Manual	X			
GT0311	1	The solution should make accessible all application materials submitted by the client in the client's case record.	Not Applicable		X		
GT0312	1	The solution should capture case comments from the system user.	Income Maintenance Manual	X			
GT0313	1	The solution should prevent certain decisions and fields from being overridden by system users, according to West Virginia business rules.	Income Maintenance Manual		X		
GT0314	1	The solution should provide real-time solution performance data.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0315	1	The solution should report on total processing times at the aggregate level to find trends and report median, mean, and outlier times.	Not Applicable		X		
GT0316	1	The solution should report on total processing times based on user-defined queries.	Not Applicable		X		
GT0317	1	The solution should allow an authorized system user to remove view access to any data within the solution in a manner that supersedes the existing permissions for any role.	Not Applicable	X			
GT0318	1	The solution should allow an authorized system user to remove edit access to any data within the solution in a manner that supersedes the existing permissions for any role.	Not Applicable	X			
GT0319	1	The solution should allow configured reminders for time-sensitive workflows and events.	Not Applicable	X			
GT0320	1	The solution should provide workflow functionality that supports the escalation of overdue user alerts and lists items based on configurable business rules.	Not Applicable	X			
GT0321	1	The solution should provide workflow functionality that supports a variety of mechanisms to initiate workflows, such as inbound communication events (email, document upload, form submissions, or phone), system-generated events, user-triggered events, or exception-processing events.	Not Applicable	X			
GT0322	1	The solution should provide workflow functionality that supports a variety of mechanisms to route an activity to the next step in the workflow, such as inbound communication events (email, document upload, form submissions, or phone), system-generated events, user-initiated events, or exception-processing events.	Not Applicable	X			
GT0323	1	The solution should resume suspended workflows, as defined by the State.	Not Applicable	X			
GT0324	1	The solution should support configuration of custom status values for a workflow or workflow step, as defined by the State.	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0325	1	The solution should include comprehensive workflow management functionality that supports:	Not Applicable	X			
GT0326	2	The solution should provide definition and modeling of workflow processes and their constituent activities.	Not Applicable		X		
GT0327	2	The solution should provide run-time control functions concerned with managing the workflow process in the State environment and sequencing the various activities to be handled as part of each process.	Not Applicable		X		
GT0328	2	The solution should provide run-time interactions with users, information technology (IT) application tools, and IT services for processing the various activity steps.	Not Applicable		X		
GT0329	1	The solution should support development of new processes, leading the user through the steps of defining the workflow associated with a business process and capturing all the information needed by the workflow engine to execute that process to include:	Not Applicable		X		
GT0330	2	Start and completion conditions	Not Applicable		X		
GT0331	2	Activities and rules for navigation between the work flow steps	Not Applicable		X		
GT0332	2	Tasks to be undertaken by State staff involved in the process	Not Applicable		X		
GT0333	2	Authorized approvers	Not Applicable		X		
GT0334	2	References to user action, Information Technology (IT) applications, IT tools, or IT services that may be invoked	Not Applicable		X		
GT0335	2	Definition of other workflow-relevant data	Not Applicable		X		
GT0336	1	The solution should support workflow management for multiple simultaneous processes, each with multiple simultaneous instances of execution.	Not Applicable		X		
GT0337	1	The solution should incorporate simple low-level workflow processes into more complex higher-level workflow processes.	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0338	1	The solution should support supervisory operations for the management of workflows including:	Not Applicable	X			
GT0339	2	View caseload statistics (e.g., system user, office, region, state, client, case, applications, etc.)	Not Applicable	X			
GT0340	2	The solution should provide authorized users with visibility and monitoring of application-processing statistical information and should comply with Federal and State standards and court decrees (e.g., timeliness, error rate, actions taken, actions pending, etc.).	Not Applicable	X			
GT0341	2	The solution should provide a mechanism to view all tasks assigned to any individual or group, based on user role and program rule.	Not Applicable	X			
GT0342	2	Assignments/reassignments and priorities	Not Applicable	X			
GT0343	2	Assignment history	Not Applicable	X			
GT0344	2	Status querying and monitoring of individual work flow executions	Not Applicable	X			
GT0345	2	Work allocation and load balancing	Not Applicable	X			
GT0346	2	Approval for work assignments and work deliverables	Not Applicable	X			
GT0347	1	The solution should take necessary action or provide notification when corrective action is needed, including the ability to modify or abort a workflow process.	Not Applicable	X			
GT0348	1	The solution should monitor key information regarding a process in execution, including the following:	Not Applicable		X		
GT0349	2	Estimated time to completion	Not Applicable		X		
GT0350	2	Staff assigned to various process activities	Not Applicable		X		
GT0351	2	Any error conditions	Not Applicable		X		
GT0352	1	The solution should utilize an automated workflow to transfer documents to other systems for review, editing, and approval, and back to external stakeholders for rewrites and production.	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0353	1	The solution should use workflow management functionality to route and assign activities to the appropriate State entity (e.g., agency, office, staff, or staff), according to West Virginia business rules.	Not Applicable		X		
GT0354	1	The solution should allow a system user to drill down into the inbox/ queue to see detailed lists, according to West Virginia business rules.	Not Applicable		X		
GT0355	1	The solution should provide a mechanism to drill down into detailed lists and display data by selected characteristics to be defined by the State.	Not Applicable		X		
GT0356	1	The solution should provide a mechanism to display system user name and location of case in queue while it is currently being worked on.	Not Applicable	X			
GT0357	1	The system should provide a mechanism to associate tasks with a case so that they will be moved upon reassignment of case.	Not Applicable	X			
GT0358	1	The system should provide a mechanism to create reports of tasks (e.g., date range, task type, system user, location, etc.), based on user role and program rules.	Not Applicable	X			
GT0359	1	The system should provide a mechanism to compare statistical data of tasks based on user role and program rules.	Not Applicable		X		
GT0360	1	The solution should provide a workflow management function that includes a mechanism to close all activities related to a case when the case is closed.	Not Applicable	X			
GT0361	1	The system should provide a mechanism to calculate, track participation time, track activity time limits, and provide historical information.	Not Applicable		X		
GT0362	1	The solution should generate receipts for all physical documentation provided by clients.	Full Financial Clerks Manual		X		
GT0363	1	The solution should distinguish between, and incorporate, business days, weekends, and holidays in all time-related functions in the system.	Income Maintenance Manual	X			
GT0364	1	The solution should provide an automated software modifications change request tracking system.	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0365	1	The solution should enable the Department of Health and Human Resources (DHHR) to control and monitor system change requests.	Not Applicable	X			
GT0366	1	Change requests are expected to include all necessary documentation (as defined by the Department of Health and Human Resources (DHHR) Change Management Plan).	Not Applicable		X		
GT0367	1	The solution should allow the Department of Health and Human Resources (DHHR) to set and change priority levels on individual change requests.	Not Applicable		X		
GT0368	1	The solution should allow the Department of Health and Human Resources (DHHR) to track process metrics and other detail, including the following:	Not Applicable		X		
GT0369	2	The estimated and actual hours allocated to each change request	Not Applicable		X		
GT0370	2	Specific personnel assigned to each change request	Not Applicable		X		
GT0371	2	Scheduled completion date for each change request	Not Applicable		X		
GT0372	2	Total cost (if maximum allowed hours exceeded)	Not Applicable		X		
GT0373	2	Total approved operations charge increase (if any)	Not Applicable		X		
GT0374	2	A separate total for equipment requirements (if applicable) related to the modification	Not Applicable		X		
GT0375	1	The solution should ensure that data is retained, archived, protected from destruction, and accessible, according to State and Federal requirements and in accordance with the Department of Health and Human Resources (DHHR) Data Retention Policy.	Not Applicable		X		
GT0376	1	The Vendor should ensure that hard copy documents are retained, stored, imaged, archived, and destroyed according to State and Federal requirements and in accordance with the Department of Health and Human Resources (DHHR) Data Retention Policy.	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0377	1	The solution should allow the Department of Health and Human Resources (DHHR) to specify/ modify auto archive rules.	Not Applicable		X		
GT0378	1	The solution should provide archival and purge processes that do not degrade or interrupt the system	Not Applicable		X		
GT0379	1	The solution should easily retrieve archived data for online review, export, and reporting.	Not Applicable		X		
GT0380	1	The solution should restore archived data for reviewing, copying, and printing.	Not Applicable		X		
GT0381	1	The solution should provide a Disaster Recovery/ Business Continuity Plan that complies with Federal, State, Department and Bureau rules, regulations and applicable policies and procedures, including at a minimum:	Not Applicable	X			
GT0382	2	Daily back-up which is adequate and secure for all computer software and operating programs; databases; files; and system, operation, and user documentation (in electronic and non-electronic form)	Not Applicable	X			
GT0383	1	Full and complete back-up copies of all data and software on tape and/or disk	Not Applicable	X			
GT0384	1	Storage of all back-up copies in a secure off-site location	Not Applicable	X			
GT0385	1	Routine testing to verify the completeness, integrity, and availability of back-up information	Not Applicable	X			
GT0386	1	Support for immediate restoration and recovery of lost or corrupted data or software from a disaster event	Not Applicable		X		
GT0387	1	Provide for back-up processing at a remote site(s) from the primary site(s) such that normal payment processing, as well as other State defined systems and services can continue in the event of a disaster or major hardware problem at the primary site(s).	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0388	1	The solution should provide sufficient transaction logging and database back-up to allow it to be restored. If multiple databases are used for work item routing and program data, restoration should ensure that databases are synchronized to prevent data corruption.	Not Applicable		X		
GT0389	1	The solution should provide point-in-time recovery of data to the last committed transaction.	Not Applicable	X			
GT0390	1	The solution should allow for continued use of the system during back-up.	Not Applicable	X			
GT0391	1	The Vendor should perform back-ups during non-peak processing hours, minimizing the impact to operational activities.	Not Applicable	X			
GT0392	1	The solution should write all errors to an error log.	Not Applicable		X		
GT0393	1	The solution should allow for a Department of Health and Human Resources (DHHR) administrator to view, filter, sort, and search the error log.	Not Applicable		X		
GT0394	1	The solution should allow for an administrator (Vendor personnel) to archive error log entries based upon user-defined criteria.	Not Applicable		X		
GT0395	1	The solution should allow for a user to define an alert message to be executed upon the occurrence of an error.	Not Applicable	X			
GT0396	1	Major releases should be evaluated and approved by the Department of Health and Human Resources (DHHR) prior to application.	Not Applicable	X			
GT0397	1	The Vendor should send notification to the Department of Health and Human Resources (DHHR) when releases are available to be evaluated.	Not Applicable	X			
GT0398	1	The Vendor should provide the Department of Health and Human Resources (DHHR) with detailed documentation that lists all fixes and functionality for each release.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0399	1	The Vendor should proactively notify the System Administrator regarding which releases of third-party software (JAVA virtual machine, Internet Explorer, Mozilla, Safari, etc.) are known to create problems with the current version of the vendor software.	Not Applicable		X		
GT0400	1	The Vendor should maintain version control and provide the Department of Health and Human Resources (DHHR) with current system and user documentation, and operating procedures manuals.	Not Applicable		X		
GT0401	1	The solution should allow centralized deployment of system updates and system maintenance.	Not Applicable	X			
GT0402	1	The solution should provide the following three types of controls to maintain the integrity, availability, and confidentiality of Protected Health Information (PHI) data contained within the system: These controls are to be in place at all appropriate points of processing.	Not Applicable	X			
GT0403	2	Preventive Controls: Controls designed to prevent errors and unauthorized events from occurring.	Not Applicable	X			
GT0404	2	Detective Controls: Controls designed to identify errors and unauthorized transactions which have occurred in the system.	Not Applicable	X			
GT0405	2	Corrective Controls: Controls to ensure that the problems identified by the detective controls are corrected.	Not Applicable	X			
GT0406	1	The solution should allow properly authorized users to configure and maintain all system settings from any workstation on the local/ wide area network using a browser.	Not Applicable	X			
GT0407	1	The solution should allow local/ central System Security Administrators to add and change permissions for local/ central system access.	Not Applicable	X			
GT0408	1	The solution should allow System Administrator to re-set user passwords.	Not Applicable	X			
GT0409	1	The solution should allow users to change their passwords.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0410	1	The solution should generate a periodic report (as scheduled by DHHR) of upcoming user account terminations.	Not Applicable		X		
GT0411	1	The solution should be flexible and readily adaptable to changing State and Federal requirements.	Not Applicable		X		
GT0412	1	The Vendor should support current technologies for data interchange (e.g., XML).	Not Applicable		X		
GT0413	1	The Vendor should provide web-based support, with a searchable database of common problems, to assist end-user in facilitating resolution of error messages.	Not Applicable		X		
GT0414	1	Ability to allow for DHHR-defined severity levels for support.	Not Applicable	X			
GT0415	1	Integrated Eligibility Solution (IES) modules and applications are to integrate successfully and effectively with minimal or no customization.	Not Applicable	X			
GT0416	1	The solution should utilize open architecture standards and scalability to promote integration throughout all Integrated Eligibility Solution (IES) business processes and sub-processes.	Not Applicable	X			
GT0417	1	The solution should provide a common "look and feel" which gives users a seamless Integration Eligibility Solution (IES) experience across the "core system," including (at a minimum) the Client Portal, Provider Portal, and other system user facing modules, and maintains common user elements across the entire IES whenever possible.	Not Applicable		X		
GT0418	1	Data changes made in one part of the solution should automatically populate other parts of the system so as to avoid duplicate data entry.	Not Applicable	X			
GT0419	1	All on-line information is to be available to authorized users regardless of the functional business area where the data is stored.	Not Applicable	X			
GT0420	1	The solution should maintain a master client index of client information, including a single unique identifier (which is not the SSN), for all clients.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0421	1	The solution should maintain an integrated repository of provider information, including a single unique identifier, for all providers.	Not Applicable	X			
GT0422	1	The solution should produce required Federal and State data sharing.	Not Applicable		X		
GT0423	1	The solution should use high speed data transfer functionality to send and receive information (where available).	Not Applicable	X			
GT0424	1	The Vendor should ensure that file standardization is supported by all interfaces, so that data standards are maintained according to DHHR-specified and Federally mandated file specifications for data element lengths, field format, and type.	Not Applicable	X			
GT0425	1	The solution should use FTP, web interface, or other industry standard electronic means (such as Gentran, Connect: Direct) or media to transfer files, as approved by the Department of Health and Human Resources (DHHR).	Not Applicable		X		
GT0426	1	The solution should schedule and support file transfer as requested and agreed upon by the Department.	Not Applicable		X		
GT0427	1	The solution should generate exception files, when necessary, for manual edits, error corrections, and additions to the interface records by Vendor or State users, prior to being loaded within the Master Client Index (MCI)/ Master Data Management (MDM).	Not Applicable		X		
GT0428	1	The Vendor should implement edits, processes, and reporting to eliminate undesired duplication of records and transactions, including:	Not Applicable		X		
GT0429	2	Automatically edit fields for reasonableness, validity, format, and consistency with other data present in update transaction.	Not Applicable		X		
GT0430	1	Transaction reconciliation reporting for file/ data reconciliation with external data sources (e.g., totals and detail information, difference reports, change reports).	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0431	1	The solution should generate error reports at the summary and detail levels that include all data necessary to resolve errors.	Not Applicable	X			
GT0432	1	The solution should reload or resend records if they have not been applied correctly to the appropriate data repository.	Not Applicable	X			
GT0433	1	The solution should detect duplicate files or records and isolate them for manual review and further processing.	Not Applicable	X			
GT0434	1	The solution should incorporate a method to view and edit interface files for investigation and further processing.	Not Applicable	X			
GT0435	1	The solution should create messages that accurately describe errors received as a result of a data transfer.	Not Applicable	X			
GT0436	1	The solution should export records identified by the Department of Health and Human Resources, when required by the DHHR.	Not Applicable		X		
GT0437	1	The solution should create and retain an audit trail of all interface activity in accordance with the Department of Health and Human Resources (DHHR) Data Retention Policy.	Not Applicable		X		
GT0438	1	The training environment should include all data elements that are in the production region, and contain sufficient and representative data records for training purposes. Vendors are not to invoke additional license fees for the test, User Acceptance Testing (UAT), and training environments.	Not Applicable	X			
GT0439	1	The Vendor should use a User Acceptance Testing (UAT) environment that would mirror all programs in production through the life cycle of the claim, to include reports and the financial records.	Not Applicable	X			
GT0440	1	The Vendor should use utilities to assist in identifying selected claim samples to use for testing (i.e., identify claims that currently test true for a specified edit).	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0441	1	The solution should create Integrated Eligibility Solution (IES) data (provider or client) in a test environment, as needed for testing.	Not Applicable		X		
GT0442	1	The solution should modify Integrated Eligibility Solution (IES) data (provider or client) in a test environment, as needed for testing, in compliance with Federal guidelines.	Not Applicable		X		
GT0443	1	The solution should maintain a test case library with search capability that is cross-referenced to the code (i.e., edit) that it tests.	Not Applicable		X		
GT0444	1	The solution should allow callers using the contact/call center management system to transfer to the State's Automated Voice Response System (AVRS) system.	Not Applicable		X		
GT0445	1	The solution should use automated menus, including an easily accessible option for reaching a live operator.	Not Applicable	X			
GT0446	1	The solution should route or transfer calls, as defined by the system user, without having to redial (e.g., call may be transferred to an external agency, such as an enrollment broker, without additional phone charges to the caller).	Not Applicable	X			
GT0447	1	The solution should configure navigation paths and prompts based on information from the Integrated Eligibility Solution (IES).	Not Applicable		X		
GT0448	1	The solution should manage all Integrated Eligibility Solution (IES) related contacts (telephone, email, web portal, mail, fax, etc.)	Not Applicable		X		
GT0449	1	The solution should maintain a record, including an audit trail, of all contacts.	Not Applicable	X			
GT0450	1	The solution should identify and maintain a record of the format/media of incoming communications.	Not Applicable		X		
GT0451	2	The solution should provide inquiry responses to the requestor in the same mode that it was received.	Not Applicable	X			
GT0452	1	The solution should query on the history of each contact.	Not Applicable	X			
GT0453	1	The solution should view related contact records from a single contact record.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0454	1	The solution should assign a unique tracking number or control number to each contact.	Not Applicable	X			
GT0455	1	The solution should accommodate searches on contact records by characteristics such as contact type, client ID, caller phone number, provider phone number, provider name, contact tracking/control number, and any combinations thereof.	Not Applicable		X		
GT0456	1	The solution should use caller phone number and/or ID number to access related Integrated Eligibility Solution (IES) data and previous contacts.	Not Applicable			X	
GT0457	1	The solution should upload attachments to contact records.	Not Applicable		X		
GT0458	1	The solution should link scanned images to contact records to provide one view of all related materials (e.g., images, letters, and interactions).	Not Applicable		X		
GT0459	1	The solution should incorporate systems navigation technology that allows all users to move freely throughout the system.	Not Applicable	X			
GT0460	1	The solution should provide a system user interface that is compatible with user defined display settings.	Not Applicable	X			
GT0461	1	The solution should provide integrated print capability for any page within the Integrated Eligibility Solution (IES).	Not Applicable	X			
GT0462	1	The solution should include at minimum the following features and capabilities:	Not Applicable	X			
GT0463	2	Drill down and look up functionality to minimize re-entry of information across multiple screens	Not Applicable	X			
GT0464	2	Multi-tasking and multiple window capability, including split screens	Not Applicable	X			
GT0465	1	The solution should provide menus that are understandable by non-technical users and provide secure access to all functional areas.	Not Applicable	X			
GT0466	1	The solution should incorporate a non-restrictive environment for experienced users to directly access (direct call) a screen or to move from one screen to another without reverting to the menu structure.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0467	1	The solution should generate drop-down lists to identify options available, valid values, and code descriptions, by screen field.	Not Applicable	X			
GT0468	1	The solution should utilize the following standards for all system screens, windows, and reports:	Not Applicable	X			
GT0469	2	All headings and footers standardized	Not Applicable	X			
GT0470	2	Current date and local time displayed	Not Applicable	X			
GT0471	2	All references to dates displayed consistently throughout the system	Not Applicable	X			
GT0472	2	All data labels and definitions consistent throughout the system and clearly defined in user manuals and data element dictionaries	Not Applicable	X			
GT0473	2	All Integrated Eligibility Solution (IES) generated messages should be clear and sufficiently descriptive to provide enough information for problem correction and be written in full English text	Not Applicable	X			
GT0474	1	The solution should generate alerts to notify staff of possible options when known running process(es) may result in problems (e.g., timeouts, slowed processing).	Not Applicable	X			
GT0475	1	The solution should generate alerts when changes are made to policies and procedures and system tables or functionality.	Not Applicable			X	
GT0476	1	The solution should generate alerts when the anticipated return time on a query or report job exceeds a defined time limit.	Not Applicable		X		
GT0477	1	The solution should generate alerts that assist in monitoring time-sensitive activities.	Not Applicable		X		
GT0478	1	The solution should generate alerts to a system user-defined group or individual.	Not Applicable		X		
GT0479	1	The solution should generate alerts to notify staff when they need to take action in connection with workflow events.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0480	1	The vendor should provide and maintain a secure website with authentication and encryption to protect interactions and transactions. This should include, at a minimum, the use of Secure Sockets Layer, or SSL. The authentication process should be verified through a third party that has registered and identified the server.	Not Applicable	X			
GT0481	1	The vendor should provide web portal functionality that addresses the needs of a variety of entities/stakeholders, including human services program clients, providers, and other business partners as specified by the Department of Health and Human Resources (DHHR).	Not Applicable		X		
GT0482	1	The vendor should provide web applications that satisfy the Priority 1 Checkpoints from the Web Content Accessibility Guidelines 1.0 developed by the World Wide Web Consortium (W3C), as detailed at: http://www.w3.org/TR/WCAG10/full-checklist.html.	World Wide Web Consortium (W3C)	X			
GT0483	1	The vendor should ensure web portal design, development, implementation and operations are in accordance with State and Federal regulations and guidelines related to security, accessibility, confidentiality, and auditing.	Not Applicable		X		
GT0484	1	The vendor should, for information and documentation captured via the web portal, conform to the user access, user inquiry, update, retention, archival, and other relevant data management specifications outlined in this RFP.	Not Applicable			X	
GT0485	1	The vendor should include secure and non-secure tabs for the web portal.	Not Applicable		X		
GT0486	1	The vendor should provide public information without requiring authentication for the web portal.	Not Applicable	X			
GT0487	1	The vendor should, for the web portal, provide Internet security functionality to include firewalls, intrusion detection, and encrypted network/secure socket layer.	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0488	1	The vendor should, for the web portal, handle protected health information (PHI) through authentication, along with encryption methods to secure PHI.	Not Applicable	X			
GT0489	1	The vendor should, for the web portal, handle personally identifiable information (PII) through authentication, along with encryption methods to secure PII.	Not Applicable	X			
GT0490	1	The vendor should, for the web portal, handle federal tax information (FTI) through authentication, along with encryption methods to secure FTI.	Not Applicable	X			
GT0491	1	The vendor should, for the web portal, display and require the user to accept web site terms of agreement when entering the web portal.	Not Applicable		X		
GT0492	1	The vendor should, for the web portal, utilize an authentication process to handle multiple layers of security levels as defined by the Department of Health and Human Resources (DHHR).	Not Applicable		X		
GT0493	1	The vendor should, for the web portal, establish user access to predefined Department of Health and Human Resources (DHHR) levels such as page level, field and data element level.	Not Applicable	X			
GT0494	1	The vendor should, for the web portal, provide a protected web site with secure passwords and log-ons to include:	Not Applicable	X			
GT0495	2	Instructions on how to use the secure site	Not Applicable	X			
GT0496	2	Site map	Not Applicable		X		
GT0497	2	Contact information	Not Applicable	X			
GT0498	1	The vendor should, for the web portal, send users their initial password via email and require that they change their password at next sign-on.	Not Applicable		X		
GT0499	1	The vendor should, for the web portal, provide the ability to expire a password in a given number of days according to Department of Health and Human Resources (DHHR) standards.	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0500	1	The vendor should, for the web portal, provide self-service password resets.	Not Applicable	X			
GT0501	1	The vendor should, for the web portal, prohibit the display of passwords at the sign-on screen when entered by the user.	Not Applicable	X			
GT0502	1	The vendor should, for the web portal, notify Integrated Eligibility Solution (IES) users at regular intervals defined by the Department of Health and Human Resources (DHHR) that security access tables are to be cleared unless otherwise directed. (This is in reference to any security access tables the Vendor may propose as part of their solution, where an example may be a user log table).	Not Applicable		X		
GT0503	1	The vendor should, for the web portal, require qualifying information (e.g., provider number, prior authorization number, client number, date of service, or claim number) to access various information via the web portal.	Not Applicable		X		
GT0504	1	The vendor should, for the web portal, include static and easily updated web pages.	Not Applicable	X			
GT0505	1	The vendor should, for the web portal, include a desktop environment with browser capability for easy navigation.	Not Applicable	X			
GT0506	1	The vendor should, for the web portal, provide a user interface that allows all users to move easily throughout the system.	Not Applicable	X			
GT0507	1	The vendor should, for the web portal, support a menu and control system with highly flexible navigation.	Not Applicable	X			
GT0508	1	The vendor should, for the web portal, provide a menu system that is navigable by the non-technical user while not restricting direct access to any screen to experienced users.	Not Applicable		X		
GT0509	1	The vendor should, for the web portal, provide user interface features and capabilities including:	Not Applicable	X			
GT0510	2	Pull down menus and window tabs	Not Applicable	X			
GT0511	2	Scalable true type screen and printing fonts	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0512	2	Upper and lower case alphabetic characters	Not Applicable	X			
GT0513	2	Ability to tab and mouse-click through data fields and screens	Not Applicable	X			
GT0514	1	The vendor should, for the web portal, use the following standards for all system screens, windows, and reports:	Not Applicable		X		
GT0515	2	Maintain a consistent theme throughout the site and standardize all headings and footers with index tabs as identified by the Department of Health and Human Resources (DHHR).	Not Applicable		X		
GT0516	2	Display current date and time in a system-wide consistent format.	Not Applicable			X	
GT0517	2	Utilize data labels and definitions in a system-wide consistent manner and as defined in user manuals and data element dictionaries.	Not Applicable		X		
GT0518	2	Generated messages are to be available in both mixed font and mixed case formats.	Not Applicable		X		
GT0519	2	Screens should distinguish between production and test environments.	Not Applicable	X			
GT0520	2	Comply with the American Disabilities Act (ADA) standards for user screens, where applicable.	Not Applicable	X			
GT0521	2	Comply with the older Americans Act standards for user screens, where applicable.	Not Applicable		X		
GT0522	2	All generated messages are to be clear and sufficiently descriptive to provide enough information for problem correction and be written in full English text.	Not Applicable		X		
GT0523	2	Conform to any State, Department, or Bureau specified standards regarding the look and feel of the web.	Not Applicable		X		
GT0524	1	The vendor should, for the web portal, support multiple communication lines and provide fail-over capability.	Not Applicable	X			
GT0525	1	The vendor should, for the web portal, provide growth capacity for high volumes of activity.	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
GT0526	1	The vendor should, for the web portal, interface, receive, send, and download specified content and reporting information directly from/to entities such as provider associations, vendors, and other State agencies.	Not Applicable		X		
GT0527	1	The vendor should, for the web portal, include email address in the authorization table. The confidentiality of email addresses is to be protected and only used for official State business.	Not Applicable		X		
GT0528	1	The vendor should, for the web portal, allow for (HIPAA-compliant) email submission by user initiated from a link on the website.	Not Applicable	X			
GT0529	1	The vendor should ensure that web portal field definitions comply with system field definitions.	Not Applicable	X			
GT0530	1	The vendor should, for the web portal, allow users to download or print a copy of completed submitted forms.	Not Applicable	X			
GT0531	1	The vendor should, for the web portal, provide the capability to display confirmation messages for requestor transactions.	Not Applicable	X			
GT0532	1	The vendor should, for the web portal, provide an online option for end-users to report any technical problems with the web application and web pages.	Not Applicable	X			
GT0533	1	The vendor should report and maintain web portal activity statistics (as defined by the Department). For instance: new and repeat visitors, number/percent of abandoned enrollment applications, etc.	Not Applicable	X			
Operations Management (OM)							
OM0001	1	The solution should generate a pro-rated first month's client contribution amount based on the number of days the client was located in the nursing facility and the cost of the nursing facility.	Income Maintenance Manual	X			
OM0002	1	The solution should generate a pro-rated last month's client contribution amount based on the number of days the client was located in the nursing facility and the cost of the nursing facility.	Income Maintenance Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
OM0003	1	The solution should process spend downs according to West Virginia business rules.	Income Maintenance Manual		X		
OM0004	1	The solution should report the timeline for processing of Supplemental Security Income (SSI) related disability applications using the Holcomb Log Sheet format.	Income Maintenance Manual		X		
OM0005	1	The Vendor should manage the process to suspend the ability of specified users to conduct Presumptive Eligibility determinations based on information received from the Bureau for Medical Services (BMS).	Medicaid Provider Manual Chapter 400, Member Eligibility		X		
OM0006	1	The solution should capture multiple levels of supervisory approvals according to West Virginia business rules.	Income Maintenance Manual		X		
OM0007	1	The solution should allow the system user to submit a background check waiver request, with all of the documentation required for the waiver request.	Not Applicable			X	
OM0008	1	The solution should allow the system user to review and respond to the background check waiver request, and document the waiver request decision.	Not Applicable			X	
OM0009	1	The solution should allow the system user to document information concerning a new hire's "supervision safety plan."	Not Applicable			X	
OM0010	1	The solution should support role-based authorized hearings process users from accessing any external case data and non-hearings process users from accessing hearings-related information.	Not Applicable	X			
OM0011	1	The solution should calculate the caseload reduction credit for the State according to West Virginia business rules.	eCFR — 261 Code of Federal Regulations - Ensuring that Recipients Work		X		
OM0012	1	The solution should generate a monthly case load reduction report.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
OM0013	1	The solution should produce and maintain data necessary for "child care subsidy measure" as defined by the federal requirements.	eCFR — 270 Code of Federal Regulations - High Performance Bonus Awards	X			
OM0014	1	The solution should allow a special assignment of a child support case according to West Virginia business rules.	BCSE Policy Manual	X			
OM0015	1	The solution should generate an alert when a case involves a Bureau for Child Support Enforcement (BCSE) employee according to West Virginia business rules.	BCSE Policy Manual	X			
OM0016	1	The solution should prohibit a system user from viewing their own case.	BCSE Policy Manual	X			
OM0017	1	The solution should track the reason that a case is re-assigned.	BCSE Policy Manual	X			
OM0018	1	The solution should route a case to the appropriate process unit based on the caseload distribution.	Child Support Enforcement: A Guide for States	X			
OM0019	1	The solution should maintain all information required to complete the Office of Child Support Enforcement's OCSE-34A collections report.	Child Support Enforcement: A Guide for States	X			
OM0020	1	The solution and/or the State's accounts management system should maintain all information required to complete the Office of Child Support Enforcement's OCSE-396A expenditures report.	Child Support Enforcement: A Guide for States	X			
OM0021	1	The solution should provide a daily automated online worklist to each system user in the scenarios listed in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States	X			
OM0022	1	The solution should allow authorized system users to create and modify form templates.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
OM0023	1	The solution should maintain all information necessary to complete any federal reporting requirement(s) defined as necessary by the Office of Child Support Enforcement (OCSE) in issued written instructions.	Child Support Enforcement: A Guide for States	X			
OM0024	1	The solution should provide a dashboard for workload management.	Not Applicable	X			
OM0025	1	The solution should provide onscreen help functionality.	Not Applicable	X			
OM0026	1	The solution should manage user accounts.	Not Applicable	X			
OM0027	1	The solution should determine the correct parent fee in cases where parents have joint custody or share custody of their children and both parents are eligible to receive child care assistance.	Child Care Subsidy Policies and Procedures Manual		X		
OM0028	1	The solution should allow fees for services to be waived according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
OM0029	1	The solution should allow the system user to document the reason fees for services were waived.	Child Care Subsidy Policies and Procedures Manual		X		
OM0030	1	The solution should automatically change the payment rate according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
OM0031	1	The solution should calculate the Child Fee according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
OM0032	1	The solution should produce the Child Care and Development Fund (CCDF) Administrative Data Reporting Estimates.	Not Applicable		X		
OM0033	1	The solution should display household records assigned to a specific system user.	Not Applicable			X	

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
OM0034	1	The solution should allow the appropriate system user to view and approve Household Closure requests for approval.	Not Applicable		X		
OM0035	1	The solution should allow the appropriate system user to view and approve policy exception requests for approval.	Not Applicable	X			
OM0036	1	The solution should allow the appropriate system user to review the Report on Day Care Activities (RODCA).	Not Applicable		X		
OM0037	1	The solution should allow the system user to update and submit the Report on Day Care Activities (RODCA) time study details.	Not Applicable		X		
OM0038	1	The solution should support the Report on Day Care Activities (RODCA) calendar.	Not Applicable		X		
OM0039	1	The solution should access the Report on Day Care Activities (RODCA) Reports.	Not Applicable		X		
OM0040	1	The solution should display the assignment history and detailed information for a household.	Not Applicable	X			
OM0041	1	The solution should allow a system user to make new assignments.	Not Applicable	X			
OM0042	1	The solution should allow the system user to review the intake workload.	Not Applicable	X			
OM0043	1	The solution should allow the system user to review cases assigned to a specific system user.	Not Applicable	X			
OM0044	1	The solution should allow the system user to view sliding fee scale rates.	Not Applicable		X		
OM0045	1	The solution should provide data freezing of changes in eligibility according to West Virginia business rules.	Not Applicable	X			
OM0046	1	The solution should process provider claims.	Not Applicable		X		
OM0047	1	The solution should record and update employee information demographics according to West Virginia business rules.	Not Applicable		X		
OM0048	1	The solution should record and update employee information background checks according to West Virginia business rules.	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
OM0049	1	The solution should record and track case management according to West Virginia business rules.	Not Applicable		X		
OM0050	1	The solution should provide procedures for supervisory oversight and authorization related to casefile review according to West Virginia business rules.	Not Applicable		X		
OM0051	1	The solution should record and track the results of audits.	Not Applicable	X			
OM0052	1	The solution should record and track the results of corrective actions.	Not Applicable	X			
OM0053	1	The solution should allow for data entry of claims and payments for providers and clients.	Not Applicable	X			
OM0054	1	The solution should ensure accuracy, completeness, and compliance with federal requirements and standards and according to West Virginia business rules.	Not Applicable		X		
OM0055	1	The solution should generate a data extract containing all known cases in the AFCARS report, including cases with incomplete data, according to West Virginia business rules.	Not Applicable	X			
OM0056	2	The solution should capture information about the primary and secondary system users, their responsibilities, and the approvals.	Adoption Policy Manual		X		
OM0057	2	The solution should support the automatic routing of cases to the appropriate unit or individual according to West Virginia business rules.	Child Protective Services Policy	X			
OM0058	2	The solution should support the routing of reports through the Field Operations Chain of Command according to West Virginia business rules.	Child Protective Services Policy		X		
OM0059	1	The solution should support a database of all child fatalities.	Child Protective Services Policy	X			
OM0060	1	The solution should support the system user during the process of transferring a case across phases according to West Virginia business rules.	Child Protective Services Policy	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
OM0061	1	The solution should capture information about the results of background checks performed on all members in the home according to West Virginia business rules.	Specialized Family Care Program Policy	X			
OM0062	1	The solution should capture information about the results of background checks performed on all State and vendor staff according to West Virginia business rules.	Specialized Family Care Program Policy	X			
OM0063	1	The solution should capture information about the results of protective services checks performed on all members in the home according to West Virginia business rules.	Specialized Family Care Program Policy	X			
OM0064	1	The solution should capture information about the results of protective services checks performed on all State and vendor staff according to West Virginia business rules.	Specialized Family Care Program Policy	X			
OM0065	1	The solution should support the administration of the background check process according to West Virginia business rules.	Specialized Family Care Program Policy	X			
OM0066	1	The solution should create a waiting list of referrals for which no placement is currently available for all programs and placement types.	Specialized Family Care Program Policy			X	
OM0067	1	The solution should allow a primary and multiple secondary assignment system users to be associated with a case.	Not Applicable	X			
OM0068	1	The solution should provide information to the system user about how to reduce the spenddown according to West Virginia business rules.	Income Maintenance Manual		X		
OM0069	1	The solution should generate workloads for Office of Child, Family, and Maternal Health liaisons to conduct a Health Check according to West Virginia business rules.	Foster Care Policy	X			
OM0070	1	The solution should generate workloads for Office of Child, Family, and Maternal Health liaisons to conduct medical home case management according to West Virginia business rules.	Foster Care Policy	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
Program Management (PG)							
PG0001	1	The solution should support the eligibility lifecycle for all Medicaid eligibility groups that exist in West Virginia business rules, with unique eligibility and verification requirements for each group. The solution should include the following eligibility groups, at a minimum:	Income Maintenance Manual		X		
PG0002	2	IV-E Adoptive Assistance, Foster care	Income Maintenance Manual		X		
PG0003	2	Non IV-E Adoptive Assistance, Foster care	Income Maintenance Manual		X		
PG0004	2	Refugee MA	Income Maintenance Manual		X		
PG0005	2	Intermediate Care Facility / Intellectual / Developmentally Disabled (ICF/IDD)	Income Maintenance Manual		X		
PG0006	2	Special Pharmacy	Income Maintenance Manual		X		
PG0007	2	Nursing Home	Income Maintenance Manual		X		
PG0008	2	Adult Group	Income Maintenance Manual		X		
PG0009	2	Parents/ Caretaker Relatives	Income Maintenance Manual		X		
PG0010	2	Deemed Aid to Dependent Families with Children (AFDC)	Income Maintenance Manual		X		
PG0011	2	Transitional Medicaid Phase 1	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
PG0012	2	Transitional Medicaid Phase 2	Income Maintenance Manual		X		
PG0013	2	Categories for Children under Age 19	Income Maintenance Manual		X		
PG0014	2	Pregnant Women	Income Maintenance Manual		X		
PG0015	2	Continuously Eligible Newborn Children	Income Maintenance Manual		X		
PG0016	2	Supplemental Security Income (SSI) Recipients	Income Maintenance Manual		X		
PG0017	2	Categories of Deemed Supplemental Security Income (SSI) Recipients	Income Maintenance Manual		X		
PG0018	2	Disabled Adult Children	Income Maintenance Manual		X		
PG0019	2	Substantial Gainful Activity	Income Maintenance Manual		X		
PG0020	2	Essential Spouses	Income Maintenance Manual		X		
PG0021	2	Pass-Throughs	Income Maintenance Manual		X		
PG0022	2	Pickle Amendment Coverage (PAC)	Income Maintenance Manual		X		
PG0023	2	Disabled Widows and Widowers	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
PG0024	2	Drug Addicts and Alcoholics	Income Maintenance Manual		X		
PG0025	2	Qualified Medicare Beneficiaries (QMB)	Income Maintenance Manual		X		
PG0026	2	Specified Low-Income Medicare Beneficiaries (SLIMB)	Income Maintenance Manual		X		
PG0027	2	Qualified Individuals (QI-1)	Income Maintenance Manual		X		
PG0028	2	Qualified Disabled Working Individuals (QDWI)	Income Maintenance Manual		X		
PG0029	2	Illegal Aliens Emergency Coverage	Income Maintenance Manual		X		
PG0030	2	Individuals Receiving Home- and Community-based Waiver Services Under Title XIX Waivers	Income Maintenance Manual		X		
PG0031	2	Aged and Disabled Waiver (Title XIX Waiver)	Income Maintenance Manual		X		
PG0032	2	Intellectual / Developmental Disabled (Title XIX Waiver)	Income Maintenance Manual		X		
PG0033	2	Traumatic Brain Injury (Title XIX Waiver)	Income Maintenance Manual		X		
PG0034	2	Children with Disabilities Community Service Program (CDCS)	Income Maintenance Manual		X		
PG0035	2	AIDS Program	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
PG0036	2	Aid to Families with Dependent Children (AFDC)-Related, Medically Needy (Spend-down)	Income Maintenance Manual		X		
PG0037	2	Supplemental Security Income (SSI)-Related, Medically Needy (Spend-down)	Income Maintenance Manual		X		
PG0038	2	Supplemental Security Income (SSI)-Related / Non-Cash Assistance	Income Maintenance Manual		X		
PG0039	2	Former West Virginia Foster Children	Income Maintenance Manual		X		
PG0040	2	Medicaid Work Incentive (M-WIN)	Income Maintenance Manual		X		
PG0041	2	Breast and Cervical Cancer (BCC)	Income Maintenance Manual		X		
PG0042	2	Essential Spouses Of Supplemental Security Income (SSI) Recipients (MSS) eligibility group based on data delivered by the Social Security Administration (SSA).	Income Maintenance Manual		X		
PG0043	1	The solution should create unique assistance groups for each Medicaid eligibility group according to West Virginia business rules.	Income Maintenance Manual		X		
PG0044	1	The solution should create unique income groups for each Medicaid eligibility group according to West Virginia business rules.	Income Maintenance Manual		X		
PG0045	1	The solution should create unique needs groups for each Medicaid eligibility group according to West Virginia business rules.	Income Maintenance Manual		X		
PG0046	1	The solution should provide the flexibility to accommodate an unlimited number of Medicaid eligibility groups, as required by West Virginia business rules.	Income Maintenance Manual		X		
PG0047	1	The solution should indicate which sections of forms are to be completed by a physician.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
PG0048	1	The solution should modify the premium amount based upon a reported income or household change.	Income Maintenance Manual	X			
PG0049	1	The solution should support the eligibility lifecycle for all West Virginia Children's Health Insurance Program (WVCHIP) eligibility groups, with unique eligibility and verification requirements for each group.	West Virginia State Plan Amendment #: WV-13-0001		X		
PG0050	1	The solution should include the following West Virginia Children's Health Insurance Program (WVCHIP) eligibility groups, including but not limited to:	West Virginia State Plan Amendment #: WV-13-0001		X		
PG0051	2	Exempt Coverage	West Virginia State Plan Amendment #: WV-13-0001		X		
PG0052	2	Blue Coverage	West Virginia State Plan Amendment #: WV-13-0001		X		
PG0053	2	Gold Coverage	West Virginia State Plan Amendment #: WV-13-0001		X		
PG0054	2	Premium Coverage	West Virginia State Plan Amendment #: WV-13-0001		X		
PG0055	1	The solution should accommodate an unlimited number of West Virginia Children's Health Insurance Program (WVCHIP) eligibility groups, according to West Virginia business rules.	Income Maintenance Manual		X		
PG0056	1	The solution should establish a configurable lifetime limit (currently 60 months) for WV WORKS eligibility according to West Virginia business rules.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
PG0057	1	The solution should calculate the provider payment amount per child according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
PG0058	1	The solution should pay two providers for one child according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
PG0059	1	The solution should track the base rate according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
PG0060	1	The solution should calculate the base rate according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
PG0061	1	The solution should apply the base rate according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
PG0062	1	The solution should track the special needs supplement according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
PG0063	1	The solution should calculate the special needs supplement according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
PG0064	1	The solution should apply the special needs supplement according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
PG0065	1	The solution should track the tiered reimbursement supplement according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
PG0066	1	The solution should calculate the tiered reimbursement supplement according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
PG0067	1	The solution should apply the tiered reimbursement supplement according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
PG0068	1	The solution should track the shift differential rate supplement according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
PG0069	1	The solution should calculate the shift differential rate supplement according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
PG0070	1	The solution should apply the shift differential rate supplement according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
PG0071	1	The solution should support the use of daily rate tables.	Child Care Subsidy Policies and Procedures Manual	X			
PG0072	1	The solution should support the use of monthly rate tables.	Child Care Subsidy Policies and Procedures Manual	X			
PG0073	1	The solution should select and apply the per day rate or the monthly rate according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
PG0074	1	The solution should calculate one or more types of partial days according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
PG0075	1	The solution should convert partial days to full days according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
PG0076	1	The solution should deduct the parent fee according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
PG0077	1	The solution should calculate the total number of days for payment according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
PG0078	1	The solution should allow providers to submit payment information via a secure web portal.	Child Care Subsidy Policies and Procedures Manual			X	
PG0079	1	The solution should produce the Annual Aggregate Child Care Data Report (ACF-800) with all proposed changes by the Child Care and Development Block Grant (CCDBG).	Not Applicable		X		
PG0080	1	The solution should produce the Child Care Monthly Case Record Report (ACF-801) with all proposed changes by the Child Care and Development Block Grant (CCDBG).	Not Applicable		X		
PG0081	1	The solution should allow the system user to enter daily and weekly provider rates.	Not Applicable		X		
PG0082	1	The solution should keep a log for burial payments for each local office according to West Virginia business rules.	Income Maintenance Manual		X		
PG0083	1	The solution should create a log of burial assistance applications for each local office.	Income Maintenance Manual		X		
Provider Management (PM)							
PM0001	1	The solution should allow attributes to be displayed for vendors according to West Virginia business rules, including but not limited to, the following:	Full Financial Clerks Manual			X	

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
PM0002	2	Vendor Number (System-generated)	Full Financial Clerks Manual			X	
PM0003	2	Vendor Name	Full Financial Clerks Manual			X	
PM0004	2	Vendor Address	Full Financial Clerks Manual			X	
PM0005	2	Vendor Phone Number	Full Financial Clerks Manual			X	
PM0006	2	Vendor Tax Identification Number / Social Security Number	Full Financial Clerks Manual			X	
PM0007	2	Vendor Type	Full Financial Clerks Manual			X	
PM0008	1	The solution should store the results of child care provider background checks, including criminal history record, child or adult protective services records, and sexual offender registry, according to West Virginia business rules.	Child Care Provider Regulation: Policy & Procedures Manual		X		
PM0009	1	The solution should flag providers with findings in their background checks.	Child Care Provider Regulation: Policy & Procedures Manual			X	
PM0010	1	The solution should track provider staff qualifications and requirements, including but not limited to: health assessment, tuberculin risk assessment, documentation of credentials, criminal history background check, and child abuse or neglect background check.	Child Care Center Information Packet			X	
PM0011	1	The solution should distinguish between various child care licensing and certificate types, including but not limited to: initial, provisional, registration, and regular license, according to West Virginia business rules.	Child Care Provider Regulation: Policy & Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
PM0012	1	The solution should distinguish between various child care service provider types including but not limited to: family child care home, family child care facility, child care center, Head Start/Child Care Center, and out-of-school time.	Child Care Provider Regulation: Policy & Procedures Manual		X		
PM0013	1	The solution should capture information about child care licensing inquiries when there is no information in the system about the provider.	Not Applicable		X		
PM0014	1	The solution should allow the system user to search for an approved child care provider.	Not Applicable	X			
PM0015	1	The solution should support the entry of child/staff ratios, categorized by age of children in years and/or months.	Child Care Center Information Packet			X	
PM0016	1	The solution should capture information about all technical assistance activities provided to a child care provider.	Child Care Provider Regulation: Policy & Procedures Manual		X		
PM0017	1	The solution should record information on the provider's total capacity.	Child Care Provider Regulation: Policy & Procedures Manual		X		
PM0018	1	The solution should record information on the provider's capacity by age grouping.	Child Care Provider Regulation: Policy & Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
PM0019	1	The solution should record information on the business ownership type for all provider types according to West Virginia business rules.	Child Care Provider Regulation: Policy & Procedures Manual			X	
PM0020	1	The solution should record information on a provider's employees according to West Virginia business rules.	Child Care Provider Regulation: Policy & Procedures Manual			X	
PM0021	1	The solution should record information on the child care services offered by the provider, including but not limited to:	Child Care Provider Regulation: Policy & Procedures Manual		X		
PM0022	2	Evening or night time care	Child Care Provider Regulation: Policy & Procedures Manual		X		
PM0023	2	Pre-kindergarten	Child Care Provider Regulation: Policy & Procedures Manual		X		
PM0024	2	Standard curriculum	Child Care Provider Regulation: Policy & Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
PM0025	2	Transportation	Child Care Provider Regulation: Policy & Procedures Manual		X		
PM0026	1	The solution should record the provider address, physical location, mailing address, email address, and directions to the location.	Child Care Provider Regulation: Policy & Procedures Manual			X	
PM0027	1	The solution should track the number of subsidized children served by the provider.	Child Care Provider Regulation: Policy & Procedures Manual			X	
PM0028	1	The solution should support the provider inquiry according to West Virginia business rules.	Child Care Provider Regulation: Policy & Procedures Manual			X	
PM0029	1	The solution should track child care center types, based upon the total capacity of the center, according to West Virginia business rules.	Child Care Provider Regulation: Policy & Procedures Manual		X		
PM0030	1	The solution should track negative actions according to West Virginia business rules.	Child Care Provider Regulation: Policy & Procedures Manual			X	
PM0031	1	The solution should flag child care providers as one of the following:	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
PM0032	2	For referral	Not Applicable		X		
PM0033	2	Private referrals only	Not Applicable		X		
PM0034	2	Not for referral	Not Applicable		X		
PM0035	1	The solution should flag self-certified service providers for on-site evaluation based on a random selection of five (5) percent of the total number of registered informal, relative, and family child care homes.	Child Care Provider Regulation: Policy & Procedures Manual		X		
PM0036	1	The solution should allow providers to submit requests for hearings within approved timeframes according to West Virginia business rules.	Child Care Provider Regulation: Policy & Procedures Manual		X		
PM0037	1	The solution should track hearing activities; including but not limited to, scheduling and hearing results.	Child Care Provider Regulation: Policy & Procedures Manual		X		
PM0038	1	The solution should allow the system user to view standard payment rates for child care providers.	Not Applicable		X		
PM0039	1	The solution should allow the system user to view miscellaneous payment rates for child care providers.	Not Applicable		X		
PM0040	1	The solution should associate employees and volunteers with a provider record.	Child Care Provider Regulation: Policy & Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
PM0041	1	The solution should accommodate a rules-based complaint workflow, including the following elements with configurable deadline timeframes:	Child Care Provider Regulation: Policy & Procedures Manual		X		
PM0042	2	Initial submission of the complaint	Child Care Provider Regulation: Policy & Procedures Manual		X		
PM0043	2	Tracking all actions	Child Care Provider Regulation: Policy & Procedures Manual		X		
PM0044	2	Tracking results of the complaint investigation	Child Care Provider Regulation: Policy & Procedures Manual		X		
PM0045	2	Technical assistance	Child Care Provider Regulation: Policy & Procedures Manual		X		
PM0046	2	Follow up	Child Care Provider Regulation: Policy & Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
PM0047	1	The solution should track information about a provider's attendance in payment enrollment training.	Child Care Subsidy Policies and Procedures Manual			X	
PM0048	1	The solution should allow providers to view payment details via a secure web portal.	Child Care Subsidy Policies and Procedures Manual		X		
PM0049	1	The solution should allow providers to view information about approved children, hours, and rates via a secure web portal.	Child Care Subsidy Policies and Procedures Manual		X		
PM0050	1	The solution should log and maintain provider contacts.	Child Care Subsidy Policy & Procedures Manual		X		
PM0051	1	The solution should maintain provider contacts.	Child Care Subsidy Policy & Procedures Manual		X		
PM0052	1	The solution should allow the system user to view provider rate specifics including, but not limited to, the following:	Not Applicable		X		
PM0053	2	Agency name	Not Applicable	X			
PM0054	2	Provider name	Not Applicable	X			
PM0055	2	Provider identifier (ID)	Not Applicable	X			
PM0056	2	Provider type	Not Applicable		X		
PM0057	2	Quality tier level	Not Applicable	X			
PM0058	2	Market rate ceiling	Not Applicable		X		
PM0059	2	Age range	Not Applicable	X			
PM0060	2	Age start date	Not Applicable	X			
PM0061	2	Age end date	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
PM0062	1	The solution should hold all payments to a particular provider type.	Not Applicable	X			
PM0063	1	The solution should hold a particular invoice to a particular provider.	Not Applicable	X			
PM0064	1	The solution should allow the system user to approve a regular demand payment invoice.	Not Applicable	X			
PM0065	1	The solution should display a Kinship/Relative Provider Record.	Adoption Policy Manual	X			
PM0066	1	The solution should allow providers to be associated with cases according to West Virginia business rules.	Foster Care Policy	X			
PM0067	1	The solution should allow authorized system users to search open and closed provider records.	Foster Care Policy	X			
PM0068	1	The solution should support the completion of tax information in the provider record according to West Virginia business rules.	Foster Care Policy	X			
PM0069	1	The solution should support the approval of tax information in the provider record according to West Virginia business rules.	Foster Care Policy	X			
PM0070	1	The solution should maintain a history of the tax information in the provider record according to West Virginia business rules.	Foster Care Policy	X			
PM0071	1	The solution should capture and update provider information.	Not Applicable	X			
PM0072	1	The solution should record and track provider training.	Not Applicable	X			
PM0073	1	The solution should maintain and update foster care and adoptive home information according to West Virginia business rules, including, but not limited to, the following:	Not Applicable		X		
PM0074	2	Licensing Decisions	Not Applicable	X			
PM0075	2	Violations and Revocations	Not Applicable	X			
PM0076	2	Required Adoption and Foster Care Analysis and Reporting System (AFCARS information)	Not Applicable	X			
PM0077	2	Completed Training	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
PM0078	1	The solution should store the following information about Socially Necessary Services (SNS) providers according to West Virginia business rules:	Communication Protocol for Socially Necessary Services			X	
PM0079	2	Authorization Results	Communication Protocol for Socially Necessary Services			X	
PM0080	2	Start and End Dates	Communication Protocol for Socially Necessary Services			X	
PM0081	2	Corrective Action Plans	Communication Protocol for Socially Necessary Services			X	
PM0082	1	The solution should allow a provider to submit monthly reports electronically.	Communication Protocol for Socially Necessary Services		X		
PM0083	1	The solution should support the waiver review and approval process according to West Virginia business rules.	Standard Operating Procedure: Socially Necessary Services Crimes and Waivers	X			
PM0084	1	The solution should support the completion of investigations involving informal, unlicensed/unregistered child care settings.	Child Protective Services Policy		X		
PM0085	1	The solution should capture health and medical information about placement providers according to West Virginia business rules.	Specialized Family Care Program Policy	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
PM0086	1	The solution should support the process of collecting information about home standards and safety features according to West Virginia business rules.	Specialized Family Care Program Policy	X			
PM0087	1	The solution should allow a user to document if the Adult Protective Services Corrective Action Plan was approved according to West Virginia business rules.	Social Services Manual			X	
PM0088	1	The solution should allow a system user to document if the approved Adult Protective Services Corrective Action Plan was fully implemented according to West Virginia business rules.	Social Services Manual			X	
PM0089	1	The solution should allow a system user to document that an Assisted Living Provider has been licensed, certified, or registered according to West Virginia business rules.	Social Services Manual	X			
PM0090	1	The solution should document that a signed Internal Revenue Service (IRS) Form W-9 was received.	Social Services Manual	X			
PM0091	1	The solution should document the amount and type of training received by Assisted Living staff each quarter.	Social Services Manual			X	
PM0092	1	The solution should allow a system user to document if a provider is to be closed.	Social Services Manual	X			
PM0093	1	The solution should allow the system user to document the reference information according to West Virginia business rules.	Homefinding Policy	X			
PM0094	1	The solution should allow the system user to prepare the provider certificate according to West Virginia business rules.	Homefinding Policy	X			
PM0095	1	The solution should assist the system user with provider development according to West Virginia business rules.	Homefinding Policy			X	
PM0096	1	The solution should allow the system user to document the corrective action plan according to West Virginia business rules.	Homefinding Policy			X	
PM0097	1	The solution should route complaint referrals according to West Virginia business rules.	Homefinding Policy			X	

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
PM0098	1	The solution should support provider service administration functions according to West Virginia business rules including, but not limited to, the following: services offered, service restrictions, catchment area, and admission criteria.	Not Applicable			X	
PM0099	1	The solution should display the history of all children, placements, and services associated with a provider.	Not Applicable			X	
PM0100	1	The solution should support the development of the provider emergency plan.	Not Applicable			X	
PM0101	1	The solution should support the storage of current and historical provider rates.	Foster Care Policy	X			
PM0102	1	The solution should associate more than one provider rate with the same provider record according to West Virginia business rules.	Foster Care Policy	X			
PM0103	1	The solution should allow authorized system users to make changes to provider rates according to West Virginia business rules.	Foster Care Policy	X			
PM0104	1	The solution should allow authorized system users to merge provider records according to West Virginia business rules.	Not Applicable			X	
PM0105	1	The solution should document information about providers opened outside of Department of Health and Human Resources (DHHR) policy.	Not Applicable			X	
PM0106	1	The solution should bi-directionally interface with the DHHR provider module according to West Virginia business rules.	Not Applicable		X		
Security (SC)							
SC0001	1	The Vendor should establish Business Associate Agreements (BAA) or contractual agreements with any subcontractors that have access to data subject to protection by the Health Insurance Portability and Accountability Act (HIPAA). The BAA should contain the following elements at a minimum:	West Virginia Business Associate Agreement	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SC0002	2	The content of the Business Associate Agreement (BAA) should be consistent with the West Virginia State standard Business Associate Addendum.	West Virginia Business Associate Agreement	X			
SC0003	2	The vendor should establish Business Associate Agreement (BAA) or contractual agreements with the State to data subject to protection by the Health Insurance Portability and Accountability Act (HIPAA).	West Virginia Business Associate Agreement	X			
SC0004	2	The solution should warn the user about accessing federally protected data and allow the user to confirm and proceed with such actions.	West Virginia Business Associate Agreement		X		
SC0005	2	The vendor should ensure that its employees and sub-contractors complete and maintain required security training and follow State policies regarding security. This should be done, at a minimum, on an annual basis and for all new hires within five (5) business days of being hired.	State IT Policy Documents	X			
SC0006	1	The Vendor should comply with, and maintain, all standards and requirements of the latest version of the FNS Handbook 901. The Vendor should demonstrate (provide proof of) their compliance.	FNS Handbook 901	X			
SC0007	1	The solution should conduct manual overrides in accordance with the approved Change Management Plan.	Not Applicable		X		
SC0008	1	The solution should log manual overrides and report on them at timed intervals as determined by the State.	Not Applicable	X			
SC0009	1	The solution should provide role-based security using unique identifiers (IDs), mandatory password standards, and profile or group access assignments.	Not Applicable	X			
SC0010	1	The solution should authenticate all users when establishing a connection to the Integrated Eligibility Solution.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SC0011	1	The solution should establish a staggered expiration schedule for required passwords that allows appropriate system users and/or automated system changes or updates.	Not Applicable	X			
SC0012	1	The solution should store passwords in encrypted form.	Not Applicable	X			
SC0013	1	The solution should prohibit the display of passwords on the sign-on screen when entered by the user.	Not Applicable	X			
SC0014	1	The Vendor should enforce password policies for character requirements and updates for all system users as defined by the State and federal requirements.	Not Applicable	X			
SC0015	1	The solution should provide a mechanism to limit access to information based on system user role and program rules.	Not Applicable	X			
SC0016	1	The solution should provide role-based access to all system components; create, delete, modify, and assign role-based security to grant view; and modify privileges to individual window, report, data element, cases, and field levels.	Not Applicable	X			
SC0017	1	The solution should update all security roles automatically when a change in the "master" role is made.	Not Applicable	X			
SC0018	1	The solution should allow access and role changes to be made in real-time.	Not Applicable	X			
SC0019	1	The solution should perform multiple levels of workflow approvals for tasks, based on security/role profile and other user-defined criteria.	Not Applicable	X			
SC0020	1	The solution should restrict specific roles from concurrent log-ons (i.e., multiple log-ins to the same user account).	Not Applicable		X		
SC0021	1	The solution should allow self-service password resets by system users.	Not Applicable	X			
SC0022	1	The Vendor should deactivate all system access for system users in real-time upon notification of termination, departure, or reassignment.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SC0023	1	The solution should send system-generated email notifications of password change events and expiration warnings at configurable intervals.	Not Applicable		X		
SC0024	1	The Vendor should provide a secure web-based method to receive requests for authorization to access the solution.	Not Applicable	X			
SC0025	1	The solution should control access to reports by role.	Not Applicable	X			
SC0026	1	The Vendor should provide Single Sign-On (SSO) capability for authentication and authorization across the enterprise solution.	Not Applicable	X			
SC0027	1	The solution should support member delegated authority according to West Virginia business rules (e.g., assistors, authorized representatives).	Not Applicable		X		
SC0028	1	The solution should support a limit of unsuccessful attempts to access the solution after which the system user account should be locked out.	Not Applicable	X			
SC0029	1	When a system user is locked out as a result of exceeding the number of sign-in attempts, the solution should create a log of access attempts and generate a report to the vendor security management team. A copy of the report should also be sent to a designated State resource for review.	Not Applicable		X		
SC0030	1	The solution should inform system users of privacy policy regulations enforced by the application, including the logging of system users' access attempts to PII/PHI and other actions taken within the application that are subject to privacy reporting and disclosure notification.	Not Applicable		X		
SC0031	1	The solution should automatically suspend all system users who have not accessed the solution within a specified period of time as defined by the State. The suspension requirements should be configurable and distinct for each system environment and user role.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SC0032	1	The solution should terminate authorized sessions after thirty (30) minutes of inactivity, after a warning message is displayed to the user informing them that the session will terminate in an identified period of time. The timeout requirements should be configurable and distinct for each system environment and user role.	Not Applicable		X		
SC0033	1	The solution should support archiving of user profiles, to be stored for a period of time to be specified by the State.	Not Applicable		X		
SC0034	1	The solution should provide Internal Revenue Service (IRS) approved multi-factor authentication for remote access for authorized system users.	IRS Publication 1075	X			
SC0035	1	The Vendor should protect vendor office locations against intrusion at all times and maintain a surveillance alarm/system that is linked to a manned monitoring center.	Not Applicable	X			
SC0036	1	The Vendor should provide 'panic bar' door releases on all locked doors that serve as points of egress in the event of an emergency.	Not Applicable	X			
SC0037	1	The Vendor should disable building access in real-time for staff upon termination, departure, or reassignment from the project.	Not Applicable	X			
SC0038	1	When visiting State facilities, the Vendor staff should adhere to all State security requirements.	Not Applicable	X			
SC0039	1	The Vendor should not attach any non-State owned equipment to any State network without prior permission from the State and an assurance that the equipment meets State security standards. The State, at its discretion, may perform simple network scans that would identify non-State devices.	Not Applicable	X			
SC0040	1	The Vendor should log the entry and exit of visitors and messengers by visitor name, agency represented, date and time of arrival and departure, and the name of the individual to whom the visit is made. Identification and credentials of all visitors should be checked.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SC0041	1	The Vendor should maintain an operational back-up power supply capable of supporting vital functions.	Not Applicable	X			
SC0042	1	The Vendor should protect the vendor's data center location(s) against intrusion at all times and maintain a surveillance alarm/system that is linked to a manned monitoring center.	Not Applicable	X			
SC0043	1	The Vendor should provide the State access to all facilities to conduct announced and unannounced visits of vendor's facilities.	Not Applicable		X		
SC0044	1	The Vendor should maintain a current database of individuals who have access to its facilities. The database should be available for State inspection upon request.	Not Applicable	X			
SC0045	1	The solution should audit and track all activity specific to each user, including but not limited to:	Not Applicable	X			
SC0046	2	Invalid log-in attempts	Not Applicable	X			
SC0047	2	Transaction activities	Not Applicable	X			
SC0048	2	Track adds, changes, and deletes of individual member data	Not Applicable	X			
SC0049	2	Password changes	Not Applicable	X			
SC0050	2	Security Question / Key Creation	Not Applicable	X			
SC0051	2	Updates to Security Questions	Not Applicable	X			
SC0052	2	User Navigation History	Not Applicable	X			
SC0053	2	Comprehensive History of Assigned Cases	Not Applicable	X			
SC0054	2	Other elements as defined by the State.	Not Applicable		X		
SC0055	1	The solution should collect sufficient detail to produce an immutable audit log of all system activity (both manual and automated), including the following elements:	Not Applicable	X			
SC0056	2	User Identification	Not Applicable	X			
SC0057	2	Machine/Internet Protocol Address Identification	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SC0058	2	Time and Date of Action	Not Applicable	X			
SC0059	2	Actions Performed	Not Applicable	X			
SC0060	2	Other elements as defined by the State.	Not Applicable		X		
SC0061	1	The Vendor should provide authorized requestors a report containing the security profile for an individual or role.	Not Applicable	X			
SC0062	1	The solution should record an immutable audit log of security role assignment and revocation activities performed within the solution and changes to security role assignments on servers and in databases.	Not Applicable	X			
SC0063	1	The solution should generate audit reports and based on a request from authorized requestors at the State.	Not Applicable		X		
SC0064	1	The Vendor should provide a Disaster Recovery Plan and maintain the plan with at least annual updates.	Not Applicable	X			
SC0065	2	The Contingency Plan should include: - Established processes for business impact analysis that determine the severity and impact of an emergency event; - Provision of an analysis of operational capabilities to the State immediately following any emergency event; and - Recommendations and associated risks to the State following any emergency event	Not Applicable	X			
SC0066	2	The established Emergency Plan should include: - Communication plans (should be updated and distributed on a quarterly basis); - Processes for remote support; and - Back-up procedures	Not Applicable	X			
SC0067	2	A structured contingency and escalation process in the case of system outage.	Not Applicable	X			
SC0068	1	The Vendor should maintain the same level of security compliance during any interruption of normal operations as outlined in the Contract.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SC0069	1	The solution should provide a process for accessing all data in the event of an emergency while also maintaining confidentiality and integrity of said data during emergency operations.	Not Applicable	X			
SC0070	1	The Vendor should equip facilities with proper safeguards for fire prevention, fire detection, and fire suppression that are consistent with local fire codes.	Not Applicable	X			
SC0071	1	The Vendor should equip fire detection and alarm systems with uninterruptable power supply.	Not Applicable	X			
SC0072	1	The Vendor should conduct a disaster recovery exercise and provide the results to the designated State staff on an annually agreed-upon basis. State staff should be included in the exercise.	Not Applicable	X			
SC0073	1	The Vendor should have a remote backup facility at least fifty (50) miles away from the primary data center.	Not Applicable	X			
SC0074	1	The Vendor should provide a Business Continuity Plan explaining business processing in the event of an interruption of normal operations. This plan should be updated annually.	Not Applicable	X			
SC0075	1	The Vendor should deliver reporting on all unauthorized disclosures of Protected Health Information (PHI) immediately upon discovery.	HIPAA	X			
SC0076	1	The solution should perform data mapping to identify the Protected Health Information (PHI) contained in the system, the flow of that data through the system, and where that data resides.	HIPAA	X			
SC0077	1	The Vendor should deliver reporting on all unauthorized disclosures of Personally Identifiable Information (PII) immediately upon discovery.	HIPAA	X			
SC0078	1	The Vendor should deliver reporting on all unauthorized disclosures of Federal Tax Information (FTI) immediately upon discovery.	IRS Publication 1075	X			
SC0079	1	The Vendor should deliver reporting on all unauthorized disclosures of data immediately upon discovery.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SC0080	1	The solution should monitor, detect, and report malicious software.	Not Applicable	X			
SC0081	1	The Vendor should conduct penetration testing of the solution. The results should be delivered to the State.	Not Applicable	X			
SC0082	1	The Vendor should deliver a Security, Privacy, and Confidentiality Plan and maintain the plan with at least annual updates.	Not Applicable	X			
SC0083	2	The solution should provide security incident reporting inclusive of mitigation measures to address the reported incident.	Not Applicable	X			
SC0084	2	The Security, Privacy, and Confidentiality Plan should include an incident response plan that aligns with State and federal requirements.	Not Applicable	X			
SC0085	1	The Vendor should deliver the system architectural activity and process diagrams that detail security and privacy controls.	Not Applicable	X			
SC0086	1	The solution should ensure administrative interfaces are not accessible from the public internet portal.	Not Applicable	X			
SC0087	1	All vendor-owned computers and devices should:	Not Applicable	X			
SC0088	2	Be protected by industry standard virus protection software, which is automatically updated with a State approved scan schedule.	Not Applicable	X			
SC0089	2	Install all security patches that are relevant to the applicable operating system and all other system software.	Not Applicable	X			
SC0090	2	The vendor should maintain compatibility with State software and systems.	Not Applicable	X			
SC0091	2	The vendor should utilize only licensed software and hardware solutions that have not been classified as End-of-Life (EOL).	Not Applicable	X			
SC0092	1	The Vendor should sign any documents and agreements that are necessary to keep the vendor in compliance with the State Information Technology Security Policies.	WVOT Information Technology Security Policies		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SC0093	1	The solution should provide complete logical and physical segregation of the West Virginia Integrated Eligibility Solution data and files from the data and files of other vendor/vendor customers.	Not Applicable		X		
SC0094	1	The vendor should provide State-designated resources with necessary access to components of the solution.	Not Applicable		X		
SC0095	1	The Vendor should conduct information security assessments and audits of the solution (to be conducted internally by the vendor, by the State, or by an external entity hired by the State) as directed by the State.	Not Applicable	X			
SC0096	1	The Vendor should conduct semi-annual security assessments, the results of which should be delivered to the State. The results should include a plan and schedule to mitigate and resolve any findings and workarounds to mitigate the finding during implementation of the permanent fix.	Not Applicable	X			
SC0097	1	The Vendor should conduct a security assessment of any new functionality prior to its deployment to production, the results of which should be delivered to the State. The Vendor should obtain State approval for proposed resolutions to all assessment findings prior to deployment to production.	Not Applicable	X			
SC0098	1	All security assessments conducted by the Vendor should be inclusive of vulnerability scans of the solution and the results of the vulnerability scan should be included with the security assessment results.	Not Applicable	X			
SC0099	1	The solution should utilize a Security Information and Event Management (SIEM) solution that generates alerts for attempts to access unauthorized databases and systems from both internal and external sources and monitors and reports on an ongoing basis. Copies of the reports should be provided to the State on a monthly basis.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SC0100	1	The Vendor should maintain documentation of encryption keys, interface credentials, and service account credentials. The Vendor should provide this documentation to the State any time an update is made.	Not Applicable	X			
SC0101	1	The Vendor should provide continuous monitoring of the solution using Intrusion Detection Software (IDS).	Not Applicable	X			
SC0102	1	The Vendor should provide reports at intervals determined by the State from the Intrusion Detection Software (IDS).	Not Applicable	X			
SC0103	1	The Vendor should provide continuous monitoring of the solution using Intrusion Protection Software (IPS).	Not Applicable	X			
SC0104	1	The Vendor should provide reports at intervals determined by the State from the Intrusion Protection Software (IPS).	Not Applicable	X			
SC0105	1	The solution should allow a case to be designated as confidential according to West Virginia business rules.	Income Maintenance Manual		X		
SC0106	1	The solution should allow for modified access, maintenance, and processing of client records flagged as confidential according to West Virginia business rules.	Income Maintenance Manual		X		
SC0107	1	The solution should mark a case or specific client data within a record confidential on a case-by-case basis according to West Virginia business rules.	BCSE Policy Manual	X			
SC0108	1	The solution should support non-disclosure of information.	BCSE Policy Manual	X			
SC0109	1	The solution should allow an authorized system user to review all case actions and activities that occur in, or are processed by, the solution.	Child Support Enforcement: A Guide for States	X			
SC0110	1	The solution should retain records according to West Virginia policy and regulations.	Child Care Subsidy Policies and Procedures Manual		X		
SC0111	1	The solution should support data freezing according to West Virginia business rules.	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
Service Management (SM)							
SM0001	1	The solution should refer individuals who meet all other Qualified Medicare Beneficiary (QMB), Special Low Income Medicare Beneficiary (SLIMB), and Qualified Individual (QI-1) eligibility requirements, but who are not yet enrolled in Medicare Part B, to the Bureau for Medical Services (BMS) Medicare Premium Assistance Unit.	Income Maintenance Manual		X		
SM0002	1	The solution should produce a re-referral to the Medical Review Team (MRT).	Income Maintenance Manual		X		
SM0003	1	The solution should show the user how much more time a case has before a time limit is reached according to West Virginia business rules.	Income Maintenance Manual		X		
SM0004	1	The solution should track the following disability characteristics:	Income Maintenance Manual	X			
SM0005	2	Source of Disability Determination	Income Maintenance Manual	X			
SM0006	2	Date of Disability	Income Maintenance Manual	X			
SM0007	2	Type of Disability (total and permanent or occupational)	Income Maintenance Manual		X		
SM0008	2	Disability decision outcome	Income Maintenance Manual		X		
SM0009	2	Most recent contact with client doctor	Income Maintenance Manual		X		
SM0010	2	Disability or incapacity description	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0011	1	The solution should allow for manual overrides of disability determinations according to West Virginia business rules.	Income Maintenance Manual		X		
SM0012	1	The solution should allow a system user to refer, or re-refer, a client to the Social Security Administration (SSA).	Income Maintenance Manual	X			
SM0013	1	The solution should re-open, or modify, approved Medicaid case files according to West Virginia business rules.	Income Maintenance Manual		X		
SM0014	1	The solution should track date ranges individuals were in hospitals or facilities for an episode of care.	Income Maintenance Manual	X			
SM0015	1	The solution should capture the primary care physician and current physicians overseeing care.	Income Maintenance Manual		X		
SM0016	1	The solution should capture whether or not the client would like to make their own physician appointments in support of the disability determination process.	Income Maintenance Manual		X		
SM0017	1	The solution should track a beneficiary's employment status.	Income Maintenance Manual	X			
SM0018	1	The solution should assist the system user in determining a client's monthly participation obligation for work activities according to West Virginia business rules and Federal regulations.	Income Maintenance Manual		X		
SM0019	1	The solution should generate and print accounting computations according to West Virginia business rules.	BCSE Policy Manual	X			
SM0020	1	The solution should allow an authorized system user to generate case notes.	BCSE Policy Manual	X			
SM0021	1	The solution should allow an authorized system user to electronically complete and append a case note to one or more case files.	BCSE Policy Manual	X			
SM0022	1	The solution should allow one order to be associated with multiple children according to West Virginia business rules.	BCSE Policy Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0023	1	The solution should allow one order to be associated with multiple cases according to West Virginia business rules.	BCSE Policy Manual	X			
SM0024	1	The solution should support recording the information required for the fair hearing process.	BCSE Policy Manual	X			
SM0025	1	The solution should support the case lifecycle for all qualifying populations served by the Bureau for Child Support Enforcement (BCSE) according to West Virginia business rules.	BCSE Policy Manual	X			
SM0026	1	The solution should support case changes that result from interstate movement of obligees or obligors according to West Virginia business rules.	BCSE Policy Manual	X			
SM0027	1	The solution should document and track caretaker cooperation with the Bureau for Child Support Enforcement (BCSE).	BCSE Policy Manual	X			
SM0028	1	The solution should support the intake timeframes according to West Virginia business rules.	BCSE Policy Manual	X			
SM0029	1	The solution should support the initial assessment process according to West Virginia business rules.	BCSE Policy Manual	X			
SM0030	1	The solution should track whether the obligor's and/or obligee's address has been verified.	BCSE Policy Manual	X			
SM0031	1	The solution should assist the system user in selection of the correct sources to be checked in response to a locate request.	BCSE Policy Manual	X			
SM0032	1	The solution should allow a system user to conduct obligee locate requests without the case actually being placed into a locate status.	BCSE Policy Manual	X			
SM0033	1	The solution should automatically populate the log used to track locate activity with all automated activity taken to support completion of a locate request.	BCSE Policy Manual	X			
SM0034	1	The solution should query against executed paternity affidavits that do not have active Bureau for Child Support Enforcement (BCSE) cases when initiating a new case.	BCSE Policy Manual	X			
SM0035	1	The solution should track the reason that a child has been removed from a case.	BCSE Policy Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0036	1	The solution should track the total amount of retroactive reimbursement support the obligor is ordered to pay.	BCSE Policy Manual	X			
SM0037	1	The solution should track a Request to Choose an Insurance Plan related to the Child Support program.	BCSE Policy Manual	X			
SM0038	1	The solution should track claimed medical bills.	BCSE Policy Manual	X			
SM0039	1	The solution should update the child support award amount based on medical bills according to West Virginia business rules.	BCSE Policy Manual	X			
SM0040	1	The solution should allow for a person to be appointed as an administrator according to West Virginia business rules.	BCSE Policy Manual	X			
SM0041	1	The solution should document the source used to verify a client's death.	BCSE Policy Manual	X			
SM0042	1	The solution should track the date of death for the client.	BCSE Policy Manual	X			
SM0043	1	The solution should send payments to the administrator of the estate if such monies are due.	BCSE Policy Manual	X			
SM0044	1	The solution should backdate the support obligation according to West Virginia business rules.	BCSE Policy Manual	X			
SM0045	1	The solution should modify obligations to be retroactive according to West Virginia business rules.	BCSE Policy Manual	X			
SM0046	1	The solution should specify an end date for each obligation within an order according to West Virginia business rules.	BCSE Policy Manual	X			
SM0047	1	The solution should allow the system user to enter any type of order according to West Virginia business rules.	BCSE Policy Manual	X			
SM0048	1	The solution should automatically calculate and track interest on arrearages according to West Virginia business rules.	BCSE Policy Manual	X			
SM0049	1	The solution should support the amnesty program for obligors who agree to pay arrearages in a specified period of time according to West Virginia business rules.	BCSE Policy Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0050	1	The solution should support the suspension of interest according to West Virginia business rules.	BCSE Policy Manual	X			
SM0051	1	The solution should automatically terminate income withholding if the current order has been satisfied in full based on the terms of the order and all arrearages are paid.	BCSE Policy Manual	X			
SM0052	1	The solution should allow the system user to enter and track support withholdings from all sources according to West Virginia business rules.	BCSE Policy Manual	X			
SM0053	1	The solution should allow the system user to override the payment allocation hierarchy in order to make separate payments to the client's attorney.	BCSE Policy Manual	X			
SM0054	1	The solution should calculate the amount of an obligor's lottery winnings that should be paid to offset arrearages.	BCSE Policy Manual	X			
SM0055	1	The solution should support the tax offset administrative review process according to West Virginia business rules.	BCSE Policy Manual	X			
SM0056	1	The solution should allow a system user to enter the date the writ of execution was served.	BCSE Policy Manual	X			
SM0057	1	The solution should support the child support processes during a bankruptcy proceeding on the part of the employer in accordance with West Virginia business rules.	BCSE Policy Manual	X			
SM0058	1	The solution should support the process of monitoring a payment plan according to West Virginia business rules.	BCSE Policy Manual	X			
SM0059	1	The solution should support the capture of all information related to the service process according to West Virginia business rules.	BCSE Policy Manual	X			
SM0060	1	The solution should support intergovernmental processes for administrative enforcement according to West Virginia business rules.	BCSE Policy Manual		X		
SM0061	1	The solution should support intergovernmental processes for registration for modification and enforcement according to West Virginia business rules.	BCSE Policy Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0062	1	The solution should support the use of appropriate foreign currency exchange rates on intergovernmental processes with foreign countries.	BCSE Policy Manual		X		
SM0063	1	The solution should support intergovernmental processes for limited services cases according to West Virginia business rules.	BCSE Policy Manual		X		
SM0064	1	The solution should support retroactive modification of support according to West Virginia business rules.	BCSE Policy Manual	X			
SM0065	1	The solution should support reverse income withholding according to West Virginia business rules.	BCSE Policy Manual		X		
SM0066	1	The solution should determine and maintain the current period, case, and total Unreimbursed Assistance (URA).	BCSE Policy Manual		X		
SM0067	1	The solution should support the determination and distribution of pass-through payments.	BCSE Policy Manual		X		
SM0068	1	The solution should determine the allocation of support payments in accordance with the allocation hierarchies according to West Virginia business rules.	BCSE Policy Manual	X			
SM0069	1	The solution should permit manual adjustment of the default allocation according to West Virginia business rules.	BCSE Policy Manual	X			
SM0070	1	The solution should support the manual allocation process according to West Virginia business rules.	BCSE Policy Manual	X			
SM0071	1	The solution should support the distribution of voluntary support according to West Virginia business rules.	BCSE Policy Manual	X			
SM0072	1	The solution should support the distribution of support payments to multiple obligees according to West Virginia business rules.	BCSE Policy Manual	X			
SM0073	1	The solution should calculate arrearages according to West Virginia business rules.	BCSE Policy Manual	X			
SM0074	1	The solution should support the processing of payments made to local offices according to West Virginia business rules.	BCSE Policy Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0075	1	The solution should support the process for replacing lost and stolen checks according to West Virginia business rules.	BCSE Policy Manual		X		
SM0076	1	The solution should support the processes for correcting incorrect disbursements to caretakers according to West Virginia business rules.	BCSE Policy Manual		X		
SM0077	1	The solution should support the recoupment of an incorrect disbursement according to West Virginia business rules.	BCSE Policy Manual		X		
SM0078	1	The solution should transmit a completed Temporary Assistance for Needy Families (TANF) referral to the Investigations and Fraud Management Office (IFM).	BCSE Policy Manual		X		
SM0079	1	The solution should track all months in which payments were sent to the obligee when he/she also received Temporary Assistance for Needy Families (TANF).	BCSE Policy Manual	X			
SM0080	1	The solution should refund an obligor according to West Virginia business rules.	BCSE Policy Manual	X			
SM0081	1	The solution should support adjustments to payments and debts due to tax reversals according to West Virginia business rules.	BCSE Policy Manual	X			
SM0082	1	The solution should accept and track changes in an obligor's employment status.	BCSE Policy Manual	X			
SM0083	1	The solution should issue and track the following disbursements to third party payers according to West Virginia business rules:	BCSE Policy Manual		X		
SM0084	2	Social Security Administration (SSA)	BCSE Policy Manual		X		
SM0085	2	Employers	BCSE Policy Manual		X		
SM0086	2	Other sources of income	BCSE Policy Manual		X		
SM0087	1	The solution should support the process of suspending allocations and disbursements according to West Virginia business rules.	BCSE Policy Manual		X		
SM0088	1	The solution should identify all cases associated with an individual payor.	BCSE Policy Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0089	1	The solution should maintain a log of cases for which a "stop payment" has been issued.	BCSE Policy Manual	X			
SM0090	1	The solution should issue a disbursement pull request for a case prior to issue according to West Virginia business rules.	BCSE Policy Manual		X		
SM0091	1	The solution should track payments returned to the Bureau for Child Support Enforcement (BCSE) due to insufficient funds or fraudulent activity according to West Virginia business rules.	BCSE Policy Manual	X			
SM0092	1	The solution should refer cases between units within the Bureau for Child Support Enforcement (BCSE).	BCSE Policy Manual	X			
SM0093	1	The solution should allow authorized system users to adjust balances within a case according to West Virginia business rules.	BCSE Policy Manual	X			
SM0094	1	The solution should accept, refer, and track parental kidnapping, child custody, and visitation determination locate requests according to West Virginia business rules.	BCSE Policy Manual	X			
SM0095	1	The solution should designate cases as having good cause for non-cooperation with the Bureau for Child Support Enforcement (BCSE) pursuit of support according to West Virginia business rules.	BCSE Policy Manual	X			
SM0096	1	The solution should prevent specific system transactions for cases designated as having good cause for non-cooperation with the Bureau for Child Support Enforcement (BCSE) pursuit of support according to West Virginia business rules.	BCSE Policy Manual		X		
SM0097	1	The solution should support a unique identifier (closure code) detailing the reason for closing a case according to West Virginia business rules.	BCSE Policy Manual	X			
SM0098	1	The solution should reduce the Bureau for Child Support Enforcement (BCSE) services within a case, without closing the case, according to West Virginia business rules	BCSE Policy Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0099	1	The solution should automatically close the Bureau for Child Support Enforcement (BCSE) case following the distribution of the 60-Day Closure letter according to West Virginia business rules.	BCSE Policy Manual	X			
SM0100	1	The solution should access closed cases once they have been purged according to West Virginia business rules.	BCSE Policy Manual		X		
SM0101	1	The solution should re-open closed cases once they have been purged according to West Virginia business rules.	BCSE Policy Manual	X			
SM0102	1	The solution should support the submission of manual locate request to several sources, even if an automated method exists.	Child Support Enforcement: A Guide for States	X			
SM0103	1	The solution should record locate activities to ensure compliance with program standards as described in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States	X			
SM0104	1	The solution should maintain locate activities to ensure compliance with program standards as described in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States	X			
SM0105	1	The solution should track locate activities to ensure compliance with program standards as described in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States	X			
SM0106	1	The solution should initiate necessary actions to meet the State's guidelines for diligent efforts to serve process.	Child Support Enforcement: A Guide for States	X			
SM0107	1	The solution should record the time from successful service-of-process to obligation establishment or other case disposition, regardless of whether paternity needs to be established, to ensure that the following expedited process timeframes are met: -75 percent in 6 months -90 percent in 12 months	Child Support Enforcement: A Guide for States	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0108	1	The solution should initiate actions based on the time from successful service-of-process to obligation establishment or other case disposition, regardless of whether paternity needs to be established, to ensure that the following expedited process timeframes are met: -75 percent in 6 months -90 percent in 12 months	Child Support Enforcement: A Guide for States	X			
SM0109	1	The solution should track the time from successful service-of-process to obligation establishment or other case disposition, regardless of whether paternity needs to be established, to ensure that the following expedited process timeframes are met: -75 percent in 6 months -90 percent in 12 months	Child Support Enforcement: A Guide for States	X			
SM0110	1	The solution should support the maintenance of a code in the automated case record to indicate reason for dismissal of a support order petition and a date when the State can re-seek an order.	Child Support Enforcement: A Guide for States	X			
SM0111	1	The solution should automatically calculate the support obligation amount using the State's approved child support guidelines.	Child Support Enforcement: A Guide for States	X			
SM0112	1	The solution should maintain the case data required by the Administration for Children and Families (ACF) Child Support Enforcement Guide for States on the application of the calculation guidelines and deviations from the guidelines.	Child Support Enforcement: A Guide for States	X			
SM0113	1	The solution should include all required fields when an order is established, as defined in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States	X			
SM0114	1	The solution should maintain a history of all previously established orders.	Child Support Enforcement: A Guide for States	X			
SM0115	1	The solution should individually identify and link multiple obligations (support orders).	Child Support Enforcement: A Guide for States	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0116	1	The solution should identify the type of obligation, including but not limited to voluntary, administrative, or court ordered, according to West Virginia business rules.	Child Support Enforcement: A Guide for States	X			
SM0117	1	The solution should automatically identify IV-A, Foster Care, and Non-IV-A Title XIX-only cases requiring medical support services to determine those cases in which:	Child Support Enforcement: A Guide for States	X			
SM0118	2	The custodial parent, in cases other than Title IV-E Foster Care, and child(ren) do not have satisfactory health insurance other than Title XIX.	Child Support Enforcement: A Guide for States	X			
SM0119	2	Health insurance is available to the non-custodial parent at reasonable cost.	Child Support Enforcement: A Guide for States	X			
SM0120	1	The solution should automatically identify additional cases based on State criteria where there is a high potential for obtaining medical support based on the following:	Child Support Enforcement: A Guide for States	X			
SM0121	2	Evidence that health insurance may be available to the non-custodial parent at reasonable cost.	Child Support Enforcement: A Guide for States	X			
SM0122	2	Facts, as defined by the State, are sufficient to warrant modification of the support order to include health insurance.	Child Support Enforcement: A Guide for States	X			
SM0123	1	The solution should automatically direct the case to the appropriate function upon case initiation, e.g., locate, paternity establishment, and initiate the appropriate case action.	Child Support Enforcement: A Guide for States	X			
SM0124	1	The solution should automatically direct the case to the next appropriate function and initiate the appropriate case action after each function is completed.	Child Support Enforcement: A Guide for States	X			
SM0125	1	The solution should update automated case information received from other programs supported by the Solution (e.g., system users, locate requests, Title IV-A, Title IV-E, Title XIX, etc.) according to West Virginia business rules.	Child Support Enforcement: A Guide for States		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0126	1	The solution should track whether data received from the National Directory of New Hires (NDNH), Federal Case Registry (FCR), Internal Revenue Service (IRS), or Asset Verification System (AVS) has been independently verified.	Child Support Enforcement: A Guide for States	X			
SM0127	1	The solution should disallow sharing of client data received from the National Directory of New Hires (NDNH), Federal Case Registry (FCR), Internal Revenue Service (IRS), or Asset Verification System (AVS) that has not been independently verified, with the exception of data from the National Directory of New Hires (NDNH) and Federal Case Registry (FCRF) shared with Title IV-A agencies.	Child Support Enforcement: A Guide for States	X			
SM0128	1	The solution should perform initial edit/validation checks, including numeric and character checks and cross references, to ensure the accuracy and completeness of fields.	Child Support Enforcement: A Guide for States	X			
SM0129	1	The solution should have data elements that identify the source of information or when the source of sensitive information is derived from National Directory of New Hires (NDNH), Federal Case Registry (FCR), IRS, or Financial Institution Data Match (FIDM).	Child Support Enforcement: A Guide for States	X			
SM0130	1	The solution should have an indicator to identify if information has been independently verified.	Child Support Enforcement: A Guide for States	X			
SM0131	1	The solution should accept entry of information on actions taken outside of the solution by the system user.	Child Support Enforcement: A Guide for States	X			
SM0132	1	The solution should prevent the manual editing of records on manually initiated actions not to exceed the end of the business day during which the data was entered in the solution or as established by the State.	Child Support Enforcement: A Guide for States	X			
SM0133	1	The solution should perform case monitoring to ensure that case actions are accomplished within required timeframes.	Child Support Enforcement: A Guide for States	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0134	1	The solution should track dates to ensure that the timeframes for expedited process, locate, paternity establishment, support order establishment, review and adjustment, and enforcement (including wage withholding) are met.	Child Support Enforcement: A Guide for States	X			
SM0135	1	The solution should automatically initiate the next step in case processing without being prompted by the system user in all scenarios established in the latest version of the Administration of Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States	X			
SM0136	1	The solution should notify the system user of any actions automatically initiated that involve the scenarios established in the latest version of the Administration of Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States	X			
SM0137	1	The solution should identify and submit for review and adjustment support obligation cases that meet any of the following criteria:	Child Support Enforcement: A Guide for States	X			
SM0138	2	Upon the request of either parent	Child Support Enforcement: A Guide for States	X			
SM0139	2	The case is active TANF, Foster Care or Medicaid and has support rights assigned to the State, and 36 months (or less, based on State option) have elapsed since either the order was established or the most recent review	Child Support Enforcement: A Guide for States	X			
SM0140	1	The solution should track the review and adjustment process to ensure that the following timeframes are met:	Child Support Enforcement: A Guide for States	X			
SM0141	2	Within 180 calendar days of determining that a review should be conducted or locating the non-requesting parent, whichever occurs later, the solution should complete the review and adjustment process.	Child Support Enforcement: A Guide for States	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0142	1	Within fourteen (14) days after issuance of any order modifying a child support obligation or a determination of no change in the amount of child support, The solution should:	Child Support Enforcement: A Guide for States	X			
SM0143	2	Alert the system user to provide each party with a copy of the order	Child Support Enforcement: A Guide for States	X			
SM0144	2	In the case of a petition for modification, the solution should generate a notice of determination that there should be no change in the amount of the child support award.	Child Support Enforcement: A Guide for States	X			
SM0145	1	The solution should identify cases in which the order does not include health insurance or medical coverage.	Child Support Enforcement: A Guide for States	X			
SM0146	1	For cases in which either parent requests a review, the solution should determine if a review is appropriate based on the age of the order or other criteria according to West Virginia business rules.	Child Support Enforcement: A Guide for States	X			
SM0147	1	The solution should refer cases to the locate function to locate the parents or the parents' assets according to West Virginia business rules.	Child Support Enforcement: A Guide for States	X			
SM0148	1	The solution should collect income, asset, employment, and health insurance information through automated interfaces.	Child Support Enforcement: A Guide for States	X			
SM0149	1	The solution should provide a means for entry and edit of data received (including the input of manually obtained financial information), both from interfaces and financial affidavits received from other sources.	Child Support Enforcement: A Guide for States	X			
SM0150	1	The solution should perform all necessary guideline calculations.	Child Support Enforcement: A Guide for States	X			
SM0151	1	The solution should compare guideline calculation against quantitative standard developed by West Virginia.	Child Support Enforcement: A Guide for States		X		
SM0152	1	The solution should provide all information and calculations to the system user for determination of whether an adjustment should be pursued.	Child Support Enforcement: A Guide for States	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0153	1	The solution should generate all notices to inform parents of proposed actions and their right to challenge such actions.	Child Support Enforcement: A Guide for States	X			
SM0154	1	The solution should generate any documents necessary to seek an adjustment or handle an appeal of such action.	Child Support Enforcement: A Guide for States	X			
SM0155	1	The solution should record all information received and actions taken.	Child Support Enforcement: A Guide for States	X			
SM0156	1	The solution should identify cases eligible for case closure under criteria at 45 Code of Federal Regulation (CFR) 303.11(b)(1), (3), (4), (8), (9), & (10).	Child Support Enforcement: A Guide for States	X			
SM0157	1	For cases eligible for case closure, The solution should initiate the case closure process, or alert the system user to review the case, and, if appropriate, initiate case closure.	Child Support Enforcement: A Guide for States	X			
SM0158	1	The solution should provide for supervisory review of cases either prior to or following closure, and should notify the system user of a decision not to close a case, or a determination that the case was improperly closed.	Child Support Enforcement: A Guide for States	X			
SM0159	2	For cases closed under criteria in 45 CFR §303.11 (b)(1) through (6) and (10) through (12), the solution should generate a notice to the service recipient, except that for paragraph (b)(12), the notice should be sent to the initiating State, regarding the intent to close the case, at least 60 days prior to closure.	Child Support Enforcement: A Guide for States		X		
SM0160	1	The solution should identify information in an online index on closed cases, such as parent and child names, Social Security Numbers, and dates of birth, with all case data maintained in an automated format that can be easily retrieved.	Child Support Enforcement: A Guide for States	X			
SM0161	1	If any litigation, claim, negotiation, or other action has started prior to the expiration of the three-year period, The solution should maintain records until final disposition or the end of the three-year period, whichever is later.	Child Support Enforcement: A Guide for States	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0162	1	The solution should contain data elements necessary to identify a case as interstate and identify the other State and its Federal Information Processing Standard (FIPS).	Child Support Enforcement: A Guide for States	X			
SM0163	1	The solution should automatically take the following actions to monitor and enforce support obligations:	Child Support Enforcement: A Guide for States	X			
SM0164	2	The solution should record and maintain the date the non-custodial parent fails to make payments in an amount equal to the support payable for one month or an earlier date in accordance with State law.	Child Support Enforcement: A Guide for States	X			
SM0165	2	The solution should automatically initiate income withholding and other appropriate enforcement actions by the beginning of the month following the month in which the non-custodial parent failed to make a payment equal to the support payable for one month.	Child Support Enforcement: A Guide for States	X			
SM0166	2	The solution should continue to automatically monitor compliance with the support order provisions after enforcement action has been initiated.	Child Support Enforcement: A Guide for States	X			
SM0167	2	The solution should initiate additional action when appropriate, e.g., liens and bonds, if monitoring reveals that the enforcement action is not effective.	Child Support Enforcement: A Guide for States	X			
SM0168	1	The solution should automatically initiate income withholding and enforcement according to West Virginia business rules.	Child Support Enforcement: A Guide for States	X			
SM0169	1	The solution should maintain information in the automated case record on the documents generated in support of income withholding including the documents identified in the latest version of the Administration of Children and Families (ACF) Child Support Enforcement Guide for States	Child Support Enforcement: A Guide for States	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0170	1	The solution should allow for all federal offset submittal information, actions, and results defined in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States to be entered in the automated case history.	Child Support Enforcement: A Guide for States		X		
SM0171	1	The solution should automatically identify cases that the State has determined are appropriate for state tax refund offset.	Child Support Enforcement: A Guide for States	X			
SM0172	1	All State offset submittal information, actions, and results should be entered in the automated client record including all required fields established in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States and according to West Virginia business rules.	Child Support Enforcement: A Guide for States	X			
SM0173	1	The solution should automatically identify, initiate, and maintain information on cases for which it would be appropriate, under State guidelines, to use a lien or secure a bond.	Child Support Enforcement: A Guide for States	X			
SM0174	1	The solution should automatically generate the required documentation to remove the lien and/or restore the bond when the past-due support is received.	Child Support Enforcement: A Guide for States	X			
SM0175	1	The solution should automatically track the National Medical Support Notice in accordance with policy for all support orders with a provision for health insurance coverage unless a court or administrative order indicates alternative health care coverage rather than employer-based coverage.	Child Support Enforcement: A Guide for States	X			
SM0176	1	The solution should support the State's procedures for passport denial as identified in the Administration for Children and Families Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States	X			
SM0177	1	The solution should automatically generate billing notices to non-custodial parents and employers, including a Statement of account containing the correct amount of current and past-due support.	Child Support Enforcement: A Guide for States	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0178	1	The solution-generated bill should support varied payment/collection cycles (e.g., weekly, monthly, etc.).	Child Support Enforcement: A Guide for States	X			
SM0179	1	The solution-generated bill should provide for payment identification (e.g., return stubs or coupons) supporting various payment cycles.	Child Support Enforcement: A Guide for States	X			
SM0180	1	The solution should accept and uniquely identify all payments.	Child Support Enforcement: A Guide for States	X			
SM0181	1	The solution should provide financial controls for posting and balancing all payment transactions.	Child Support Enforcement: A Guide for States	X			
SM0182	1	The solution should generate documents required to support the deposit of payments/collections to financial institutions in accordance with written procedures.	Child Support Enforcement: A Guide for States	X			
SM0183	1	The solution should accept and process unidentified and/or suspended payments in accordance with State written procedures and should support the identification of such payments.	Child Support Enforcement: A Guide for States	X			
SM0184	1	The solution should automatically record the receipt of payments on fees including interest or late payment penalties and fees and the recovery of costs in the automated case record and in the State's accounting subsystem.	Child Support Enforcement: A Guide for States	X			
SM0185	1	The solution should separately record charges and payments associated with the payment of fees for the costs of genetic tests.	Child Support Enforcement: A Guide for States	X			
SM0186	1	The solution should maintain a genetic testing log to track all actions taken for the establishment of paternity.	BCSE Policy Manual	X			
SM0187	1	The solution should allow the system user to enter notations in the financial portion of the automated case record.	Child Support Enforcement: A Guide for States	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0188	1	The solution should distribute and disburse support collections in accordance with 45 Code of Federal Regulations (CFR) 302.32, 302.51, 302.52, Office of Child Support Enforcement (OCSE) AT-97-17, OCSE AT-98-24, OCSE AT-07-05, OCSE AT-08-09, and any other relevant regulations and instructions issued by OCSE and/or West Virginia business rules.	Child Support Enforcement: A Guide for States		X		
SM0189	1	The solution should calculate and/or record in the case record all fees, itemized by type, according to West Virginia business rules.	Child Support Enforcement: A Guide for States		X		
SM0190	1	When a collection is received, the solution should automatically produce a monthly notice of assigned support collections for Title IV-A and former Title IV-A custodial parents who continue to receive Title IV-D services and have outstanding arrearages that have been assigned to the State as described in the latest version of the Administration for Children and Families Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States	X			
SM0191	1	The solution should allow the user to enter information about the locate response according to West Virginia business rules.	Child Support Enforcement: A Guide for States	X			
SM0192	1	The solution should meet all timeframes for all activities as specified in the latest version of the Administration of Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States	X			
SM0193	1	The solution should support the process related to the seizure of personal property held by the obligor according to West Virginia business rules.	BCSE Policy Manual	X			
SM0194	1	The solution should record and maintain charges associated with interest, late payment penalties, and/or fees.	BCSE Policy Manual	X			
SM0195	1	The solution should support the State's process of managing payment of and recording the mandatory fee for never assistance cases according to State and Federal regulations.	BCSE Policy Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0196	1	The solution should allow authorized system users to correct misidentified payment information according to West Virginia business rules.	BCSE Policy Manual	X			
SM0197	1	The solution should support the process to itemize the obligation(s) owed on individual cases according to West Virginia business rules including, but not limited to, the following:	BCSE Policy Manual	X			
SM0198	2	Obligation type	BCSE Policy Manual	X			
SM0199	2	Obligation amount	BCSE Policy Manual	X			
SM0200	2	Start and end dates	BCSE Policy Manual	X			
SM0201	1	The solution should support the monitoring of aging of obligations across multiple court orders within a case according to West Virginia business rules.	BCSE Policy Manual	X			
SM0202	1	The solution should maintain information about all agencies related to customer cases according to West Virginia business rules including, but not limited to, the following:	BCSE Policy Manual	X			
SM0203	2	Employers	BCSE Policy Manual	X			
SM0204	2	Other Child Support agencies	BCSE Policy Manual	X			
SM0205	2	Locate sources	BCSE Policy Manual	X			
SM0206	2	Law enforcement	BCSE Policy Manual	X			
SM0207	1	The solution should maintain multiple addresses for all agency types according to West Virginia business rules.	BCSE Policy Manual	X			
SM0208	1	The solution should support the suspension of individual and batch enforcement actions according to West Virginia business rules.	BCSE Policy Manual	X			
SM0209	1	The solution should associate an individual with one or more employers.	BCSE Policy Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0210	1	The solution should capture and update information about the customer's chosen disbursement method according to West Virginia business rules including, but not limited to, the following:	BCSE Policy Manual	X			
SM0211	2	Direct deposit	BCSE Policy Manual	X			
SM0212	2	Debit card	BCSE Policy Manual	X			
SM0213	2	Paper check	BCSE Policy Manual	X			
SM0214	1	The solution should support the process of monitoring, tracking, and resolving disbursement status according to West Virginia business rules.	BCSE Policy Manual	X			
SM0215	1	The solution should allow a payment to be assigned to an alternate payee.	BCSE Policy Manual	X			
SM0216	1	The solution should capture information about a power of attorney.	BCSE Policy Manual	X			
SM0217	1	The solution should accept, maintain, and process information concerning established support orders.	Child Support Enforcement: A Guide for States	X			
SM0218	1	In establishing support orders, The solution should use the State's approved child support guidelines to automatically calculate the support obligation amount.	Child Support Enforcement: A Guide for States	X			
SM0219	1	The solution should maintain documents generated, critical data element changes, all positive locate and asset interface actions, and a monthly summary of all interface activities.	Child Support Enforcement: A Guide for States	X			
SM0220	1	If the system user has multiple options for case action, The solution should do the following:	Child Support Enforcement: A Guide for States	X			
SM0221	2	Notify the system user of the action needed	Child Support Enforcement: A Guide for States	X			
SM0222	2	Identify any default action that the solution should take in the absence of system user action.	Child Support Enforcement: A Guide for States	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0223	1	Whenever the Title IV-D agency is expecting a response from another party, (e.g., a locate source or a responding State in an interstate case) and the response is late according to West Virginia business rules, the solution should initiate follow-up action, (such as automatic document generation or system user intervention) in order to encourage a response from the other party.	Child Support Enforcement: A Guide for States	X			
SM0224	1	The solution should automatically support Federal tax refund offset.	Child Support Enforcement: A Guide for States	X			
SM0225	1	Prior to submittal, The solution should automatically verify the non-custodial parent's name, Social Security Number, and amount referred for offset, using automated interfaces (where applicable) with State agencies and other sources.	Child Support Enforcement: A Guide for States	X			
SM0226	1	The solution should automatically identify and maintain information on cases for which it would be appropriate, under State guidelines, to use a lien or secured bond.	Child Support Enforcement: A Guide for States	X			
SM0227	1	The solution should automatically generate documents required to impose a lien or secure a bond.	Child Support Enforcement: A Guide for States	X			
SM0228	1	The solution should support the enforcement of spousal support.	Child Support Enforcement: A Guide for States	X			
SM0229	1	The solution should record and monitor spousal support obligations in the scenarios identified in the latest version of the Administration of Children and Families (ACF) Child Support Enforcement: A Guide for States.	Child Support Enforcement: A Guide for States	X			
SM0230	1	The solution should initiate necessary enforcement actions when a delinquency is identified.	Child Support Enforcement: A Guide for States	X			
SM0231	1	The solution should automatically identify cases that meet the State's criteria for matching of other State's financial institutions or other entities where assets may be found.	Child Support Enforcement: A Guide for States	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0232	1	The solution should provide for supervisory-authorized review of billing suppression or adjustments according to West Virginia business rules, and should notify the system user of decision not to suppress or adjust billing, or determine that billing suppression or adjustment was inappropriate.	Child Support Enforcement: A Guide for States	X			
SM0233	1	The solution should adjust previously processed payments, with supervisory approval, and should notify the system user of decision regarding the requested adjustment, or determination that the adjustment was inappropriate.	Child Support Enforcement: A Guide for States	X			
SM0234	1	The solution should maintain a payment history for each case, containing the amount of payment, date of collection, method of payment, date of receipt by the State Disbursement Unit (SDU) vendor, and date of disbursement.	Child Support Enforcement: A Guide for States	X			
SM0235	1	The solution should record and track collections associated with a posted bond.	Child Support Enforcement: A Guide for States	X			
SM0236	1	The solution should record charges and payments associated with the payment of fees for Federal Parent Locator Service (FPLS).	Child Support Enforcement: A Guide for States	X			
SM0237	1	The solution should maintain charges and payments associated with the payment of fees for Federal Parent Locator Service (FPLS).	Child Support Enforcement: A Guide for States	X			
SM0238	1	The solution should within two business days after receipt from employer or other source of periodic income, in other than current IV-A and IV-E cases, distribute and disburse all payments if sufficient information identifying the payee is provided.	Child Support Enforcement: A Guide for States	X			
SM0239	1	The solution should automatically record the payment in the automated case record according to West Virginia business rules.	Child Support Enforcement: A Guide for States	X			
SM0240	1	The solution should calculate Federal and State collection shares according to West Virginia business rules.	Child Support Enforcement: A Guide for States	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0241	1	If costs or fees are imposed on the non-custodial parent, The solution should ensure that the monthly support obligation and any arrearage is satisfied prior to retaining the cost or fee.	Child Support Enforcement: A Guide for States	X			
SM0242	1	In interstate cases, The solution should provide for disbursement to the initiating State within two business days of receipt.	Child Support Enforcement: A Guide for States	X			
SM0243	1	The solution should record in or link to the automated case record the required data about all inter-state transfers.	Child Support Enforcement: A Guide for States	X			
SM0244	1	The solution should recompute the distribution of all collections, when payments are made in the month when due but are received in a later month by the State Disbursement Unit (SDU) vendor.	Child Support Enforcement: A Guide for States	X			
SM0245	1	The solution should recompute distribution with respect to unidentified payments when identifying information is received in a later month according to West Virginia business rules.	Child Support Enforcement: A Guide for States	X			
SM0246	1	The solution should provide the IV-A agency the federally-required information on the amount of monthly support collections received for each IV-A case using an automated interface.	Child Support Enforcement: A Guide for States	X			
SM0247	1	When appropriate, The solution should calculate federal, state, and local collection shares.	Child Support Enforcement: A Guide for States	X			
SM0248	1	The solution should support cost recovery according to West Virginia and federal business rules.	Child Support Enforcement: A Guide for States	X			
SM0249	1	The solution should provide for automatic and continuous monitoring of 'service of process.'	BCSE Policy Manual	X			
SM0250	1	The solution should capture a legal process summary, including but not limited to the following data: hearing dates, service of process activities, hearing type, and hearing results.	BCSE Policy Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0251	1	The solution should receive and track requests made by parents for lists of substantiated complaints on a child care provider.	Child Care Provider Regulation: Policy & Procedures Manual		X		
SM0252	1	The solution should process requests for Medical Card replacement.	Income Maintenance Manual		X		
SM0253	1	The solution should track the number of years an immigrant has received benefits.	Income Maintenance Manual		X		
SM0254	1	The solution should generate a list of referrals sent to Office of Maternal, Child, and Family Health (OMCFH) due to denial of a coverage as a pregnant woman or a pregnant child under West Virginia Children Health Insurance Program (WVCHIP) or Children's Medicaid.	Income Maintenance Manual		X		
SM0255	1	The solution should support the State's process to reimburse a client for out-of-pocket expenses according to West Virginia business rules.	Income Maintenance Manual		X		
SM0256	1	The solution should allow an authorized system user to change the following:	Income Maintenance Manual	X			
SM0257	2	Period of Consideration (POC)	Income Maintenance Manual	X			
SM0258	2	Period of Eligibility (POE)	Income Maintenance Manual	X			
SM0259	2	Certification Period dates	Income Maintenance Manual	X			
SM0260	1	The solution should allow a child care certificate to be re-issued.	Child Care Subsidy Policies and Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0261	1	The solution should archive approved child care certificates.	Child Care Subsidy Policies and Procedures Manual		X		
SM0262	1	The solution should maintain a record of the date and reason a new approved child care certificate was issued or an existing child care certificate was re-issued.	Child Care Subsidy Policies and Procedures Manual		X		
SM0263	1	The solution should allow the system user to manually change the child care certificate according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
SM0264	1	The solution should track the status of a Bureau for Child Support Enforcement (BCSE) case across all programs according to West Virginia business rules.	Income Maintenance Manual		X		
SM0265	1	The solution should allow authorized users to back-date Medicaid eligibility for a configurable amount of time.	Income Maintenance Manual	X			
SM0266	1	The solution should set the schedule for future re-determinations after eligibility is determined according to West Virginia business rules.	Income Maintenance Manual		X		
SM0267	1	The solution should support the State's appeals process according to West Virginia business rules.	State Medicaid Plan		X		
SM0268	1	The solution should support West Virginia business rules for the Early and Periodic Screening, Diagnosis, and Treatment program.	Medicaid Provider Manual Chapter 400, Member Eligibility		X		
SM0269	1	The solution should document the Early and Periodic Screening, Diagnostic, and Treatment (EPSDT) results.	Not Applicable		X		
SM0270	1	The solution should set the services start and end date based on West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0271	1	The solution should support the process for documenting and approving all reason(s) for care including, but not limited to, the following:	Child Care Subsidy Policies and Procedures Manual		X		
SM0272	2	Working	Child Care Subsidy Policies and Procedures Manual		X		
SM0273	2	WV WORKS	Child Care Subsidy Policies and Procedures Manual		X		
SM0274	2	Going to school	Child Care Subsidy Policies and Procedures Manual		X		
SM0275	2	Self-employment	Child Care Subsidy Policies and Procedures Manual		X		
SM0276	2	Medical condition	Child Care Subsidy Policies and Procedures Manual		X		
SM0277	2	Child Protective Services (CPS) Safety Plan	Child Care Subsidy Policies and Procedures Manual		X		
SM0278	2	Protective Capacities Family Assessment	Child Care Subsidy Policies and Procedures Manual		X		
SM0279	2	Court Order received	Child Care Subsidy Policies and Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0280	1	The solution should track approved job search time.	Child Care Subsidy Policies and Procedures Manual	X			
SM0281	1	The solution should allow the user to document the activity schedule of the parent.	Child Care Subsidy Policies and Procedures Manual		X		
SM0282	1	The solution should support the process for verifying and documenting satisfactory progress and attendance for parents with an approved job training/education activity according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
SM0283	1	The solution should support the granting and tracking of an "improvement period" for students according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
SM0284	1	The solution should support the approval and tracking of interim child care according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
SM0285	1	The solution should capture information about all family members according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
SM0286	1	The solution should allow the user to verify all forms of income.	Child Care Subsidy Policies and Procedures Manual	X			
SM0287	1	The solution should automatically end date certain elements at case closure according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
SM0288	1	The solution should allow the system user to manually close a case according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0289	1	The solution should allow a system user to add an individual to a case.	Child Care Subsidy Policies and Procedures Manual	X			
SM0290	1	The solution should allow the system user to make changes in the days and/or hours of care during the certificate period.	Child Care Subsidy Policies and Procedures Manual		X		
SM0291	1	The solution should allow a child to be connected to a child care provider with an eligibility period.	Child Care Subsidy Policies and Procedures Manual	X			
SM0292	1	The solution should capture information about negative actions.	Child Care Subsidy Policies and Procedures Manual	X			
SM0293	1	The solution should support the intake of all regulatory complaints regardless of provider type.	Child Care Subsidy Policies and Procedures Manual	X			
SM0294	1	The solution should capture information related to a hearing/grievance.	Child Care Subsidy Policies and Procedures Manual	X			
SM0295	1	The solution should assign the complaint according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
SM0296	1	The solution should capture information about pre-hearing conferences and hearings.	Child Care Subsidy Policies and Procedures Manual	X			
SM0297	1	The solution should notify the appropriate Early Care and Education (ECE) technical assistance specialist whenever a client or provider requests a hearing.	Child Care Subsidy Policies and Procedures Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0298	1	The solution should process approval for payments to providers by child according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual			X	
SM0299	1	The solution should check the approved days against those entered for payment.	Child Care Subsidy Policies and Procedures Manual			X	
SM0300	1	The solution should produce the written notification to a provider that a manual payment will be processed.	Child Care Subsidy Policies and Procedures Manual		X		
SM0301	1	The solution should send the payment request to the supervisor for approval in real time.	Child Care Subsidy Policies and Procedures Manual		X		
SM0302	1	The solution should authorize and track a partial payment.	Child Care Subsidy Policies and Procedures Manual	X			
SM0303	1	The solution should allow the system user to backdate payments according to West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
SM0304	1	The solution should pay Early Head Start and Head Start Programs based on West Virginia business rules.	Child Care Subsidy Policies and Procedures Manual		X		
SM0305	1	The solution should reverse payments per child per amount.	Not Applicable		X		
SM0306	1	The solution should capture information about partial payment reversals per child.	Not Applicable	X			
SM0307	1	The solution should allow for an override of payment.	Not Applicable	X			
SM0308	1	The solution should require the system user to select a specific reason for an override based according to West Virginia business rules.	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0309	1	The solution should document contact and allowable utilization information for a primary and a back-up provider.	Child Care Subsidy Policies and Procedures Manual			X	
SM0310	1	The solution should generate a list of substantiated complaints on any licensed or registered provider.	Child Care Subsidy Policies and Procedures Manual		X		
SM0311	1	The solution should create and display the assessment checklist during the creation of a child care assessment.	Not Applicable		X		
SM0312	1	The solution should allow the system user to enter eligible approved child care hours on the child page.	Not Applicable			X	
SM0313	1	The solution should display an overview of the following Child Care assessment details including, but not limited to:	Not Applicable		X		
SM0314	2	Assessment start date	Not Applicable		X		
SM0315	2	Creation date	Not Applicable		X		
SM0316	2	Assessment Date	Not Applicable		X		
SM0317	2	Assessment Status	Not Applicable		X		
SM0318	1	The solution should display the Child Care Service Log.	Not Applicable			X	
SM0319	1	The solution should update the Child Care Service Log.	Not Applicable			X	
SM0320	1	The solution should provide a link on the determination page that allows the viewing of schedule details on the main client schedule page.	Not Applicable			X	
SM0321	1	The solution should produce a Child Care Assessment Completed Signoff document.	Not Applicable			X	
SM0322	1	The solution should capture and retain the signed Child Care Assessment Completed Signoff document.	Not Applicable			X	
SM0323	1	The solution should screen an applicant for (Supplemental Nutrition Assistance Program) SNAP Expedited Service eligibility.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0324	1	The solution should view and update closure specifics on the household.	Not Applicable		X		
SM0325	1	The solution should provide a process for viewing the checklist for child care case management.	Not Applicable			X	
SM0326	1	The solution should display details of all documents for intake and case management.	Not Applicable		X		
SM0327	1	The solution should allow the system user to enter document tracking information.	Not Applicable		X		
SM0328	1	The solution should allow the system user to complete the case connection for a Child Care intake.	Not Applicable			X	
SM0329	1	The solution should allow the system user to complete the policy exception page.	Not Applicable			X	
SM0330	1	The solution should create a contact in the Child Care intake.	Not Applicable			X	
SM0331	1	The solution should allow the system user to review a single contact or all contacts in the Child Care intake.	Not Applicable			X	
SM0332	1	The solution should display in read-only the Quality Tier and Shift Differential Payment Rates for each provider type.	Not Applicable		X		
SM0333	1	The solution should allow the system user to review/access Child Care Demand Payments.	Not Applicable		X		
SM0334	1	The solution should allow the system user to view the invoice client list.	Not Applicable		X		
SM0335	1	The solution should allow the system user to view client payment history within the household record.	Not Applicable		X		
SM0336	1	The solution should create a Child Care Demand Payment.	Not Applicable		X		
SM0337	1	The solution should create an Office of Social Services (OSS) Demand Payment.	Not Applicable	X			
SM0338	1	The solution should allow the system user to review and update Office of Social Services (OSS) Demand Payments.	Not Applicable	X			
SM0339	1	The solution should display the list of clients being paid for in an individual notice for the Office of Social Services (OSS) Demand Payment.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0340	1	The solution should add a new Office of Social Services (OSS) Demand Payment.	Not Applicable	X			
SM0341	1	The solution should allow the system user to review a previously entered Office of Social Services (OSS) Demand Payment marked as verified.	Not Applicable	X			
SM0342	1	The solution should allow the system user to review and/or update a previously entered Office of Social Services (OSS) Demand Payment that is not marked as verified.	Not Applicable	X			
SM0343	1	The solution should record contact/referral information.	Not Applicable	X			
SM0344	1	The solution should collect intake/referral information.	Not Applicable	X			
SM0345	1	The solution should perform searches for prior history of persons or incidents.	Not Applicable	X			
SM0346	1	The solution should record "information only" requests.	Not Applicable			X	
SM0347	1	The solution should evaluate intake information according to West Virginia business rules.	Child Protective Services Policy	X			
SM0348	1	The solution should record the results of the screening evaluation.	Not Applicable	X			
SM0349	1	The solution should establish a case record(s) according to West Virginia business rules.	Child Protective Services Policy	X			
SM0350	1	The solution should refer a case or application for investigation and/or services, as appropriate, according to West Virginia business rules.	Child Protective Services Policy	X			
SM0351	1	The solution should collect and record investigation information according to West Virginia business rules.	Child Protective Services Policy	X			
SM0352	1	The solution should record the investigation decision.	Not Applicable	X			
SM0353	1	The solution should generate specified documents as required in response to an investigation according to West Virginia business rules.	Child Protective Services Policy		X		
SM0354	1	The solution should determine and record risk assessments according to West Virginia business rules.	Child Protective Services Policy	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0355	1	The solution should perform risk assessments according to West Virginia business rules.	Child Protective Services Policy	X			
SM0356	1	The solution should collect and record special needs/problems information.	Not Applicable	X			
SM0357	1	The solution should determine and record the needed services.	Not Applicable	X			
SM0358	1	The solution should prepare and record referrals to other agencies according to West Virginia business rules.	Not Applicable	X			
SM0359	1	The solution should collect and record further case information.	Not Applicable			X	
SM0360	1	The solution should identify and match services to meet the client's case plan needs.	Not Applicable	X			
SM0361	1	The solution should record contact with and acquisition of needed resources and services.	Not Applicable	X			
SM0362	1	The solution should track and update the service/case plan(s).	Not Applicable	X			
SM0363	1	The solution should match client(s) to placement alternatives, if needed, according to West Virginia business rules.	Not Applicable	X			
SM0364	1	The solution should generate service/case plan documents, as needed, according to West Virginia business rules.	Not Applicable	X			
SM0365	1	The solution should request and record supervisory approval of a plan.	Not Applicable	X			
SM0366	1	The solution should estimate and track actual costs of resources/services.	Not Applicable	X			
SM0367	1	The solution should identify program outcome measures.	Not Applicable	X			
SM0368	1	The solution should record collateral contacts.	Not Applicable			X	
SM0369	1	The solution should track and record services identified in the service/case plan.	Not Applicable	X			
SM0370	1	The solution should generate documents, notices, and reports on the monitoring service/case plan services.	Not Applicable			X	
SM0371	1	The solution should record the following:	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0372	2	Maltreatment in care	Not Applicable	X			
SM0373	2	Investigation results	Not Applicable	X			
SM0374	1	The solution should monitor and track court related events.	Not Applicable	X			
SM0375	1	The solution should automatically request an investigation and track the case to its completion when dealing with cases involving an apparent problem of abuse or neglect in a foster home.	Not Applicable	X			
SM0376	1	The solution should capture and maintain all data necessary to effectively manage a case.	Not Applicable			X	
SM0377	1	The solution should support a formalized process of making Child Protective Services/Adult Protective Services investigation data corrections.	West Virginia DHHR Annual Progress Services Report			X	
SM0378	1	The solution should capture all of the reasons for children entering care according to West Virginia business rules.	West Virginia DHHR Annual Progress Services Report	X			
SM0379	1	The solution should capture data on disrupted adoptions, including international adoptions.	West Virginia DHHR Annual Progress Services Report	X			
SM0380	1	The solution should automatically check for newly closed investigations/assessments and generate notifications about the closures according to West Virginia business rules.	Child Protective Services Policy			X	
SM0381	1	The solution should capture the initial services authorization information including the following:	Socially Necessary UM Manual	X			
SM0382	2	Date authorized	Socially Necessary UM Manual	X			
SM0383	2	The individual who authorized the services	Socially Necessary UM Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0384	2	The services start date	Socially Necessary UM Manual	X			
SM0385	2	The services end date for each Socially Necessary Service at the client level.	Socially Necessary UM Manual	X			
SM0386	1	The solution should maintain the initial services authorization information including number of days and number of units for each Socially Necessary Service (SNS).	Socially Necessary UM Manual	X			
SM0387	1	The solution should support the documentation of the review process for authorization of services that exceed the maximum total authorizations available according to West Virginia business rules.	Socially Necessary UM Manual	X			
SM0388	1	The solution should support the administration of the strengths and needs assessments according to West Virginia business rules.	Social Services Manual	X			
SM0389	1	The solution should capture information related to a relinquishment according to West Virginia business rules.	Adoption Policy Manual	X			
SM0390	1	The solution should capture information and recommendations collected during the Comprehensive Assessment and Planning System (CAPS) process according to West Virginia business rules.	Adoption Policy Manual	X			
SM0391	1	The solution should capture information related to the child's relatives, results of a diligent search for additional relatives, and the results of communications with relatives.	Adoption Policy Manual	X			
SM0392	1	The solution should document all placement types according to West Virginia business rules.	Adoption Policy Manual	X			
SM0393	1	The solution should track occurrences where a child was placed with a non-certified kinship/relative(s).	Adoption Policy Manual			X	
SM0394	1	The solution should support the documentation of all placement contacts including progress reports and case staffing according to West Virginia business rules.	Adoption Policy Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0395	1	The solution should support the documentation of contacts related to attempts to place children with their siblings including the reasons why siblings are not placed together.	Adoption Policy Manual	X			
SM0396	1	The solution should capture all of the information required in the Child, Youth and Family Case Plan according to West Virginia business rules.	Adoption Policy Manual	X			
SM0397	1	The solution should print the Child, Youth and Family Case Plan into a file format that can be edited by the user.	Adoption Policy Manual		X		
SM0398	1	The solution should pre-populate the Child, Youth and Family Case Plan.	Adoption Policy Manual	X			
SM0399	1	The solution should maintain the version history of the Child, Youth, and Family Case Plan.	Adoption Policy Manual	X			
SM0400	1	The solution should allow the user to enter information about changes or modifications made to a new version of the Child, Youth, and Family Case Plan.	Adoption Policy Manual	X			
SM0401	1	The solution should capture all of the information required by the Youth Services case plans and assessments.	Adoption Policy Manual			X	
SM0402	1	The solution should capture all of the information required when a child enters foster case through a voluntary placement.	Adoption Policy Manual			X	
SM0403	1	The solution should capture all of the information required when a child enters foster care according to West Virginia business rules.	Adoption Policy Manual	X			
SM0404	1	The solution should generate a list of Multi-Disciplinary Team (MDT) participants for the confidentiality signature sheet according to West Virginia business rules.	Adoption Policy Manual	X			
SM0405	1	The solution should capture information about the Multi-disciplinary Team (MDT) according to West Virginia business rules.	Adoption Policy Manual	X			
SM0406	1	The solution should allow the user to document outcomes of hearings.	Adoption Policy Manual	X			
SM0407	1	The solution should allow the user to document requests for court orders.	Adoption Policy Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0408	1	The solution should capture if there is an obligation for the parents to continue payment of child support after termination of parental rights.	Adoption Policy Manual		X		
SM0409	1	The solution should allow the user to complete the Transfer Plan according to West Virginia business rules.	Adoption Policy Manual	X			
SM0410	1	The solution should allow the user to create a State Ward Record.	Adoption Policy Manual			X	
SM0411	1	The solution should support the Adoption Resource Network (ARN) referral process according to West Virginia business rules.	Adoption Policy Manual	X			
SM0412	1	The solution should document the consent or approval of a child twelve (12) years of age or older to be placed on the Adoption Resource Network.	Adoption Policy Manual			X	
SM0413	1	The solution should capture the following information:	Adoption Policy Manual	X			
SM0414	2	All placement choices	Adoption Policy Manual	X			
SM0415	2	Decisions made by the Multi-Disciplinary Treatment Team (MDT) and/or Adoption Review Committee	Adoption Policy Manual	X			
SM0416	2	Actions taken with each placement choice	Adoption Policy Manual	X			
SM0417	2	The Visitation Plan	Adoption Policy Manual	X			
SM0418	2	Actual visits	Adoption Policy Manual	X			
SM0419	1	The solution should capture information about referrals for out-of-state placement in West Virginia received through the Interstate Compact on the Placement of Children (ICPC).	ICPC Process for DHHR Staff	X			
SM0420	1	The solution should create custom dashboards based on user roles for Interstate Compact on the Placement of Children (ICPC) cases.	ICPC Process for DHHR Staff			X	
SM0421	1	The solution should allow the system user to record information about contacts throughout the case process according to West Virginia business rules.	Adoption Policy Manual	X			
SM0422	1	The solution should edit/modify a contact within the system according to West Virginia business rules.	Adoption Policy Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0423	1	The solution should copy a contact across cases according to West Virginia business rules.	Adoption Policy Manual	X			
SM0424	1	The solution should filter contacts as defined by the State.	Adoption Policy Manual			X	
SM0425	1	The solution should support the permanency placement review process according to West Virginia business rules.	Adoption Policy Manual	X			
SM0426	1	The solution should support documentation of all information related to the court review according to West Virginia business rules.	Adoption Policy Manual	X			
SM0427	1	The solution should support the life skills assessment process.	Adoption Policy Manual			X	
SM0428	1	The solution should modify the life skills assessment.	Adoption Policy Manual			X	
SM0429	1	The solution should allow the user to complete the Learning Plan and allow the system user to update it.	Adoption Policy Manual	X			
SM0430	1	The solution should allow the user to generate the Learning Plan and allow the system user to update it.	Adoption Policy Manual			X	
SM0431	1	The solution should allow the user to complete the Transition Plan and allow the system user to update it.	Adoption Policy Manual	X			
SM0432	1	The solution should allow the user to generate the Transition Plan and allow the system user to update it.	Adoption Policy Manual			X	
SM0433	1	The solution should allow the user to complete the Application for Adoption Services.	Adoption Policy Manual	X			
SM0434	1	The solution should track the status of the petition for adoption according to West Virginia business rules.	Adoption Policy Manual	X			
SM0435	1	The solution should allow the user to complete the confidential report to be submitted to the judge prior to the hearing.	Adoption Policy Manual			X	
SM0436	1	The solution should allow the user to generate the confidential report to be submitted to the judge prior to the hearing.	Adoption Policy Manual			X	

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0437	1	The solution should notify the child support enforcement program when an adoption is final according to West Virginia business rules.	Adoption Policy Manual			X	
SM0438	1	The solution should document the reason a child is eligible for adoption assistance payments according to West Virginia business rules.	Adoption Policy Manual	X			
SM0439	1	The solution should track requests from adoptive parents to extend the subsidy.	Adoption Policy Manual	X			
SM0440	1	The solution should document a parent's refusal of extended Medicaid coverage.	Adoption Policy Manual			X	
SM0441	1	The solution should determine eligibility for the Chafee Education and Training Voucher.	Adoption Policy Manual		X		
SM0442	1	The solution should track the Chafee Education and Training Voucher expenditures.	Adoption Policy Manual		X		
SM0443	1	The solution should track children who meet the criteria for the Children with Special Health Care Needs Program.	Adoption Policy Manual	X			
SM0444	1	The solution should track appeals and/or grievances and appeal and/or grievance decisions according to West Virginia business rules.	Adoption Policy Manual	X			
SM0445	1	The solution should support the Mutual Consent Adoption Registry process according to West Virginia business rules.	Adoption Policy Manual	X			
SM0446	1	The solution should support the user in determining the appropriate actions based on the nature of the referral according to West Virginia business rules.	Child Protective Services Policy	X			
SM0447	1	The solution should maintain the current state statutes pertaining to Child Protective Services (CPS).	Child Protective Services Policy		X		
SM0448	1	The solution should automatically conduct a search at intake of available databases for any prior involvement with Department of Health and Human Resources (DHHR) as defined by the State.	Child Protective Services Policy			X	
SM0449	1	The solution should support the completion of the protection plan according to West Virginia business rules.	Child Protective Services Policy	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0450	1	The solution should support the storage of the protection plan according to West Virginia business rules.	Child Protective Services Policy	X			
SM0451	1	The solution should support the completion of the written report of the investigation.	Child Protective Services Policy	X			
SM0452	1	The solution should support the storage of the written report of the investigation.	Child Protective Services Policy	X			
SM0453	1	The solution should allow the user to complete the Disposition of Child Protective Services Investigation Report for Family and Circuit Court form.	Child Protective Services Policy	X			
SM0454	1	The solution should support the collection of all data required during the intake process according to West Virginia business rules.	Child Protective Services Policy	X			
SM0455	1	The solution should provide decision support to assist the user in determining if an assessment should be performed according to West Virginia business rules.	Child Protective Services Policy	X			
SM0456	1	The solution should provide decision support to assist the user in determining the appropriate response times for various actions according to West Virginia business rules.	Child Protective Services Policy	X			
SM0457	1	The solution should allow the user to complete the Child Protective Services Report for Law Enforcement.	Child Protective Services Policy		X		
SM0458	1	The solution should allow the user to merge Child Protective Services and/or Adult Protective Services referrals according to West Virginia business rules.	Child Protective Services Policy			X	
SM0459	1	The solution should create a notification when referrals are merged according to West Virginia business rules.	Child Protective Services Policy		X		
SM0460	1	The solution should allow the user to screen out duplicate referrals according to West Virginia business rules.	Child Protective Services Policy	X			
SM0461	1	The solution should support all of the reasons for accepting and screening out a referral according to West Virginia business rules.	Child Protective Services Policy	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0462	1	The solution should allow the user to connect referrals to the assessment/open case.	Child Protective Services Policy	X			
SM0463	1	The solution should support the user in determining whether to accept a referral and complete a new assessment according to West Virginia business rules.	Child Protective Services Policy	X			
SM0464	1	The solution should allow the user to view all records associated with an individual.	Child Protective Services Policy	X			
SM0465	1	The solution should support the completion of the Initial Critical Incident Reporting form.	Child Protective Services Policy	X			
SM0466	1	The solution should allow the user to identify a report during intake as a "Critical Incident."	Child Protective Services Policy	X			
SM0467	1	The solution should capture all of the information required about an alleged maltreater according to West Virginia business rules.	Child Protective Services Policy	X			
SM0468	1	The solution should allow the user to restrict access to the case or provider record according to West Virginia business rules.	Child Protective Services Policy	X			
SM0469	1	The solution should support all of the "Role in Intake" options according to West Virginia business rules.	Child Protective Services Policy		X		
SM0470	1	The solution should allow the user to select more than one "Role in Intake" option according to West Virginia business rules.	Child Protective Services Policy	X			
SM0471	1	The solution should capture an individual's medical and health information according to West Virginia business rules.	Child Protective Services Policy	X			
SM0472	1	The solution should support all of the "allegation of maltreatment" categories and types according to West Virginia business rules.	Child Protective Services Policy	X			
SM0473	1	The solution should support the intake of cases involving the Institutional Investigative Unit (IIU) format.	Child Protective Services Policy			X	
SM0474	1	The solution should document the Institutional Investigative Unit (IIU) setting for the investigation according to West Virginia business rules.	Child Protective Services Policy	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0475	1	The solution should allow the user to document the results of a search of the West Virginia State Police Sex Offender Registry.	Child Protective Services Policy			X	
SM0476	1	The solution should create a letter to distribute reports of child abuse and neglect convictions according to West Virginia business rules.	Child Protective Services Policy	X			
SM0477	1	The solution should maintain a record of the child abuse and neglect convictions letters sent.	Child Protective Services Policy	X			
SM0478	1	The solution should review the intake for thoroughness according to West Virginia business rules.	Child Protective Services Policy	X			
SM0479	1	The solution should provide decision support to assist the user in preparing for and developing a plan for completion of an assessment.	Child Protective Services Policy	X			
SM0480	1	The solution should allow the user to enter information about an unlimited number of individuals associated with the case and identify their type according to West Virginia business rules.	Child Protective Services Policy	X			
SM0481	1	The solution should allow the user to enter interview results for any individuals associated with the record.	Child Protective Services Policy	X			
SM0482	1	The solution should support the steps involved in completing an assessment of immediate danger according to West Virginia business rules.	Child Protective Services Policy	X			
SM0483	1	The solution should support the steps involved in developing the Temporary Protection Plan according to West Virginia business rules.	Child Protective Services Policy	X			
SM0484	1	The solution should support the steps involved in evaluating safety throughout the life of the case according to West Virginia business rules.	Child Protective Services Policy	X			
SM0485	1	The solution should capture the findings of the maltreatment allegation according to West Virginia business rules.	Child Protective Services Policy	X			
SM0486	1	The solution should support the process of determining whether or not maltreatment has occurred according to West Virginia business rules.	Child Protective Services Policy	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0487	1	The solution should record the decision resulting from the assessment, the reasons, and the family's response, according to West Virginia business rules.	Child Protective Services Policy	X			
SM0488	1	The solution should trigger the appropriate next steps based on the decision resulting from the assessment according to West Virginia business rules.	Child Protective Services Policy	X			
SM0489	1	The solution should support the steps involved in conducting Safety Analysis and Safety Planning, including the creation of the in-home safety plan and the out-of-home safety plan, according to West Virginia business rules.	Child Protective Services Policy	X			
SM0490	1	The solution should allow the user to indicate when the provision for dispute resolution has been initiated.	Child Protective Services Policy		X		
SM0491	1	The solution should look-up service providers and auto-fill contact information based on the look-up results.	Child Protective Services Policy			X	
SM0492	1	The solution should support the process related to petitioning according to West Virginia business rules.	Child Protective Services Policy	X			
SM0493	1	The solution should provide decision support to assist the user in determining if an identified youth is appropriate to begin the wraparound process according to West Virginia business rules.	Child Protective Services Policy			X	
SM0494	1	The solution should provide decision support to assist the user in determining if the assistance of the Circuit Court should be sought according to West Virginia business rules.	Child Protective Services Policy			X	
SM0495	1	The solution should support the creation of the order ratifying the emergency custody of the child pending the filing of a petition according to West Virginia business rules.	Child Protective Services Policy	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0496	1	The solution should provide decision support to assist the user in determining whether parents who are not the subject of the assessment should be notified if their children are unsafe or have been maltreated according to West Virginia business rules.	Child Protective Services Policy	X			
SM0497	1	The solution should guide the user through the next steps for all of the possible outcomes upon completion of the assessment.	Child Protective Services Policy		X		
SM0498	1	The solution should allow the user to document when an administrative subpoena was issued according to West Virginia business rules.	Child Protective Services Policy	X			
SM0499	1	The solution should support the completion of the assessment where children are determined to be abused or neglected, but safe.	Child Protective Services Policy	X			
SM0500	1	The solution should provide decision support to guide the user in determining whether reasonable efforts to prevent removal are required.	Child Protective Services Policy	X			
SM0501	1	The solution should provide decision support to guide the user in determining whether a petition to terminate parental rights should be filed.	Child Protective Services Policy	X			
SM0502	1	The solution should allow the user to document the reason for an incomplete assessment according to West Virginia business rules.	Child Protective Services Policy	X			
SM0503	1	The solution should allow the user to record critical information about child deaths due maltreatment and the alleged maltreater.	Child Protective Services Policy	X			
SM0504	1	The solution should support the documentation of medical neglect of a disabled child.	Child Protective Services Policy	X			
SM0505	1	The solution should support the documentation of drug-affected infants and/or infants/children suffering from Fetal Alcohol Spectrum Disorder according to West Virginia business rules.	Child Protective Services Policy	X			
SM0506	1	The solution should support the process of conducting investigations involving the Institutional Investigative Unit (IIU) for all settings according to West Virginia business rules.	Child Protective Services Policy	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0507	1	The solution should support the completion of the family assessment according to West Virginia business rules.	Child Protective Services Policy	X			
SM0508	1	The solution should support the completion of the treatment plan according to West Virginia business rules.	Child Protective Services Policy			X	
SM0509	1	The solution should support the completion of the treatment plan evaluation process according to West Virginia business rules.	Child Protective Services Policy	X			
SM0510	1	The solution should auto-populate information on the Court Approved Unified Child and Families Case Plan as specified by the State.	Child Protective Services Policy			X	
SM0511	1	The solution should support the completion of the Court Approved Unified Child and Families Case Plan according to West Virginia business rules.	Child Protective Services Policy	X			
SM0512	1	The solution should support the modification of the Court Approved Unified Child and Families Case Plan according to West Virginia business rules.	Child Protective Services Policy	X			
SM0513	1	The solution should populate blank fields in the case record based on information entered in the Court Approved Unified Child and Families Case Plan.	Child Protective Services Policy			X	
SM0514	1	The solution should auto-populate information on the Case Plan Progress Report as specified by the State.	Child Protective Services Policy			X	
SM0515	1	The solution should support the completion of the Case Plan Progress Report according to West Virginia business rules.	Child Protective Services Policy	X			
SM0516	1	The solution should support the modification of the Case Plan Progress Report according to West Virginia business rules.	Child Protective Services Policy	X			
SM0517	1	The solution should populate blank fields in the case record based on information contained in the Case Plan Progress Report.	Child Protective Services Policy			X	
SM0518	1	The solution should support the reunification with caregivers process according to West Virginia business rules.	Child Protective Services Policy	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0519	1	The solution should support the final safety evaluation process prior to case closure according to West Virginia business rules.	Child Protective Services Policy	X			
SM0520	1	The solution should support the provision of Child Protective Services (CPS) ongoing services to children abused or neglected, but not unsafe, according to West Virginia business rules.	Child Protective Services Policy	X			
SM0521	1	The solution should support the identification and tracking of maltreatment only cases according to West Virginia business rules.	Child Protective Services Policy		X		
SM0522	1	The solution should document and track information related to the hearing process for the client and the provider.	Child Protective Services Policy	X			
SM0523	1	The solution should support the user in determining if a request for a Gibson payment for on-going services should be made according to West Virginia business rules.	Child Protective Services Policy			X	
SM0524	1	The solution should provide decision support to assist the user in determining eligibility for payment for medical services with a Special Medical Card according to West Virginia business rules.	Child Protective Services Policy			X	
SM0525	1	The solution should support the request for and approval of a Special Medical Card according to West Virginia business rules.	Child Protective Services Policy			X	
SM0526	1	The solution should allow the user to capture the following information about the issuance of the Special Medical Card:	Child Protective Services Policy			X	
SM0527	2	Start and end dates	Child Protective Services Policy			X	
SM0528	2	Reason for issuing	Child Protective Services Policy			X	
SM0529	2	Approved services	Child Protective Services Policy			X	
SM0530	1	The solution should support the Special Medical Authorization process according to West Virginia business rules.	Homeless Services Policy	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0531	1	The solution should allow the creation of a Special Medical Authorization according to West Virginia business rules.	Homeless Services Policy	X			
SM0532	1	The solution should allow approval of a Special Medical Authorization according to West Virginia business rules.	Homeless Services Policy	X			
SM0533	1	The solution should support the voluntary placement of a child in the custody of the department process according to West Virginia business rules.	Child Protective Services Policy	X			
SM0534	1	The solution should support the emergency custody processes according to West Virginia business rules.	Child Protective Services Policy	X			
SM0535	1	The solution should document the reasons why visitation is denied or limited according to West Virginia business rules.	Child Protective Services Policy	X			
SM0536	1	The solution should document the reasons why telephone calls are denied or limited according to West Virginia business rules.	Child Protective Services Policy	X			
SM0537	1	The solution should support the participation in and documentation of the court hearing processes according to West Virginia business rules.	Child Protective Services Policy	X			
SM0538	1	The solution should allow the user to record information about parental compliance of child support orders.	Child Protective Services Policy			X	
SM0539	1	The solution should support the documentation of whether or not a parent is responsible for child support according to West Virginia business rules.	Child Protective Services Policy			X	
SM0540	1	The solution should support the completion and transmission of the Foster Care Referral form according to West Virginia business rules.	Child Protective Services Policy			X	
SM0541	1	The solution should allow the user to transmit the Interstate Compact on the Placement of Children (ICPC) Supervision Report.	ICPC Process for DHHR Staff			X	
SM0542	1	The solution should support the referral approval workflow of the youth for the Safe at Home program according to West Virginia business rules.	Safe at Home West Virginia Program Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0543	1	The solution should support the documentation of all activities for the four phases of the wraparound process.	Safe at Home West Virginia Program Manual			X	
SM0544	1	The solution should support the preparation of the initial wraparound plan.	Safe at Home West Virginia Program Manual			X	
SM0545	1	The solution should allow the wraparound plan to be updated.	Safe at Home West Virginia Program Manual			X	
SM0546	1	The solution should support the preparation of the crisis plan.	Safe at Home West Virginia Program Manual			X	
SM0547	1	The solution should support the generation of the crisis plan.	Safe at Home West Virginia Program Manual			X	
SM0548	1	The solution should support the preparation of the Safe at Home West Virginia Wraparound Monthly Summary form.	Safe at Home West Virginia Program Manual			X	
SM0549	1	The solution should allow the system user to link the qualifying child to the Local Coordinating Agency.	Safe at Home West Virginia Program Manual			X	
SM0550	1	The solution should allow the system user to search the system to determine if the family is already receiving Administrative Service Organization (ASO) services.	Safe at Home West Virginia Program Manual		X		
SM0551	1	The solution should notify the system user when a client in a case with wraparound approval is already receiving Administrative Service Organization (ASO) services.	Safe at Home West Virginia Program Manual			X	
SM0552	1	The solution should guide the system user through the steps that must be taken after the referral has been accepted according to West Virginia business rules.	Safe at Home West Virginia Program Manual	X			
SM0553	1	The solution should support all foster care intake types according to West Virginia business rules.	Foster Care Policy	X			
SM0554	1	The solution should provide decision support to assist the system user in determining whether or not to accept a voluntary relinquishment.	Foster Care Policy			X	

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0555	1	The solution should support the preparation of the Voluntary Relinquishment Agreement.	Foster Care Policy		X		
SM0556	1	The solution should support the documentation of the custody status according to West Virginia business rules.	Foster Care Policy	X			
SM0557	1	The solution should support the preparation of the Child Assessment Form.	Foster Care Policy		X		
SM0558	1	The solution should provide decision support to assist the system user in matching the child's needs to an appropriate placement resource.	Foster Care Policy	X			
SM0559	1	The solution should allow the user to generate referrals to providers selected from the results returned from the placement resource match.	Foster Care Policy		X		
SM0560	1	The solution should support the documentation of children claiming American Indian heritage according to West Virginia business rules.	Foster Care Policy	X			
SM0561	1	The solution should support the creation of the family visitation log at the child and case record level.	Foster Care Policy	X			
SM0562	1	The solution should allow the user to document information about the pre-placement or trial visit.	Foster Care Policy	X			
SM0563	1	The solution should clearly identify an emergency custody status regardless of the placement type.	Foster Care Policy	X			
SM0564	1	The solution should alert the user to change the emergency status according to West Virginia business rules.	Foster Care Policy	X			
SM0565	1	The solution should capture the following, regarding a foster care placement, according to West Virginia business rules:	Foster Care Policy	X			
SM0566	2	The placement recommendation	Foster Care Policy	X			
SM0567	2	Reasons the recommendation is appropriate	Foster Care Policy	X			
SM0568	2	The provider recommendation	Foster Care Policy	X			
SM0569	1	The solution should allow the user to document the placement referral according to West Virginia business rules.	Foster Care Policy	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0570	1	The solution should trigger the home study application process when information from the kinship/relative safety screen is entered.	Foster Care Policy		X		
SM0571	1	The solution should allow the user to create and transmit the Mentoring and Oversight for Developing Independence with Foster Youth (MODIFY) program referral form according to West Virginia business rules.	Foster Care Policy	X			
SM0572	1	The solution should support the automated placement referral process according to West Virginia business rules.	Foster Care Policy	X			
SM0573	1	The solution should support the request and approval process for use of additional social service funds to pay for specialized family care according to West Virginia business rules.	Foster Care Policy	X			
SM0574	1	The solution should support the process of securing the necessary approvals for Psychiatric Residential Treatment Facility (PRTF) placement.	Foster Care Policy			X	
SM0575	1	The solution should allow the user to create the of the Out of State Placement/ Interstate Compact on Placement of Children (ICPC) program referral packet according to West Virginia business rules including the following:	ICPC Process for DHHR Staff	X			
SM0576	2	The solution should support the system user in tracking the completion of the documentation needed for the Interstate Compact on the Placement of Children (ICPC) Referral Packet.	ICPC Process for DHHR Staff			X	
SM0577	2	The solution should allow the user to designate a client record as a West Virginia youth in an out-of-state placement.	ICPC Process for DHHR Staff	X			
SM0578	2	The solution should allow the user to designate a client record as an out-of-state youth placed in West Virginia.	ICPC Process for DHHR Staff	X			
SM0579	2	The solution should allow the system user to record responses from relatives.	Foster Care Policy			X	
SM0580	1	The solution should determine the amount of the State Paid Kinship Care Placement Payment according to West Virginia business rules.	Foster Care Policy	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0581	1	The solution should support the scheduling of the initial required Early and Periodic Screening, Diagnostic, and Treatment (EPSDT) HealthCheck appointment according to West Virginia business rules.	Foster Care Policy			X	
SM0582	1	The solution should capture all of the information required to determine client eligibility for Title-IV E according to West Virginia business rules.	Foster Care Policy	X			
SM0583	1	The solution should capture all of the information required to determine provider eligibility for Title-IV E according to West Virginia business rules.	Foster Care Policy	X			
SM0584	1	The solution should determine eligibility for Title-IV E funds according to West Virginia business rules.	Foster Care Policy	X			
SM0585	1	The solution should determine eligibility for Title-IV E reimburseability according to West Virginia business rules.	Foster Care Policy	X			
SM0586	1	The solution should identify youth referred to the Regional Clinical Review Process according to West Virginia business rules.	Foster Care Policy	X			
SM0587	1	The solution should support the documentation of all information related to the Regional Clinical Review process according to West Virginia business rules including, but not limited to, the following:	Foster Care Policy			X	
SM0588	2	The referral date	Foster Care Policy			X	
SM0589	2	The review date	Foster Care Policy			X	
SM0590	2	The results of the review	Foster Care Policy			X	
SM0591	1	The solution should capture information about the Inter-Disciplinary Team (IDT) composition and meetings.	Foster Care Policy	X			
SM0592	1	The solution should support the system user in the development of the primary and concurrent permanency plans according to West Virginia business rules.	Foster Care Policy	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0593	1	The solution should support the documentation of system user visits with children in foster care according to West Virginia business rules.	Foster Care Policy	X			
SM0594	1	The solution should allow the tracking and monitoring of system user visits by system user by case to ensure State and Federal requirements are being met.	Foster Care Policy	X			
SM0595	1	The solution should document the parent's death certificate.	Foster Care Policy	X			
SM0596	1	The solution should allow the system user to document the individual's eligibility for the Medicaid Home and Community Based Waiver (Medley).	Foster Care Policy			X	
SM0597	1	The solution should allow the system user to document if the individual is enrolled in the Medicaid Home and Community Based Waiver.	Foster Care Policy			X	
SM0598	1	The solution should allow the system user to document the individual's eligibility for the Medicaid Personal Care Services (Medley).	Foster Care Policy			X	
SM0599	1	The solution should allow the system user to document if the individual is enrolled in Medicaid Personal Care Services (Medley).	Foster Care Policy			X	
SM0600	1	The solution should allow the system user to document information about medical and health events that occurred while an individual is in temporary custody or permanent guardianship of the department.	Foster Care Policy	X			
SM0601	1	The solution should allow the system user to document receipts.	Foster Care Policy			X	
SM0602	1	The solution should allow the system user to document invoices.	Foster Care Policy			X	
SM0603	1	The solution should allow the system user to document if a child is receiving child care assistance.	Foster Care Policy		X		
SM0604	1	The solution should track foster/adoptive parent's use of respite care days.	Foster Care Policy	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0605	1	The solution should allow the system user to document all of the financial resources available to meet the individual's needs according to West Virginia business rules.	Foster Care Policy	X			
SM0606	1	The solution should support the filing of a cause of action lawsuit or claim for a client according to West Virginia business rules.	Foster Care Policy	X			
SM0607	1	The solution should support the process for documenting and tracking a missing, abducted, or runaway client according to West Virginia business rules.	Foster Care Policy	X			
SM0608	1	The solution should support a management view for reported missing, abducted, or runaway clients.	Foster Care Policy	X			
SM0609	1	The solution should document when the runaway, missing, or abducted client has been found.	Foster Care Policy	X			
SM0610	1	The solution should document the request for a consumer credit check report for the client.	Foster Care Policy	X			
SM0611	1	The solution should document the results of the consumer credit check report for the client according to West Virginia business rules.	Foster Care Policy	X			
SM0612	1	The solution should support the submission, review, and approval of the Transitional Living Subsidy Placement Payment according to West Virginia business rules.	Foster Care Policy			X	
SM0613	1	The solution should trigger a IV-E determination according to West Virginia business rules.	Foster Care Policy	X			
SM0614	1	The solution should support the process of assisting a youth to obtain financial assistance for post-secondary education according to West Virginia business rules.	Foster Care Policy	X			
SM0615	1	The solution should support all phases of case planning for foster care cases according to West Virginia business rules.	Foster Care Policy	X			
SM0616	1	The solution should identify if the reporter is a mandatory reporter according to West Virginia business rules.	Social Services Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0617	1	The solution should support the user in determining if the reporter is a mandatory reporter according to West Virginia business rules.	Social Services Manual	X			
SM0618	1	The solution should allow a user to document that a report of suspected animal cruelty has been made to the county humane officer according to West Virginia business rules.	Social Services Manual			X	
SM0619	1	The solution should allow a user to document that a report has been made to the medical examiner according to West Virginia business rules.	Social Services Manual	X			
SM0620	1	The solution should support the process of assessing eligibility for adult services according to West Virginia business rules.	Social Services Manual			X	
SM0621	1	The solution should allow a user to input all the required information for an in-home adult protective services referral according to West Virginia business rules.	Social Services Manual	X			
SM0622	1	The solution should allow a user to input all the required information for an institutional/out-of-home adult protective services referral according to West Virginia business rules.	Social Services Manual	X			
SM0623	1	The solution should allow a user to indicate the estimated degree of danger and the reasons for so indicating according to West Virginia business rules.	Social Services Manual	X			
SM0624	1	The solution should trigger a response time appropriate to the estimated degree of danger according to West Virginia business rules.	Social Services Manual	X			
SM0625	1	The solution should allow the system user to link between the referral and the provider record.	Social Services Manual	X			
SM0626	1	The solution should allow a system user to identify if a referral involves specific situations according to West Virginia business rules.	Social Services Manual	X			
SM0627	1	The solution should allow a system user to document if an interview is not possible according to West Virginia business rules.	Social Services Manual	X			
SM0628	1	The solution should allow a system user to document the reason an interview is not possible according to West Virginia business rules.	Social Services Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0629	1	The solution should allow a system user to track all documents obtained/reviewed during an investigation.	Social Services Manual	X			
SM0630	1	The solution should allow a system user to create a short-term service plan according to West Virginia business rules.	Social Services Manual	X			
SM0631	1	The solution should allow a system user to close an investigation according to West Virginia business rules.	Social Services Manual	X			
SM0632	1	The solution should allow a user to establish a record on an institution/facility and link it to the investigation according to West Virginia business rules.	Social Services Manual	X			
SM0633	1	The solution should support the process of generating the required notices on disposition of an investigation according to West Virginia business rules.	Social Services Manual	X			
SM0634	1	The solution should support the case review process according to West Virginia business rules.	Social Services Manual	X			
SM0635	1	The solution should allow the system user to document the results of the initial screening, including reasons for screening out the request.	Social Services Manual	X			
SM0636	1	The solution should document and track timeframes for the completion of assessments according to West Virginia business rules.	Social Services Manual	X			
SM0637	1	The solution should support the process of requesting timeframe extensions for the completion of assessments according to West Virginia business rules.	Social Services Manual	X			
SM0638	1	The solution should allow the user to document that a placement is appropriate according to West Virginia business rules.	Social Services Manual	X			
SM0639	1	The solution should document that a trial visit to a provider has occurred according to West Virginia business rules.	Social Services Manual	X			
SM0640	1	The solution should support the process for completion of all provider assessments according to West Virginia business rules.	Social Services Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0641	1	The solution should allow the system user to document when a patient is being placed in a private pay arrangement.	Social Services Manual			X	
SM0642	1	The solution should allow the system user to document that an Agreement for Participation was completed and signed.	Social Services Manual			X	
SM0643	1	The solution should generate an Agreement for Participation according to West Virginia business rules.	Social Services Manual	X			
SM0644	1	The solution should calculate the rate of payment to Adult Service Placement Providers according to West Virginia business rules.	Social Services Manual			X	
SM0645	1	The solution should allow the system user to document resource deductions according to West Virginia business rules.	Social Services Manual	X			
SM0646	1	The solution should allow the system user to document the amount of client personal expense allowance according to West Virginia business rules.	Social Services Manual	X			
SM0647	1	The solution should document if a client is receiving sheltered employment income and the amount of income received.	Social Services Manual		X		
SM0648	1	The solution should document a bed hold if the client must be out of assisted living for a brief period of time according to West Virginia business rules.	Social Services Manual	X			
SM0649	1	The solution should document if a client is eligible for special medical authorization according to West Virginia business rules.	Social Services Manual	X			
SM0650	1	The solution should support the system user in determining if a child is eligible for legal guardianship according to West Virginia business rules.	Legal Guardianship Policy	X			
SM0651	1	The solution should support the system user with the compilation and submission of the documents for review and approval of the consent for transfer according to West Virginia business rules.	Legal Guardianship Policy	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0652	1	The solution should generate the request for consent to transfer custody from the Department of Health and Human Resources (DHHR) to the legal guardian according to West Virginia business rules.	Legal Guardianship Policy	X			
SM0653	1	The solution should generate the request for consent to transfer guardianship from the Department of Health and Human Resources (DHHR) to the legal guardian according to West Virginia business rules.	Legal Guardianship Policy	X			
SM0654	1	The solution should support the system user to determine a child's eligibility for subsidized legal guardianship according to West Virginia business rules.	Legal Guardianship Policy	X			
SM0655	1	The solution should support the system user to request and obtain approval for an extension of the subsidy payment according to West Virginia business rules.	Legal Guardianship Policy	X			
SM0656	1	The solution should allow the system user to capture the court sanction date according to West Virginia business rules.	Legal Guardianship Policy	X			
SM0657	1	The solution should allow the system user to document the removal and placement information when legal guardianship is disrupted according to West Virginia business rules.	Legal Guardianship Policy	X			
SM0658	1	The solution should allow the system user to enter the disruption date according to West Virginia business rules.	Legal Guardianship Policy	X			
SM0659	1	The solution should automatically end date the subsidy according to West Virginia business rules.	Legal Guardianship Policy	X			
SM0660	1	The solution should recalculate the subsidy amount when a youth in foster care has an infant child of their own according to West Virginia business rules.	Foster Care Policy	X			
SM0661	1	The solution should receive an initial inquiry about foster/adoptive care according to West Virginia business rules.	Homefinding Policy	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0662	1	The solution should document an initial inquiry about foster/adoptive care according to West Virginia business rules.	Homefinding Policy	X			
SM0663	1	The solution should determine if the individual inquiring about foster/adoptive care has an existing record.	Homefinding Policy	X			
SM0664	1	The solution should allow the system user to document the date the application was received from the prospective foster/adoptive parent.	Homefinding Policy	X			
SM0665	1	The solution should allow the system user to document the date the foster/adoptive parent training was completed.	Homefinding Policy	X			
SM0666	1	The solution should support the system user in determining an applicant's eligibility to become a foster/adoptive parent according to West Virginia business rules.	Homefinding Policy	X			
SM0667	1	The solution should support the system user in documenting an applicant's eligibility to become a foster/adoptive parent according to West Virginia business rules.	Homefinding Policy	X			
SM0668	1	The solution should transmit client information using electronic data sources to verify an applicant's citizenship (e.g. through the Social Security Administration or other sources).	Homefinding Policy		X		
SM0669	1	The solution should receive a response to requests for citizenship verification from electronic data sources (e.g., through the Social Security Administration or other sources).	Homefinding Policy		X		
SM0670	1	The solution should transmit a request using electronic data sources to verify an applicant's residency (e.g. through the DMV, Vital Statistics, or other sources).	Homefinding Policy		X		
SM0671	1	The solution should receive a response to requests for residency verification from electronic data sources (e.g., through the DMV, Vital Statistics, or other sources).	Homefinding Policy		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0672	1	The solution should check the West Virginia Statewide Immunization Information System (WVSIIS) to verify the immunizations of all household members.	Homefinding Policy		X		
SM0673	1	The solution should guide the system user through the completion of the home study process according to West Virginia business rules.	Homefinding Policy	X			
SM0674	1	The solution should allow the system user to complete the Statement of Criminal Record according to West Virginia business rules.	Homefinding Policy	X			
SM0675	1	The solution should allow the system user to request contracted services according to West Virginia business rules.	Homefinding Policy	X			
SM0676	1	The solution should allow the system user to document the Journey Placement Notebook was provided to the foster/adoptive parents.	Homefinding Policy			X	
SM0677	1	The solution should allow the system user to document information about the placement according to West Virginia business rules.	Homefinding Policy	X			
SM0678	1	The solution should allow the system user to document the placement effective date and time.	Homefinding Policy	X			
SM0679	1	The solution should date and time stamp the date of data entry of the placement effective date and time.	Homefinding Policy	X			
SM0680	1	The solution should allow the system user to document the placement exit date and time.	Homefinding Policy	X			
SM0681	1	The solution should date and time stamp the date of data entry of the placement exit date and time.	Homefinding Policy	X			
SM0682	1	The solution should allow the system user to document placement with specific caretakers in a contracted agency home.	Homefinding Policy	X			
SM0683	1	The solution should automatically notify the Institutional Investigative Unit (IIU) when a Child Protective Services (CPS) complaint on a provider is received according to West Virginia business rules.	Homefinding Policy	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0684	1	The solution should automatically notify the provider system user and client system user when an Institutional Investigative Unit (IIU) referral on a provider is received according to West Virginia business rules.	Homefinding Policy	X			
SM0685	1	The solution should automatically notify the provider system user and client system user when an Institutional Investigative Unit (IIU) referral on a provider is completed according to West Virginia business rules.	Homefinding Policy	X			
SM0686	1	The solution should support the collection of all required information during the intake process according to West Virginia business rules.	Youth Services Policy			X	
SM0687	1	The solution should support the documentation of all required information during the intake process according to West Virginia business rules.	Youth Services Policy			X	
SM0688	1	The solution should allow the system user to document where information is unavailable or incomplete and the reasons according to West Virginia business rules.	Youth Services Policy			X	
SM0689	1	The solution should support the screening process according to West Virginia business rules.	Youth Services Policy			X	
SM0690	1	The solution should track petitions and ratifications that have been filed according to West Virginia business rules.	Youth Services Policy			X	
SM0691	1	The solution should support the completion of a Youth Services Assessment according to West Virginia business rules.	Youth Services Policy			X	
SM0692	1	The solution should support the approval of a Youth Services Assessment according to West Virginia business rules.	Youth Services Policy			X	
SM0693	1	The solution should allow the system user to document a refusal to cooperate.	Youth Services Policy			X	
SM0694	1	The solution should document the risks and needs assessment according to West Virginia business rules.	Youth Services Policy			X	

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0695	1	The solution should allow the system user to indicate an assessment is incomplete and record the reason according to West Virginia business rules.	Youth Services Policy			X	
SM0696	1	The solution should support the completion and approval of a Youth Services Safety Plan according to West Virginia business rules.	Youth Services Policy			X	
SM0697	1	The solution should support the completion of a Treatment/Service Plan according to West Virginia business rules.	Youth Services Policy			X	
SM0698	1	The solution should support the approval of a Treatment/Service Plan according to West Virginia business rules.	Youth Services Policy			X	
SM0699	1	The solution should support a Treatment/Service Plan evaluation review and approval process according to West Virginia business rules.	Youth Services Policy			X	
SM0700	1	The solution should support a youth services court case planning process according to West Virginia business rules.	Youth Services Policy			X	
SM0701	1	The solution should support a youth services court case submission process according to West Virginia business rules.	Youth Services Policy			X	
SM0702	1	The solution should allow the system user to update a Case Plan according to West Virginia business rules.	Youth Services Policy			X	
SM0703	1	The solution should support a youth services court case plan review process according to West Virginia business rules.	Youth Services Policy			X	
SM0704	1	The solution should generate the Understanding of the Parties for Foster Care Services Agreement (FC-18) according to West Virginia business rules.	Social Services Manual	X			
SM0705	1	The solution should support the documentation of all items on a Personal Exchange Document Discharge list according to West Virginia business rules.	Social Services Manual			X	
SM0706	1	The solution should support the system user in the completion of an 18+ Discharge Plan according to West Virginia business rules.	Social Services Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0707	1	The solution should support the documentation of permanent connections according to West Virginia business rules.	Social Services Manual	X			
SM0708	1	The solution should support referral and transition to Adult Services according to West Virginia business rules.	Social Services Manual	X			
SM0709	1	The solution should support the process that allows a youth to apply to return to foster care (FC-18) according to West Virginia business rules.	Social Services Manual	X			
SM0710	1	The solution should allow the system user to receive a referral to Youth Services according to West Virginia business rules.	Youth Services Policy			X	
SM0711	1	The solution should generate a Treatment/Service Plan according to West Virginia business rules.	Youth Services Policy			X	
SM0712	1	The solution should generate a Treatment/Service Plan Evaluation according to West Virginia business rules.	Youth Services Policy			X	
SM0713	1	The solution should allow a system user to complete an Intake for all Adult Services Programs according to West Virginia business rules.	Social Services Manual			X	
SM0714	1	The solution should allow a system user to indicate if there is imminent danger or potential for imminent danger triggering response times according to West Virginia business rules.	Social Services Manual	X			
SM0715	1	The solution should trigger referral disposition response times according to West Virginia business rules.	Social Services Manual	X			
SM0716	1	The solution should allow a system user to submit a mandated reporter form with a time and date stamp according to West Virginia business rules.	Social Services Manual	X			
SM0717	1	The solution should receive a mandated reporter form with a time and date stamp according to West Virginia business rules.	Social Services Manual	X			
SM0718	1	The solution should allow a system user to document a client's decision-making capacity according to West Virginia business rules.	Social Services Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0719	1	The solution should provide the capability to pre-populate other required data fields throughout the case record according to West Virginia business rules.	Social Services Manual	X			
SM0720	1	The solution should support the process for filing a guardianship petition in according to West Virginia business rules.	Social Services Manual	X			
SM0721	1	The solution should provide decision support to assist the system user in making guardianship decisions on behalf of the client, including:	Social Services Manual		X		
SM0722	2	Organ Donation	Social Services Manual		X		
SM0723	2	Placement Decisions	Social Services Manual		X		
SM0724	2	Medical Decisions	Social Services Manual		X		
SM0725	2	End-of-Life Decisions	Social Services Manual		X		
SM0726	2	Do Not Resuscitate (DNR) Order	Social Services Manual		X		
SM0727	2	Relationship Decisions	Social Services Manual		X		
SM0728	2	Supportive Services Decisions	Social Services Manual		X		
SM0729	1	The solution should support the transition of a client from Foster Care to Adult Guardianship according to West Virginia business rules.	Social Services Manual	X			
SM0730	1	The solution should allow a system user to dispose of a request according to West Virginia business rules.	Social Services Manual			X	
SM0731	1	The solution should allow a system user to open a case for all Adult Services Programs according to West Virginia business rules.	Social Services Manual			X	
SM0732	1	The solution should support the referral screening process according to West Virginia business rules.	Homeless Services Policy		X		
SM0733	1	The solution should support all initial disposition options according to West Virginia business rules.	Homeless Services Policy			X	

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0734	1	The solution should support the completion of the Service Plan according to West Virginia business rules.	Homeless Services Policy			X	
SM0735	1	The solution should support the authorization of all types of vendor payments according to West Virginia business rules.	Homeless Services Policy		X		
SM0736	1	The solution should support the imposition of sanctions according to West Virginia business rules.	Homeless Services Policy		X		
SM0737	1	The solution should allow the provider to impose sanctions according to West Virginia business rules.	Homeless Services Policy		X		
SM0738	1	The solution should allow a system user to enter all required intake information according to West Virginia business rules.	Social Services Manual	X			
SM0739	1	The solution should support the processes related to all required assessments according to West Virginia business rules.	Social Services Manual	X			
SM0740	1	The solution should support the process of donating a body as an anatomical gift according to West Virginia business rules.	Social Services Manual			X	
SM0741	1	The solution should support the services authorization process from referral to payment according to West Virginia business rules.	Adoption Policy Manual	X			
SM0742	1	The solution should support the administration of the Interstate Compact Placement of Children (ICPC) process.	ICPC Process for DHHR Staff	X			
SM0743	1	The solution should track referrals to the Social Security Administration.	Not Applicable	X			
SM0744	1	The solution should create a new subsidy agreement for the same child throughout the life of the case according to West Virginia business rules.	Adoption Policy Manual	X			
SM0745	1	The solution should send a notification of basic demographic information to the West Virginia State Police for entry into National Crime Information Center (NCIC) when a child or adult in State care or guardianship has been determined to be missing.	West Virginia Crime Identification Bureau (CIB) Background Checks Policy			X	
SM0746	1	The solution should configure lists of collaterals by county and associate the lists with any record.	Not Applicable			X	

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0747	1	The solution should generate payments outside of the case realm according to West Virginia business rules.	Financial Clerk Manual		X		
SM0748	1	The solution should generate the discharge summary report according to West Virginia business rules.	Foster Care Policy	X			
SM0749	1	The solution should allow the system user to open a case for a child received through Interstate Compact on the Placement of Children (ICPC) according to West Virginia business rules.	ICPC Process for DHHR Staff	X			
SM0750	1	The solution should allow the system user to designate a provider record as providing Interstate Compact on the Placement of Children (ICPC) services.	ICPC Process for DHHR Staff			X	
SM0751	1	The solution should allow the system user to configure an alert to track the receipt of the Interstate Compact on the Placement of Children (ICPC) 100B Form.	ICPC Process for DHHR Staff	X			
SM0752	1	The solution should capture and retain the history Title-IV E reimburseability for all Title-IV E placements and service providers.	Foster Care Policy	X			
SM0753	1	The solution should generate Medicaid eligibility for the adoption and subsidized legal guardianship programs based on medical subsidy dates according to West Virginia business rules.	Legal Guardianship Policy	X			
SM0754	1	The solution should identify children with special health care needs.	Not Applicable	X			
SM0755	1	The solution should track successor guardianship agreements according to West Virginia business rules.	Legal Guardianship Policy	X			
SM0756	1	The solution should allow the system user to document an extended stay placement according to West Virginia business rules.	Foster Care Policy	X			
SM0757	1	The solution should track when unmet service needs and placements have been identified.	Foster Care Policy	X			
SM0758	1	The solution should support the documentation of Adult Services court/legal processes according to West Virginia business rules.	Social Services Manual			X	

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0759	1	The solution should support the tracking of Adult Services court/legal processes according to West Virginia business rules.	Social Services Manual			X	
SM0760	1	The solution should support the management of system user visitation.	Not Applicable	X			
SM0761	1	The solution should document client information, based on the type of case being opened, including but not limited to the following:	Not Applicable	X			
SM0762	2	Education	Not Applicable	X			
SM0763	2	Income	Not Applicable	X			
SM0764	2	Demographics	Not Applicable	X			
SM0765	2	Employment	Not Applicable	X			
SM0766	2	Disability	Not Applicable	X			
SM0767	2	Assets	Not Applicable	X			
SM0768	1	The solution should support the creation of the visitation plan.	Not Applicable	X			
SM0769	1	The solution should support the Mentoring and Oversight for Developing Independence with Foster Youth (MODIFY) program eligibility determination and referral process.	Not Applicable			X	
SM0770	1	The solution should allow the system user to make a final decision on the application once it is determined that the applicant actually received the benefits from a community resource and the emergency was eliminated or prevented.	Income Maintenance Manual		X		
SM0771	1	The solution should file a copy of the notification for referral to a community agency in the case record.	Income Maintenance Manual		X		
SM0772	1	The solution should generate a collateral contract for the use of verifying Emergency Assistance needs.	Income Maintenance Manual		X		
SM0773	1	The solution should generate individual entries for each type of benefit received for a particular child when the local office receives children's checks.	Full Financial Clerks Manual			X	

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0774	1	The solution should store individual entries for each type of benefit received for a particular child when the local office receives children's checks.	Full Financial Clerks Manual			X	
SM0775	1	The solution should retrieve individual entries for each type of benefit received for a particular child when children's checks are received by local offices.	Full Financial Clerks Manual			X	
SM0776	1	The solution should support the encumbrance process according West Virginia business rules.	Full Financial Clerks Manual			X	
SM0777	1	The solution should hold a payment according to West Virginia business rules.	Full Financial Clerks Manual	X			
SM0778	1	The solution should release or delete a held payment according to West Virginia business rules.	Full Financial Clerks Manual	X			
SM0779	1	The solution should allocate payments to the appropriate accounts according to West Virginia business rules.	Full Financial Clerks Manual	X			
SM0780	1	The solution should maintain a history of all payment allocations.	Full Financial Clerks Manual	X			
SM0781	1	The solution should support the work participation program in order for clients to maintain eligibility for SNAP and WV WORKS.	Income Maintenance Manual		X		
SM0782	1	The solution should allow system users to track work activities for WV WORKS recipients according to West Virginia business rules.	Income Maintenance Manual		X		
SM0783	1	The solution should allow authorized system users to update work activities for WV WORKS recipients.	Income Maintenance Manual		X		
SM0784	1	The solution should allow system users to track time clients spend on tasks that support their self-sufficiency goals.	Income Maintenance Manual		X		
SM0785	1	The solution should develop the client's Self-Sufficiency Plan (SSP).	Income Maintenance Manual		X		
SM0786	1	The solution should maintain the Self-Sufficiency Plan (SSP) according to West Virginia business rules.	Income Maintenance Manual		X		
SM0787	1	The solution should generate a separate Self-Sufficiency Plan (SSP) for each work-eligible individual in a household.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0788	1	The solution should allow an authorized system user to revise the Self-Sufficiency Plan (SSP).	Income Maintenance Manual		X		
SM0789	1	The solution should require that an initial Self-Sufficiency Plan (SSP) be completed during the application process for applicable programs according to West Virginia business rules.	Income Maintenance Manual		X		
SM0790	1	The solution should require that a full Self-Sufficiency Plan (SSP) be completed for applicable programs according to West Virginia business rules.	Income Maintenance Manual		X		
SM0791	1	The solution should support the process for replacement of destroyed food purchased with SNAP benefits according to West Virginia business rules.	Income Maintenance Manual		X		
SM0792	1	The solution should stop SNAP and WV Works issuances according to West Virginia business rules.	Income Maintenance Manual		X		
SM0793	1	The solution should track the client referrals to the Treasury Offset Program (TOP).	Income Maintenance Manual	X			
SM0794	1	The solution should provide an indicator to identify an applicant as being institutionalized.	Income Maintenance Manual	X			
SM0795	1	The solution should modify the way assets are counted on an applicant or client's case based on the presence of the institutionalized indicator.	Income Maintenance Manual	X			
SM0796	1	The solution should provide a means of recording a personal needs allowance for institutionalized individuals	State Medicaid Plan	X			
SM0797	1	The solution should determine accessibility of assets for the SNAP program according to West Virginia business rules.	Income Maintenance Manual		X		
SM0798	1	The solution should process loss or damage settlements according to West Virginia business rules.	Income Maintenance Manual		X		
SM0799	1	The solution should apply a configurable permissible asset transfer timeline, according to West Virginia business rules.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0800	1	The solution should apply penalties for asset transfers according to West Virginia business rules.	Income Maintenance Manual		X		
SM0801	1	The solution should track past asset transfers for the WV WORKS program over a configurable period of time (Look-Back Period) when determining asset transfer penalties.	Income Maintenance Manual		X		
SM0802	1	The solution should distinguish between permissible and non-permissible asset transfers when determining penalties for asset transfers according to West Virginia business rules.	Income Maintenance Manual		X		
SM0803	1	The solution should retroactively apply benefits according to West Virginia business rules.	Income Maintenance Manual		X		
SM0804	1	The solution should assist system users with determining if an applicant is required to comply with work requirements.	Income Maintenance Manual	X			
SM0805	1	The solution should determine whether an applicant is excluded from work requirements according to West Virginia business rules.	Income Maintenance Manual		X		
SM0806	1	The solution should capture if an applicant or client is exempt from WV WORKS work requirements.	Income Maintenance Manual		X		
SM0807	1	The solution should automatically update SNAP work requirements when an applicant or client becomes exempt from a WV WORKS work requirement.	Income Maintenance Manual		X		
SM0808	1	The solution should assist in determining the appropriate SNAP penalty according to West Virginia business rules.	Income Maintenance Manual		X		
SM0809	1	The solution should assist system users in determining if an action by the applicant or client is a "voluntary quit" from a job.	Income Maintenance Manual	X			
SM0810	1	The solution should assist the system user in determining if the applicant or client had "good cause" for voluntarily quitting a job.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0811	1	The solution should track WorkForce West Virginia registration.	Income Maintenance Manual		X		
SM0812	1	The solution should track a configurable time period after a client is found eligible for SNAP, within which the client must register with WorkForce West Virginia.	Income Maintenance Manual		X		
SM0813	1	The solution should override the default timeline for WorkForce West Virginia registration.	Income Maintenance Manual		X		
SM0814	1	The solution should track the client's required WorkForce West Virginia renewal date.	Income Maintenance Manual		X		
SM0815	1	The solution should support the process for restoration of lost benefits according to West Virginia business rules.	Income Maintenance Manual		X		
SM0816	1	The solution should assist system users in determining if an applicant or client meets exemption criteria for a work requirement according to West Virginia business rules.	Income Maintenance Manual		X		
SM0817	1	The solution should lift a sanction when the offender becomes a Supplemental Security Income (SSI) recipient.	Income Maintenance Manual		X		
SM0818	1	The solution should capture supervisor approvals based upon permission types prior to second and subsequent sanction approvals.	Income Maintenance Manual		X		
SM0819	1	The solution should capture the Division of Family Assistance Temporary Assistance for Needy Families (TANF) Policy Unit approvals based upon permission types prior to a fourth and subsequent sanction.	Income Maintenance Manual		X		
SM0820	1	The solution should automatically delay a sanction according to West Virginia business rules.	Income Maintenance Manual		X		
SM0821	1	The solution should place all mandatory work-eligible clients into a relevant and current work component for tracking and monitoring purposes.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0822	1	The solution should enroll clients in other work activities components to capture time the system user spends with the client.	Income Maintenance Manual		X		
SM0823	1	The solution should allow a client to turn over all of or part of their SNAP benefits to a group living facility (GLF).	Income Maintenance Manual		X		
SM0824	1	The solution should track the number of residents in a specific group living facility (GLF) that have elected to have the facility act as an authorized representative.	Income Maintenance Manual		X		
SM0825	1	The solution should track the number of Supplemental Nutrition Assistance Program (SNAP) recipients residing within a Group Living Facility (GLF).	Income Maintenance Manual		X		
SM0826	1	The solution should track an inventory of group living facilities (GLF) approved as retail food stores.	Income Maintenance Manual		X		
SM0827	1	The solution should pro-rate benefits for the initial month based on the date of application and the number of days remaining in the month.	Income Maintenance Manual	X			
SM0828	1	The solution should be configured to automatically stop benefits, according to West Virginia business rules.	Income Maintenance Manual		X		
SM0829	1	The solution should determine if a client has outstanding claims with WV WORKS.	Income Maintenance Manual		X		
SM0830	1	The solution should support configurable benefit waiting periods based on West Virginia business rules.	Income Maintenance Manual		X		
SM0831	1	The solution should allow an authorized user to manually update the benefit issuance history to indicate a direct deposit was returned.	Income Maintenance Manual		X		
SM0832	1	The solution should identify the reason that the benefit was returned.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0833	1	The solution should notify an authorized system user whether a client requesting Diversionary Cash Assistance (DCA) has any attributes in their case that would render them ineligible for this form of cash assistance.	Income Maintenance Manual		X		
SM0834	1	The solution should allow the system user to indicate if Diversionary Cash Assistance (DCA) has been issued, and the amount issued at the income group member-level.	Income Maintenance Manual		X		
SM0835	1	The solution should allow the system user to calculate the maximum Diversionary Cash Assistance (DCA) payment according to West Virginia business rules.	Income Maintenance Manual		X		
SM0836	1	The solution should notify an authorized system user whether each income group member is eligible for a Diversionary Cash Assistance (DCA) payment in accordance with West Virginia business rules.	Income Maintenance Manual		X		
SM0837	1	The solution should provide an indicator for cases that have received a Diversionary Cash Assistance (DCA) payment, to ensure that these payments are only made to each income group member one time.	Income Maintenance Manual		X		
SM0838	1	The solution should develop and maintain a queriable inventory of local services contacts, to be populated with local resources provided by the county offices.	Income Maintenance Manual		X		
SM0839	1	The Vendor should maintain the list of local resources with quarterly updates provided by the county offices.	Income Maintenance Manual		X		
SM0840	1	The solution should allow the system user to reinstate benefits according to West Virginia business rules.	Income Maintenance Manual		X		
SM0841	1	The solution should support the issuance of auxiliary benefits according to West Virginia business rules.	Income Maintenance Manual		X		
SM0842	1	The solution should support the expungement process based on West Virginia business rules.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0843	1	The solution should expunge benefits that have been available for more than 365 days on a daily basis according to West Virginia business rules.	Income Maintenance Manual		X		
SM0844	1	The solution should offset existing claims against a client prior to delivering restored benefits to the client.	Income Maintenance Manual		X		
SM0845	1	The solution should support the SNAP and WV WORKS judicial action process(es) according to West Virginia business rules.	Income Maintenance Manual		X		
SM0846	1	The solution should support the SNAP Fair Hearing process according to West Virginia business rules.	Income Maintenance Manual		X		
SM0847	1	The solution should support the Administrative Disqualification Hearing process according to West Virginia business rules.	Income Maintenance Manual		X		
SM0848	1	The solution should restore lost benefits by the following means:	Income Maintenance Manual		X		
SM0849	2	One-time allotments	Income Maintenance Manual		X		
SM0850	2	Monthly installments	Income Maintenance Manual		X		
SM0851	1	The solution should allow the system user to place a client's case in protective payment status, and as a result, update the payee for the client's benefits.	Income Maintenance Manual		X		
SM0852	1	The solution should designate a substitute payee according to West Virginia business rules.	Income Maintenance Manual		X		
SM0853	1	The solution should designate a vendor recipient for a client's WV WORKS benefit, according to West Virginia business rules.	Income Maintenance Manual		X		
SM0854	1	The solution should support the issuance of corrective payments according to West Virginia business rules.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0855	1	The solution should track monthly benefit overpayments paid to WV WORKS clients.	Income Maintenance Manual		X		
SM0856	1	The solution should track monthly benefit underpayments paid to WV WORKS clients	Income Maintenance Manual		X		
SM0857	1	The solution should track corrective payments paid to SNAP and WV WORKS clients.	Income Maintenance Manual		X		
SM0858	1	The solution should track support services overpayments paid on behalf of WV WORKS clients.	Income Maintenance Manual		X		
SM0859	1	The solution should calculate the amount of retroactive payments according to West Virginia business rules.	Income Maintenance Manual		X		
SM0860	1	The solution should track the status of client appeals.	Income Maintenance Manual	X			
SM0861	1	The solution should track the total number of months that a client has received WV WORKS benefits.	Income Maintenance Manual		X		
SM0862	1	The solution should automatically update the benefits issuance history with any direct deposits that cannot be completed.	Income Maintenance Manual		X		
SM0863	1	The solution should support the Child Support Excess Payment process.	Income Maintenance Manual		X		
SM0864	1	The solution should allow the system user to process a client request for Support Services payments.	Income Maintenance Manual		X		
SM0865	1	The solution should allow system users to extend support services during any month for which a WV WORKS payment is made.	Income Maintenance Manual		X		
SM0866	1	The solution should allow the system user to capture Support Service Payment eligibility and set-up payment categories to be processed during the needs assessment interview process.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0867	1	The solution should allow the system user to reopen a case in order to process Support Service Payments requiring Supervisory approval.	Income Maintenance Manual	X			
SM0868	1	The solution should allow a system user to process Support Service Payments for multiple activity categories not to exceed a configurable maximum payment for each type of expense.	Income Maintenance Manual		X		
SM0869	1	The solution should restrict Support Service Payments from being delivered by direct deposit.	Income Maintenance Manual		X		
SM0870	1	The solution should require that each Support Service Payment be assigned a payment purpose from a defined list of acceptable payment purposes.	Income Maintenance Manual		X		
SM0871	1	The solution should limit the type of utility payments may be used for.	Income Maintenance Manual		X		
SM0872	1	The solution should disallow alternate heat sources.	Income Maintenance Manual		X		
SM0873	1	The solution should allow alternate heat sources if approved by an individual with the appropriate permissions according to West Virginia business rules.	Income Maintenance Manual		X		
SM0874	1	The solution should track the status of a fair hearing.	Income Maintenance Manual	X			
SM0875	1	The solution should log all applications, regardless of how they were received on the Application Register.	Income Maintenance Manual		X		
SM0876	1	The solution should create a Home Visit Register according to West Virginia business rules.	Income Maintenance Manual		X		
SM0877	1	The solution should allow the user to create a user-defined register.	Income Maintenance Manual	X			
SM0878	1	The solution should track WV WORKS payments paid to a refugee.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0879	1	The solution should issue mass auxiliary payments to a set of client cases selected by querying the client data base for field(s) on the case.	Income Maintenance Manual		X		
SM0880	1	The solution should allow an authorized system user to refer a Supplemental Nutrition Assistance Program (SNAP) client to the SNAP Employment and Training (E&T) program.	Income Maintenance Manual	X			
SM0881	1	The solution should allow the system user to identify clients who are exempt from referral to the Employment and Training (E&T) program according to West Virginia business rules.	Income Maintenance Manual		X		
SM0882	1	The solution should document when an exempt client has volunteered for the Employment and Training (E&T) program.	Income Maintenance Manual	X			
SM0883	1	The solution should track clients in all of the Supplemental Nutrition Assistance Program Employment and Training (SNAP E&T) activities.	Income Maintenance Manual		X		
SM0884	1	The solution should limit the client's participation in the Job Search activity to one month.	Income Maintenance Manual		X		
SM0885	1	The solution should allow the system user to document employer contacts reported by the client.	Income Maintenance Manual		X		
SM0886	1	The solution should document that a client received a transportation reimbursement in a configurable amount according to West Virginia business rules.	Income Maintenance Manual		X		
SM0887	1	The solution should track clients in all SNAP Employment and Training (E&T) activities according to West Virginia business rules.	Income Maintenance Manual		X		
SM0888	1	The solution should allow the system user to document that the client submitted a time sheet, signed by an Employment and Training (E&T) service provider or community partner, each month.	Income Maintenance Manual		X		
SM0889	1	The solution should allow the system user to document monthly Employment and Training (E&T) reports completed by a service provider or community partner.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0890	1	The solution should track the number of SNAP replacement payments for a client within a configurable period of time according to West Virginia business rules.	Income Maintenance Manual		X		
SM0891	1	The solution should create a report based upon the number of SNAP replacement payments for a client within a configurable period of time according to West Virginia business rules.	Income Maintenance Manual		X		
SM0892	1	The solution should process requests to replace any of the following if they are lost, stolen, or damaged:	Income Maintenance Manual	X			
SM0893	2	Support Service Check	Income Maintenance Manual	X			
SM0894	2	Electronic Benefit Transfer (EBT) Cards	Income Maintenance Manual	X			
SM0895	2	Unsuccessful Direct Debit Transactions	Income Maintenance Manual	X			
SM0896	2	Found Original Checks	Income Maintenance Manual	X			
SM0897	1	The solution should allow the user to inquire on a benefit issuance history.	Income Maintenance Manual	X			
SM0898	1	The solution should support the Family Violence Option (FVO) according to West Virginia business rules.	eCFR — 260 Code of Federal Regulations - General Temporary Assistance for Needy Families (TANF) Provisions		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0899	1	The solution should support the process for referring individuals to counseling and supportive services.	eCFR — 260 Code of Federal Regulations - General Temporary Assistance for Needy Families (TANF) Provisions		X		
SM0900	1	The solution should count work activities according to West Virginia business rules.	eCFR — 261 Code of Federal Regulations - Ensuring that Recipients Work		X		
SM0901	1	The solution should have the ability of counting work activities as defined by federal regulations.	eCFR — 261 Code of Federal Regulations - Ensuring that Recipients Work		X		
SM0902	1	The solution should determine eligibility for participation in Individual Development Accounts (IDAs).	eCFR — 263 Code of Federal Regulations - Expenditures of State and Federal TANF Funds	X			
SM0903	1	The solution should provide a screening tool to assist the system user in evaluating clients for reasonable suspicion of drug use.	Not Applicable		X		
SM0904	1	The solution should track whether a client is found to have a reasonable suspicion of drug use.	Not Applicable		X		
SM0905	1	The solution should track the results of required drug tests for clients that are found to have a reasonable suspicion of drug use.	Not Applicable		X		
SM0906	1	The solution should track whether a client who has been found to have a reasonable suspicion of drug use has been referred to treatment.	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
SM0907	1	The solution should conduct computation of participation requirement.	Income Maintenance Manual	X			
SM0908	1	The solution should track participation computation results.	Income Maintenance Manual	X			
SM0909	1	The solution should track actual participation obtained by client.	Income Maintenance Manual		X		
SM0910	1	The solution should ensure that scheduled hours do not exceed actual minimum monthly participation rate requirements.	Income Maintenance Manual		X		
SM0911	1	The solution should compare required participation against actual work experience to determine whether client meets participation requirements.	Income Maintenance Manual		X		
Performance / Utilization Management (UM)							
UM0001	1	The solution should allow the system to track any savings that have been generated from any discrepancy resolved using external data sources and subsequent benefit adjustment.	Income Maintenance Manual	X			
UM0002	1	The solution should provide a means of tracking and reporting a determination of the cost effectiveness of caring for certain disabled children at home.	State Medicaid Plan			X	
UM0003	1	The solution should allow a flag to be entered to track cases for federal reporting requirements.	Income Maintenance Manual	X			
UM0004	1	The solution should establish an Unintentional Household Error claim.	Income Maintenance Manual	X			
UM0005	1	The solution should establish an Intentional Program Violation (IPV) claim.	Income Maintenance Manual	X			
UM0006	1	The solution should track an over issuance claim.	Income Maintenance Manual	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
UM0007	1	The solution should track the disposition of an over issuance claim.	Income Maintenance Manual	X			
UM0008	1	The solution should establish an Agency Error claim.	Income Maintenance Manual	X			
UM0009	1	The solution should track an Agency Error claim.	Income Maintenance Manual	X			
UM0010	1	The solution should create referrals to the Investigations and Fraud Management (IFM) Claims and Collection Unit for Repayment Investigator (RI) review.	Income Maintenance Manual		X		
UM0011	1	The solution should process referrals to the Investigations and Fraud Management (IFM) Claims and Collection Unit for Repayment Investigator (RI) review.	Income Maintenance Manual		X		
UM0012	1	The solution should track repayment of a SNAP benefit over issuance.	Income Maintenance Manual	X			
UM0013	1	The solution should offset lost benefits according to West Virginia business rules.	Income Maintenance Manual		X		
UM0014	1	The solution should determine the client's repayment amount to offset an over issuance according to West Virginia business rules.	Income Maintenance Manual		X		
UM0015	1	The solution should track lump sum payments submitted by a client to resolve an over issuance.	Income Maintenance Manual	X			
UM0016	1	The solution should track monthly installment payments submitted by a client to resolve an over issuance.	Income Maintenance Manual	X			
UM0017	1	The solution should process payments according to West Virginia business rules and Federal regulations.	Income Maintenance Manual		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
UM0018	1	The solution should determine the length of the Supplemental Nutrition Assistance Program (SNAP) disqualification period that results from improper transferal of assets according to West Virginia business rules.	Income Maintenance Manual		X		
UM0019	1	The solution should apply penalties at the individual client level.	Income Maintenance Manual	X			
UM0020	1	The solution should track the history of penalties at the individual client level.	Income Maintenance Manual	X			
UM0021	1	The solution should adjust a client's eligibility based on the number of penalties they have on their client record according to West Virginia business rules.	Income Maintenance Manual		X		
UM0022	1	The solution should automatically end a penalty according to West Virginia business rules.	Income Maintenance Manual		X		
UM0023	1	The solution should apply benefit sanctions according to West Virginia business rules.	Income Maintenance Manual		X		
UM0024	1	The solution should set sanction periods according to West Virginia business rules.	Income Maintenance Manual		X		
UM0025	1	The solution should prevent a sanction from being stopped according to West Virginia business rules.	Income Maintenance Manual		X		
UM0026	1	The solution should trigger related Supplemental Nutrition Assistance Program (SNAP) penalties that result from WV WORKS sanctions.	Income Maintenance Manual		X		
UM0027	1	The solution should support the creation and maintenance of an Internal Revenue Service (IRS) Safeguard Log.	Income Maintenance Manual	X			
UM0028	1	The solution should support the active case review process for all programs.	Not Applicable	X			
UM0029	1	The solution should allow the system user to record the results of a field investigation.	Not Applicable			X	
UM0030	1	The solution should support the negative case review process for all programs.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
UM0031	1	The solution should run simulations to determine overpayments based on user-defined variables.	Not Applicable		X		
UM0032	1	The solution should maintain a history of data exchanged with the Federal Electronic Disqualified Recipient System (eDRS) in each individual's case record.	Not Applicable	X			
UM0033	1	The solution should support the Investigations and Fraud Management (IFM) process of levying sanctions according to state and federal regulations and policies.	Not Applicable		X		
UM0034	1	The solution should enter a continuous referral period regardless of any breaks in benefits.	Not Applicable		X		
UM0035	1	The solution should support the collection and reporting of information about disqualified individuals according to federal regulations and policies and according to West Virginia business rules (366B Reporting).	Not Applicable		X		
UM0036	1	The solution should allow appropriate system users to update the individual program sanction data field with a required reason notation.	Not Applicable	X			
UM0037	1	The solution should capture all benefits awarded to refugees.	Not Applicable	X			
UM0038	1	The solution should track configurable client Supplemental Nutrition Assistance Program Employment and Training (SNAP E&T) data based on federal regulations and according to West Virginia business rules.	Income Maintenance Manual		X		
UM0039	1	The solution should determine the State's overall work participation rate according to federal guidelines.	eCFR — 261 Code of Federal Regulations - Ensuring that Recipients Work	X			
UM0040	1	The solution should determine the State's overall work participation rate.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
UM0041	1	The solution should maintain information about West Virginia's basic Maintenance of Effort (MOE) according to West Virginia business rules.	eCFR — 263 Code of Federal Regulations - Expenditures of State and Federal TANF Funds		X		
UM0042	1	The solution should produce and maintain "work measures" data necessary to apply for bonus awards, as specified by Administration for Children Families (ACF).	eCFR — 270 Code of Federal Regulations - High Performance Bonus Awards	X			
UM0043	1	The solution should produce and maintain data necessary for "measures of participation by low-income working households in the SNAP Program" as defined by federal requirements and according to West Virginia business rules.	eCFR — 270 Code of Federal Regulations - High Performance Bonus Awards		X		
UM0044	1	The solution should produce, maintain, and store data necessary for "measures of participation by low-income families in the Medicaid/SCHIP Programs" as defined by the Federal requirements.	eCFR — 270 Code of Federal Regulations - High Performance Bonus Awards	X			
UM0045	1	The solution should produce and maintain data necessary for "family formation and stability measure" as defined by federal requirements.	eCFR — 270 Code of Federal Regulations - High Performance Bonus Awards	X			
UM0046	1	The solution should compare the State's performance on the "family formation and stability measure" to the State's performance in the previous year.	eCFR — 270 Code of Federal Regulations - High Performance Bonus Awards	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
UM0047	1	The solution should produce and submit data requested by the State on a time frame determined by the State.	eCFR — 270 Code of Federal Regulations - High Performance Bonus Awards		X		
UM0048	1	The solution should monitor and identify cases to support the State's review and modification procedures.	Child Support Enforcement: A Guide for States	X			
UM0049	1	The solution should support the data required to effectively monitor program time standards according to State and Federal business rules.	Child Support Enforcement: A Guide for States	X			
UM0050	1	The solution should prohibit edits to system initiated actions as defined in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States, including but not limited to the following:	Child Support Enforcement: A Guide for States	X			
UM0051	2	Time limits based on Federal performance standards	Child Support Enforcement: A Guide for States	X			
UM0052	2	Case activity level based on Federal performance standards	Child Support Enforcement: A Guide for States	X			
UM0053	2	Case messages based on Federal performance standards	Child Support Enforcement: A Guide for States	X			
UM0054	1	The solution should provide online electronic employee performance reports that provide information as described in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States	X			
UM0055	1	The solution should provide online electronic office/unit performance reports that provide information as described in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States	X			
UM0056	1	The solution should generate statistics regarding form usage.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
UM0057	1	The solution should ensure the completeness and reliability of, and ready access to, the data used to compute the performance levels for the five measures as described in 45 Code of Federal Regulations (CFR) 305.2 and 45 CFR 305.32.	Child Support Enforcement: A Guide for States	X			
UM0058	1	The solution should limit payments to eligible children and providers only.	Child Care Subsidy Policies and Procedures Manual	X			
UM0059	1	The solution should extract and store the data submitted in the monthly reports in a way that it can be used for reporting and analysis.	Communication Protocol for Socially Necessary Services		X		
UM0060	1	The solution should indicate payments made as a result of misrepresentation in the client case and the provider case.	Child Care Subsidy Policies and Procedures Manual			X	
UM0061	1	The solution should indicate payments made as a result of programmatic infractions in the client case and the provider case.	Child Care Subsidy Policies and Procedures Manual			X	
UM0062	1	The solution should indicate payments referred to Investigation and Fraud Management (IFM) for collection in the client case and the provider case.	Child Care Subsidy Policies and Procedures Manual			X	
UM0063	1	The solution should identify youth to complete the National Youth in Transition Database (NYTD) surveys according to West Virginia business rules.	Foster Care Policy	X			
UM0064	1	The solution should allow the system user to document the youth's participation decision for the National Youth in Transition Database (NYTD) survey.	Foster Care Policy	X			
UM0065	1	The solution should allow the system user to document if the youth is incapacitated, incarcerated, on runaway, or deceased for the National Youth in Transition Database (NYTD) surveys.	Foster Care Policy	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
UM0066	1	The solution should allow the system user to document the National Youth in Transition Database (NYTD) survey results.	Foster Care Policy	X			
UM0067	1	The solution should upload data from the National Youth in Transition Database (NYTD) surveys when completed online.	Foster Care Policy			X	
UM0068	1	The solution should generate reports based on the survey data entered for the National Youth in Transition Database (NYTD).	Foster Care Policy	X			
UM0069	1	The solution should allow the system user to document evidence of provider non-compliance according to West Virginia business rules.	Homefinding Policy		X		
UM0070	1	The solution should allow a system user to flag a client and/or provider with a substantiated misrepresentation.	Child Care Subsidy Policies and Procedures Manual		X		
UM0071	1	The solution should prevent payment to providers flagged as having a substantiated misrepresentation.	Child Care Subsidy Policies and Procedures Manual		X		
UM0072	1	The solution should track the approval of a one-time waiver for individuals with a substantiated misrepresentation.	Child Care Subsidy Policies and Procedures Manual			X	
UM0073	1	The solution should prevent linking to a provider flagged as having a substantiated misrepresentation.	Not Applicable	X			
UM0074	1	The solution should allow a system user to enter information for the National Youth in Transition Database (NYTD) surveys for a closed case.	Not Applicable	X			
UM0075	1	The solution should record in the automated case record all required fields established in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States to allow the tracking of compliance with program performance standards.	Child Support Enforcement: A Guide for States	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
UM0076	1	The solution should support the Subsidy Corrective Action Plan process.	Child Care Subsidy Policies and Procedures Manual			X	
UM0077	1	The solution should support the creation of the Subsidy Corrective Action Plan.	Child Care Subsidy Policies and Procedures Manual			X	
UM0078	1	The solution should track when a provider has submitted an incorrect request for payment or attendance sheet, or has violated the service agreement.	Child Care Subsidy Policies and Procedures Manual			X	
UM0079	1	The solution should ensure that providers owning multiple sites who have had their Provider Services Agreement revoked at one site shall also have all other subsequent site Provider Services Agreements revoked.	Child Care Subsidy Policies and Procedures Manual			X	
UM0080	1	The solution should allow the system user to flag a provider prohibited from participation in the subsidy system due to "striking out."	Child Care Subsidy Policies and Procedures Manual		X		
UM0081	1	The solution should allow the system user to set a start and end date of the prohibition period for a provider prohibited from participation in the subsidy system due to "striking out."	Child Care Subsidy Policies and Procedures Manual		X		
UM0082	1	The solution, or an auxiliary financial system, should provide documentation needed to obtain and verify claims for Federal financial participation (FFP) and to facilitate the following:	Child Support Enforcement: A Guide for States		X		
UM0083	2	Payment of incentive payments	Child Support Enforcement: A Guide for States		X		
UM0084	2	Receipt of incentive payments	Child Support Enforcement: A Guide for States		X		
UM0085	2	Distribution of incentive payments	Child Support Enforcement: A Guide for States		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
UM0086	1	The solution should process and record the results of a case review or evaluation according to West Virginia business rules.	Not Applicable	X			
UM0087	1	The solution should generate documents on the case review or evaluation according to West Virginia business rules.	Not Applicable	X			
UM0088	1	The solution should generate notices on the case review or evaluation according to West Virginia business rules.	Not Applicable	X			
UM0089	1	The solution should generate reports on the case review or evaluation according to West Virginia business rules.	Not Applicable	X			
UM0090	1	The solution should provide online electronic workload management reports that provide information to an employee as described in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States	X			
UM0091	1	The solution should provide online electronic workload management reports that provide information to an office/unit manager as described in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States	X			
UM0092	1	The solution should provide online electronic workload management reports that provide information at the program level as described in the latest version of the Administration for Children and Families (ACF) Child Support Enforcement Guide for States.	Child Support Enforcement: A Guide for States	X			
UM0093	1	The solution should track employee training and performance.	Not Applicable			X	
UM0094	1	The solution should use data quality utilities to check the status of data elements, according to West Virginia business rules, for the following reports:	West Virginia DHHR Annual Progress Services Report		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
UM0095	2	Adoption and Foster Care Analysis and Reporting System (AFCARS)	West Virginia DHHR Annual Progress Services Report		X		
UM0096	2	National Child Abuse and Neglect Data System (NCANDS)	West Virginia DHHR Annual Progress Services Report		X		
UM0097	2	National Youth in Transition Database (NYTD)	West Virginia DHHR Annual Progress Services Report		X		
UM0098	2	IV-B reporting	West Virginia DHHR Annual Progress Services Report		X		
UM0099	2	IV-E quarterly reporting	West Virginia DHHR Annual Progress Services Report		X		
UM0100	2	IRS reporting	West Virginia DHHR Annual Progress Services Report		X		
UM0101	1	The solution should provide processes for the following reports, including but not limited to:	Not Applicable	X			
UM0102	2	Adoption and Foster Care Analysis and Reporting System (AFCARS)	Not Applicable	X			
UM0103	2	National Child Abuse and Neglect Data System (NCANDS)	Not Applicable	X			
UM0104	2	National Youth in Transition Database (NYTD)	Not Applicable	X			
UM0105	2	Regular state reports	Not Applicable		X		
UM0106	2	Ad hoc state reports	Not Applicable		X		
UM0107	2	Statistical reports	Not Applicable		X		
UM0108	2	Internal Revenue Service (IRS) fiscal reporting	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
UM0109	2	IV-B reporting including monthly client visits and Child Protective Services	Not Applicable		X		
UM0110	2	IV-E quarterly reporting	Not Applicable	X			
UM0111	1	The solution should support the 45 Code of Federal Regulations (CFR) Part 303 - Standards for Program Operations.	Child Support Enforcement: A Guide for States	X			
UM0112	1	The solution should support the 45 Code of Federal Regulations (CFR) Part 304 - Federal Financial Participation.	Child Support Enforcement: A Guide for States	X			
UM0113	1	The solution should support the 45 Code of Federal Regulations (CFR) Part 305 - Program Performance Measures, Standards, Financial Incentives, and Penalties.	Child Support Enforcement: A Guide for States	X			
UM0114	1	The solution should support the 45 Code of Federal Regulations (CFR) Part 307 - Computerized Support Enforcement Systems.	Child Support Enforcement: A Guide for States	X			
UM0115	1	The solution should support the 45 Code of Federal Regulations (CFR) Part 308 - Annual State Self-Assessment Review and Report.	Child Support Enforcement: A Guide for States	X			
UM0116	1	The solution should maintain the requisite data on State performance with respect to paternity establishment, support order establishment, collections, and administrative costs necessary to calculate, for each fiscal year, the State performance level for each of the five performance measures of paternity establishment, support order establishment, current collections, arrears collections, and cost effectiveness used In the child support incentive system, and for medical support.	Child Support Enforcement: A Guide for States		X		
UM0117	1	The solution should facilitate the establishment of outcome measures by program managers.	Not Applicable		X		
UM0118	1	The solution should track outcome measures by program managers.	Not Applicable		X		
UM0119	1	The solution should support trend analysis of the results of the outcome measures by program managers.	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
UM0120	1	The solution should support the thirty day penalty closure policy option.	Child Care Subsidy Policies and Procedures Manual		X		
UM0121	1	The solution should track providers with Corrective Action Plans.	Child Protective Services Policy			X	
UM0122	1	The solution should support the repayment procedures for recovery of payments from parents and providers.	Child Care Subsidy Policies and Procedures Manual		X		
UM0123	1	The solution should indicate that the client or provider has a Child Care Benefit Repayment Agreement in the client and/or provider case.	Child Care Subsidy Policies and Procedures Manual		X		
UM0124	1	The solution should track repayment payments received.	Child Care Subsidy Policies and Procedures Manual		X		
UM0125	1	The solution should calculate the outstanding repayment balance.	Child Care Subsidy Policies and Procedures Manual		X		
UM0126	1	The solution should support the creation of a repayment schedule.	Not Applicable		X		
UM0127	1	The solution should collect data needed to meet the requirements for the Juvenile Justice Reform Oversight Commission according to West Virginia business rules.	Youth Services Policy			X	
UM0128	1	The solution should submit data needed to meet the requirements for the Juvenile Justice Reform Oversight Commission according to West Virginia business rules.	Youth Services Policy			X	

Appendix VII Table 27 Operations Specifications

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
Operations Phase (OPP)							
OPP0001	1	The vendor facility should be linked to the State network via a secure high-speed internet with 24/7 accessibility.	Not Applicable	X			
OPP0002	1	The Vendor should provide 24/7 secure guest wireless internet connectivity that is isolated from the hosted network infrastructure.	Not Applicable	X			
OPP0003	1	The solution should generate the file for client ID cards within the timeline agreed upon with the State.	Not Applicable		X		
OPP0004	1	The Vendor should follow configuration management to maintain the solution and document changes to design that occur during operations throughout the life of the contract.	Not Applicable	X			
OPP0005	1	The Vendor should manage the operations phase of the West Virginia Integrated Eligibility Solution project in accordance with the processes defined in the approved Operations Phase Project Management Plan deliverables.	Not Applicable	X			
OPP0006	1	The Vendor should provide, as defined by the State, all versions of all deliverables and artifacts required under this contract in a State-owned document repository.	Not Applicable	X			
OPP0007	1	The Vendor should keep business process models updated to align with State policy and procedure changes.	Not Applicable	X			
OPP0008	1	The Vendor should provide technical support services to system users for all issues related to the vendor's solution, including indirect issues related to the software or hardware used by the system user requesting support, Monday through Friday from 7:00 a.m. to 7:00 p.m. Eastern Time, excluding State holidays or any other day State offices close, and on an emergency basis, as requested by the State.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
OPP0009	1	The Vendor should provide technical support for system issue resolution 24 hours per day, seven days per week, as needed.	Not Applicable	X			
OPP0010	1	The Vendor should publish an escalation process to facilitate timely resolution of support issues that cannot be resolved by support personnel assigned to the toll free support number.	Not Applicable	X			
OPP0011	1	The Vendor should provide the capability to perform troubleshooting and diagnostic support, in accordance with federal and State Information Technology policies, to system users located remotely at no additional cost to the State.	Not Applicable	X			
OPP0012	1	The Vendor should create, maintain, and deliver to the State a monthly operations processes calendar, inclusive of all data exchanges scheduled for the month.	Not Applicable	X			
OPP0013	1	The Vendor should maintain and deliver to the State, upon request, an updated inventory of all hardware, software, and solution licenses required to operate the solution.	Not Applicable	X			
OPP0014	1	The Vendor should provide the State with an annual calendar of scheduled system down time and obtain approval no later than 30 days prior to the beginning of the new year.	Not Applicable	X			
OPP0015	1	The Vendor should provide performance tuning of all hardware, software, and environments for the RAPIDS, FACTS, and OSCAR systems, and all their component subsystems to ensure continued operations beginning in Year 2 of the contract and continuing until all programs supported by each respective system have been deployed in the West Virginia Integrated Eligibility Solution.	Not Applicable	X			
OPP0016	1	The Vendor should provide overall systems health monitoring support and create a monitoring plan for current State systems including, but not limited to, the following:	Not Applicable	X			
OPP0017	2	WebLogic	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
OPP0018	2	JConsole	Not Applicable	X			
OPP0019	2	eRAPIDS	Not Applicable	X			
OPP0020	2	inROADS	Not Applicable	X			
OPP0021	1	The Vendor should perform all maintenance and product upgrades to all modernized environments and hardware at no additional cost so that the system is operating on the latest version of each product release and all software patches are applied.	Not Applicable	X			
OPP0022	1	The Vendor should apply all updates and patches to the solution within a defined timeline, to be agreed-upon between the State and vendor.	Not Applicable	X			
OPP0023	1	The Vendor should coordinate with the West Virginia Office of Technology to support remote installation or deployment of components that require distribution or maintenance for all Statewide office destinations.	Not Applicable	X			
OPP0024	1	The Vendor should provide a monitoring solution to provide for identification of system outages across the modernized enterprise.	Not Applicable	X			
OPP0025	1	The solution should conduct adequate backup of the solution to ensure that the solution can be recovered in the event of system failure.	Not Applicable	X			
OPP0026	1	The solution should conduct adequate backup of all data to ensure that client data can be recovered in the event of system failure.	Not Applicable	X			
OPP0027	1	The solution should monitor for successful completion of all solution back-ups.	Not Applicable	X			
OPP0028	1	The Vendor should validate, at least quarterly, completion of all back-up processes.	Not Applicable	X			
OPP0029	1	The Vendor should provide an outcome report for each failed back-up to the State.	Not Applicable	X			
OPP0030	1	The Vendor should implement all federal and State rate changes, as directed by the State, at no additional cost to the State, including the following:	Not Applicable		X		
OPP0031	2	Cost-of-Living Adjustments (COLA)	Not Applicable	X			
OPP0032	2	Federal Poverty Level (FPL) Updates	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
OPP0033	2	SNAP mass changes including changes in SNAP amounts, federal poverty levels, and utility allowances.	Not Applicable	X			
OPP0034	2	Cost-of-Living Adjustment (COLA) Mass Changes	Not Applicable	X			
OPP0035	2	Annual SSI/Spousal Impoverishment Updates	Not Applicable	X			
OPP0036	2	Medicare Premium Assistance Resources Limits	Not Applicable	X			
OPP0037	2	Medicare Premium Updates	Not Applicable	X			
OPP0038	2	Nursing Home Rates Updates	Not Applicable		X		
OPP0039	1	The Vendor should provide maintenance of all interfaces required to operate the eligibility enterprise.	Not Applicable	X			
OPP0040	1	The Vendor should provide for the set-up and maintenance of the following environments in support of the modernized solution for the life of the contract:	Not Applicable	X			
OPP0041	2	Development and Unit Testing	Not Applicable	X			
OPP0042	2	System Integration Testing	Not Applicable	X			
OPP0043	2	User Acceptance Testing	Not Applicable	X			
OPP0044	2	End-user Training	Not Applicable	X			
OPP0045	2	Disaster Recovery	Not Applicable	X			
OPP0046	2	Production	Not Applicable	X			
OPP0047	1	The Vendor should make all environments available to the State Project Team, the State Project Management Team, and the Independent Verification and Validation team.	Not Applicable	X			
OPP0048	1	The Vendor should deploy all product updates and patches without interruption of service to system users and clients, unless the State explicitly authorizes an interruption in service.	Not Applicable	X			

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
OPP0049	1	The Vendor should provide notification to the State of all planned updates, patches, and other deployments to the production environment at an agreed-upon interval prior to deployment.	Not Applicable	X			
OPP0050	1	The Vendor should conduct penetration testing of the solution immediately following any major deployment of new functionality to the production environment or, at a minimum, on an annual basis. Results should be presented to the State within thirty (30) days.	Not Applicable	X			
OPP0051	1	The Vendor should document its approach to penetration testing during operations in the Privacy, Security, and Confidentiality Plan deliverable.	Not Applicable	X			
OPP0052	1	The Vendor should document its approach to vulnerability scans during operations in the Privacy, Security, and Confidentiality Plan deliverable.	Not Applicable	X			
OPP0053	1	The Vendor should conduct vulnerability scans of the solution including vendor system user workstations on a monthly basis. Results should be presented to the State within thirty (30) days.	Not Applicable	X			
OPP0054	1	The Vendor should provide overall solution health monitoring support and create a Solution Health Monitoring Plan that should govern the approach to health monitoring during the operations phase.	Not Applicable	X			
OPP0055	1	The Vendor should review all established key performance indicators (KPIs) and metrics with Office of Management Information Systems (OMIS) prior to commencement of operations to determine if revisions are needed.	Not Applicable	X			
OPP0056	1	The solution should relate trends to performance outcome measures (e.g., increased caseload size may cause increase in errors, etc.).	Not Applicable	X			
OPP0057	1	The solution should, for tracking purposes, maintain the history of key performance indicators with a format approved by Office of Management Information Systems (OMIS).	Not Applicable	X			
OPP0058	1	The solution should track, view, and report on performance standards at multiple levels.	Not Applicable		X		

Specification ID	Hierarchy Level	Specification	Procurement Library Reference	Yes, Native	Yes, Config	Yes, Coding	No
OPP0059	1	The solution should provide notifications of system outages and other events according to the approved communication plan.	Not Applicable	X			
OPP0060	1	The Vendor should perform database backups and all maintenance activities as per the State approved maintenance schedule.	Not Applicable	X			
OPP0061	1	The Vendor should store all solution documentation in a location accessible to, and agreed-upon by, the State.	Not Applicable	X			
OPP0062	1	The Vendor should produce the agreed-upon operational reports to demonstrate compliance with the key performance indicators associated with each service level agreement (SLA).	Not Applicable	X			
OPP0063	1	The Vendor should submit the initial operational service level agreement (SLA) reports no later than the seventh business day of the month. The Vendor should submit the final SLA report no later than the tenth business day of the month and prior to submission of any monthly invoices.	Not Applicable	X			
OPP0064	1	The Vendor should review all established key performance indicators (KPIs) and metrics with the Office of Management Information Systems (OMIS) annually, upon implementation of a change that impacts existing KPIs, and/or at the request of OMIS.	Not Applicable	X			
OPP0065	1	The solution should create caseload management reports to track program performance measures by user, by county, and Statewide as defined by the State.	Not Applicable	X			
OPP0066	1	The Vendor should follow all of the State approved project management plans.	Not Applicable	X			
OPP0067	1	The Vendor should recover the solution and make it fully operational in the event of a disaster to the primary physical hosting site, within 24 hours from the time of the disaster event.	Not Applicable	X			



West Virginia Integrated Eligibility Solution (IES)

Draft Project Management Plan

Authorized for issue by:

xxxxxxxx

Signature _____ **Date** _____

West Virginia Department of Health and Human Resources

xxxxxxxxx

Signature _____ **Date** _____

Optum

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Revision History

Version	Date	Author	Summary of Changes
1.1	8/8/2017	Optum	Initial draft release

Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 1
1.5 Related Documents 2
2. Optum Project Management Approach 3
2.1 Project Governance 3
2.2 Optum Delivery Model 5
2.2.1 Initiation 6
2.2.2 Planning 6
2.2.3 Execution 7
2.2.4 Control 8
2.2.5 Closeout 9
3. Project Management Execution 10
3.1 Optum PMO 10
3.1.1 PMO Organization and Responsibilities 10
3.1.2 Kick-off Meeting 11
3.2 Project Management Plan Components 12
3.2.1 Change Management Plan 12
3.2.2 Communication Management Plan 12
3.2.3 Configuration Management Plan 13
3.2.4 Cost Management Plan 13
3.2.5 Data Conversion Management Plan 14
3.2.6 Data Quality and Governance Plan 14
3.2.7 Deliverables Dictionary 14
3.2.8 Disaster Recovery and Business Continuity Plan 15
3.2.9 Documentation Management Plan 15
3.2.10 Facility Management Plan 15
3.2.11 Human Resources Management Plan 15
3.2.12 Integration Management Plan 16
3.2.13 Issue Management Plan 16
3.2.14 Project Charter 16
3.2.15 Project Schedule 16
3.2.16 Quality Management Plan 17
3.2.17 Risk Management Plan 17

3.2.18 Schedule Management Plan 17
3.2.19 Scope Management Plan 17
3.2.20 Security, Privacy and Confidentiality Management Plan 18
3.2.21 Staffing Management Plan 18
3.2.22 Stakeholder Management Plan 18
3.2.23 System Backup and Record Retention Plan 18
3.2.24 Testing Management Plan 18
3.2.25 Training Management Plan 19
3.2.26 Turnover and Closeout Management Plan 19
3.2.27 Monthly Status Report Template 19
3.2.28 Weekly Status Report Template 19

List of Figures

Figure 1: Optum/IES Project Governance Framework. 5
Figure 2: Optum Delivery Model. 6
Figure 3: Integrated Project Management Approach. 7
Figure 4: Project Health Status. 9
Figure 5: Optum PMO Team 11

1. Introduction

1.1 Objective

Optum will implement a Project Management Plan that defines a project management (PM) approach and governance structure that accomplishes the following six core PM objectives:

1. Staff projects with the proper mix of personnel who bring the right qualifications to perform all of the required tasks
2. Deliver the solution and required project deliverables on time and within budget
3. Implement project communications and oversight
4. Deliver quality solutions that reduce errors and improve effectiveness
5. Perform appropriate risk management and internal controls
6. Maintain continuous process improvement through collaboration, surveys, and thorough customer communications

1.2 Plan Scope

The scope of this Project Management Plan (PMP) defines the management organization, processes and tools we will use to effectively manage the West Virginia Integrated Eligibility Solution (WV IES) project. The PMP addresses WV IES RFP requirements and follows PMI, ITIL, and IEEE standards as appropriate for this project.

1.3 Plan Assumptions

This draft PMP and associated sub-plans are based on the Optum methodology. Upon contract award we will collaborate with DHHR to establish an integrated project management methodology and approach.

1.4 Plan Organization

This Project Management Plan is organized into the following sections:

- **Introduction (Section 1):** lists the objectives and scope of the PMP and describes the plan organization.
- **Optum Project Management Approach (Section 2):** provides an overview of our project management approach, including project governance and the Optum Delivery Model (ODM).
- **Project Management Execution (Section 3):** describes our approach to establishing a WV IES Project Management Office (PMO), including PMO organization and responsibilities. This section also includes a high-level overview of the PM processes we will implement for the WV IES, embodied by individually prepared PMP sub-plans and components.

1.5 Related Documents

Once the Project Management Plan (PMP) is approved, the document is base-lined and placed under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

Related plans include:

- Sub-plans and component documents listed in Section 3.2 – Project Management Plan Components

2. Optum Project Management Approach

The Optum project management framework provides situational awareness of the status of schedule, performance, and cost for project reporting and decision-making. The Optum project management tools and processes provide transparent views into relevant schedule, performance, and cost data; allowing enterprise visibility for consistent control or project performance.

Sound project management processes are the single most effective method for increasing a project's probability of success. They include all activities required for appropriate management, monitoring, documentation, traceability, and communication. The WV IES will incorporate a proven project management methodology, executed by an experienced and capable project management team.

Optum will apply a systematic, mature, and measureable project management methodology based on the universally recognized PMI Project Management Body of Knowledge (PMBOK) Guide, the Carnegie Mellon University, and the Software Engineering Institute (SEI) principles described in the Capability Maturity Model Integration (CMMI) framework. Optum also adheres to American National Standards Institute (ANSI) and Information Technology Infrastructure (ITIL) standards where applicable.

Optum considers project management a continuous, ongoing effort, and not a standalone or temporary function. We fill each management position with qualified personnel who have extensive management, implementation, and health and human services experience in various capacities. This culture of consistency is promoted in and among all facets of Optum project management. Ultimately, the Optum project management approach helps to eliminate and reduce the risk of schedule overruns, and maintains effective and reliable project control and return on project investment.

2.1 Project Governance

We believe that a close partnership with DHHR is crucial for meeting program objectives, as well as delivering and maintaining a best value solution. Our partnership approach will enable open communications, promote cooperation, and maintain the positive working relationship necessary for a successful WV IES Project.

Project governance is an important oversight function that is aligned with the organization's governance model and spans the project life cycle; it is a framework providing the Optum managers and team with structured processes, decision-making models and tools for managing the project while supporting and controlling the project for successful delivery. Project governance is a critical element of any project; it provides a comprehensive, consistent method of controlling the project and verifying its success by defining, documenting, and communicating reliable, repeatable project practices. It includes a framework for making project decisions; defines roles, responsibilities, and accountabilities to promote successful project delivery; and includes management tools to maximize the effectiveness of the Optum managers.

Optum fully recognizes that successful project governance involves stakeholders as well as documented policies, procedures, and standards; responsibilities and authorities. Examples of the elements of a structured project governance framework include:

- Project success and deliverable acceptance criteria
- Process to identify, track, escalate and resolve issues

- Relationship among the project team, organizational groups, and external stakeholders
- Project organization chart that identifies project roles
- Processes and procedures for the communication of information
- Project decision-making process
- Guidelines for aligning project governance and organizational strategy
- Project life cycle approach
- Process for stage/phase gate reviews
- Process for review, approval, and tracking changes to budget, scope, quality and schedule which are beyond the authority of the individual project manager
- Process to align internal stakeholders with process requirements

Within those constraints, as well as the additional limitations of time and budget, it is up to the Optum account manager, the deputy account/operations manager, and the project team to determine the most appropriate method of carrying out the project. While project governance is the framework in which the project team performs, the team is still responsible for planning, executing, controlling and closing the project.

The governance structure provides a framework on how decisions will be made, who will be involved, what the escalation procedures are, which resources are necessary, and the general approach to completing the work.

A close partnership between Optum and DHHR is critical to the success of the project governance model, and ultimately the project. Together, we will achieve a solution that fits with DHHR's mission and vision. Our goal is to foster open communications, a spirit of cooperation, and a positive working environment. Optum will work closely with DHHR to confirm the integrated governance framework for the project, and to make certain the governance framework is followed.

Our proposed governance model, presented in Figure 1, will promote close cooperation, communications, and active management participation across project activity phases, from strategic planning efforts to the operational-level work tasks.

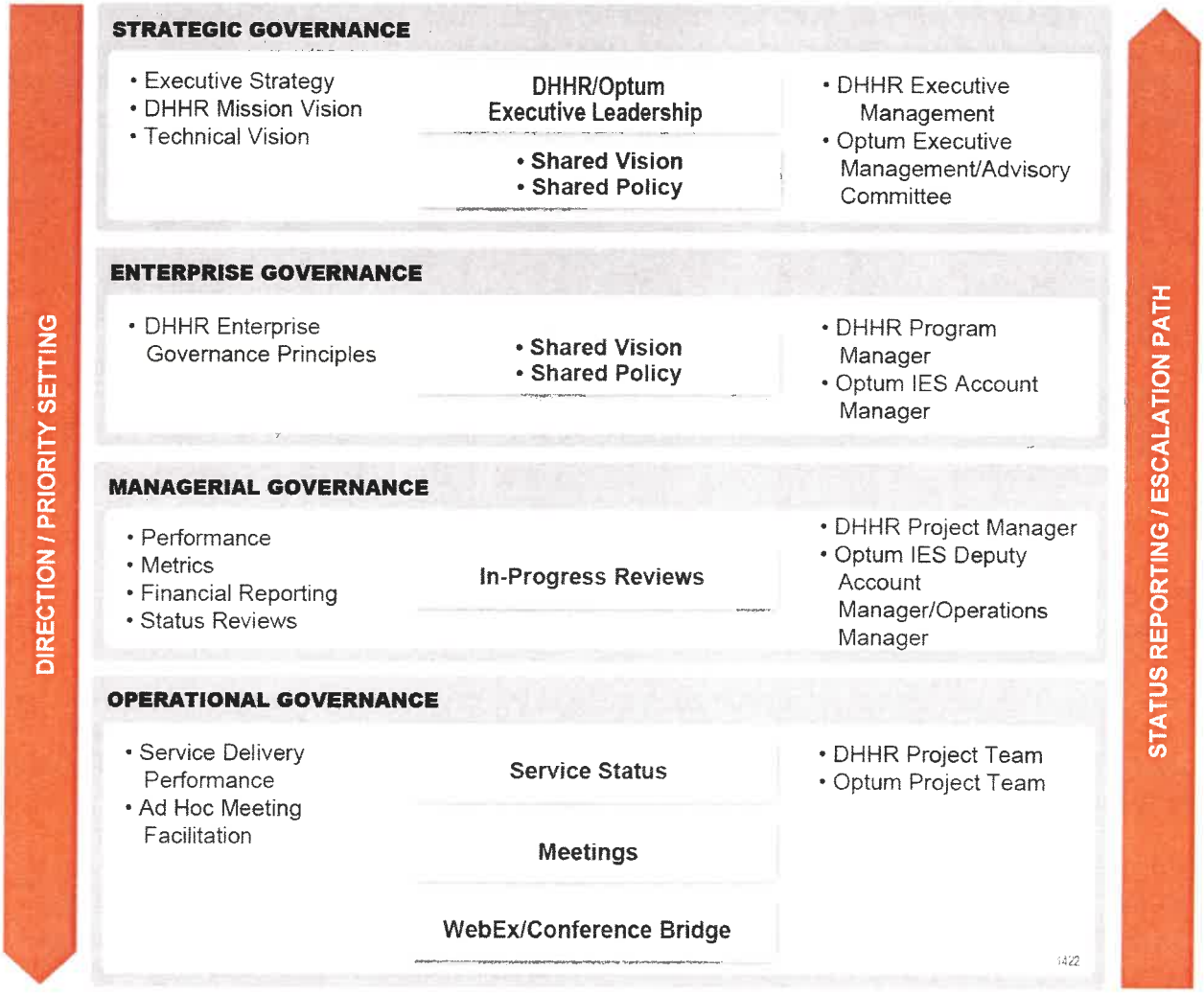


Figure 1: Optum/IES Project Governance Framework.
Our proposed governance model will promote close cooperation, communications, and active management participation from strategic to the operational level governance.

Our WV IES governance approach is multi-layered. The project vision, direction, and priority-setting, flow down from the top-most strategic governance layer. The enterprise data governance layer carries this vision forward to make sure that the policies and frameworks adopted are carried throughout the WV IES Project. Next is the managerial layer where the planning, monitoring and controlling of work will occur. The Optum account manager will conduct status reviews; escalate issues or risks to the DHHR project manager; and demonstrate progress toward your project objectives. The final governance level is operational governance. This is where the day-to-day activities of the project occur. Our layered governance approach paves the way for frequent and candid communication, a clear escalation path, timely issue resolution, and early identification of risks.

2.2 Optum Delivery Model

For the WV IES Project we will implement our best practices-based Optum Delivery Model (ODM), developed by integrating the Project Management Body of Knowledge (PMBOK) and Scaled Agile Framework (SAFe) principles. Our delivery model provides a disciplined system development methodology and a structure for managing project activities, assessing the status

of the project and communicating with the DHHR project team, WV IES project management, current eligibility and enrollment vendor, and other third-party data providers. It includes an integrated set of project management disciplines adapted to meet DHHR's project requirements as shown in Figure 2.

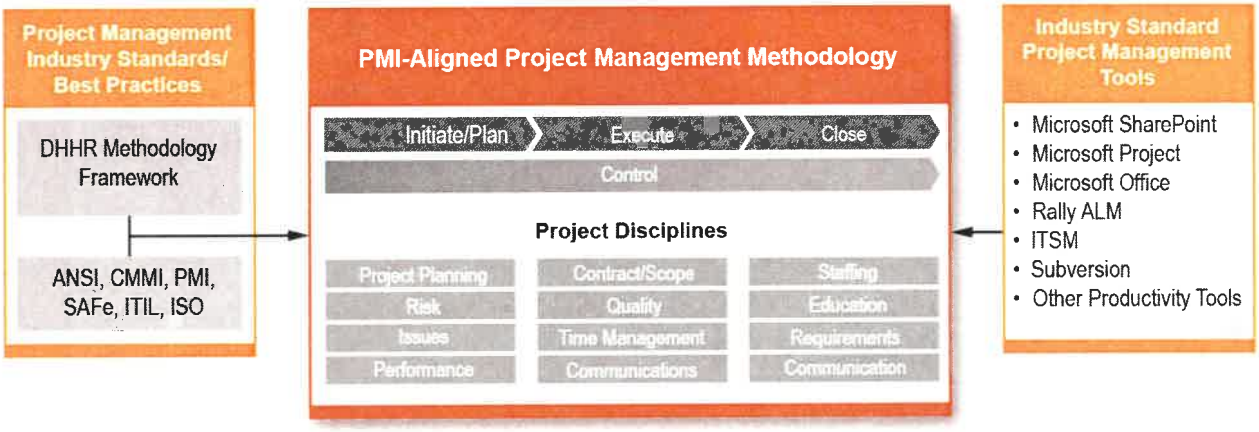


Figure 2: Optum Delivery Model.
Our delivery model for West Virginia IES aligns with PMI, SAFe, and other industry standards to provide integrated management across all project phases.

Our Optum Delivery Model will govern each stage of the WV IES Project as identified within the overarching project plan. We describe each stage of our PMI-aligned project management methodology (shown as dark gray arrows in the center section of Figure 2) in more detail in the following narrative.

2.2.1 Initiation

As we begin the WV IES Project, we will work with DHHR and other project stakeholders to clarify project objectives; understand deliverables; set milestones and schedules for all project deliverables, phases and releases; confirm roles and responsibilities; establish clear lines of accountability; and implement a framework for effective project management and control. We will schedule a kick-off meeting within the first 10 days of contract execution, and initial working sessions with DHHR and other appropriate stakeholders and members of the Optum team.

2.2.2 Planning

To guide the project, we create a comprehensive PMP as shown in Figure 3 and as represented by this draft document. The PMP and other planning deliverables will define the processes, methods, tools and resources that we will use to manage project activities.



Figure 3: Integrated Project Management Approach.
Our PMP integrates project management disciplines for a holistic approach to project management.

As an accelerator to the project, we start with an existing library of project planning documents and templates. During the planning phase, we will work with DHHR to tailor the content of the PMP and related planning deliverables to meet project requirements. The PMP will align to our project charter and project schedule. We include draft versions of the project schedule and sub-plans with proposal submission.

The PMP will identify required project deliverables so that the project starts with a solid foundation. Separate Deliverable Expectation Documents (DEDs) will be prepared to more clearly define each deliverable's scope and acceptance criteria.

Together, the PMP, charter, detailed project schedule, and other planning deliverables will serve as the roadmap to coordinate project activities for timely implementation. They will reflect our Optum Delivery Model and include the tasks, milestones and deliverables necessary to fulfill requirements and successfully deliver the WV IES.

2.2.3 Execution

Using the PMP and project schedule, Optum will work with DHHR to validate and finalize the project plans, placing the agreed upon baseline plans under configuration management control. Section 3.2, Project Management Plan Components provides a high-level overview for each of the individually prepared PMP sub-plans and components.

2.2.3.1 Project Management Tools

Optum uses a variety of standard tools to facilitate project management activities and maximize the effectiveness of the Optum project manager. Our experienced project management teams are proficient in using industry standard PM tools, such as Microsoft Office, Microsoft Project,

and the HP Application Lifecycle Management (ALM) and Rally ALM tools, to track and manage facets of the project management process. They include:

- Microsoft Office: This suite of tools is used to prepare reports, documentation, spreadsheets, presentations and a variety of other documents.
- Microsoft Project: This tool is used to develop and maintain the WV IES Project Schedule; and to generate schedule reports for status reporting to DHHR.
- Microsoft SharePoint: This tool is used to create and maintain a central repository of key project artifacts and information. Optum will utilize an internal SharePoint site to store working and final documents. DHHR will provide a shared WV SharePoint site for storage of pertinent project artifacts and final deliverables that can be readily accessible by authorized DHHR and Optum project personnel.
- Microsoft Visio: This tool is used to create technical, architectural or other infrastructure diagrams relevant to the project.
- IRAAD (Issues, Risks, Actions, Assumptions and Decisions): The IRAAD tool is used as a central repository for all identified issues, risks, actions, assumptions and decisions, as well as their current status. Use of IRAAD allows DHHR and Optum leadership to have a common understanding of project activities that may impact the project schedule.
  - Optum will create and maintain an Excel-based tracking log for this purpose, the Issue/Risk Tracking Log. The log will be stored on the DHHR SharePoint site where it will be readily accessible by authorized DHHR and Optum project personnel.
  - Alternatively, Optum will work with the State to create an online SharePoint IRAAD log (on the DHHR SharePoint site) if that is the preferred tool of choice.
- HP ALM and Rally ALM: These tools are used for application lifecycle management. They are Web-based tools that enable management of the WV IES Project requirements, test cycles (including cases and results), and defects, with full traceability and reporting capabilities.
- Deliverable Tracker (automated internal tracker and shared Excel tracker): These tools track the progress of all contract deliverables from inception to signoff. The shared Deliverable Tracker provides a visual summary of each deliverable, and is a great resource for project audits.
- PPM Optics: This is a project portfolio management tool that Optum uses internally. It enables project resources to track time against the WV IES Project. Data is extracted from this system into financial workbooks that enable us to track and manage our project finances - budget, actual labor costs, projected labor costs, and variance.

Optum will provide continuous operational reporting to DHHR, including status reports, meeting minutes, and other special reports as requested as we build the deliverables, perform the tasks, and present the final outputs for acceptance.

2.2.4 Control

We continuously monitor and control the progress of all project phases and releases. Our delivery model and the tools we select for this project will allow us to produce metrics, schedules and contract deliverables to demonstrate our performance to SLA expectations. This approach requires the identification, monitoring, and reporting of project metrics for management review. We incorporate a quality control and auditing program into a successful,

verifiable approach to monitoring and controlling performance. Our project, risk and quality management processes result in the generation of quality artifacts to demonstrate project performance.

Throughout the project life cycle, the Optum project team will provide weekly and monthly status reports/briefings to DHHR. Both the weekly and monthly project status reports will include a dashboard of project health at various levels, using DHHR-standard health indicators as illustrated in Figure 4.

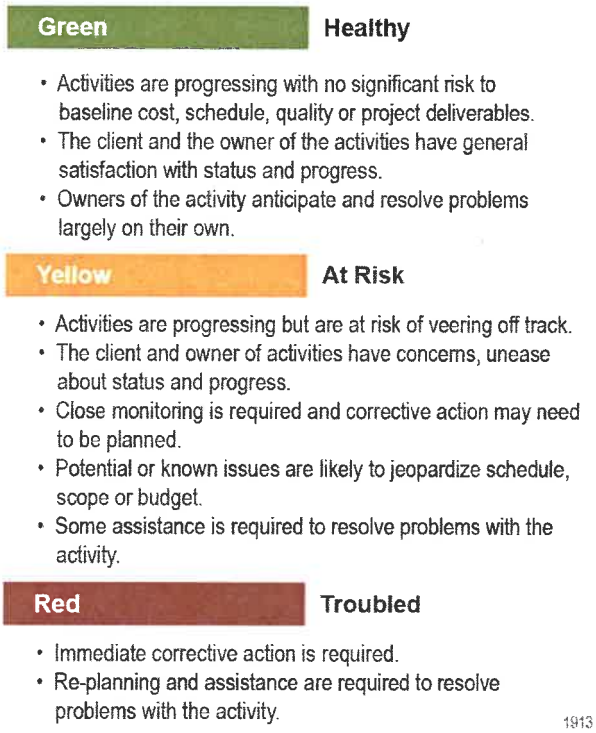


Figure 4: Project Health Status.
Our weekly and monthly WV IES project status reports will include a dashboard of project health at various levels.

2.2.5 Closeout

Three months post-implementation, we will conduct lessons learned exercises as appropriate for each release and will review the lessons learned with you during a walkthrough meeting. We will summarize the results of each exercise and review meeting discussions in a Lessons Learned Report. We will develop and deliver the report according to your deliverable requirements. We will also provide a Project Closeout report deliverable for your review and approval.

3. Project Management Execution

3.1 Optum PMO

3.1.1 PMO Organization and Responsibilities

Our PMO team will work with the DHHR PMO to align and integrate project governance processes, procedures and activities so that we work efficiently as an integrated project team. Key governance activities include the overall project management methodology, including the management of scope, schedule, change, issue, risk, communications, documentation, quality, and general policies and procedures necessary to facilitate WV IES Project success.

The Optum team will be responsible for managing Optum-specific work such as contract and finance activities (i.e., contract changes and tasks associated with the Cost Management Plan).

Dedicated PMO resources will include:

- IES account manager
- IES deputy account manager / operations manager
- IES project manager
- IES change control manager
- IES deliverables requirements manager

The Optum PMO team will actively support and monitor the overall status of the WV IES Project, and will support the technical and functional teams as they execute their responsibilities. We will be responsible for making sure the project team adheres to established project standards, policies and procedures. The PMO team will also serve as a central collection point for project status and metrics, and for overall project status reporting. Figure 5 shows the planning, tracking and administrative activities of the Optum PMO team.

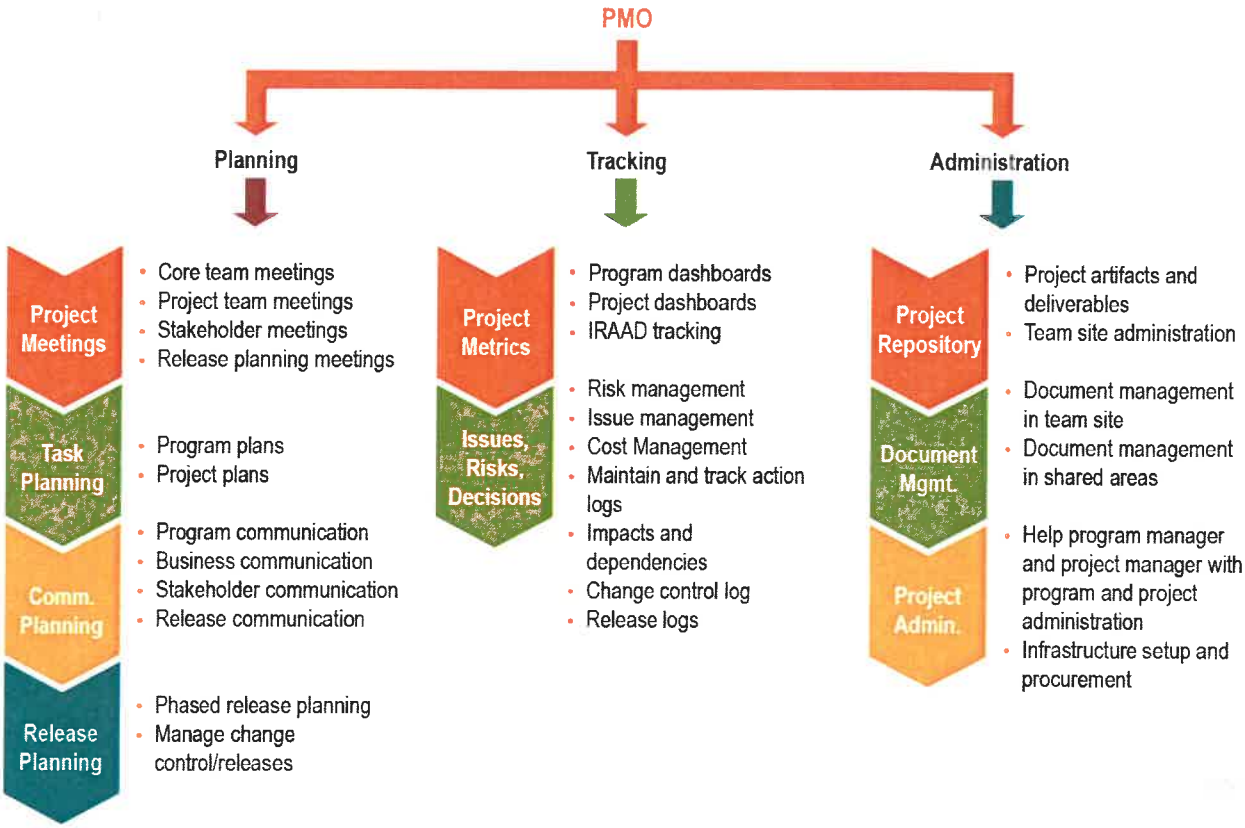


Figure 5: Optum PMO Team.
This is a high-level overview of the Optum Project Management Office areas of responsibility.

As an integral component of our project management approach, our PMO will provide significant value to the project. All project management staff will receive training on the processes and procedures established for the WV IES Project. During the Project Planning phase we will work collaboratively with DHHR and other project partners to confirm alignment with existing processes and procedures, reviewing and improving these using lessons learned from similar project deliveries.

3.1.2 Kick-off Meeting

A joint project kick-off meeting will be an important step in implementing the WV IES. This meeting will include the key players from DHHR, incumbent vendors, and the Optum team, plus any other project stakeholders that DHHR feels should be included. The kick-off meeting will provide a forum for participants to meet each other and establish a common framework for project execution. The meeting will also satisfy the project startup and planning phase Deliverable, Project Kick-off Meeting, within ten calendar days of contract execution.

Optum will work with DHHR before the meeting to identify meeting attendees and agree upon a meeting time and location. This will help make certain that the key players from all parties are invited to the meeting and notified of the appropriate time and location. Optum will also prepare a draft kickoff meeting agenda for DHHR to review and approve. We will also prepare meeting materials, such as a meeting presentation and appropriate meeting handouts. If required, Optum has the ability to include attendees via web conferencing.

The purpose of the meeting will be to review the project plan and the deliverables associated with the complete system development life cycle (SDLC) of the WV IES Project.

Optum will lead the kick-off meeting discussions related to project activities so that all project stakeholders gain an understanding of the anticipated project processes, roles and responsibilities. Our presentation will include an overview of the proposed agenda:

- Overall project objectives
- High-level schedule of activities and milestone goals
- Optum management planning (Scope, Cost, Schedule, Communication, Quality Assurance, Risk Management, Change Management, WBS, and Performance Management)
- Optum SDLC and release-based implementation methodology, identification and introduction of project team
- Roles and responsibilities of the various project stakeholders and identification of key stakeholders responsible for review, validation and approval of activities and deliverables over the life of the project
- Project status reporting protocols
- Project performance measures and critical success factors
- Process protocols to gather and validate input from key stakeholders on strategic and tactical reports
- Keys to a collaborative effort for a successful outcome

Optum will assign a scribe for the kick-off meeting. Any decisions or agreements will be documented by the Optum scribe as part of the meeting minutes and submitted to the decision-makers for review and acceptance.

3.2 Project Management Plan Components

3.2.1 Change Management Plan

The Change Management Plan provides an overall framework for managing and coordinating change requests to the WV IES in a coordinated manner. This plan will:

- Define the change control process in detail
- Discuss how the DHHR and Optum will work together to initiate, track, prioritize and authorize change requests
- Describe the tools we will use to track and communicate change requests
- Address the method for documenting various types of change requests from the project sources authorized to request change
- Outline the notifications and authorizations required before a change will be placed in production

Our objective for change control is simple—to effectively manage and control project scope and as a result, contain project costs and schedule.

3.2.2 Communication Management Plan

The Communication Management Plan provides an overall framework for managing and coordinating the wide variety of communications that directly or indirectly take place as part of

the WV IES Project. The Communication Management Plan will specify the methods of communications between DHHR, Optum and other project stakeholders. It addresses communicators, audiences, messages, communication channels, feedback mechanisms and message timing, and creates a mapping between them. This framework will make sure the Optum team provides relevant, accurate and consistent project information to DHHR and other stakeholders in a timely manner. Effective communication creates a bridge between diverse stakeholders who may have different cultural and organizational backgrounds, different levels of expertise, and different perspective and interests which impact or have an influence on project execution or project outcome.

As part of the PMP, the Communication Management Plan is an evolving document that will be revised when appropriate throughout the life of the WV IES project. This plan defines the communication requirements for the project and how/when the information is to be distributed. It supports the Stakeholder Management Plan in that it will help the project team manage stakeholder expectations and prevent unwarranted communications.

Effective communication is critical to the success of a project. For this reason, the Communication Management Plan is viewed as one of the key project management sub-plans. This plan will:

- Highlight the importance of effective communication and its impact on the execution of the project
- Identify mechanisms to deliver these key messages
- Establish a formalized structure to sustain communications over the long-term

3.2.3 Configuration Management Plan

The Configuration Management Plan describes how configuration management will be conducted throughout the project lifecycle. This includes documentation on how configuration management is managed, roles and responsibilities, how configuration item (CI) changes are made, and how we communicate configuration management-related information to project stakeholders. Without a documented Configuration Management Plan, CIs may be missed, incomplete or unnecessary work completed due to a lack of version and document control.

This document defines the project's structure and methods for:

- Identifying, defining and baselining CIs
- Controlling modifications and releases of CIs
- Reporting and recording status of CIs and any requested modifications
- Verifying completeness, consistency and correctness of CIs
- Controlling storage, handling and delivery of CIs

3.2.4 Cost Management Plan

The Cost Management Plan is a component of the Optum PM strategy and approach that describes how project costs will be planned, incurred, structured, controlled, and reported. The Cost Management Plan defines the processes by which the policies, procedures and documentation for planning, managing, expending and controlling the project costs are established.

We calculated our proposed project budget based on the requirements defined in the RFP, including an approximation of the financial resources needed to complete project activities. The

plan will include a mechanism for tracking of costs to the project budget baseline for use by our internal Optum PMO and Finance teams as well as a mechanism for reporting total client costs against the fixed contract amount.

This plan also provides information on the format and frequency of cost reporting, including cost variances outside the threshold, triggers of cost overrun, and options for preventive action. Processes and procedures are also defined to manage how changes to the cost baseline are controlled and approved.

Cost management, along with scope and schedule management, will be used by Optum to provide complete internal situational awareness of the status and health of the WV IES Project.

3.2.5 Data Conversion Management Plan

The Data Conversion Management Plan provides a data element-to-data element mapping, including how the data values will be converted from the legacy system to the WV IES. This plan will include the following information at the data element level:

- Assumptions and any proposed calculations involved in the conversion
- Default values used to populate data fields that do not exist in the legacy systems, but are required in the WV IES
- Data migration and conversion rules for handling data elements with incompatible lengths and/or data types between the legacy systems and the WV IES, or data elements with stricter edit requirements in the IES

The plan provides the details of any data "clean up" procedures that could be applied to legacy systems data prior to the data conversion and migration effort.

3.2.6 Data Quality and Governance Plan

The Data Quality and Governance Plan defines the infrastructure, policies and procedures that Optum will use to meet the following objectives for WV IES data:

- Data integrity
- Data quality
- Data verification

3.2.7 Deliverables Dictionary

The Deliverables Dictionary provides a comprehensive list of planned deliverables for the WV IES Project, along with associated primary milestones.

For each deliverable, we provide the following elements:

- Deliverable number
- Deliverable title
- Purpose
- Description
- Initial acceptance criteria based on requested content in the RFP

3.2.8 Disaster Recovery and Business Continuity Plan

The Disaster Recovery and Business Continuity Plan provides an overview of the disaster recovery program managed within Optum. This plan defines, at a high level, the disaster recovery structure, processes, and roles and responsibilities for the WV IES project infrastructure hosted by Optum. The plan encompasses:

- Backup and recovery procedures, as well as disconnected operational capability, to make certain that the WV IES will continue to operate in the event of an unexpected destruction of hardware, software, or communications through system failure, disruption of connectivity, or natural disasters
- Arrangements for backup hardware or processing sites, off-site data storage, schedule for creation of backup media, and detailed recovery procedures for all anticipated types of disasters
- A description of each anticipated type of disaster
- Escalation plans that specify the necessary points of contact and decision-making authority at the State and local provider levels

3.2.9 Documentation Management Plan

The Documentation Management Plan defines the process by which documentation and other key project artifacts are developed, maintained and made readily available to authorized users for the WV IES Project.

The Documentation Management Plan encompasses the approach Optum will use to manage project documentation, including:

- Documentation types including deliverables, meeting materials, and artifacts
- Use, access and management of document repositories
- Approach to version control on project documentation

Documentation requirements and management practices will be reviewed as required throughout the project life cycle, revising as appropriate to address evolving needs.

3.2.10 Facility Management Plan

The Facility Management Plan provides the approach that Optum will use to identify, lease, establish and maintain project facilities for the WV IES Project.

3.2.11 Human Resources Management Plan

The Human Resources Management Plan defines the management approach for the human resources assigned to the WV IES Project. There are three key processes that Optum follows related to human resource management:

1. Develop the Human Resources Management Plan
2. Acquire and develop the project team itself
3. Manage that team to the successful completion of the project

The objective of this plan is to define the management processes Optum will use to manage the WV IES team to successful completion of the project.

3.2.12 Integration Management Plan

The Integration Management Plan describes the approach Optum will use to review and confirm that the integrated solution as designed, developed, implemented and operated by the Optum WV IES team aligns with and advances MITA maturity within the West Virginia Medicaid enterprise.

The plan will provide the approach that Optum will use to manage the modules that make up the complete WV IES and describe how these modules support the CMS Seven Conditions and Standards.

3.2.13 Issue Management Plan

The WV IES Issue Management Plan provides a framework for managing and coordinating issues that Optum and DHHR identify during the WV IES Project. This plan will help us:

- Validate that we identify, evaluate and assign issues for resolution
- Verify that we use the change control process for issues that affect project scope, costs and/or schedule
- Confirm that we document and communicate issues appropriately to stakeholders in a timely manner

This plan follows project management best practices for managing risks and issues using tools, such as IRAAD (Issues, Risks, Actions, Assumptions and Decisions).

3.2.14 Project Charter

The WV IES Project Charter identifies project objectives, identifies the main stakeholders, provides a definition of project roles and responsibilities, and defines the authority of the Optum account manager and the deputy account/operations manager. It serves as the authorizing vehicle for the project. The plan provides the business need, assumptions, constraints, understanding of the project, and the services that will be provided.

3.2.15 Project Schedule

An important component of the PMP is our detailed WV IES Project Schedule. A draft version of the schedule is included with our proposal submission. The project schedule is designed to follow standard SDLC phases (Initiate, Analysis, Design, Develop, Test, Implement, Support), taking an Agile approach to expedite outcomes where appropriate. Within the project schedule, we have integrated all tasks with one another so that each task has a predecessor/successor relationship with those tasks upon which it depends.

A viable project schedule provides a step-by-step blueprint to accomplish individual tasks, integrating those tasks to understand critical path and key interrelationships to promote overall project success. Our WV IES project schedule combines our long-term domain knowledge, a detailed technical solution, and common-sense management approaches. The project schedule will be a living document across the project life cycle. We will update it as required to reflect approved changes driven by legislative dynamics, State requirements, technology evolution, or lessons learned applied to continuous process improvement.

We will use an industry-standard project management tool, Microsoft Project, to develop and maintain the WV IES project schedule. This tool allows us to track the progress of the project, monitor and evaluate resource allocation, and produce Gantt charts and tabular type reports including:

- Project schedule
- Critical path
- Milestone dates
- Deliverable dates

3.2.16 Quality Management Plan

The Quality Management Plan outlines the process for continually monitoring and verifying that established quality standards are met throughout the duration of the WV IES project. The Quality Management Plan documents the processes, evaluation steps, procedures and tools that will we will use to ascertain that project deliverables meet their stated requirements and that project management processes are consistently followed to maintain project quality, meeting or exceeding DHHR and stakeholder expectations.

3.2.17 Risk Management Plan

The Risk Management Plan defines the processes we will use to plan for, identify, analyze, respond to, monitor, and control risk for the WV IES Project. It focuses management attention on major issues that threaten the success of a project. Risk management is accomplished in parallel with financial, schedule, quality, and requirements management, and seeks answers to the following questions:

- What concerns exist about the success of the project?
- What are the effects for the overall project if these concerns materialize?
- What can be done to reduce the chances that these concerns will materialize?
- What can be done if these concerns materialize?
- What will Optum management need to do if these concerns materialize?
- What will DHHR need to do if these concerns materialize?

All projects have risks, regardless of their size, nature or contract type. Without a well-defined risk management approach, project team members may deny and avoid the very issues that should receive the most attention. Identifying project risks, developing a plan to avoid or mitigate risks, and developing contingencies can make the difference between project success and failure. The Risk Management Plan will address the process and procedures for identifying and managing issues that escalate to the status of risk, and the management of issues initially identified as a risk.

3.2.18 Schedule Management Plan

The Schedule Management Plan describes how Optum develops, baselines, updates, and reports against the WV IES project schedule which includes the project work plan and work breakdown structure (WBS). It also defines the processes for modifying the schedule to reflect actual progress against planned efforts, applying updates resulting from DHHR-approved changes in requirements and resource allocations. This deliverable defines the process required to maintain clear lines of accountability and will define the format and content requirements for variance reports that highlight major differences between the previously approved baseline version and a recalculated forecast.

3.2.19 Scope Management Plan

The Scope Management Plan is a key component of the our overall PMBOK-based project management approach, describing how the WV IES project scope of work will be defined,

developed, monitored, controlled and verified throughout the project life cycle. The Scope Management Plan describes the processes to help us verify that the scope defined in the contract and detailed in the project charter is delivered as planned. Effective scope management is key to establishing and satisfying stakeholder expectations. This involves defining project success criteria, monitoring the execution of project activities and reviewing deliverables against approved plans and requirements to verify accountability for actual versus planned outcomes.

3.2.20 Security, Privacy and Confidentiality Management Plan

The Security, Privacy and Confidentiality Management Plan describes the data handling protocols that will be used to secure and protect the confidentiality of the State data and its citizens' privacy for the WV IES Project. The plan will provide the State with the knowledge needed to understand the security posture of the data.

The overall objective is to protect the WV IES from a wide variety of threats that could compromise the confidentiality, integrity or availability of the data. The WV IES Security, Privacy and Confidentiality Management Plan describes the security and privacy environment of the solution including the security and privacy controls for the protection of all data received, stored, processed and transmitted by the WV IES, throughout the project lifecycle.

The baseline for the WV IES is documented as part of the MARS-E document suite. Moderate controls from prevailing regulations and standards are used to create the configuration baselines. Where State statutes are more stringent, they supersede Optum and regulatory requirements. Contractual agreements deemed more stringent supersede statutes. When organizational policy is more stringent, it takes final precedence.

3.2.21 Staffing Management Plan

The Staffing Management Plan defines the process we will use to staff the WV IES throughout the project life cycle. This plan describes how Optum will staff the project and maintain compliance with all staffing requirements set forth in the RFP, addressing requirements regarding personnel, resources and contractor staffing.

3.2.22 Stakeholder Management Plan

The Stakeholder Management Plan identifies the project stakeholders, analyzes stakeholder expectations, and describes our strategy by which stakeholders can be effectively engaged in project decisions and project execution throughout the project life cycle.

3.2.23 System Backup and Record Retention Plan

The System Backup and Record Retention Plan defines the system backup processes that Optum will follow to recover the WV IES and data should any problems arise throughout the project life cycle. It addresses how data maintained on the WV IES or in other system/manual files is properly and routinely purged, archived, and protected from loss, unauthorized access, or destruction, in accordance with relevant State policies and procedures. This plan will also provide the approach Optum will use to verify that WV IES records are retained on a schedule that aligns with State and federal regulations.

3.2.24 Testing Management Plan

The Testing Management Plan describes the approach Optum will use to conduct and support each phase of WV IES testing. The objective of testing is to identify and expose issues and associated risks, communicate known issues to the project team, and make certain that these

issues are addressed in an appropriate manner. This requires careful and methodical testing of the application to make certain the system components are carefully scrutinized, and consequently, any issues found are dealt with appropriately.

Additional testing objectives include confirming that the system meets the full business and functional requirements of the State and maintaining product quality and performance per State expectations. As appropriate, we will document each requirement by one or more test cases to demonstrate compliance to the contract and satisfaction of the requirements. Documentation of the Testing Management Plan prior to execution validates that the test is organized, thorough and accurate.

3.2.25 Training Management Plan

The Training Management Plan describes our WV IES training approach, the targeted population for training, and the type of training required for users based on their expected use of the WV IES. The scope of training does not end with its implementation. We will incorporate feedback from DHHR training participants throughout the life of the project, updating the plan periodically as user needs and content changes over time.

3.2.26 Turnover and Closeout Management Plan

The Turnover and Closeout Management Plan describes our approach for turnover and closeout for the WV IES Project. The plan provides the approach Optum will use to transition the operations and maintenance of the system to the new vendor or State when the contract comes to a close. The plan defines the collaborative processes that will be implemented between Optum, the State and the successor vendor to transfer the system, data, and assets so the State and successor vendor can effectively operate and maintain the WV IES.

3.2.27 Monthly Status Report Template

A key component of the Communication Management Plan is status reporting. Throughout the project life cycle, the Optum project team will provide weekly and monthly status reports and briefings to DHHR.

Monthly status meetings will be held between the Optum IES account manager and appropriate DHHR management to discuss overall project health, areas of concern, and risks or issues that need special attention.

3.2.28 Weekly Status Report Template

Our weekly status meetings will provide a status update and plan of the upcoming week's activities. Optum and DHHR will agree upon regularly scheduled, formal status meetings that will provide a status of activities and will be scheduled between Optum managers and their DHHR counterparts. Status reports will include a summary of recent accomplishments, upcoming activities, key project milestones, a high-level assessment of progress against plan noting any areas of concern, risks and issues, and mitigation plans. Optum has provided recommended templates for status reporting and we will work with DHHR to revise the templates as appropriate to confirm agreement on the final format.

Detailed Project Schedule

ID	Task Name	Duration	Start	Finish
0	**West Virginia - Integrated Eligibility Solution (IES)**	**1565 days**	**9/25/17**	**9/22/23**
1	Contract Awarded; Optum Start	0 days	9/25/17	9/25/17
2	**Project Start up and Planning**	**47 days**	**9/25/17**	**11/28/17**
3	**Startup**	**16 days**	**9/25/17**	**10/16/17**
4	**Establish Facilities Short Term**	**3 days**	**9/25/17**	**9/27/17**
5	Establish Transition Rooms	3 days	9/25/17	9/27/17
6	Initial Meeting space with State	3 days	9/25/17	9/27/17
7	Initial Hotel work space	3 days	9/25/17	9/27/17
8	Establish Living / Housing for new staff	3 days	9/25/17	9/27/17
9	**On-boarding Optum Resources**	**5 days**	**9/25/17**	**9/29/17**
10	Optum Team Onboarding	3 days	9/25/17	9/27/17
11	Training Checklist	3 days	9/25/17	9/27/17
12	Optum Branding Process	3 days	9/25/17	9/27/17
13	Map Software list to resources	1 day	9/28/17	9/28/17
14	Map Access list to resources	1 day	9/28/17	9/28/17
15	Badge distribution for employees	1 day	9/29/17	9/29/17
16	**Governance**	**3 days**	**9/25/17**	**9/27/17**
17	Understand stakeholder and key project team member roles	3 days	9/25/17	9/27/17
18	Identify key stakeholders	3 days	9/25/17	9/27/17
19	Understand process to provide input to DHHR strategic and tactical reports	3 days	9/25/17	9/27/17
20	Understand project performance measurements and critical success factors	3 days	9/25/17	9/27/17
21	State onboarding process for above Optum resources (e.g. Paperwork, Computer training and certification etc.)	3 days	9/25/17	9/27/17
22	State building access for Optum employees who will be coming in for planning and Status meeting (e.g. State Badge etc...)	3 days	9/25/17	9/27/17
23	Create and document reporting schedule	3 days	9/25/17	9/27/17
24	Contact lists	3 days	9/25/17	9/27/17
25	Steering Committee Reviews	3 days	9/25/17	9/27/17
26	Schedule weekly / monthly project status meetings	3 days	9/25/17	9/27/17
27	**Project Kickoff Presentation**	**5 days**	**9/28/17**	**10/4/17**

ID	Task Name	Duration	Start	Finish
28	Project Overview	2 days	9/28/17	9/29/17
29	Project Schedule (high level)	2 days	9/28/17	9/29/17
30	Objectives and Definitions	2 days	9/28/17	9/29/17
31	Process	2 days	9/28/17	9/29/17
32	Artifacts	2 days	9/28/17	9/29/17
33	Roles and Responsibilities	2 days	9/28/17	9/29/17
34	Keys to Success	2 days	10/2/17	10/3/17
35	Format / protocol for status meetings	2 days	10/2/17	10/3/17
36	Format for status reports	2 days	10/2/17	10/3/17
37	Deliverable review process	2 days	10/2/17	10/3/17
38	Identify High-risk or problem areas	2 days	10/2/17	10/3/17
39	Issue resolution process	2 days	10/2/17	10/3/17
40	High level project schedule and milestones	2 days	10/2/17	10/3/17
41	Conduct Kick-of Meeting	1 day	10/4/17	10/4/17
42	Questions and Answers (Q&A)	1 day	10/4/17	10/4/17
43	**Project Charter**	**13 days**	**9/28/17**	**10/16/17**
44	Initial Draft Created	3 days	9/28/17	10/2/17
45	Draft Reviewed	10 days	10/3/17	10/16/17
46	Approval Obtained	1 day	10/16/17	10/16/17
47	M:Project Startup Complete	0 days	10/16/17	10/16/17
48	**Planning**	**44 days**	**9/28/17**	**11/28/17**
49	**Establish Facilities**	**30 days**	**9/28/17**	**11/8/17**
50	Procure/Ship Furniture, Hardware, Software, Phones, Fax, Printers Temp and Perm Facilities	30 days	9/28/17	11/8/17
51	Install Building Security Locks, Alarms, Badges, Visitors Passes & Logs	30 days	9/28/17	11/8/17
52	Build and Set-up Permanent Facility	30 days	9/28/17	11/8/17
53	M:Establishment of Facility	0 days	11/8/17	11/8/17
54	**PMP DEDs**	**20 days**	**9/28/17**	**10/25/17**
55	Prepare / Review PMP DEDs	20 days	9/28/17	10/25/17
56	**Communication Management Plan**	**15 days**	**10/5/17**	**10/25/17**

ID	Task Name	Duration	Start	Finish
57	Initial Draft Created	5 days	10/5/17	10/11/17
58	Draft Reviewed	9 days	10/12/17	10/24/17
59	Approval Obtained	1 day	10/25/17	10/25/17
60	D:Communication Management Plan	0 days	10/25/17	10/25/17
61	**Stakeholder Analysis**	**15 days**	**10/5/17**	**10/25/17**
62	Initial Draft Created	5 days	10/5/17	10/11/17
63	Draft Reviewed / Approved	9 days	10/12/17	10/24/17
64	Approval Obtained	1 day	10/25/17	10/25/17
65	D:Stakeholder Analysis	0 days	10/25/17	10/25/17
66	**Stakeholder Management Plan**	**15 days**	**10/5/17**	**10/25/17**
67	Initial Draft Created	5 days	10/5/17	10/11/17
68	Draft Reviewed	9 days	10/12/17	10/24/17
69	Approval Obtained	1 day	10/25/17	10/25/17
70	D:Stakeholder Management Plan	0 days	10/25/17	10/25/17
71	**Facility Management Plan**	**15 days**	**10/5/17**	**10/25/17**
72	Initial Draft Created	5 days	10/5/17	10/11/17
73	Draft Reviewed	9 days	10/12/17	10/24/17
74	Approval Obtained	1 day	10/25/17	10/25/17
75	D:Facility Management Plan	0 days	10/25/17	10/25/17
76	**Weekly Project Status Report Template**	**15 days**	**10/5/17**	**10/25/17**
77	Initial Draft Created	5 days	10/5/17	10/11/17
78	Draft Reviewed	9 days	10/12/17	10/24/17
79	Approval Obtained	1 day	10/25/17	10/25/17
80	D:Weekly Project Status Report Template	0 days	10/25/17	10/25/17
81	**Monthly Project Status Report Template**	**15 days**	**10/5/17**	**10/25/17**
82	Initial Draft Created	5 days	10/5/17	10/11/17
83	Draft Reviewed	9 days	10/12/17	10/24/17
84	Approval Obtained	1 day	10/25/17	10/25/17
85	D:Monthly Project Status Report Template	0 days	10/25/17	10/25/17
86	**Weekly Project Status Report**	**15 days**	**10/5/17**	**10/25/17**

ID	Task Name	Duration	Start	Finish
87	Initial Draft Created	5 days	10/5/17	10/11/17
88	Draft Reviewed	9 days	10/12/17	10/24/17
89	Approval Obtained	1 day	10/25/17	10/25/17
90	D:Weekly Project Status Report	0 days	10/25/17	10/25/17
91	**Monthly Project Status Report**	**15 days**	**10/5/17**	**10/25/17**
92	Initial Draft Created	5 days	10/5/17	10/11/17
93	Draft Reviewed	9 days	10/12/17	10/24/17
94	Approval Obtained	1 day	10/25/17	10/25/17
95	D:Monthly Project Status Report	0 days	10/25/17	10/25/17
96	**Staffing Management Plan**	**15 days**	**10/5/17**	**10/25/17**
97	Initial Draft Created	5 days	10/5/17	10/11/17
98	Draft Reviewed	9 days	10/12/17	10/24/17
99	Approval Obtained	1 day	10/25/17	10/25/17
100	D:Staffing Management Plan	0 days	10/25/17	10/25/17
101	**Human Resources Management Plan**	**15 days**	**10/5/17**	**10/25/17**
102	Initial Draft Created	5 days	10/5/17	10/11/17
103	Draft Reviewed	9 days	10/12/17	10/24/17
104	Approval Obtained	1 day	10/25/17	10/25/17
105	D:Human Resources Management Plan	0 days	10/25/17	10/25/17
106	**Project Schedule**	**30 days**	**10/5/17**	**11/15/17**
107	Initial Draft Created	20 days	10/5/17	11/1/17
108	Draft Reviewed	9 days	11/2/17	11/14/17
109	Approval Obtained	1 day	11/15/17	11/15/17
110	D:Project Schedule	0 days	11/15/17	11/15/17
111	**Documentation Management Plan**	**15 days**	**10/17/17**	**11/6/17**
112	Initial Draft Created	5 days	10/17/17	10/23/17
113	Draft Reviewed	9 days	10/24/17	11/3/17
114	Approval Obtained	1 day	11/6/17	11/6/17
115	D:Documentation Management Plan	0 days	11/6/17	11/6/17
116	**Scope Management Plan**	**15 days**	**10/17/17**	**11/6/17**

ID	Task Name	Duration	Start	Finish
117	Initial Draft Created	5 days	10/17/17	10/23/17
118	Draft Reviewed	9 days	10/24/17	11/3/17
119	Approval Obtained	1 day	11/6/17	11/6/17
120	D:Scope Management Plan	0 days	11/6/17	11/6/17
121	**Schedule Management Plan**	**15 days**	**10/17/17**	**11/6/17**
122	Initial Draft Created	5 days	10/17/17	10/23/17
123	Draft Reviewed	9 days	10/24/17	11/3/17
124	Approval Obtained	1 day	11/6/17	11/6/17
125	D:Schedule Management Plan	0 days	11/6/17	11/6/17
126	**Cost Management Plan**	**15 days**	**10/17/17**	**11/6/17**
127	Initial Draft Created	5 days	10/17/17	10/23/17
128	Draft Reviewed	9 days	10/24/17	11/3/17
129	Approval Obtained	1 day	11/6/17	11/6/17
130	D:Cost Management Plan	0 days	11/6/17	11/6/17
131	**Deliverable Dictionary**	**15 days**	**10/17/17**	**11/6/17**
132	Initial Draft Created	5 days	10/17/17	10/23/17
133	Draft Reviewed	9 days	10/24/17	11/3/17
134	Approval Obtained	1 day	11/6/17	11/6/17
135	D:Deliverable Dictionary	0 days	11/6/17	11/6/17
136	**Change Management Plan**	**15 days**	**10/17/17**	**11/6/17**
137	Initial Draft Created	5 days	10/17/17	10/23/17
138	Draft Reviewed	9 days	10/24/17	11/3/17
139	Approval Obtained	1 day	11/6/17	11/6/17
140	D:Change Management Plan	0 days	11/6/17	11/6/17
141	**Risk Management Plan**	**15 days**	**10/17/17**	**11/6/17**
142	Initial Draft Created	5 days	10/17/17	10/23/17
143	Draft Reviewed	9 days	10/24/17	11/3/17
144	Approval Obtained	1 day	11/6/17	11/6/17
145	D:Risk Management Plan	0 days	11/6/17	11/6/17
146	**Configuration Management Plan**	**15 days**	**10/27/17**	**11/16/17**

ID	Task Name	Duration	Start	Finish
147	Initial Draft Created	5 days	10/27/17	11/2/17
148	Draft Reviewed	9 days	11/3/17	11/15/17
149	Approval Obtained	1 day	11/16/17	11/16/17
150	D:Configuration Management Plan	0 days	11/16/17	11/16/17
151	**Issue Management Plan**	**15 days**	**10/27/17**	**11/16/17**
152	Initial Draft Created	5 days	10/27/17	11/2/17
153	Draft Reviewed	9 days	11/3/17	11/15/17
154	Approval Obtained	1 day	11/16/17	11/16/17
155	D:Issue Management Plan	0 days	11/16/17	11/16/17
156	**Integration Management Plan**	**15 days**	**10/27/17**	**11/16/17**
157	Initial Draft Created	5 days	10/27/17	11/2/17
158	Draft Reviewed	9 days	11/3/17	11/15/17
159	Approval Obtained	1 day	11/16/17	11/16/17
160	D:Integration Management Plan	0 days	11/16/17	11/16/17
161	**Training Management Plan**	**15 days**	**10/27/17**	**11/16/17**
162	Initial Draft Created	5 days	10/27/17	11/2/17
163	Draft Reviewed	9 days	11/3/17	11/15/17
164	Approval Obtained	1 day	11/16/17	11/16/17
165	D:Training Management Plan	0 days	11/16/17	11/16/17
166	**Testing Management Plan**	**15 days**	**10/27/17**	**11/16/17**
167	Initial Draft Created	5 days	10/27/17	11/2/17
168	Draft Reviewed	9 days	11/3/17	11/15/17
169	Approval Obtained	1 day	11/16/17	11/16/17
170	D:Testing Management Plan	0 days	11/16/17	11/16/17
171	**Quality Management Plan**	**15 days**	**10/27/17**	**11/16/17**
172	Initial Draft Created	5 days	10/27/17	11/2/17
173	Draft Reviewed	9 days	11/3/17	11/15/17
174	Approval Obtained	1 day	11/16/17	11/16/17
175	D:Quality Management Plan	0 days	11/16/17	11/16/17
176	**Data Quality and Governance Plan**	**15 days**	**11/8/17**	**11/28/17**

ID	Task Name	Duration	Start	Finish
177	Initial Draft Created	5 days	11/8/17	11/14/17
178	Draft Reviewed	9 days	11/15/17	11/27/17
179	Approval Obtained	1 day	11/28/17	11/28/17
180	D:Data Quality and Governance Plan	0 days	11/28/17	11/28/17
181	**Security, Privacy, and Confidentiality Management Plan**	**15 days**	**11/8/17**	**11/28/17**
182	Initial Draft Created	5 days	11/8/17	11/14/17
183	Draft Reviewed	9 days	11/15/17	11/27/17
184	Approval Obtained	1 day	11/28/17	11/28/17
185	D:Security, Privacy, and Confidentiality Management Plan	0 days	11/28/17	11/28/17
186	**Data Conversion Management Plan**	**15 days**	**11/8/17**	**11/28/17**
187	Initial Draft Created	5 days	11/8/17	11/14/17
188	Draft Reviewed	9 days	11/15/17	11/27/17
189	Approval Obtained	1 day	11/28/17	11/28/17
190	D:Data Conversion Management Plan	0 days	11/28/17	11/28/17
191	**Disaster Recovery and Business Continuity Plan**	**15 days**	**11/8/17**	**11/28/17**
192	Initial Draft Created	5 days	11/8/17	11/14/17
193	Draft Reviewed	9 days	11/15/17	11/27/17
194	Approval Obtained	1 day	11/28/17	11/28/17
195	D:Disaster Recovery and Business Continuity Plan	0 days	11/28/17	11/28/17
196	**System Back-Up and Record Retention Plan**	**15 days**	**11/8/17**	**11/28/17**
197	Initial Draft Created	5 days	11/8/17	11/14/17
198	Draft Reviewed	9 days	11/15/17	11/27/17
199	Approval Obtained	1 day	11/28/17	11/28/17
200	D:System Back-Up and Record Retention Plan	0 days	11/28/17	11/28/17
201	**Turnover and Closeout Management Plan**	**15 days**	**11/8/17**	**11/28/17**
202	Initial Draft Created	5 days	11/8/17	11/14/17
203	Draft Reviewed	9 days	11/15/17	11/27/17
204	Approval Obtained	1 day	11/28/17	11/28/17
205	D:TurnOver and Closeout Management Plan	0 days	11/28/17	11/28/17
206	M:Completion of Project Management Plan	0 days	11/28/17	11/28/17

ID	Task Name	Duration	Start	Finish
207				
208	**Integrated Eligibility**	**640 days**	**10/5/17**	**3/18/20**
209	**(IE) Release 0 - Base Tech.**	**192 days**	**10/5/17**	**6/29/18**
210	**Requirements Validation**	**30 days**	**10/5/17**	**11/15/17**
211	**Requirements Analysis**	**30 days**	**10/5/17**	**11/15/17**
212	**Base Tech.**	**30 days**	**10/5/17**	**11/15/17**
213	Complete detailed review of all workflows, use case documentation, and requirements developed by DHHR	30 days	10/5/17	11/15/17
214	Interviews with key stakeholders to understand how baseline requirements translate into technical details	30 days	10/5/17	11/15/17
215	Develop draft software requirements methodology that addresses the approach and tools for alignment with existing baseline requirements	30 days	10/5/17	11/15/17
216	Conduct cross-walk of the BA and functional requirements against current functionality (gap analysis)	30 days	10/5/17	11/15/17
217	Security Management / User Profile / Workflow Management	30 days	10/5/17	11/15/17
218	Environment Provisioning	30 days	10/5/17	11/15/17
219	Connectivity between Optum / WV data center	30 days	10/5/17	11/15/17
220	Prepare Requirements Validation DEDs / Deliverables	30 days	10/5/17	11/15/17
221	**Requirements Deliverables**	**30 days**	**10/5/17**	**11/15/17**
222	Review / Accept DEDs	10 days	10/5/17	10/18/17
223	**Requirements Traceability Matrix (RTM)**	**30 days**	**10/5/17**	**11/15/17**
224	Initial Draft Created	20 days	10/5/17	11/1/17
225	Draft Reviewed	10 days	11/2/17	11/15/17
226	Approval Obtained	1 day	11/15/17	11/15/17
227	**Requirements Specification Document (RSD)**	**25 days**	**10/12/17**	**11/15/17**
228	Initial Draft Created	15 days	10/12/17	11/1/17
229	Draft Reviewed	10 days	11/2/17	11/15/17
230	Approval Obtained	1 day	11/15/17	11/15/17
231	M:Overall Completion of Requirements Validation	0 days	11/15/17	11/15/17
232	**Design**	**30 days**	**11/9/17**	**12/20/17**
233	**Solution Design (JAD) & Release Planning**	**30 days**	**11/9/17**	**12/20/17**

ID	Task Name	Duration	Start	Finish
234	**Base Tech.**	**30 days**	**11/9/17**	**12/20/17**
235	Review Enterprise Architecture to understand solution design approach and compliance requirements	30 days	11/9/17	12/20/17
236	Define conceptual architecture	30 days	11/9/17	12/20/17
237	Define logical architecture (SOA layers, Vendors, Service Consumers, Service Brokers, dependencies)	30 days	11/9/17	12/20/17
238	Define physical architecture (various application services and how they should be implemented, integration layers)	30 days	11/9/17	12/20/17
239	Functional Design / Technical Design sessions	30 days	11/9/17	12/20/17
240	Security Authentication / Authorization	30 days	11/9/17	12/20/17
241	User Profiles	30 days	11/9/17	12/20/17
242	Workflow Management	30 days	11/9/17	12/20/17
243	Environment Provisioning	30 days	11/9/17	12/20/17
244	Prepare Design DEDs / Deliverables	30 days	11/9/17	12/20/17
245	**Design Deliverables**	**30 days**	**11/9/17**	**12/20/17**
246	Review / Accept DEDs	10 days	11/9/17	11/22/17
247	**Requirements Gap Analysis Document**	**15 days**	**11/9/17**	**11/29/17**
248	Initial Draft Created	5 days	11/9/17	11/15/17
249	Draft Reviewed	10 days	11/16/17	11/29/17
250	Approval Obtained	10 days	11/16/17	11/29/17
251	**Business Process Models**	**15 days**	**11/9/17**	**11/29/17**
252	Initial Draft Created	5 days	11/9/17	11/15/17
253	Draft Reviewed	10 days	11/16/17	11/29/17
254	Approval Obtained	1 day	11/29/17	11/29/17
255	**Detailed System Design (DSD) Document**	**15 days**	**11/9/17**	**11/29/17**
256	Initial Draft Created	5 days	11/9/17	11/15/17
257	Draft Reviewed	10 days	11/16/17	11/29/17
258	Approval Obtained	1 day	11/29/17	11/29/17
259	**Data Dictionary**	**15 days**	**11/16/17**	**12/6/17**
260	Initial Draft Created	5 days	11/16/17	11/22/17

ID	Task Name	Duration	Start	Finish
261	Draft Reviewed	10 days	11/23/17	12/6/17
262	Approval Obtained	1 day	11/22/17	11/22/17
263	**Data Models**	**15 days**	**11/16/17**	**12/6/17**
264	Initial Draft Created	5 days	11/16/17	11/22/17
265	Draft Reviewed	10 days	11/23/17	12/6/17
266	Approval Obtained	1 day	12/6/17	12/6/17
267	**Reports Inventory**	**15 days**	**11/16/17**	**12/6/17**
268	Initial Draft Created	5 days	11/16/17	11/22/17
269	Draft Reviewed	10 days	11/23/17	12/6/17
270	Approval Obtained	1 day	12/6/17	12/6/17
271	**Correspondence Inventory**	**15 days**	**11/16/17**	**12/6/17**
272	Initial Draft Created	5 days	11/16/17	11/22/17
273	Draft Reviewed	10 days	11/23/17	12/6/17
274	Approval Obtained	1 day	12/6/17	12/6/17
275	**Forms Inventory**	**15 days**	**11/23/17**	**12/13/17**
276	Initial Draft Created	5 days	11/23/17	11/29/17
277	Draft Reviewed	10 days	11/30/17	12/13/17
278	Approval Obtained	1 day	12/13/17	12/13/17
279	**Interface Inventory**	**15 days**	**11/23/17**	**12/13/17**
280	Initial Draft Created	5 days	11/23/17	11/29/17
281	Draft Reviewed	10 days	11/30/17	12/13/17
282	Approval Obtained	1 day	12/13/17	12/13/17
283	**Data Cleansing and Conversion Requirements Document**	**15 days**	**11/30/17**	**12/20/17**
284	Initial Draft Created	5 days	11/30/17	12/6/17
285	Draft Reviewed	10 days	12/7/17	12/20/17
286	Approval Obtained	1 day	12/20/17	12/20/17
287	**Data Cleansing and Conversion Specification Document**	**15 days**	**11/30/17**	**12/20/17**
288	Initial Draft Created	5 days	11/30/17	12/6/17
289	Draft Reviewed	10 days	12/7/17	12/20/17
290	Approval Obtained	1 day	12/20/17	12/20/17

ID	Task Name	Duration	Start	Finish
291	M:Overall Completion of Design Phase	0 days	12/20/17	12/20/17
292	**Environments**	**70 days**	**11/9/17**	**2/14/18**
293	**Configure Equipment / Hosting**	**70 days**	**11/9/17**	**2/14/18**
294	Hosting Security Policies and Procedures	10 days	11/9/17	11/22/17
295	Provision Optum - Non-Prod Environments (DEV, TST, TRN)	35 days	11/9/17	12/27/17
296	Provide Users Access to environments	60 days	11/23/17	2/14/18
297	Establish Source Code Management	60 days	11/23/17	2/14/18
298	Configuration of Optum Integration Layers (OIL)	60 days	11/23/17	2/14/18
299	Create initial APIs / WebServices to Test Interfaces - Optum & WV	60 days	11/23/17	2/14/18
300	Configure Help Desk / Support access	60 days	11/23/17	2/14/18
301	Provision Optum - Prod Environments (Staging, PRD, DR)	35 days	12/28/17	2/14/18
302	Review Environments and Results with DHHR	10 days	2/1/18	2/14/18
303	**Development and Testing**	**130 days**	**11/27/17**	**5/25/18**
304	**Execution (Design/Build/Sys Test)**	**60 days**	**11/27/17**	**2/16/18**
305	**IE Base - Design Sprint**	**20 days**	**11/27/17**	**12/22/17**
306	Conduct Business Rules specification sessions	20 days	11/27/17	12/22/17
307	System integration points	20 days	11/27/17	12/22/17
308	Design Interfaces / APIs	20 days	11/27/17	12/22/17
309	Technical security controls and security architecture	20 days	11/27/17	12/22/17
310	System Context Diagram updates	20 days	11/27/17	12/22/17
311	Business Rules Designs	20 days	11/27/17	12/22/17
312	UI/UX	20 days	11/27/17	12/22/17
313	Environment configurations	20 days	11/27/17	12/22/17
314	Security Management, Workflow Management	20 days	11/27/17	12/22/17
315	Current / Future state Modeling sessions	20 days	11/27/17	12/22/17
316	Prepare Development / Test / Readiness DEDs	20 days	11/27/17	12/22/17
317	**IE Base - Sprint 1**	**10 days**	**12/25/17**	**1/5/18**
318	**Configuration**	**10 days**	**12/25/17**	**1/5/18**
319	Interfaces / APIs	10 days	12/25/17	1/5/18
320	Business Rules development	10 days	12/25/17	1/5/18

ID	Task Name	Duration	Start	Finish
321	Update Business rules repository	10 days	12/25/17	1/5/18
322	Identify / Map test data	10 days	12/25/17	1/5/18
323	Integration with existing Systems	10 days	12/25/17	1/5/18
324	UI / UX	10 days	12/25/17	1/5/18
325	Security Management, Workflow Management	10 days	12/25/17	1/5/18
326	Environment configurations	10 days	12/25/17	1/5/18
327	Conduct Reviews	10 days	12/25/17	1/5/18
328	**Testing / Validation**	**10 days**	**12/25/17**	**1/5/18**
329	Execution of Business Rules	10 days	12/25/17	1/5/18
330	Validation of test cases against IES environment	10 days	12/25/17	1/5/18
331	Identify, Track and Resolve Defects	10 days	12/25/17	1/5/18
332	Prioritize and Retest Defects	10 days	12/25/17	1/5/18
333	Provide Status / Dashboard of Test Cases & Defects - Weekly	10 days	12/25/17	1/5/18
334	Compile Test Results	10 days	12/25/17	1/5/18
335	Sprint Review / Demo	1 day	1/5/18	1/5/18
336	Sprint Planning	3 days	1/3/18	1/5/18
337	**IE Base - Sprint 2**	**10 days**	**1/8/18**	**1/19/18**
338	**Configuration**	**10 days**	**1/8/18**	**1/19/18**
339	Interfaces / APIs	10 days	1/8/18	1/19/18
340	Business Rules development	10 days	1/8/18	1/19/18
341	Update Business rules repository	10 days	1/8/18	1/19/18
342	Identify / Map test data	10 days	1/8/18	1/19/18
343	Integration with existing Systems	10 days	1/8/18	1/19/18
344	UI / UX	10 days	1/8/18	1/19/18
345	Security Management, Workflow Management	10 days	1/8/18	1/19/18
346	Environment configurations	10 days	1/8/18	1/19/18
347	Conduct Reviews	10 days	1/8/18	1/19/18
348	**Testing / Validation**	**10 days**	**1/8/18**	**1/19/18**
349	Execution of Business Rules	10 days	1/8/18	1/19/18
350	Validation of test cases against IES environment	10 days	1/8/18	1/19/18

ID	Task Name	Duration	Start	Finish
351	Identify, Track and Resolve Defects	10 days	1/8/18	1/19/18
352	Prioritize and Retest Defects	10 days	1/8/18	1/19/18
353	Provide Status / Dashboard of Test Cases & Defects - Weekly	10 days	1/8/18	1/19/18
354	Compile Test Results	10 days	1/8/18	1/19/18
355	Sprint Review / Demo	1 day	1/19/18	1/19/18
356	Sprint Planning	3 days	1/17/18	1/19/18
357	**IE Base - Sprint 3**	**10 days**	**1/22/18**	**2/2/18**
358	**Configuration**	**10 days**	**1/22/18**	**2/2/18**
359	Interfaces / APIs	10 days	1/22/18	2/2/18
360	Business Rules development	10 days	1/22/18	2/2/18
361	Update Business rules repository	10 days	1/22/18	2/2/18
362	Identify / Map test data	10 days	1/22/18	2/2/18
363	Integration with existing Systems	10 days	1/22/18	2/2/18
364	UI / UX	10 days	1/22/18	2/2/18
365	Security Management, Workflow Management	10 days	1/22/18	2/2/18
366	Environment configurations	10 days	1/22/18	2/2/18
367	Conduct Reviews	10 days	1/22/18	2/2/18
368	**Testing / Validation**	**10 days**	**1/22/18**	**2/2/18**
369	Execution of Business Rules	10 days	1/22/18	2/2/18
370	Validation of test cases against IES environment	10 days	1/22/18	2/2/18
371	Identify, Track and Resolve Defects	10 days	1/22/18	2/2/18
372	Prioritize and Retest Defects	10 days	1/22/18	2/2/18
373	Provide Status / Dashboard of Test Cases & Defects - Weekly	10 days	1/22/18	2/2/18
374	Compile Test Results	10 days	1/22/18	2/2/18
375	Sprint Review / Demo	1 day	2/2/18	2/2/18
376	Sprint Planning	3 days	1/31/18	2/2/18
377	**IE Base - Sprint 4**	**10 days**	**2/5/18**	**2/16/18**
378	**Configuration**	**10 days**	**2/5/18**	**2/16/18**
379	Interfaces / APIs	10 days	2/5/18	2/16/18
380	Business Rules development	10 days	2/5/18	2/16/18

ID	Task Name	Duration	Start	Finish
381	Update Business rules repository	10 days	2/5/18	2/16/18
382	Identify / Map test data	10 days	2/5/18	2/16/18
383	Integration with existing Systems	10 days	2/5/18	2/16/18
384	UI / UX	10 days	2/5/18	2/16/18
385	Security Management, Workflow Management	10 days	2/5/18	2/16/18
386	Environment configurations	10 days	2/5/18	2/16/18
387	Conduct Reviews	10 days	2/5/18	2/16/18
388	**Testing / Validation**	**10 days**	**2/5/18**	**2/16/18**
389	Execution of Business Rules	10 days	2/5/18	2/16/18
390	Validation of test cases against IES environment	10 days	2/5/18	2/16/18
391	Identify, Track and Resolve Defects	10 days	2/5/18	2/16/18
392	Prioritize and Retest Defects	10 days	2/5/18	2/16/18
393	Provide Status / Dashboard of Test Cases & Defects - Weekly	10 days	2/5/18	2/16/18
394	Compile Test Results	10 days	2/5/18	2/16/18
395	Sprint Review / Demo	1 day	2/16/18	2/16/18
396	Sprint Planning	3 days	2/14/18	2/16/18
397	**Testing (Integration/E2E/Perf/UAT)**	**60 days**	**2/19/18**	**5/11/18**
398	**IE Base - Integration Test 1**	**20 days**	**2/19/18**	**3/16/18**
399	Unit or Module Test	20 days	2/19/18	3/16/18
400	Subsystem Integration Test	20 days	2/19/18	3/16/18
401	System Qualification Test	20 days	2/19/18	3/16/18
402	Regression Testing	20 days	2/19/18	3/16/18
403	End to End Testing	20 days	2/19/18	3/16/18
404	Connectivity Testing	20 days	2/19/18	3/16/18
405	Security Testing	20 days	2/19/18	3/16/18
406	Interface / Accessibility Testing	20 days	2/19/18	3/16/18
407	Parallel Testing	20 days	2/19/18	3/16/18
408	Identify / Address Critical Defects	20 days	2/19/18	3/16/18
409	**IE Base - Integration Test 2**	**20 days**	**3/19/18**	**4/13/18**
410	Unit or Module Test	20 days	3/19/18	4/13/18

ID	Task Name	Duration	Start	Finish
411	Subsystem Integration Test	20 days	3/19/18	4/13/18
412	System Qualification Test	20 days	3/19/18	4/13/18
413	Regression Testing	20 days	3/19/18	4/13/18
414	End to End Testing	20 days	3/19/18	4/13/18
415	Connectivity Testing	20 days	3/19/18	4/13/18
416	Security Testing	20 days	3/19/18	4/13/18
417	Interface / Accessibility Testing	20 days	3/19/18	4/13/18
418	Parallel Testing	20 days	3/19/18	4/13/18
419	Identify / Address Critical Defects	20 days	3/19/18	4/13/18
420	**IE Base- Performance**	**10 days**	**4/16/18**	**4/27/18**
421	Performance Testing	10 days	4/16/18	4/27/18
422	Readiness Certification	10 days	4/16/18	4/27/18
423	Site Readiness Assessments	10 days	4/16/18	4/27/18
424	Identify / Address critical defects	10 days	4/16/18	4/27/18
425	**IE Base-UAT**	**10 days**	**4/30/18**	**5/11/18**
426	Prepare UAT test scripts	10 days	4/30/18	5/11/18
427	Agency access to UAT environment	10 days	4/30/18	5/11/18
428	Conduct UAT Testing / Ad-hoc testing	10 days	4/30/18	5/11/18
429	Review address critical defects	10 days	4/30/18	5/11/18
430	Prepare UAT report	10 days	4/30/18	5/11/18
431	**Development and Testing Deliverables**	**120 days**	**12/11/17**	**5/25/18**
432	Review / Accept DEDs	15 days	12/11/17	12/29/17
433	**System Documentation**	**15 days**	**12/11/17**	**12/29/17**
434	Initial Draft Created	5 days	12/11/17	12/15/17
435	Draft Reviewed	10 days	12/18/17	12/29/17
436	Approval Obtained	1 day	12/29/17	12/29/17
437	**System Security Plan (SSP)**	**15 days**	**12/11/17**	**12/29/17**
438	Initial Draft Created	5 days	12/11/17	12/15/17
439	Draft Reviewed	10 days	12/18/17	12/29/17
440	Approval Obtained	1 day	12/29/17	12/29/17

ID	Task Name	Duration	Start	Finish
441	**Safeguard Procedures Report (SPR)**	**15 days**	**12/18/17**	**1/5/18**
442	Initial Draft Created	5 days	12/18/17	12/22/17
443	Draft Reviewed	10 days	12/25/17	1/5/18
444	Approval Obtained	1 day	1/5/18	1/5/18
445	**User Documentation**	**15 days**	**12/18/17**	**1/5/18**
446	Initial Draft Created	5 days	12/18/17	12/22/17
447	Draft Reviewed	10 days	12/25/17	1/5/18
448	Approval Obtained	1 day	1/5/18	1/5/18
449	**Data Conversion System Integration Test Cases**	**15 days**	**12/25/17**	**1/12/18**
450	Initial Draft Created	5 days	12/25/17	12/29/17
451	Draft Reviewed	10 days	1/1/18	1/12/18
452	Approval Obtained	1 day	1/12/18	1/12/18
453	**System Integration Test Cases**	**15 days**	**12/25/17**	**1/12/18**
454	Initial Draft Created	5 days	12/25/17	12/29/17
455	Draft Reviewed	10 days	1/1/18	1/12/18
456	Approval Obtained	1 day	1/12/18	1/12/18
457	**Regression Test Cases**	**15 days**	**1/1/18**	**1/19/18**
458	Initial Draft Created	5 days	1/1/18	1/5/18
459	Draft Reviewed	10 days	1/8/18	1/19/18
460	Approval Obtained	1 day	1/19/18	1/19/18
461	**Load/Stress Test Cases**	**15 days**	**1/1/18**	**1/19/18**
462	Initial Draft Created	5 days	1/1/18	1/5/18
463	Draft Reviewed	10 days	1/8/18	1/19/18
464	Approval Obtained	1 day	1/19/18	1/19/18
465	**User Acceptance Test Cases**	**15 days**	**1/1/18**	**1/19/18**
466	Initial Draft Created	5 days	1/1/18	1/5/18
467	Draft Reviewed	10 days	1/8/18	1/19/18
468	Approval Obtained	1 day	1/19/18	1/19/18
469	**Data Conversion System Integration Test Results**	**15 days**	**3/12/18**	**3/30/18**
470	Initial Draft Created	5 days	3/12/18	3/16/18

ID	Task Name	Duration	Start	Finish
471	Draft Reviewed	10 days	3/19/18	3/30/18
472	Approval Obtained	1 day	3/30/18	3/30/18
473	**System Integration Test Results**	**15 days**	**3/12/18**	**3/30/18**
474	Initial Draft Created	5 days	3/12/18	3/16/18
475	Draft Reviewed	10 days	3/19/18	3/30/18
476	Approval Obtained	1 day	3/30/18	3/30/18
477	**Regression Test Results**	**15 days**	**3/12/18**	**3/30/18**
478	Initial Draft Created	5 days	3/12/18	3/16/18
479	Draft Reviewed	10 days	3/19/18	3/30/18
480	Approval Obtained	1 day	3/30/18	3/30/18
481	**Load/Stress Test Results**	**15 days**	**4/23/18**	**5/11/18**
482	Initial Draft Created	5 days	4/23/18	4/27/18
483	Draft Reviewed	10 days	4/30/18	5/11/18
484	Approval Obtained	1 day	5/11/18	5/11/18
485	**Capacity Analysis Report**	**15 days**	**4/23/18**	**5/11/18**
486	Initial Draft Created	5 days	4/23/18	4/27/18
487	Draft Reviewed	10 days	4/30/18	5/11/18
488	Approval Obtained	1 day	5/11/18	5/11/18
489	M:Overall Completion of System Testing	0 days	4/27/18	4/27/18
490	**User Acceptance Test Results**	**15 days**	**5/7/18**	**5/25/18**
491	Initial Draft Created	5 days	5/7/18	5/11/18
492	Draft Reviewed	10 days	5/14/18	5/25/18
493	Approval Obtained	1 day	5/25/18	5/25/18
494	M:Overall Completion of User Acceptance Testing	0 days	5/25/18	5/25/18
495	**Implementation Readiness**	**60 days**	**3/5/18**	**5/25/18**
496	**Training**	**20 days**	**4/2/18**	**4/27/18**
497	Prepare Training Materials	10 days	4/2/18	4/13/18
498	UAT Training	10 days	4/9/18	4/20/18
499	Configure Support system (helpdesk) with workflow and knowledge Base	10 days	4/16/18	4/27/18
500	M&O Support	10 days	4/16/18	4/27/18

ID	Task Name	Duration	Start	Finish
501	**Operational Readiness**	**15 days**	**4/16/18**	**5/4/18**
502	Baseline Checklist of Operational Areas	15 days	4/16/18	5/4/18
503	Policies and Procedures, Job Aids Prepared & Posted	15 days	4/16/18	5/4/18
504	Support system (helpdesk) Configured With Workflow and Knowledge Base	15 days	4/16/18	5/4/18
505	Contacts Information and Contacts Defined	15 days	4/16/18	5/4/18
506	Operational Reporting Requirements Defined	15 days	4/16/18	5/4/18
507	Communication Planning and Execution	15 days	4/16/18	5/4/18
508	Phone Lines & Phone Scripts are Open & Active	15 days	4/16/18	5/4/18
509	Schedule & Conduct Dry Run With HelpDesk Staff on Rules	15 days	4/16/18	5/4/18
510	Modify Checklist Based on Dry Run Feedback	15 days	4/16/18	5/4/18
511	Schedule & Conduct Meeting With DHHR to review Checklist, Demo Product for ORT Walk Through	15 days	4/16/18	5/4/18
512	Revise Checklist Based on DHHR Feedback	15 days	4/16/18	5/4/18
513	**Implementation Readiness Deliverables**	**60 days**	**3/5/18**	**5/25/18**
514	Review / Accept DEDs	15 days	3/5/18	3/23/18
515	**Operational Readiness Plan**	**15 days**	**3/19/18**	**4/6/18**
516	Initial Draft Created	5 days	3/19/18	3/23/18
517	Draft Reviewed	10 days	3/26/18	4/6/18
518	Approval Obtained	1 day	4/6/18	4/6/18
519	**Operational Readiness Test Scripts**	**15 days**	**3/19/18**	**4/6/18**
520	Initial Draft Created	5 days	3/19/18	3/23/18
521	Draft Reviewed	10 days	3/26/18	4/6/18
522	Approval Obtained	1 day	4/6/18	4/6/18
523	**Operational Readiness Test Results**	**15 days**	**5/7/18**	**5/25/18**
524	Initial Draft Created	5 days	5/7/18	5/11/18
525	Draft Reviewed	10 days	5/14/18	5/25/18
526	Approval Obtained	1 day	5/25/18	5/25/18
527	**Updated Training Management Plan**	**15 days**	**3/5/18**	**3/23/18**
528	Initial Draft Created	5 days	3/5/18	3/9/18
529	Draft Reviewed	10 days	3/12/18	3/23/18

ID	Task Name	Duration	Start	Finish
530	Approval Obtained	1 day	3/23/18	3/23/18
531	**Training Schedule**	**15 days**	**3/5/18**	**3/23/18**
532	Initial Draft Created	5 days	3/5/18	3/9/18
533	Draft Reviewed	10 days	3/12/18	3/23/18
534	Approval Obtained	1 day	3/23/18	3/23/18
535	**Training Materials**	**15 days**	**3/12/18**	**3/30/18**
536	Initial Draft Created	5 days	3/12/18	3/16/18
537	Draft Reviewed	10 days	3/19/18	3/30/18
538	Approval Obtained	1 day	3/30/18	3/30/18
539	**Training Report**	**15 days**	**4/23/18**	**5/11/18**
540	Initial Draft Created	5 days	4/23/18	4/27/18
541	Draft Reviewed	10 days	4/30/18	5/11/18
542	Approval Obtained	1 day	5/11/18	5/11/18
543	**Implementation Plan**	**15 days**	**3/26/18**	**4/13/18**
544	Initial Draft Created	5 days	3/26/18	3/30/18
545	Draft Reviewed	10 days	4/2/18	4/13/18
546	Approval Obtained	1 day	4/13/18	4/13/18
547	**Cut-Over Play Book**	**15 days**	**4/2/18**	**4/20/18**
548	Initial Draft Created	5 days	4/2/18	4/6/18
549	Draft Reviewed	10 days	4/9/18	4/20/18
550	Approval Obtained	1 day	4/20/18	4/20/18
551	**Report Distribution Schedule**	**15 days**	**4/9/18**	**4/27/18**
552	Initial Draft Created	5 days	4/9/18	4/13/18
553	Draft Reviewed	10 days	4/16/18	4/27/18
554	Approval Obtained	1 day	4/27/18	4/27/18
555	**Operations Project Management Plans**	**15 days**	**4/16/18**	**5/4/18**
556	Initial Draft Created	5 days	4/16/18	4/20/18
557	Draft Reviewed	10 days	4/23/18	5/4/18
558	Approval Obtained	1 day	5/4/18	5/4/18
559	**Solution health Monitoring Plan**	**15 days**	**4/23/18**	**5/11/18**

ID	Task Name	Duration	Start	Finish
560	Initial Draft Created	5 days	4/23/18	4/27/18
561	Draft Reviewed	10 days	4/30/18	5/11/18
562	Approval Obtained	1 day	5/11/18	5/11/18
563	M:Overall Completion of Implementation Readiness	0 days	5/25/18	5/25/18
564	Readiness Results Review - DHHR	5 days	5/21/18	5/25/18
565	Go-No-Go Decision	1 day	5/25/18	5/25/18
566	Cutover of Base Tech.	5 days	5/28/18	6/1/18
567	M:Overall Completion of Deployment to Production	0 days	6/1/18	6/1/18
568	IE R0 - Base Tech. - Post Production Support	20 days	6/4/18	6/29/18
569	**(IE) Release 1 - Application Intake UI**	**270 days**	**10/5/17**	**10/17/18**
570	**Requirements Validation**	**30 days**	**10/5/17**	**11/15/17**
571	**Requirements Analysis**	**30 days**	**10/5/17**	**11/15/17**
572	**Application Intake UI**	**30 days**	**10/5/17**	**11/15/17**
573	Complete detailed review of all workflows, use case documentation, and requirements developed by DHHR	30 days	10/5/17	11/15/17
574	Interviews with key stakeholders to understand how baseline requirements translate into technical details	30 days	10/5/17	11/15/17
575	Develop draft software requirements methodology that addresses the approach and tools for alignment with existing baseline requirements	30 days	10/5/17	11/15/17
576	UI/UX Reviews	30 days	10/5/17	11/15/17
577	Conduct cross-walk of the BA and functional requirements against current functionality (gap analysis)	30 days	10/5/17	11/15/17
578	Prepare Requirements Validation DEDs / Deliverables	30 days	10/5/17	11/15/17
579	**Requirements Deliverables**	**30 days**	**10/5/17**	**11/15/17**
580	Review / Accept DEDs	10 days	10/5/17	10/18/17
581	**Requirements Traceability Matrix (RTM)**	**30 days**	**10/5/17**	**11/15/17**
582	Initial Draft Created	20 days	10/5/17	11/1/17
583	Draft Reviewed	10 days	11/2/17	11/15/17
584	Approval Obtained	1 day	11/15/17	11/15/17
585	**Requirements Specification Document (RSD)**	**25 days**	**10/12/17**	**11/15/17**
586	Initial Draft Created	15 days	10/12/17	11/1/17

ID	Task Name	Duration	Start	Finish
587	Draft Reviewed	10 days	11/2/17	11/15/17
588	Approval Obtained	1 day	11/15/17	11/15/17
589	M:Overall Completion of Requirements Validation	0 days	11/15/17	11/15/17
590	**Design**	**30 days**	**11/2/17**	**12/13/17**
591	**Solution Design (JAD) & Release Planning**	**30 days**	**11/2/17**	**12/13/17**
592	**Application Intake UI**	**30 days**	**11/2/17**	**12/13/17**
593	Review Enterprise Architecture to understand solution design approach and compliance requirements	30 days	11/2/17	12/13/17
594	UI/UX Design Sessions	30 days	11/2/17	12/13/17
595	Define conceptual architecture	30 days	11/2/17	12/13/17
596	Define logical architecture (SOA layers, Vendors, Service Consumers, Service Brokers, dependencies)	30 days	11/2/17	12/13/17
597	Define physical architecture (various application services and how they should be implemented, integration layers)	30 days	11/2/17	12/13/17
598	Functional Design / Technical Design sessions	30 days	11/2/17	12/13/17
599	Prepare Design DEDs / Deliverables	30 days	11/2/17	12/13/17
600	**Design Deliverables**	**30 days**	**11/2/17**	**12/13/17**
601	Review / Accept DEDs	10 days	11/2/17	11/15/17
602	**Requirements Gap Analysis Document**	**15 days**	**11/2/17**	**11/22/17**
603	Initial Draft Created	5 days	11/2/17	11/8/17
604	Draft Reviewed	10 days	11/9/17	11/22/17
605	Approval Obtained	1 day	11/22/17	11/22/17
606	**Business Process Models**	**15 days**	**11/2/17**	**11/22/17**
607	Initial Draft Created	5 days	11/2/17	11/8/17
608	Draft Reviewed	10 days	11/9/17	11/22/17
609	Approval Obtained	1 day	11/22/17	11/22/17
610	**Detailed System Design (DSD) Document**	**15 days**	**11/2/17**	**11/22/17**
611	Initial Draft Created	5 days	11/2/17	11/8/17
612	Draft Reviewed	10 days	11/9/17	11/22/17
613	Approval Obtained	1 day	11/22/17	11/22/17

ID	Task Name	Duration	Start	Finish
614	**Data Dictionary**	**15 days**	**11/9/17**	**11/29/17**
615	Initial Draft Created	5 days	11/9/17	11/15/17
616	Draft Reviewed	10 days	11/16/17	11/29/17
617	Approval Obtained	1 day	11/15/17	11/15/17
618	**Data Models**	**15 days**	**11/9/17**	**11/29/17**
619	Initial Draft Created	5 days	11/9/17	11/15/17
620	Draft Reviewed	10 days	11/16/17	11/29/17
621	Approval Obtained	1 day	11/29/17	11/29/17
622	**Reports Inventory**	**15 days**	**11/9/17**	**11/29/17**
623	Initial Draft Created	5 days	11/9/17	11/15/17
624	Draft Reviewed	10 days	11/16/17	11/29/17
625	Approval Obtained	1 day	11/29/17	11/29/17
626	**Correspondence Inventory**	**15 days**	**11/9/17**	**11/29/17**
627	Initial Draft Created	5 days	11/9/17	11/15/17
628	Draft Reviewed	10 days	11/16/17	11/29/17
629	Approval Obtained	1 day	11/29/17	11/29/17
630	**Forms Inventory**	**15 days**	**11/16/17**	**12/6/17**
631	Initial Draft Created	5 days	11/16/17	11/22/17
632	Draft Reviewed	10 days	11/23/17	12/6/17
633	Approval Obtained	1 day	12/6/17	12/6/17
634	**Interface Inventory**	**15 days**	**11/16/17**	**12/6/17**
635	Initial Draft Created	5 days	11/16/17	11/22/17
636	Draft Reviewed	10 days	11/23/17	12/6/17
637	Approval Obtained	1 day	12/6/17	12/6/17
638	**Data Cleansing and Conversion Requirements Document**	**15 days**	**11/23/17**	**12/13/17**
639	Initial Draft Created	5 days	11/23/17	11/29/17
640	Draft Reviewed	10 days	11/30/17	12/13/17
641	Approval Obtained	1 day	12/13/17	12/13/17
642	**Data Cleansing and Conversion Specification Document**	**15 days**	**11/23/17**	**12/13/17**
643	Initial Draft Created	5 days	11/23/17	11/29/17

ID	Task Name	Duration	Start	Finish
644	Draft Reviewed	10 days	11/30/17	12/13/17
645	Approval Obtained	1 day	12/13/17	12/13/17
646	M:Overall Completion of Design Phase	0 days	12/13/17	12/13/17
647	**Development and Testing**	**190 days**	**11/16/17**	**8/8/18**
648	**Execution (Design/Build/Sys Test)**	**100 days**	**11/16/17**	**4/4/18**
649	**IE R1 - Design Sprint**	**20 days**	**11/16/17**	**12/13/17**
650	Conduct Business Rules specification sessions	20 days	11/16/17	12/13/17
651	System integration points	20 days	11/16/17	12/13/17
652	Design Interfaces / APIs	20 days	11/16/17	12/13/17
653	Technical security controls and security architecture	20 days	11/16/17	12/13/17
654	System Context Diagram updates	20 days	11/16/17	12/13/17
655	Business Rules Designs	20 days	11/16/17	12/13/17
656	UI/UX	20 days	11/16/17	12/13/17
657	Data conversion use cases	20 days	11/16/17	12/13/17
658	Current / Future state Modeling sessions	20 days	11/16/17	12/13/17
659	Prepare Development / Test / Readiness DEDs	20 days	11/16/17	12/13/17
660	**IE R1-Sprint 1**	**20 days**	**12/14/17**	**1/10/18**
661	**Configuration**	**20 days**	**12/14/17**	**1/10/18**
662	Interfaces / APIs	20 days	12/14/17	1/10/18
663	Business Rules development	20 days	12/14/17	1/10/18
664	Update Business rules repository	20 days	12/14/17	1/10/18
665	Identify / Map test data	20 days	12/14/17	1/10/18
666	Integration with existing Systems	20 days	12/14/17	1/10/18
667	UI / UX	20 days	12/14/17	1/10/18
668	Conduct Reviews	20 days	12/14/17	1/10/18
669	**Testing / Validation**	**20 days**	**12/14/17**	**1/10/18**
670	Execution of Business Rules	20 days	12/14/17	1/10/18
671	Validation of test cases against IES environment	20 days	12/14/17	1/10/18
672	Identify, Track and Resolve Defects	20 days	12/14/17	1/10/18
673	Prioritize and Retest Defects	20 days	12/14/17	1/10/18

ID	Task Name	Duration	Start	Finish
674	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	12/14/17	1/10/18
675	Compile Test Results	20 days	12/14/17	1/10/18
676	Sprint Review / Demo	1 day	1/10/18	1/10/18
677	Sprint Planning	3 days	1/8/18	1/10/18
678	**IE R1-Sprint 2**	**20 days**	**1/11/18**	**2/7/18**
679	**Configuration**	**20 days**	**1/11/18**	**2/7/18**
680	Interfaces / APIs	20 days	1/11/18	2/7/18
681	Business Rules development	20 days	1/11/18	2/7/18
682	Update Business rules repository	20 days	1/11/18	2/7/18
683	Identify / Map test data	20 days	1/11/18	2/7/18
684	Integration with existing Systems	20 days	1/11/18	2/7/18
685	UI / UX	20 days	1/11/18	2/7/18
686	Conduct Reviews	20 days	1/11/18	2/7/18
687	**Testing / Validation**	**20 days**	**1/11/18**	**2/7/18**
688	Execution of Business Rules	20 days	1/11/18	2/7/18
689	Validation of test cases against IES environment	20 days	1/11/18	2/7/18
690	Identify, Track and Resolve Defects	20 days	1/11/18	2/7/18
691	Prioritize and Retest Defects	20 days	1/11/18	2/7/18
692	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	1/11/18	2/7/18
693	Compile Test Results	20 days	1/11/18	2/7/18
694	Sprint Review / Demo	1 day	2/7/18	2/7/18
695	Sprint Planning	3 days	2/5/18	2/7/18
696	**IE R1-Sprint 3**	**20 days**	**2/8/18**	**3/7/18**
697	**Configuration**	**20 days**	**2/8/18**	**3/7/18**
698	Interfaces / APIs	20 days	2/8/18	3/7/18
699	Business Rules development	20 days	2/8/18	3/7/18
700	Update Business rules repository	20 days	2/8/18	3/7/18
701	Identify / Map test data	20 days	2/8/18	3/7/18
702	Integration with existing Systems	20 days	2/8/18	3/7/18
703	UI / UX	20 days	2/8/18	3/7/18

ID	Task Name	Duration	Start	Finish
704	Conduct Reviews	20 days	2/8/18	3/7/18
705	**Testing / Validation**	**20 days**	**2/8/18**	**3/7/18**
706	Execution of Business Rules	20 days	2/8/18	3/7/18
707	Validation of test cases against IES environment	20 days	2/8/18	3/7/18
708	Identify, Track and Resolve Defects	20 days	2/8/18	3/7/18
709	Prioritize and Retest Defects	20 days	2/8/18	3/7/18
710	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	2/8/18	3/7/18
711	Compile Test Results	20 days	2/8/18	3/7/18
712	Sprint Review / Demo	1 day	3/7/18	3/7/18
713	Sprint Planning	3 days	3/5/18	3/7/18
714	**IE R1-Sprint 4**	**20 days**	**3/8/18**	**4/4/18**
715	**Configuration**	**20 days**	**3/8/18**	**4/4/18**
716	Interfaces / APIs	20 days	3/8/18	4/4/18
717	Business Rules development	20 days	3/8/18	4/4/18
718	Update Business rules repository	20 days	3/8/18	4/4/18
719	Identify / Map test data	20 days	3/8/18	4/4/18
720	Integration with existing Systems	20 days	3/8/18	4/4/18
721	UI / UX	20 days	3/8/18	4/4/18
722	Conduct Reviews	20 days	3/8/18	4/4/18
723	**Testing / Validation**	**20 days**	**3/8/18**	**4/4/18**
724	Execution of Business Rules	20 days	3/8/18	4/4/18
725	Validation of test cases against IES environment	20 days	3/8/18	4/4/18
726	Identify, Track and Resolve Defects	20 days	3/8/18	4/4/18
727	Prioritize and Retest Defects	20 days	3/8/18	4/4/18
728	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	3/8/18	4/4/18
729	Compile Test Results	20 days	3/8/18	4/4/18
730	Sprint Review / Demo	1 day	4/4/18	4/4/18
731	Sprint Planning	3 days	4/2/18	4/4/18
732	**Testing (Integration/E2E/Perf/UAT)**	**80 days**	**4/5/18**	**7/25/18**
733	**IE R1- Integration Test 1**	**20 days**	**4/5/18**	**5/2/18**

ID	Task Name	Duration	Start	Finish
734	Unit or Module Test	20 days	4/5/18	5/2/18
735	Subsystem Integration Test	20 days	4/5/18	5/2/18
736	System Qualification Test	20 days	4/5/18	5/2/18
737	Regression Testing	20 days	4/5/18	5/2/18
738	End to End Testing	20 days	4/5/18	5/2/18
739	Security Testing	20 days	4/5/18	5/2/18
740	Interface / Accessibility Testing	20 days	4/5/18	5/2/18
741	Parallel Testing	20 days	4/5/18	5/2/18
742	Identify / Address Critical Defects	20 days	4/5/18	5/2/18
743	**IE R1- Integration Test 2**	**20 days**	**5/3/18**	**5/30/18**
744	Unit or Module Test	20 days	5/3/18	5/30/18
745	Subsystem Integration Test	20 days	5/3/18	5/30/18
746	System Qualification Test	20 days	5/3/18	5/30/18
747	Regression Testing	20 days	5/3/18	5/30/18
748	End to End Testing	20 days	5/3/18	5/30/18
749	Security Testing	20 days	5/3/18	5/30/18
750	Interface / Accessibility Testing	20 days	5/3/18	5/30/18
751	Parallel Testing	20 days	5/3/18	5/30/18
752	Identify / Address Critical Defects	20 days	5/3/18	5/30/18
753	**IE R1- Integration Test 3**	**20 days**	**5/31/18**	**6/27/18**
754	Unit or Module Test	20 days	5/31/18	6/27/18
755	Subsystem Integration Test	20 days	5/31/18	6/27/18
756	System Qualification Test	20 days	5/31/18	6/27/18
757	Regression Testing	20 days	5/31/18	6/27/18
758	End to End Testing	20 days	5/31/18	6/27/18
759	Security Testing	20 days	5/31/18	6/27/18
760	Interface / Accessibility Testing	20 days	5/31/18	6/27/18
761	Parallel Testing	20 days	5/31/18	6/27/18
762	Identify / Address Critical Defects	20 days	5/31/18	6/27/18
763	**IE R1- Performance**	**10 days**	**6/28/18**	**7/11/18**

ID	Task Name	Duration	Start	Finish
764	Performance Testing	10 days	6/28/18	7/11/18
765	Readiness Certification	10 days	6/28/18	7/11/18
766	Site Readiness Assessments	10 days	6/28/18	7/11/18
767	Identify / Address critical defects	10 days	6/28/18	7/11/18
768	**IE R1-UAT**	**20 days**	**6/28/18**	**7/25/18**
769	Prepare UAT test scripts	20 days	6/28/18	7/25/18
770	Agency access to UAT environment	20 days	6/28/18	7/25/18
771	Conduct UAT Testing / Ad-hoc testing	20 days	6/28/18	7/25/18
772	Review address critical defects	20 days	6/28/18	7/25/18
773	Prepare UAT report	20 days	6/28/18	7/25/18
774	**Development and Testing Deliverables**	**180 days**	**11/30/17**	**8/8/18**
775	Review / Accept DEDs	15 days	11/30/17	12/20/17
776	**System Documentation**	**15 days**	**11/30/17**	**12/20/17**
777	Initial Draft Created	5 days	11/30/17	12/6/17
778	Draft Reviewed	10 days	12/7/17	12/20/17
779	Approval Obtained	1 day	12/20/17	12/20/17
780	**System Security Plan (SSP)**	**15 days**	**11/30/17**	**12/20/17**
781	Initial Draft Created	5 days	11/30/17	12/6/17
782	Draft Reviewed	10 days	12/7/17	12/20/17
783	Approval Obtained	1 day	12/20/17	12/20/17
784	**Safeguard Procedures Report (SPR)**	**15 days**	**12/7/17**	**12/27/17**
785	Initial Draft Created	5 days	12/7/17	12/13/17
786	Draft Reviewed	10 days	12/14/17	12/27/17
787	Approval Obtained	1 day	12/27/17	12/27/17
788	**User Documentation**	**15 days**	**12/7/17**	**12/27/17**
789	Initial Draft Created	5 days	12/7/17	12/13/17
790	Draft Reviewed	10 days	12/14/17	12/27/17
791	Approval Obtained	1 day	12/27/17	12/27/17
792	**Data Conversion System Integration Test Cases**	**15 days**	**12/14/17**	**1/3/18**
793	Initial Draft Created	5 days	12/14/17	12/20/17

ID	Task Name	Duration	Start	Finish
794	Draft Reviewed	10 days	12/21/17	1/3/18
795	Approval Obtained	1 day	1/3/18	1/3/18
796	**System Integration Test Cases**	**15 days**	**12/14/17**	**1/3/18**
797	Initial Draft Created	5 days	12/14/17	12/20/17
798	Draft Reviewed	10 days	12/21/17	1/3/18
799	Approval Obtained	1 day	1/3/18	1/3/18
800	**Regression Test Cases**	**15 days**	**12/21/17**	**1/10/18**
801	Initial Draft Created	5 days	12/21/17	12/27/17
802	Draft Reviewed	10 days	12/28/17	1/10/18
803	Approval Obtained	1 day	1/10/18	1/10/18
804	**Load/Stress Test Cases**	**15 days**	**12/21/17**	**1/10/18**
805	Initial Draft Created	5 days	12/21/17	12/27/17
806	Draft Reviewed	10 days	12/28/17	1/10/18
807	Approval Obtained	1 day	1/10/18	1/10/18
808	**User Acceptance Test Cases**	**15 days**	**12/21/17**	**1/10/18**
809	Initial Draft Created	5 days	12/21/17	12/27/17
810	Draft Reviewed	10 days	12/28/17	1/10/18
811	Approval Obtained	1 day	1/10/18	1/10/18
812	**Data Conversion System Integration Test Results**	**15 days**	**6/21/18**	**7/11/18**
813	Initial Draft Created	5 days	6/21/18	6/27/18
814	Draft Reviewed	10 days	6/28/18	7/11/18
815	Approval Obtained	1 day	7/11/18	7/11/18
816	**System Integration Test Results**	**15 days**	**6/21/18**	**7/11/18**
817	Initial Draft Created	5 days	6/21/18	6/27/18
818	Draft Reviewed	10 days	6/28/18	7/11/18
819	Approval Obtained	1 day	7/11/18	7/11/18
820	**Regression Test Results**	**15 days**	**6/21/18**	**7/11/18**
821	Initial Draft Created	5 days	6/21/18	6/27/18
822	Draft Reviewed	10 days	6/28/18	7/11/18
823	Approval Obtained	1 day	7/11/18	7/11/18

ID	Task Name	Duration	Start	Finish
824	**Load/Stress Test Results**	**15 days**	**7/5/18**	**7/25/18**
825	Initial Draft Created	5 days	7/5/18	7/11/18
826	Draft Reviewed	10 days	7/12/18	7/25/18
827	Approval Obtained	1 day	7/25/18	7/25/18
828	**Capacity Analysis Report**	**15 days**	**7/5/18**	**7/25/18**
829	Initial Draft Created	5 days	7/5/18	7/11/18
830	Draft Reviewed	10 days	7/12/18	7/25/18
831	Approval Obtained	1 day	7/25/18	7/25/18
832	M:Overall Completion of System Testing	0 days	7/11/18	7/11/18
833	**User Acceptance Test Results**	**15 days**	**7/19/18**	**8/8/18**
834	Initial Draft Created	5 days	7/19/18	7/25/18
835	Draft Reviewed	10 days	7/26/18	8/8/18
836	Approval Obtained	1 day	8/8/18	8/8/18
837	M:Overall Completion of User Acceptance Testing	0 days	8/8/18	8/8/18
838	**Implementation Readiness**	**60 days**	**5/17/18**	**8/8/18**
839	**Training**	**25 days**	**6/14/18**	**7/18/18**
840	Prepare Training Materials	15 days	6/14/18	7/4/18
841	Prepare / Schedule Training for End Users and T3	15 days	6/14/18	7/4/18
842	UAT Training	10 days	6/14/18	6/27/18
843	Conduct Training for End Users and T3	10 days	7/5/18	7/18/18
844	Configure Support system (helpdesk) with workflow and knowledge Base	10 days	7/5/18	7/18/18
845	M&O Support	10 days	7/5/18	7/18/18
846	**Operational Readiness**	**20 days**	**6/21/18**	**7/18/18**
847	Baseline Checklist of Operational Areas	20 days	6/21/18	7/18/18
848	Policies and Procedures, Job Aids Prepared & Posted	20 days	6/21/18	7/18/18
849	Support system (helpdesk) Configured With Workflow and Knowledge Base	20 days	6/21/18	7/18/18
850	Contacts Information and Contacts Defined	20 days	6/21/18	7/18/18
851	Operational Reporting Requirements Defined	20 days	6/21/18	7/18/18
852	Communication Planning and Execution	20 days	6/21/18	7/18/18
853	Phone Lines & Phone Scripts are Open & Active	20 days	6/21/18	7/18/18

ID	Task Name	Duration	Start	Finish
854	Schedule & Conduct Dry Run With HelpDesk Staff on Rules	20 days	6/21/18	7/18/18
855	Modify Checklist Based on Dry Run Feedback	20 days	6/21/18	7/18/18
856	Schedule & Conduct Meeting With DHHR to review Checklist, Demo Product for ORT Walk Through	20 days	6/21/18	7/18/18
857	Revise Checklist Based on DHHR Feedback	20 days	6/21/18	7/18/18
858	**Implementation Readiness Deliverables**	**60 days**	**5/17/18**	**8/8/18**
859	Review / Accept DEDs	15 days	5/17/18	6/6/18
860	**Operational Readiness Plan**	**15 days**	**5/31/18**	**6/20/18**
861	Initial Draft Created	5 days	5/31/18	6/6/18
862	Draft Reviewed	10 days	6/7/18	6/20/18
863	Approval Obtained	1 day	6/20/18	6/20/18
864	**Operational Readiness Test Scripts**	**15 days**	**5/31/18**	**6/20/18**
865	Initial Draft Created	5 days	5/31/18	6/6/18
866	Draft Reviewed	10 days	6/7/18	6/20/18
867	Approval Obtained	1 day	6/20/18	6/20/18
868	**Operational Readiness Test Results**	**15 days**	**7/19/18**	**8/8/18**
869	Initial Draft Created	5 days	7/19/18	7/25/18
870	Draft Reviewed	10 days	7/26/18	8/8/18
871	Approval Obtained	1 day	8/8/18	8/8/18
872	**Updated Training Management Plan**	**15 days**	**5/17/18**	**6/6/18**
873	Initial Draft Created	5 days	5/17/18	5/23/18
874	Draft Reviewed	10 days	5/24/18	6/6/18
875	Approval Obtained	1 day	6/6/18	6/6/18
876	**Training Schedule**	**15 days**	**5/17/18**	**6/6/18**
877	Initial Draft Created	5 days	5/17/18	5/23/18
878	Draft Reviewed	10 days	5/24/18	6/6/18
879	Approval Obtained	1 day	6/6/18	6/6/18
880	**Training Materials**	**15 days**	**5/24/18**	**6/13/18**
881	Initial Draft Created	5 days	5/24/18	5/30/18
882	Draft Reviewed	10 days	5/31/18	6/13/18

ID	Task Name	Duration	Start	Finish
883	Approval Obtained	1 day	6/13/18	6/13/18
884	**Training Report**	**15 days**	**7/12/18**	**8/1/18**
885	Initial Draft Created	5 days	7/12/18	7/18/18
886	Draft Reviewed	10 days	7/19/18	8/1/18
887	Approval Obtained	1 day	8/1/18	8/1/18
888	**Implementation Plan**	**15 days**	**6/7/18**	**6/27/18**
889	Initial Draft Created	5 days	6/7/18	6/13/18
890	Draft Reviewed	10 days	6/14/18	6/27/18
891	Approval Obtained	1 day	6/27/18	6/27/18
892	**Cut-Over Play Book**	**15 days**	**6/14/18**	**7/4/18**
893	Initial Draft Created	5 days	6/14/18	6/20/18
894	Draft Reviewed	10 days	6/21/18	7/4/18
895	Approval Obtained	1 day	7/4/18	7/4/18
896	**Report Distribution Schedule**	**15 days**	**6/21/18**	**7/11/18**
897	Initial Draft Created	5 days	6/21/18	6/27/18
898	Draft Reviewed	10 days	6/28/18	7/11/18
899	Approval Obtained	1 day	7/11/18	7/11/18
900	**Operations Project Management Plans**	**15 days**	**6/28/18**	**7/18/18**
901	Initial Draft Created	5 days	6/28/18	7/4/18
902	Draft Reviewed	10 days	7/5/18	7/18/18
903	Approval Obtained	1 day	7/18/18	7/18/18
904	**Solution health Monitoring Plan**	**15 days**	**7/5/18**	**7/25/18**
905	Initial Draft Created	5 days	7/5/18	7/11/18
906	Draft Reviewed	10 days	7/12/18	7/25/18
907	Approval Obtained	1 day	7/25/18	7/25/18
908	M:Overall Completion of Implementation Readiness	0 days	8/8/18	8/8/18
909	Readiness Results Review - DHHR	5 days	8/2/18	8/8/18
910	Go-No-Go Decision	1 day	8/8/18	8/8/18
911	Cutover of Application Intake UI	5 days	8/9/18	8/15/18
912	M:Overall Completion of Deployment to Production (Pilot)	0 days	8/15/18	8/15/18

ID	Task Name	Duration	Start	Finish
913	IE R1 - Pilot	20 days	8/16/18	9/12/18
914	**Implementation Readiness Certification Deliverables**	**20 days**	**8/16/18**	**9/12/18**
915	**Federal Certification and Review Management Plan**	**15 days**	**8/16/18**	**9/5/18**
916	Initial Draft Created	5 days	8/16/18	8/22/18
917	Draft Reviewed	10 days	8/23/18	9/5/18
918	Approval Obtained	1 day	9/5/18	9/5/18
919	**ACF Certification Documentation**	**15 days**	**8/16/18**	**9/5/18**
920	Initial Draft Created	5 days	8/16/18	8/22/18
921	Draft Reviewed	10 days	8/23/18	9/5/18
922	Approval Obtained	1 day	9/5/18	9/5/18
923	**Federal Review Supporting Documentation**	**15 days**	**8/23/18**	**9/12/18**
924	Initial Draft Created	5 days	8/23/18	8/29/18
925	Draft Reviewed	10 days	8/30/18	9/12/18
926	Approval Obtained	1 day	9/12/18	9/12/18
927	**Social Security Administration Certification Documentation**	**15 days**	**8/23/18**	**9/12/18**
928	Initial Draft Created	5 days	8/23/18	8/29/18
929	Draft Reviewed	10 days	8/30/18	9/12/18
930	Approval Obtained	1 day	9/12/18	9/12/18
931	**Implementation Certification Letter**	**15 days**	**8/23/18**	**9/12/18**
932	Initial Draft Created	5 days	8/23/18	8/29/18
933	Draft Reviewed	10 days	8/30/18	9/12/18
934	Approval Obtained	1 day	9/12/18	9/12/18
935	IE R1 - Statewide Rollout	5 days	9/13/18	9/19/18
936	M:Overall Completion of Deployment to Production	0 days	9/19/18	9/19/18
937	IE R1 - Post Production Support	20 days	9/20/18	10/17/18
938	**(IE) Release 2 - (Cash Asst/Healthcare/Family Asst Programs)**	**640 days**	**10/5/17**	**3/18/20**
939	**IE R2:PI1 - Cash Asst (SNAP/TANF/ChildCare)**	**508 days**	**10/5/17**	**9/16/19**
940	**Requirements Validation**	**45 days**	**10/5/17**	**12/6/17**
941	**Requirements Analysis**	**45 days**	**10/5/17**	**12/6/17**
942	**Cash Asst (SNAP /TANF/ChildCare)**	**45 days**	**10/5/17**	**12/6/17**

ID	Task Name	Duration	Start	Finish
943	Complete detailed review of all workflows, use case documentation, and requirements developed by DHHR	45 days	10/5/17	12/6/17
944	Interviews with key stakeholders to understand how baseline requirements translate into technical details	45 days	10/5/17	12/6/17
945	Develop draft software requirements methodology that addresses the approach and tools for alignment with existing baseline requirements	45 days	10/5/17	12/6/17
946	UI/UX Reviews	45 days	10/5/17	12/6/17
947	Conduct cross-walk of the BA and functional requirements against current functionality (gap analysis)	45 days	10/5/17	12/6/17
948	Prepare Requirements Validation DEDs / Deliverables	45 days	10/5/17	12/6/17
949	**Requirements Deliverables**	**45 days**	**10/5/17**	**12/6/17**
950	Review / Accept DEDs	10 days	10/5/17	10/18/17
951	**Requirements Traceability Matrix (RTM)**	**35 days**	**10/12/17**	**11/29/17**
952	Initial Draft Created	25 days	10/12/17	11/15/17
953	Draft Reviewed	10 days	11/16/17	11/29/17
954	Approval Obtained	1 day	11/29/17	11/29/17
955	**Requirements Specification Document (RSD)**	**35 days**	**10/19/17**	**12/6/17**
956	Initial Draft Created	25 days	10/19/17	11/22/17
957	Draft Reviewed	10 days	11/23/17	12/6/17
958	Approval Obtained	1 day	12/6/17	12/6/17
959	M:Overall Completion of Requirements Validation	0 days	12/6/17	12/6/17
960	**Design**	**60 days**	**11/9/17**	**1/31/18**
961	**Solution Design (JAD) & Release Planning**	**60 days**	**11/9/17**	**1/31/18**
962	**Cash Asst (SNAP / TANF/ChildCare)**	**60 days**	**11/9/17**	**1/31/18**
963	Review Enterprise Architecture to understand solution design approach and compliance requirements	60 days	11/9/17	1/31/18
964	UI/UX Design Sessions	60 days	11/9/17	1/31/18
965	Define conceptual architecture	60 days	11/9/17	1/31/18
966	Define logical architecture (SOA layers, Vendors, Service Consumers, Service Brokers, dependencies)	60 days	11/9/17	1/31/18

ID	Task Name	Duration	Start	Finish
967	Define physical architecture (various application services and how they should be implemented, integration layers)	60 days	11/9/17	1/31/18
968	Functional Design / Technical Design sessions	60 days	11/9/17	1/31/18
969	Data Conversion / Test Data Management	60 days	11/9/17	1/31/18
970	Prepare Design DEDs / Deliverables	60 days	11/9/17	1/31/18
971	**Design Deliverables**	**60 days**	**11/9/17**	**1/31/18**
972	Review / Accept DEDs	10 days	11/9/17	11/22/17
973	**Requirements Gap Analysis Document**	**25 days**	**11/9/17**	**12/13/17**
974	Initial Draft Created	15 days	11/9/17	11/29/17
975	Draft Reviewed	10 days	11/30/17	12/13/17
976	Approval Obtained	10 days	11/30/17	12/13/17
977	**Business Process Models**	**25 days**	**11/9/17**	**12/13/17**
978	Initial Draft Created	15 days	11/9/17	11/29/17
979	Draft Reviewed	10 days	11/30/17	12/13/17
980	Approval Obtained	1 day	12/13/17	12/13/17
981	**Detailed System Design (DSD) Document**	**25 days**	**11/9/17**	**12/13/17**
982	Initial Draft Created	15 days	11/9/17	11/29/17
983	Draft Reviewed	10 days	11/30/17	12/13/17
984	Approval Obtained	1 day	12/13/17	12/13/17
985	**Data Dictionary**	**25 days**	**11/30/17**	**1/3/18**
986	Initial Draft Created	15 days	11/30/17	12/20/17
987	Draft Reviewed	10 days	12/21/17	1/3/18
988	Approval Obtained	1 day	12/20/17	12/20/17
989	**Data Models**	**25 days**	**11/30/17**	**1/3/18**
990	Initial Draft Created	15 days	11/30/17	12/20/17
991	Draft Reviewed	10 days	12/21/17	1/3/18
992	Approval Obtained	1 day	1/3/18	1/3/18
993	**Reports Inventory**	**25 days**	**11/30/17**	**1/3/18**
994	Initial Draft Created	15 days	11/30/17	12/20/17
995	Draft Reviewed	10 days	12/21/17	1/3/18

ID	Task Name	Duration	Start	Finish
996	Approval Obtained	1 day	1/3/18	1/3/18
997	**Correspondence Inventory**	**25 days**	**11/30/17**	**1/3/18**
998	Initial Draft Created	15 days	11/30/17	12/20/17
999	Draft Reviewed	10 days	12/21/17	1/3/18
1000	Approval Obtained	1 day	1/3/18	1/3/18
1001	**Forms Inventory**	**20 days**	**12/21/17**	**1/17/18**
1002	Initial Draft Created	10 days	12/21/17	1/3/18
1003	Draft Reviewed	10 days	1/4/18	1/17/18
1004	Approval Obtained	1 day	1/17/18	1/17/18
1005	**Interface Inventory**	**20 days**	**12/21/17**	**1/17/18**
1006	Initial Draft Created	10 days	12/21/17	1/3/18
1007	Draft Reviewed	10 days	1/4/18	1/17/18
1008	Approval Obtained	1 day	1/17/18	1/17/18
1009	**Data Cleansing and Conversion Requirements Document**	**20 days**	**1/4/18**	**1/31/18**
1010	Initial Draft Created	10 days	1/4/18	1/17/18
1011	Draft Reviewed	10 days	1/18/18	1/31/18
1012	Approval Obtained	1 day	1/31/18	1/31/18
1013	**Data Cleansing and Conversion Specification Document**	**20 days**	**1/4/18**	**1/31/18**
1014	Initial Draft Created	10 days	1/4/18	1/17/18
1015	Draft Reviewed	10 days	1/18/18	1/31/18
1016	Approval Obtained	1 day	1/31/18	1/31/18
1017	M:Overall Completion of Design Phase	0 days	1/31/18	1/31/18
1018	**Development and Testing**	**330 days**	**1/23/18**	**4/29/19**
1019	**Execution (Design/Build/Sys Test)**	**180 days**	**1/23/18**	**10/1/18**
1020	**IE R2:PI1 - Design Sprint**	**20 days**	**1/23/18**	**2/19/18**
1021	Conduct Business Rules specification sessions	20 days	1/23/18	2/19/18
1022	System integration points	20 days	1/23/18	2/19/18
1023	Design Interfaces / APIs	20 days	1/23/18	2/19/18
1024	Technical security controls and security architecture	20 days	1/23/18	2/19/18
1025	System Context Diagram updates	20 days	1/23/18	2/19/18

ID	Task Name	Duration	Start	Finish
1026	Business Rules Designs	20 days	1/23/18	2/19/18
1027	UI/UX	20 days	1/23/18	2/19/18
1028	Data conversion / Test Data Management	20 days	1/23/18	2/19/18
1029	Current / Future state Modeling sessions	20 days	1/23/18	2/19/18
1030	Prepare Development / Test / Readiness DEDs	20 days	1/23/18	2/19/18
1031	**IE R2:PI1-Sprint 1**	**20 days**	**2/20/18**	**3/19/18**
1032	**Configuration**	**20 days**	**2/20/18**	**3/19/18**
1033	Interfaces / APIs	20 days	2/20/18	3/19/18
1034	Business Rules development	20 days	2/20/18	3/19/18
1035	Update Business rules repository	20 days	2/20/18	3/19/18
1036	Data Conversion / Test Data Management	20 days	2/20/18	3/19/18
1037	Integration with existing Systems	20 days	2/20/18	3/19/18
1038	UI / UX	20 days	2/20/18	3/19/18
1039	Conduct Reviews	20 days	2/20/18	3/19/18
1040	**Testing / Validation**	**20 days**	**2/20/18**	**3/19/18**
1041	Execution of Business Rules	20 days	2/20/18	3/19/18
1042	Validation of test cases against IES environment	20 days	2/20/18	3/19/18
1043	Identify, Track and Resolve Defects	20 days	2/20/18	3/19/18
1044	Prioritize and Retest Defects	20 days	2/20/18	3/19/18
1045	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	2/20/18	3/19/18
1046	Compile Test Results	20 days	2/20/18	3/19/18
1047	Sprint Review / Demo	1 day	3/19/18	3/19/18
1048	Sprint Planning	3 days	3/15/18	3/19/18
1049	**IE R2:PI1-Sprint 2**	**20 days**	**3/20/18**	**4/16/18**
1050	**Configuration**	**20 days**	**3/20/18**	**4/16/18**
1051	Interfaces / APIs	20 days	3/20/18	4/16/18
1052	Business Rules development	20 days	3/20/18	4/16/18
1053	Update Business rules repository	20 days	3/20/18	4/16/18
1054	Data Conversion / Test Data Management	20 days	3/20/18	4/16/18
1055	Integration with existing Systems	20 days	3/20/18	4/16/18

ID	Task Name	Duration	Start	Finish
1056	UI / UX	20 days	3/20/18	4/16/18
1057	Conduct Reviews	20 days	3/20/18	4/16/18
1058	**Testing / Validation**	**20 days**	**3/20/18**	**4/16/18**
1059	Execution of Business Rules	20 days	3/20/18	4/16/18
1060	Validation of test cases against IES environment	20 days	3/20/18	4/16/18
1061	Identify, Track and Resolve Defects	20 days	3/20/18	4/16/18
1062	Prioritize and Retest Defects	20 days	3/20/18	4/16/18
1063	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	3/20/18	4/16/18
1064	Compile Test Results	20 days	3/20/18	4/16/18
1065	Sprint Review / Demo	1 day	4/16/18	4/16/18
1066	Sprint Planning	3 days	4/12/18	4/16/18
1067	**IE R2:PI1-Sprint 3**	**20 days**	**4/17/18**	**5/14/18**
1068	**Configuration**	**20 days**	**4/17/18**	**5/14/18**
1069	Interfaces / APIs	20 days	4/17/18	5/14/18
1070	Business Rules development	20 days	4/17/18	5/14/18
1071	Update Business rules repository	20 days	4/17/18	5/14/18
1072	Data Conversion / Test Data Management	20 days	4/17/18	5/14/18
1073	Integration with existing Systems	20 days	4/17/18	5/14/18
1074	UI / UX	20 days	4/17/18	5/14/18
1075	Conduct Reviews	20 days	4/17/18	5/14/18
1076	**Testing / Validation**	**20 days**	**4/17/18**	**5/14/18**
1077	Execution of Business Rules	20 days	4/17/18	5/14/18
1078	Validation of test cases against IES environment	20 days	4/17/18	5/14/18
1079	Identify, Track and Resolve Defects	20 days	4/17/18	5/14/18
1080	Prioritize and Retest Defects	20 days	4/17/18	5/14/18
1081	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	4/17/18	5/14/18
1082	Compile Test Results	20 days	4/17/18	5/14/18
1083	Sprint Review / Demo	1 day	5/14/18	5/14/18
1084	Sprint Planning	3 days	5/10/18	5/14/18
1085	**IE R2:PI1-Sprint 4**	**20 days**	**5/15/18**	**6/11/18**

ID	Task Name	Duration	Start	Finish
1086	**Configuration**	**20 days**	**5/15/18**	**6/11/18**
1087	Interfaces / APIs	20 days	5/15/18	6/11/18
1088	Business Rules development	20 days	5/15/18	6/11/18
1089	Update Business rules repository	20 days	5/15/18	6/11/18
1090	Data Conversion / Test Data Management	20 days	5/15/18	6/11/18
1091	Integration with existing Systems	20 days	5/15/18	6/11/18
1092	UI / UX	20 days	5/15/18	6/11/18
1093	Conduct Reviews	20 days	5/15/18	6/11/18
1094	**Testing / Validation**	**20 days**	**5/15/18**	**6/11/18**
1095	Execution of Business Rules	20 days	5/15/18	6/11/18
1096	Validation of test cases against IES environment	20 days	5/15/18	6/11/18
1097	Identify, Track and Resolve Defects	20 days	5/15/18	6/11/18
1098	Prioritize and Retest Defects	20 days	5/15/18	6/11/18
1099	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	5/15/18	6/11/18
1100	Compile Test Results	20 days	5/15/18	6/11/18
1101	Sprint Review / Demo	1 day	6/11/18	6/11/18
1102	Sprint Planning	3 days	6/7/18	6/11/18
1103	**IE R2:PI1-Sprint 5**	**20 days**	**6/12/18**	**7/9/18**
1104	**Configuration**	**20 days**	**6/12/18**	**7/9/18**
1105	Interfaces / APIs	20 days	6/12/18	7/9/18
1106	Business Rules development	20 days	6/12/18	7/9/18
1107	Update Business rules repository	20 days	6/12/18	7/9/18
1108	Data Conversion / Test Data Management	20 days	6/12/18	7/9/18
1109	Integration with existing Systems	20 days	6/12/18	7/9/18
1110	UI / UX	20 days	6/12/18	7/9/18
1111	Conduct Reviews	20 days	6/12/18	7/9/18
1112	**Testing / Validation**	**20 days**	**6/12/18**	**7/9/18**
1113	Execution of Business Rules	20 days	6/12/18	7/9/18
1114	Validation of test cases against IES environment	20 days	6/12/18	7/9/18
1115	Identify, Track and Resolve Defects	20 days	6/12/18	7/9/18

ID	Task Name	Duration	Start	Finish
1116	Prioritize and Retest Defects	20 days	6/12/18	7/9/18
1117	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	6/12/18	7/9/18
1118	Compile Test Results	20 days	6/12/18	7/9/18
1119	Sprint Review / Demo	1 day	7/9/18	7/9/18
1120	Sprint Planning	3 days	7/5/18	7/9/18
1121	**IE R2:PI1-Sprint 6**	**20 days**	**7/10/18**	**8/6/18**
1122	**Configuration**	**20 days**	**7/10/18**	**8/6/18**
1123	Interfaces / APIs	20 days	7/10/18	8/6/18
1124	Business Rules development	20 days	7/10/18	8/6/18
1125	Update Business rules repository	20 days	7/10/18	8/6/18
1126	Data Conversion / Test Data Management	20 days	7/10/18	8/6/18
1127	Integration with existing Systems	20 days	7/10/18	8/6/18
1128	UI / UX	20 days	7/10/18	8/6/18
1129	Conduct Reviews	20 days	7/10/18	8/6/18
1130	**Testing / Validation**	**20 days**	**7/10/18**	**8/6/18**
1131	Execution of Business Rules	20 days	7/10/18	8/6/18
1132	Validation of test cases against IES environment	20 days	7/10/18	8/6/18
1133	Identify, Track and Resolve Defects	20 days	7/10/18	8/6/18
1134	Prioritize and Retest Defects	20 days	7/10/18	8/6/18
1135	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	7/10/18	8/6/18
1136	Compile Test Results	20 days	7/10/18	8/6/18
1137	Sprint Review / Demo	1 day	8/6/18	8/6/18
1138	Sprint Planning	3 days	8/2/18	8/6/18
1139	**IE R2:PI1-Sprint 7**	**20 days**	**8/7/18**	**9/3/18**
1140	**Configuration**	**20 days**	**8/7/18**	**9/3/18**
1141	Interfaces / APIs	20 days	8/7/18	9/3/18
1142	Business Rules development	20 days	8/7/18	9/3/18
1143	Update Business rules repository	20 days	8/7/18	9/3/18
1144	Data Conversion / Test Data Management	20 days	8/7/18	9/3/18
1145	Integration with existing Systems	20 days	8/7/18	9/3/18

ID	Task Name	Duration	Start	Finish
1146	UI / UX	20 days	8/7/18	9/3/18
1147	Conduct Reviews	20 days	8/7/18	9/3/18
1148	**Testing / Validation**	**20 days**	**8/7/18**	**9/3/18**
1149	Execution of Business Rules	20 days	8/7/18	9/3/18
1150	Validation of test cases against IES environment	20 days	8/7/18	9/3/18
1151	Identify, Track and Resolve Defects	20 days	8/7/18	9/3/18
1152	Prioritize and Retest Defects	20 days	8/7/18	9/3/18
1153	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	8/7/18	9/3/18
1154	Compile Test Results	20 days	8/7/18	9/3/18
1155	Sprint Review / Demo	1 day	9/3/18	9/3/18
1156	Sprint Planning	3 days	8/30/18	9/3/18
1157	**IE R2:PI1-Sprint 8**	**20 days**	**9/4/18**	**10/1/18**
1158	**Configuration**	**20 days**	**9/4/18**	**10/1/18**
1159	Interfaces / APIs	20 days	9/4/18	10/1/18
1160	Business Rules development	20 days	9/4/18	10/1/18
1161	Update Business rules repository	20 days	9/4/18	10/1/18
1162	Data Conversion / Test Data Management	20 days	9/4/18	10/1/18
1163	Integration with existing Systems	20 days	9/4/18	10/1/18
1164	UI / UX	20 days	9/4/18	10/1/18
1165	Conduct Reviews	20 days	9/4/18	10/1/18
1166	**Testing / Validation**	**20 days**	**9/4/18**	**10/1/18**
1167	Execution of Business Rules	20 days	9/4/18	10/1/18
1168	Validation of test cases against IES environment	20 days	9/4/18	10/1/18
1169	Identify, Track and Resolve Defects	20 days	9/4/18	10/1/18
1170	Prioritize and Retest Defects	20 days	9/4/18	10/1/18
1171	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	9/4/18	10/1/18
1172	Compile Test Results	20 days	9/4/18	10/1/18
1173	Sprint Review / Demo	1 day	10/1/18	10/1/18
1174	Sprint Planning	3 days	9/27/18	10/1/18
1175	**Testing (Integration/E2E/Perf/UAT)**	**140 days**	**10/2/18**	**4/15/19**

ID	Task Name	Duration	Start	Finish
1176	**IE R2:PI1- Integration Test 1**	**20 days**	**10/2/18**	**10/29/18**
1177	Unit or Module Test	20 days	10/2/18	10/29/18
1178	Subsystem Integration Test	20 days	10/2/18	10/29/18
1179	System Qualification Test	20 days	10/2/18	10/29/18
1180	Regression Testing	20 days	10/2/18	10/29/18
1181	End to End Testing	20 days	10/2/18	10/29/18
1182	Data Conversion / Test Data Management	20 days	10/2/18	10/29/18
1183	Security Testing	20 days	10/2/18	10/29/18
1184	Interface / Accessibility Testing	20 days	10/2/18	10/29/18
1185	Parallel Testing	20 days	10/2/18	10/29/18
1186	Identify / Address Critical Defects	20 days	10/2/18	10/29/18
1187	**IE R2:PI1- Integration Test 2**	**20 days**	**10/30/18**	**11/26/18**
1188	Unit or Module Test	20 days	10/30/18	11/26/18
1189	Subsystem Integration Test	20 days	10/30/18	11/26/18
1190	System Qualification Test	20 days	10/30/18	11/26/18
1191	Regression Testing	20 days	10/30/18	11/26/18
1192	End to End Testing	20 days	10/30/18	11/26/18
1193	Data Conversion / Test Data Management	20 days	10/30/18	11/26/18
1194	Security Testing	20 days	10/30/18	11/26/18
1195	Interface / Accessibility Testing	20 days	10/30/18	11/26/18
1196	Parallel Testing	20 days	10/30/18	11/26/18
1197	Identify / Address Critical Defects	20 days	10/30/18	11/26/18
1198	**IE R2:PI1- Integration Test 3**	**20 days**	**11/27/18**	**12/24/18**
1199	Unit or Module Test	20 days	11/27/18	12/24/18
1200	Subsystem Integration Test	20 days	11/27/18	12/24/18
1201	System Qualification Test	20 days	11/27/18	12/24/18
1202	Regression Testing	20 days	11/27/18	12/24/18
1203	End to End Testing	20 days	11/27/18	12/24/18
1204	Data Conversion / Test Data Management	20 days	11/27/18	12/24/18
1205	Security Testing	20 days	11/27/18	12/24/18

ID	Task Name	Duration	Start	Finish
1206	Interface / Accessibility Testing	20 days	11/27/18	12/24/18
1207	Parallel Testing	20 days	11/27/18	12/24/18
1208	Identify / Address Critical Defects	20 days	11/27/18	12/24/18
1209	**IE R2:PI1- Integration Test 4**	**20 days**	**12/25/18**	**1/21/19**
1210	Unit or Module Test	20 days	12/25/18	1/21/19
1211	Subsystem Integration Test	20 days	12/25/18	1/21/19
1212	System Qualification Test	20 days	12/25/18	1/21/19
1213	Regression Testing	20 days	12/25/18	1/21/19
1214	End to End Testing	20 days	12/25/18	1/21/19
1215	Data Conversion / Test Data Management	20 days	12/25/18	1/21/19
1216	Security Testing	20 days	12/25/18	1/21/19
1217	Interface / Accessibility Testing	20 days	12/25/18	1/21/19
1218	Parallel Testing	20 days	12/25/18	1/21/19
1219	Identify / Address Critical Defects	20 days	12/25/18	1/21/19
1220	**IE R2:PI1- Performance**	**20 days**	**1/22/19**	**2/18/19**
1221	Performance Testing	20 days	1/22/19	2/18/19
1222	Mock Data Conversion	20 days	1/22/19	2/18/19
1223	Readiness Certification	20 days	1/22/19	2/18/19
1224	Site Readiness Assessments	20 days	1/22/19	2/18/19
1225	Identify / Address critical defects	20 days	1/22/19	2/18/19
1226	**IE R2:PI1- UAT 1**	**20 days**	**2/19/19**	**3/18/19**
1227	Prepare UAT test scripts	20 days	2/19/19	3/18/19
1228	Agency access to UAT environment	20 days	2/19/19	3/18/19
1229	Conduct UAT Testing / Ad-hoc testing	20 days	2/19/19	3/18/19
1230	Mock Data Conversion	20 days	2/19/19	3/18/19
1231	Review address critical defects	20 days	2/19/19	3/18/19
1232	Prepare UAT report	20 days	2/19/19	3/18/19
1233	**IE R2:PI1- UAT 2**	**20 days**	**3/19/19**	**4/15/19**
1234	Prepare UAT test scripts	20 days	3/19/19	4/15/19
1235	Agency access to UAT environment	20 days	3/19/19	4/15/19

ID	Task Name	Duration	Start	Finish
1236	Conduct UAT Testing / Ad-hoc testing	20 days	3/19/19	4/15/19
1237	Mock Data Conversion	20 days	3/19/19	4/15/19
1238	Review address critical defects	20 days	3/19/19	4/15/19
1239	Prepare UAT report	20 days	3/19/19	4/15/19
1240	**Development and Testing Deliverables**	**310 days**	**2/20/18**	**4/29/19**
1241	Review / Accept DEDs	15 days	2/20/18	3/12/18
1242	**System Documentation**	**30 days**	**2/20/18**	**4/2/18**
1243	Initial Draft Created	20 days	2/20/18	3/19/18
1244	Draft Reviewed	10 days	3/20/18	4/2/18
1245	Approval Obtained	1 day	4/2/18	4/2/18
1246	**System Security Plan (SSP)**	**30 days**	**2/20/18**	**4/2/18**
1247	Initial Draft Created	20 days	2/20/18	3/19/18
1248	Draft Reviewed	10 days	3/20/18	4/2/18
1249	Approval Obtained	1 day	4/2/18	4/2/18
1250	**Safeguard Procedures Report (SPR)**	**30 days**	**3/20/18**	**4/30/18**
1251	Initial Draft Created	20 days	3/20/18	4/16/18
1252	Draft Reviewed	10 days	4/17/18	4/30/18
1253	Approval Obtained	1 day	4/30/18	4/30/18
1254	**User Documentation**	**30 days**	**3/20/18**	**4/30/18**
1255	Initial Draft Created	20 days	3/20/18	4/16/18
1256	Draft Reviewed	10 days	4/17/18	4/30/18
1257	Approval Obtained	1 day	4/30/18	4/30/18
1258	**Data Conversion System Integration Test Cases**	**30 days**	**4/17/18**	**5/28/18**
1259	Initial Draft Created	20 days	4/17/18	5/14/18
1260	Draft Reviewed	10 days	5/15/18	5/28/18
1261	Approval Obtained	1 day	5/28/18	5/28/18
1262	**System Integration Test Cases**	**30 days**	**4/17/18**	**5/28/18**
1263	Initial Draft Created	20 days	4/17/18	5/14/18
1264	Draft Reviewed	10 days	5/15/18	5/28/18
1265	Approval Obtained	1 day	5/28/18	5/28/18

ID	Task Name	Duration	Start	Finish
1266	**Regression Test Cases**	**30 days**	**5/15/18**	**6/25/18**
1267	Initial Draft Created	20 days	5/15/18	6/11/18
1268	Draft Reviewed	10 days	6/12/18	6/25/18
1269	Approval Obtained	1 day	6/25/18	6/25/18
1270	**Load/Stress Test Cases**	**30 days**	**5/15/18**	**6/25/18**
1271	Initial Draft Created	20 days	5/15/18	6/11/18
1272	Draft Reviewed	10 days	6/12/18	6/25/18
1273	Approval Obtained	1 day	6/25/18	6/25/18
1274	**User Acceptance Test Cases**	**30 days**	**5/15/18**	**6/25/18**
1275	Initial Draft Created	20 days	5/15/18	6/11/18
1276	Draft Reviewed	10 days	6/12/18	6/25/18
1277	Approval Obtained	1 day	6/25/18	6/25/18
1278	**Data Conversion System Integration Test Results**	**20 days**	**1/8/19**	**2/4/19**
1279	Initial Draft Created	10 days	1/8/19	1/21/19
1280	Draft Reviewed	10 days	1/22/19	2/4/19
1281	Approval Obtained	1 day	2/4/19	2/4/19
1282	**System Integration Test Results**	**20 days**	**1/8/19**	**2/4/19**
1283	Initial Draft Created	10 days	1/8/19	1/21/19
1284	Draft Reviewed	10 days	1/22/19	2/4/19
1285	Approval Obtained	1 day	2/4/19	2/4/19
1286	**Regression Test Results**	**20 days**	**1/8/19**	**2/4/19**
1287	Initial Draft Created	10 days	1/8/19	1/21/19
1288	Draft Reviewed	10 days	1/22/19	2/4/19
1289	Approval Obtained	1 day	2/4/19	2/4/19
1290	**Load/Stress Test Results**	**20 days**	**2/5/19**	**3/4/19**
1291	Initial Draft Created	10 days	2/5/19	2/18/19
1292	Draft Reviewed	10 days	2/19/19	3/4/19
1293	Approval Obtained	1 day	3/4/19	3/4/19
1294	**Capacity Analysis Report**	**20 days**	**2/5/19**	**3/4/19**
1295	Initial Draft Created	10 days	2/5/19	2/18/19

ID	Task Name	Duration	Start	Finish
1296	Draft Reviewed	10 days	2/19/19	3/4/19
1297	Approval Obtained	1 day	3/4/19	3/4/19
1298	M:Overall Completion of System Testing	0 days	2/18/19	2/18/19
1299	**User Acceptance Test Results**	**20 days**	**4/2/19**	**4/29/19**
1300	Initial Draft Created	10 days	4/2/19	4/15/19
1301	Draft Reviewed	10 days	4/16/19	4/29/19
1302	Approval Obtained	1 day	4/29/19	4/29/19
1303	M:Overall Completion of User Acceptance Testing	0 days	4/29/19	4/29/19
1304	**Implementation Readiness**	**90 days**	**12/25/18**	**4/29/19**
1305	**Training**	**25 days**	**1/22/19**	**2/25/19**
1306	Prepare Training Materials	15 days	1/22/19	2/11/19
1307	Prepare / Schedule Training for End Users and T3	15 days	1/22/19	2/11/19
1308	UAT training	10 days	1/29/19	2/11/19
1309	Conduct Training for End Users and T3	10 days	2/12/19	2/25/19
1310	Configure Support system (helpdesk) with workflow and knowledge Base	10 days	2/12/19	2/25/19
1311	M&O Support	10 days	2/12/19	2/25/19
1312	**Operational Readiness**	**20 days**	**2/26/19**	**3/25/19**
1313	Baseline Checklist of Operational Areas	20 days	2/26/19	3/25/19
1314	Policies and Procedures, Job Aids Prepared & Posted	20 days	2/26/19	3/25/19
1315	Support system (helpdesk) Configured With Workflow and Knowledge Base	20 days	2/26/19	3/25/19
1316	Contacts Information and Contacts Defined	20 days	2/26/19	3/25/19
1317	Operational Reporting Requirements Defined	20 days	2/26/19	3/25/19
1318	Communication Planning and Execution	20 days	2/26/19	3/25/19
1319	Phone Lines & Phone Scripts are Open & Active	20 days	2/26/19	3/25/19
1320	Schedule & Conduct Dry Run With HelpDesk Staff on Rules	20 days	2/26/19	3/25/19
1321	Modify Checklist Based on Dry Run Feedback	20 days	2/26/19	3/25/19
1322	Schedule & Conduct Meeting With DHHR to review Checklist, Demo Product for ORT Walk Through	20 days	2/26/19	3/25/19
1323	Revise Checklist Based on DHHR Feedback	20 days	2/26/19	3/25/19

ID	Task Name	Duration	Start	Finish
1324	**Implementation Readiness Deliverables**	**90 days**	**12/25/18**	**4/29/19**
1325	Review / Accept DEDs	15 days	12/25/18	1/14/19
1326	**Operational Readiness Plan**	**20 days**	**1/8/19**	**2/4/19**
1327	Initial Draft Created	10 days	1/8/19	1/21/19
1328	Draft Reviewed	10 days	1/22/19	2/4/19
1329	Approval Obtained	1 day	2/4/19	2/4/19
1330	**Operational Readiness Test Scripts**	**20 days**	**1/22/19**	**2/18/19**
1331	Initial Draft Created	10 days	1/22/19	2/4/19
1332	Draft Reviewed	10 days	2/5/19	2/18/19
1333	Approval Obtained	1 day	2/18/19	2/18/19
1334	**Operational Readiness Test Results**	**20 days**	**3/26/19**	**4/22/19**
1335	Initial Draft Created	10 days	3/26/19	4/8/19
1336	Draft Reviewed	10 days	4/9/19	4/22/19
1337	Approval Obtained	1 day	4/22/19	4/22/19
1338	**Updated Training Management Plan**	**20 days**	**12/25/18**	**1/21/19**
1339	Initial Draft Created	10 days	12/25/18	1/7/19
1340	Draft Reviewed	10 days	1/8/19	1/21/19
1341	Approval Obtained	1 day	1/21/19	1/21/19
1342	**Training Schedule**	**20 days**	**12/25/18**	**1/21/19**
1343	Initial Draft Created	10 days	12/25/18	1/7/19
1344	Draft Reviewed	10 days	1/8/19	1/21/19
1345	Approval Obtained	1 day	1/21/19	1/21/19
1346	**Training Materials**	**20 days**	**12/25/18**	**1/21/19**
1347	Initial Draft Created	10 days	12/25/18	1/7/19
1348	Draft Reviewed	10 days	1/8/19	1/21/19
1349	Approval Obtained	1 day	1/21/19	1/21/19
1350	**Training Report**	**15 days**	**2/19/19**	**3/11/19**
1351	Initial Draft Created	5 days	2/19/19	2/25/19
1352	Draft Reviewed	10 days	2/26/19	3/11/19
1353	Approval Obtained	1 day	3/11/19	3/11/19

ID	Task Name	Duration	Start	Finish
1354	**Implementation Plan**	**20 days**	**2/5/19**	**3/4/19**
1355	Initial Draft Created	10 days	2/5/19	2/18/19
1356	Draft Reviewed	10 days	2/19/19	3/4/19
1357	Approval Obtained	1 day	3/4/19	3/4/19
1358	**Cut-Over Play Book**	**20 days**	**2/19/19**	**3/18/19**
1359	Initial Draft Created	10 days	2/19/19	3/4/19
1360	Draft Reviewed	10 days	3/5/19	3/18/19
1361	Approval Obtained	1 day	3/18/19	3/18/19
1362	**Report Distribution Schedule**	**20 days**	**3/5/19**	**4/1/19**
1363	Initial Draft Created	10 days	3/5/19	3/18/19
1364	Draft Reviewed	10 days	3/19/19	4/1/19
1365	Approval Obtained	1 day	4/1/19	4/1/19
1366	**Operations Project Management Plans**	**20 days**	**3/19/19**	**4/15/19**
1367	Initial Draft Created	10 days	3/19/19	4/1/19
1368	Draft Reviewed	10 days	4/2/19	4/15/19
1369	Approval Obtained	1 day	4/15/19	4/15/19
1370	**Solution health Monitoring Plan**	**20 days**	**4/2/19**	**4/29/19**
1371	Initial Draft Created	10 days	4/2/19	4/15/19
1372	Draft Reviewed	10 days	4/16/19	4/29/19
1373	Approval Obtained	1 day	4/29/19	4/29/19
1374	M:Overall Completion of Implementation Readiness	0 days	4/29/19	4/29/19
1375	Readiness Results Review - DHHR	5 days	4/23/19	4/29/19
1376	Go-No-Go Decision	1 day	4/29/19	4/29/19
1377	Cutover of Cash Asst (SNAP/TANF/ChildCare)	5 days	4/30/19	5/6/19
1378	M:Overall Completion of Deployment to Production (Pilot)	0 days	5/6/19	5/6/19
1379	IE R2:PI1 - Pilot	60 days	5/7/19	7/29/19
1380	**Implementation Readiness Certification Deliverables**	**30 days**	**6/18/19**	**7/29/19**
1381	**Federal Certification and Review Management Plan**	**20 days**	**6/18/19**	**7/15/19**
1382	Initial Draft Created	10 days	6/18/19	7/1/19
1383	Draft Reviewed	10 days	7/2/19	7/15/19

ID	Task Name	Duration	Start	Finish
1384	Approval Obtained	1 day	7/15/19	7/15/19
1385	**ACF Certification Documentation**	**20 days**	**6/18/19**	**7/15/19**
1386	Initial Draft Created	10 days	6/18/19	7/1/19
1387	Draft Reviewed	10 days	7/2/19	7/15/19
1388	Approval Obtained	1 day	7/15/19	7/15/19
1389	**Federal Review Supporting Documentation**	**20 days**	**7/2/19**	**7/29/19**
1390	Initial Draft Created	10 days	7/2/19	7/15/19
1391	Draft Reviewed	10 days	7/16/19	7/29/19
1392	Approval Obtained	1 day	7/29/19	7/29/19
1393	**Social Security Administration Certification Documentation**	**20 days**	**7/2/19**	**7/29/19**
1394	Initial Draft Created	10 days	7/2/19	7/15/19
1395	Draft Reviewed	10 days	7/16/19	7/29/19
1396	Approval Obtained	1 day	7/29/19	7/29/19
1397	**Implementation Certification Letter**	**20 days**	**7/2/19**	**7/29/19**
1398	Initial Draft Created	10 days	7/2/19	7/15/19
1399	Draft Reviewed	10 days	7/16/19	7/29/19
1400	Approval Obtained	1 day	7/29/19	7/29/19
1401	IE R2:PI1 - Statewide Rollout	5 days	7/30/19	8/5/19
1402	M:Overall Completion of Deployment to Production	0 days	8/5/19	8/5/19
1403	IE R2:PI1 - Post Production Support	30 days	8/6/19	9/16/19
1404	**IE R2:PI2 - Healthcare (Medicaid/CHIP)**	**580 days**	**10/5/17**	**12/25/19**
1405	**Requirements Validation**	**60 days**	**10/5/17**	**12/27/17**
1406	**Requirements Analysis**	**60 days**	**10/5/17**	**12/27/17**
1407	**Healthcare (Medicaid/CHIP)**	**60 days**	**10/5/17**	**12/27/17**
1408	Complete detailed review of all workflows, use case documentation, and requirements developed by DHHR	60 days	10/5/17	12/27/17
1409	Interviews with key stakeholders to understand how baseline requirements translate into technical details	60 days	10/5/17	12/27/17
1410	Develop draft software requirements methodology that addresses the approach and tools for alignment with existing baseline requirements	60 days	10/5/17	12/27/17

ID	Task Name	Duration	Start	Finish
1411	UI/UX Reviews	60 days	10/5/17	12/27/17
1412	Conduct cross-walk of the BA and functional requirements against current functionality (gap analysis)	60 days	10/5/17	12/27/17
1413	Prepare Requirements Validation DEDs / Deliverables	60 days	10/5/17	12/27/17
1414	**Requirements Deliverables**	**60 days**	**10/5/17**	**12/27/17**
1415	Review / Accept DEDs	10 days	10/5/17	10/18/17
1416	**Requirements Traceability Matrix (RTM)**	**40 days**	**10/12/17**	**12/6/17**
1417	Initial Draft Created	30 days	10/12/17	11/22/17
1418	Draft Reviewed	10 days	11/23/17	12/6/17
1419	Approval Obtained	1 day	12/6/17	12/6/17
1420	**Requirements Specification Document (RSD)**	**40 days**	**11/2/17**	**12/27/17**
1421	Initial Draft Created	30 days	11/2/17	12/13/17
1422	Draft Reviewed	10 days	12/14/17	12/27/17
1423	Approval Obtained	1 day	12/27/17	12/27/17
1424	M:Overall Completion of Requirements Validation	0 days	12/27/17	12/27/17
1425	**Design**	**60 days**	**11/16/17**	**2/7/18**
1426	**Solution Design (JAD) & Release Planning**	**60 days**	**11/16/17**	**2/7/18**
1427	**Healthcare (Medicaid/CHIP)**	**60 days**	**11/16/17**	**2/7/18**
1428	Review Enterprise Architecture to understand solution design approach and compliance requirements	60 days	11/16/17	2/7/18
1429	UI/UX Design Sessions	60 days	11/16/17	2/7/18
1430	Define conceptual architecture	60 days	11/16/17	2/7/18
1431	Define logical architecture (SOA layers, Vendors, Service Consumers, Service Brokers, dependencies)	60 days	11/16/17	2/7/18
1432	Define physical architecture (various application services and how they should be implemented, integration layers)	60 days	11/16/17	2/7/18
1433	Functional Design / Technical Design sessions	60 days	11/16/17	2/7/18
1434	Data Conversion / Test Data Management	60 days	11/16/17	2/7/18
1435	Prepare Design DEDs / Deliverables	60 days	11/16/17	2/7/18
1436	**Design Deliverables**	**60 days**	**11/16/17**	**2/7/18**
1437	Review / Accept DEDs	10 days	11/16/17	11/29/17

ID	Task Name	Duration	Start	Finish
1438	**Requirements Gap Analysis Document**	**25 days**	**11/16/17**	**12/20/17**
1439	Initial Draft Created	15 days	11/16/17	12/6/17
1440	Draft Reviewed	10 days	12/7/17	12/20/17
1441	Approval Obtained	10 days	12/7/17	12/20/17
1442	**Business Process Models**	**25 days**	**11/16/17**	**12/20/17**
1443	Initial Draft Created	15 days	11/16/17	12/6/17
1444	Draft Reviewed	10 days	12/7/17	12/20/17
1445	Approval Obtained	1 day	12/20/17	12/20/17
1446	**Detailed System Design (DSD) Document**	**25 days**	**11/16/17**	**12/20/17**
1447	Initial Draft Created	15 days	11/16/17	12/6/17
1448	Draft Reviewed	10 days	12/7/17	12/20/17
1449	Approval Obtained	1 day	12/20/17	12/20/17
1450	**Data Dictionary**	**25 days**	**12/7/17**	**1/10/18**
1451	Initial Draft Created	15 days	12/7/17	12/27/17
1452	Draft Reviewed	10 days	12/28/17	1/10/18
1453	Approval Obtained	1 day	12/27/17	12/27/17
1454	**Data Models**	**25 days**	**12/7/17**	**1/10/18**
1455	Initial Draft Created	15 days	12/7/17	12/27/17
1456	Draft Reviewed	10 days	12/28/17	1/10/18
1457	Approval Obtained	1 day	1/10/18	1/10/18
1458	**Reports Inventory**	**25 days**	**12/7/17**	**1/10/18**
1459	Initial Draft Created	15 days	12/7/17	12/27/17
1460	Draft Reviewed	10 days	12/28/17	1/10/18
1461	Approval Obtained	1 day	1/10/18	1/10/18
1462	**Correspondence Inventory**	**25 days**	**12/7/17**	**1/10/18**
1463	Initial Draft Created	15 days	12/7/17	12/27/17
1464	Draft Reviewed	10 days	12/28/17	1/10/18
1465	Approval Obtained	1 day	1/10/18	1/10/18
1466	**Forms Inventory**	**20 days**	**12/28/17**	**1/24/18**
1467	Initial Draft Created	10 days	12/28/17	1/10/18

ID	Task Name	Duration	Start	Finish
1468	Draft Reviewed	10 days	1/11/18	1/24/18
1469	Approval Obtained	1 day	1/24/18	1/24/18
1470	**Interface Inventory**	**20 days**	**12/28/17**	**1/24/18**
1471	Initial Draft Created	10 days	12/28/17	1/10/18
1472	Draft Reviewed	10 days	1/11/18	1/24/18
1473	Approval Obtained	1 day	1/24/18	1/24/18
1474	**Data Cleansing and Conversion Requirements Document**	**20 days**	**1/11/18**	**2/7/18**
1475	Initial Draft Created	10 days	1/11/18	1/24/18
1476	Draft Reviewed	10 days	1/25/18	2/7/18
1477	Approval Obtained	1 day	2/7/18	2/7/18
1478	**Data Cleansing and Conversion Specification Document**	**20 days**	**1/11/18**	**2/7/18**
1479	Initial Draft Created	10 days	1/11/18	1/24/18
1480	Draft Reviewed	10 days	1/25/18	2/7/18
1481	Approval Obtained	1 day	2/7/18	2/7/18
1482	M:Overall Completion of Design Phase	0 days	2/7/18	2/7/18
1483	**Development and Testing**	**370 days**	**3/8/18**	**8/7/19**
1484	**Execution (Design/Build/Sys Test)**	**220 days**	**3/8/18**	**1/9/19**
1485	**IE R2:PI2 - Design Sprint**	**20 days**	**3/8/18**	**4/4/18**
1486	Conduct Business Rules specification sessions	20 days	3/8/18	4/4/18
1487	System integration points	20 days	3/8/18	4/4/18
1488	Design Interfaces / APIs	20 days	3/8/18	4/4/18
1489	Technical security controls and security architecture	20 days	3/8/18	4/4/18
1490	System Context Diagram updates	20 days	3/8/18	4/4/18
1491	Business Rules Designs	20 days	3/8/18	4/4/18
1492	UI/UX	20 days	3/8/18	4/4/18
1493	Data Conversion / Test Data Management	20 days	3/8/18	4/4/18
1494	Current / Future state Modeling sessions	20 days	3/8/18	4/4/18
1495	Prepare Development / Test / Readiness DEDs	20 days	3/8/18	4/4/18
1496	**IE R2:PI2-Sprint 1**	**20 days**	**4/5/18**	**5/2/18**
1497	**Configuration**	**20 days**	**4/5/18**	**5/2/18**

ID	Task Name	Duration	Start	Finish
1498	Interfaces / APIs	20 days	4/5/18	5/2/18
1499	Business Rules development	20 days	4/5/18	5/2/18
1500	Update Business rules repository	20 days	4/5/18	5/2/18
1501	Data Conversion / Test Data Management	20 days	4/5/18	5/2/18
1502	Integration with existing Systems	20 days	4/5/18	5/2/18
1503	UI / UX	20 days	4/5/18	5/2/18
1504	Conduct Reviews	20 days	4/5/18	5/2/18
1505	**Testing / Validation**	**20 days**	**4/5/18**	**5/2/18**
1506	Execution of Business Rules	20 days	4/5/18	5/2/18
1507	Validation of test cases against IES environment	20 days	4/5/18	5/2/18
1508	Identify, Track and Resolve Defects	20 days	4/5/18	5/2/18
1509	Prioritize and Retest Defects	20 days	4/5/18	5/2/18
1510	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	4/5/18	5/2/18
1511	Compile Test Results	20 days	4/5/18	5/2/18
1512	Sprint Review / Demo	1 day	5/2/18	5/2/18
1513	Sprint Planning	3 days	4/30/18	5/2/18
1514	**IE R2:PI2-Sprint 2**	**20 days**	**5/3/18**	**5/30/18**
1515	**Configuration**	**20 days**	**5/3/18**	**5/30/18**
1516	Interfaces / APIs	20 days	5/3/18	5/30/18
1517	Business Rules development	20 days	5/3/18	5/30/18
1518	Update Business rules repository	20 days	5/3/18	5/30/18
1519	Data Conversion / Test Data Management	20 days	5/3/18	5/30/18
1520	Integration with existing Systems	20 days	5/3/18	5/30/18
1521	UI / UX	20 days	5/3/18	5/30/18
1522	Conduct Reviews	20 days	5/3/18	5/30/18
1523	**Testing / Validation**	**20 days**	**5/3/18**	**5/30/18**
1524	Execution of Business Rules	20 days	5/3/18	5/30/18
1525	Validation of test cases against IES environment	20 days	5/3/18	5/30/18
1526	Identify, Track and Resolve Defects	20 days	5/3/18	5/30/18
1527	Prioritize and Retest Defects	20 days	5/3/18	5/30/18

ID	Task Name	Duration	Start	Finish
1528	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	5/3/18	5/30/18
1529	Compile Test Results	20 days	5/3/18	5/30/18
1530	Sprint Review / Demo	1 day	5/30/18	5/30/18
1531	Sprint Planning	3 days	5/28/18	5/30/18
1532	**IE R2:PI2-Sprint 3**	**20 days**	**5/31/18**	**6/27/18**
1533	**Configuration**	**20 days**	**5/31/18**	**6/27/18**
1534	Interfaces / APIs	20 days	5/31/18	6/27/18
1535	Business Rules development	20 days	5/31/18	6/27/18
1536	Update Business rules repository	20 days	5/31/18	6/27/18
1537	Data Conversion / Test Data Management	20 days	5/31/18	6/27/18
1538	Integration with existing Systems	20 days	5/31/18	6/27/18
1539	UI / UX	20 days	5/31/18	6/27/18
1540	Conduct Reviews	20 days	5/31/18	6/27/18
1541	**Testing / Validation**	**20 days**	**5/31/18**	**6/27/18**
1542	Execution of Business Rules	20 days	5/31/18	6/27/18
1543	Validation of test cases against IES environment	20 days	5/31/18	6/27/18
1544	Identify, Track and Resolve Defects	20 days	5/31/18	6/27/18
1545	Prioritize and Retest Defects	20 days	5/31/18	6/27/18
1546	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	5/31/18	6/27/18
1547	Compile Test Results	20 days	5/31/18	6/27/18
1548	Sprint Review / Demo	1 day	6/27/18	6/27/18
1549	Sprint Planning	3 days	6/25/18	6/27/18
1550	**IE R2:PI2-Sprint 4**	**20 days**	**6/28/18**	**7/25/18**
1551	**Configuration**	**20 days**	**6/28/18**	**7/25/18**
1552	Interfaces / APIs	20 days	6/28/18	7/25/18
1553	Business Rules development	20 days	6/28/18	7/25/18
1554	Update Business rules repository	20 days	6/28/18	7/25/18
1555	Data Conversion / Test Data Management	20 days	6/28/18	7/25/18
1556	Integration with existing Systems	20 days	6/28/18	7/25/18
1557	UI / UX	20 days	6/28/18	7/25/18

ID	Task Name	Duration	Start	Finish
1558	Conduct Reviews	20 days	6/28/18	7/25/18
1559	**Testing / Validation**	**20 days**	**6/28/18**	**7/25/18**
1560	Execution of Business Rules	20 days	6/28/18	7/25/18
1561	Validation of test cases against IES environment	20 days	6/28/18	7/25/18
1562	Identify, Track and Resolve Defects	20 days	6/28/18	7/25/18
1563	Prioritize and Retest Defects	20 days	6/28/18	7/25/18
1564	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	6/28/18	7/25/18
1565	Compile Test Results	20 days	6/28/18	7/25/18
1566	Sprint Review / Demo	1 day	7/25/18	7/25/18
1567	Sprint Planning	3 days	7/23/18	7/25/18
1568	**IE R2:PI2-Sprint 5**	**20 days**	**7/26/18**	**8/22/18**
1569	**Configuration**	**20 days**	**7/26/18**	**8/22/18**
1570	Interfaces / APIs	20 days	7/26/18	8/22/18
1571	Business Rules development	20 days	7/26/18	8/22/18
1572	Update Business rules repository	20 days	7/26/18	8/22/18
1573	Data Conversion / Test Data Management	20 days	7/26/18	8/22/18
1574	Integration with existing Systems	20 days	7/26/18	8/22/18
1575	UI / UX	20 days	7/26/18	8/22/18
1576	Conduct Reviews	20 days	7/26/18	8/22/18
1577	**Testing / Validation**	**20 days**	**7/26/18**	**8/22/18**
1578	Execution of Business Rules	20 days	7/26/18	8/22/18
1579	Validation of test cases against IES environment	20 days	7/26/18	8/22/18
1580	Identify, Track and Resolve Defects	20 days	7/26/18	8/22/18
1581	Prioritize and Retest Defects	20 days	7/26/18	8/22/18
1582	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	7/26/18	8/22/18
1583	Compile Test Results	20 days	7/26/18	8/22/18
1584	Sprint Review / Demo	1 day	8/22/18	8/22/18
1585	Sprint Planning	3 days	8/20/18	8/22/18
1586	**IE R2:PI2-Sprint 6**	**20 days**	**8/23/18**	**9/19/18**
1587	**Configuration**	**20 days**	**8/23/18**	**9/19/18**

ID	Task Name	Duration	Start	Finish
1588	Interfaces / APIs	20 days	8/23/18	9/19/18
1589	Business Rules development	20 days	8/23/18	9/19/18
1590	Update Business rules repository	20 days	8/23/18	9/19/18
1591	Data Conversion / Test Data Management	20 days	8/23/18	9/19/18
1592	Integration with existing Systems	20 days	8/23/18	9/19/18
1593	UI / UX	20 days	8/23/18	9/19/18
1594	Conduct Reviews	20 days	8/23/18	9/19/18
1595	**Testing / Validation**	**20 days**	**8/23/18**	**9/19/18**
1596	Execution of Business Rules	20 days	8/23/18	9/19/18
1597	Validation of test cases against IES environment	20 days	8/23/18	9/19/18
1598	Identify, Track and Resolve Defects	20 days	8/23/18	9/19/18
1599	Prioritize and Retest Defects	20 days	8/23/18	9/19/18
1600	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	8/23/18	9/19/18
1601	Compile Test Results	20 days	8/23/18	9/19/18
1602	Sprint Review / Demo	1 day	9/19/18	9/19/18
1603	Sprint Planning	3 days	9/17/18	9/19/18
1604	**IE R2:PI2-Sprint 7**	**20 days**	**9/20/18**	**10/17/18**
1605	**Configuration**	**20 days**	**9/20/18**	**10/17/18**
1606	Interfaces / APIs	20 days	9/20/18	10/17/18
1607	Business Rules development	20 days	9/20/18	10/17/18
1608	Update Business rules repository	20 days	9/20/18	10/17/18
1609	Data Conversion / Test Data Management	20 days	9/20/18	10/17/18
1610	Integration with existing Systems	20 days	9/20/18	10/17/18
1611	UI / UX	20 days	9/20/18	10/17/18
1612	Conduct Reviews	20 days	9/20/18	10/17/18
1613	**Testing / Validation**	**20 days**	**9/20/18**	**10/17/18**
1614	Execution of Business Rules	20 days	9/20/18	10/17/18
1615	Validation of test cases against IES environment	20 days	9/20/18	10/17/18
1616	Identify, Track and Resolve Defects	20 days	9/20/18	10/17/18
1617	Prioritize and Retest Defects	20 days	9/20/18	10/17/18

ID	Task Name	Duration	Start	Finish
1618	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	9/20/18	10/17/18
1619	Compile Test Results	20 days	9/20/18	10/17/18
1620	Sprint Review / Demo	1 day	10/17/18	10/17/18
1621	Sprint Planning	3 days	10/15/18	10/17/18
1622	**IE R2:PI2-Sprint 8**	**20 days**	**10/18/18**	**11/14/18**
1623	**Configuration**	**20 days**	**10/18/18**	**11/14/18**
1624	Interfaces / APIs	20 days	10/18/18	11/14/18
1625	Business Rules development	20 days	10/18/18	11/14/18
1626	Update Business rules repository	20 days	10/18/18	11/14/18
1627	Data Conversion / Test Data Management	20 days	10/18/18	11/14/18
1628	Integration with existing Systems	20 days	10/18/18	11/14/18
1629	UI / UX	20 days	10/18/18	11/14/18
1630	Conduct Reviews	20 days	10/18/18	11/14/18
1631	**Testing / Validation**	**20 days**	**10/18/18**	**11/14/18**
1632	Execution of Business Rules	20 days	10/18/18	11/14/18
1633	Validation of test cases against IES environment	20 days	10/18/18	11/14/18
1634	Identify, Track and Resolve Defects	20 days	10/18/18	11/14/18
1635	Prioritize and Retest Defects	20 days	10/18/18	11/14/18
1636	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	10/18/18	11/14/18
1637	Compile Test Results	20 days	10/18/18	11/14/18
1638	Sprint Review / Demo	1 day	11/14/18	11/14/18
1639	Sprint Planning	3 days	11/12/18	11/14/18
1640	**IE R2:PI2-Sprint 9**	**20 days**	**11/15/18**	**12/12/18**
1641	**Configuration**	**20 days**	**11/15/18**	**12/12/18**
1642	Interfaces / APIs	20 days	11/15/18	12/12/18
1643	Business Rules development	20 days	11/15/18	12/12/18
1644	Update Business rules repository	20 days	11/15/18	12/12/18
1645	Data Conversion / Test Data Management	20 days	11/15/18	12/12/18
1646	Integration with existing Systems	20 days	11/15/18	12/12/18
1647	UI / UX	20 days	11/15/18	12/12/18

ID	Task Name	Duration	Start	Finish
1648	Conduct Reviews	20 days	11/15/18	12/12/18
1649	**Testing / Validation**	**20 days**	**11/15/18**	**12/12/18**
1650	Execution of Business Rules	20 days	11/15/18	12/12/18
1651	Validation of test cases against IES environment	20 days	11/15/18	12/12/18
1652	Identify, Track and Resolve Defects	20 days	11/15/18	12/12/18
1653	Prioritize and Retest Defects	20 days	11/15/18	12/12/18
1654	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	11/15/18	12/12/18
1655	Compile Test Results	20 days	11/15/18	12/12/18
1656	Sprint Review / Demo	1 day	12/12/18	12/12/18
1657	Sprint Planning	3 days	12/10/18	12/12/18
1658	**IE R2:PI2-Sprint 10**	**20 days**	**12/13/18**	**1/9/19**
1659	**Configuration**	**20 days**	**12/13/18**	**1/9/19**
1660	Interfaces / APIs	20 days	12/13/18	1/9/19
1661	Business Rules development	20 days	12/13/18	1/9/19
1662	Update Business rules repository	20 days	12/13/18	1/9/19
1663	Data Conversion / Test Data Management	20 days	12/13/18	1/9/19
1664	Integration with existing Systems	20 days	12/13/18	1/9/19
1665	UI / UX	20 days	12/13/18	1/9/19
1666	Conduct Reviews	20 days	12/13/18	1/9/19
1667	**Testing / Validation**	**20 days**	**12/13/18**	**1/9/19**
1668	Execution of Business Rules	20 days	12/13/18	1/9/19
1669	Validation of test cases against IES environment	20 days	12/13/18	1/9/19
1670	Identify, Track and Resolve Defects	20 days	12/13/18	1/9/19
1671	Prioritize and Retest Defects	20 days	12/13/18	1/9/19
1672	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	12/13/18	1/9/19
1673	Compile Test Results	20 days	12/13/18	1/9/19
1674	Sprint Review / Demo	1 day	1/9/19	1/9/19
1675	Sprint Planning	3 days	1/7/19	1/9/19
1676	**Testing (Integration/E2E/Perf/UAT)**	**140 days**	**1/10/19**	**7/24/19**
1677	**IE R2:PI2- Integration Test 1**	**20 days**	**1/10/19**	**2/6/19**

ID	Task Name	Duration	Start	Finish
1678	Unit or Module Test	20 days	1/10/19	2/6/19
1679	Subsystem Integration Test	20 days	1/10/19	2/6/19
1680	System Qualification Test	20 days	1/10/19	2/6/19
1681	Regression Testing	20 days	1/10/19	2/6/19
1682	End to End Testing	20 days	1/10/19	2/6/19
1683	Data Conversion Test	20 days	1/10/19	2/6/19
1684	Security Testing	20 days	1/10/19	2/6/19
1685	Interface / Accessibility Testing	20 days	1/10/19	2/6/19
1686	Parallel Testing	20 days	1/10/19	2/6/19
1687	Identify / Address Critical Defects	20 days	1/10/19	2/6/19
1688	**IE R2:PI2- Integration Test 2**	**20 days**	**2/7/19**	**3/6/19**
1689	Unit or Module Test	20 days	2/7/19	3/6/19
1690	Subsystem Integration Test	20 days	2/7/19	3/6/19
1691	System Qualification Test	20 days	2/7/19	3/6/19
1692	Regression Testing	20 days	2/7/19	3/6/19
1693	End to End Testing	20 days	2/7/19	3/6/19
1694	Data Conversion Testing	20 days	2/7/19	3/6/19
1695	Security Testing	20 days	2/7/19	3/6/19
1696	Interface / Accessibility Testing	20 days	2/7/19	3/6/19
1697	Parallel Testing	20 days	2/7/19	3/6/19
1698	Identify / Address Critical Defects	20 days	2/7/19	3/6/19
1699	**IE R2:PI2- Integration Test 3**	**20 days**	**3/7/19**	**4/3/19**
1700	Unit or Module Test	20 days	3/7/19	4/3/19
1701	Subsystem Integration Test	20 days	3/7/19	4/3/19
1702	System Qualification Test	20 days	3/7/19	4/3/19
1703	Regression Testing	20 days	3/7/19	4/3/19
1704	End to End Testing	20 days	3/7/19	4/3/19
1705	Data Conversion Testing	20 days	3/7/19	4/3/19
1706	Security Testing	20 days	3/7/19	4/3/19
1707	Interface / Accessibility Testing	20 days	3/7/19	4/3/19

ID	Task Name	Duration	Start	Finish
1708	Parallel Testing	20 days	3/7/19	4/3/19
1709	Identify / Address Critical Defects	20 days	3/7/19	4/3/19
1710	**IE R2:PI2- Integration Test 4**	**20 days**	**4/4/19**	**5/1/19**
1711	Unit or Module Test	20 days	4/4/19	5/1/19
1712	Subsystem Integration Test	20 days	4/4/19	5/1/19
1713	System Qualification Test	20 days	4/4/19	5/1/19
1714	Regression Testing	20 days	4/4/19	5/1/19
1715	End to End Testing	20 days	4/4/19	5/1/19
1716	Data Conversion Testing	20 days	4/4/19	5/1/19
1717	Security Testing	20 days	4/4/19	5/1/19
1718	Interface / Accessibility Testing	20 days	4/4/19	5/1/19
1719	Parallel Testing	20 days	4/4/19	5/1/19
1720	Identify / Address Critical Defects	20 days	4/4/19	5/1/19
1721	**IE R2:PI2- Performance**	**20 days**	**5/2/19**	**5/29/19**
1722	Performance Testing	20 days	5/2/19	5/29/19
1723	Mock Data Conversions	20 days	5/2/19	5/29/19
1724	Readiness Certification	20 days	5/2/19	5/29/19
1725	Site Readiness Assessments	20 days	5/2/19	5/29/19
1726	Identify / Address critical defects	20 days	5/2/19	5/29/19
1727	**IE R2:PI2-UAT 1**	**20 days**	**5/30/19**	**6/26/19**
1728	Prepare UAT test scripts	20 days	5/30/19	6/26/19
1729	Agency access to UAT environment	20 days	5/30/19	6/26/19
1730	Conduct UAT Testing / Ad-hoc testing	20 days	5/30/19	6/26/19
1731	Mock Data Conversions	20 days	5/30/19	6/26/19
1732	Review address critical defects	20 days	5/30/19	6/26/19
1733	Prepare UAT report	20 days	5/30/19	6/26/19
1734	**IE R2:PI2-UAT 2**	**20 days**	**6/27/19**	**7/24/19**
1735	Prepare UAT test scripts	20 days	6/27/19	7/24/19
1736	Agency access to UAT environment	20 days	6/27/19	7/24/19
1737	Conduct UAT Testing / Ad-hoc testing	20 days	6/27/19	7/24/19

ID	Task Name	Duration	Start	Finish
1738	Mock Data Conversions	20 days	6/27/19	7/24/19
1739	Review address critical defects	20 days	6/27/19	7/24/19
1740	Prepare UAT report	20 days	6/27/19	7/24/19
1741	**Development and Testing Deliverables**	**350 days**	**4/5/18**	**8/7/19**
1742	Review / Accept DEDs	15 days	4/5/18	4/25/18
1743	**System Documentation**	**30 days**	**4/5/18**	**5/16/18**
1744	Initial Draft Created	20 days	4/5/18	5/2/18
1745	Draft Reviewed	10 days	5/3/18	5/16/18
1746	Approval Obtained	1 day	5/16/18	5/16/18
1747	**System Security Plan (SSP)**	**30 days**	**4/5/18**	**5/16/18**
1748	Initial Draft Created	20 days	4/5/18	5/2/18
1749	Draft Reviewed	10 days	5/3/18	5/16/18
1750	Approval Obtained	1 day	5/16/18	5/16/18
1751	**Safeguard Procedures Report (SPR)**	**30 days**	**5/3/18**	**6/13/18**
1752	Initial Draft Created	20 days	5/3/18	5/30/18
1753	Draft Reviewed	10 days	5/31/18	6/13/18
1754	Approval Obtained	1 day	6/13/18	6/13/18
1755	**User Documentation**	**30 days**	**5/3/18**	**6/13/18**
1756	Initial Draft Created	20 days	5/3/18	5/30/18
1757	Draft Reviewed	10 days	5/31/18	6/13/18
1758	Approval Obtained	1 day	6/13/18	6/13/18
1759	**Data Conversion System Integration Test Cases**	**30 days**	**5/31/18**	**7/11/18**
1760	Initial Draft Created	20 days	5/31/18	6/27/18
1761	Draft Reviewed	10 days	6/28/18	7/11/18
1762	Approval Obtained	1 day	7/11/18	7/11/18
1763	**System Integration Test Cases**	**30 days**	**5/31/18**	**7/11/18**
1764	Initial Draft Created	20 days	5/31/18	6/27/18
1765	Draft Reviewed	10 days	6/28/18	7/11/18
1766	Approval Obtained	1 day	7/11/18	7/11/18
1767	**Regression Test Cases**	**30 days**	**6/28/18**	**8/8/18**

ID	Task Name	Duration	Start	Finish
1768	Initial Draft Created	20 days	6/28/18	7/25/18
1769	Draft Reviewed	10 days	7/26/18	8/8/18
1770	Approval Obtained	1 day	8/8/18	8/8/18
1771	**Load/Stress Test Cases**	**30 days**	**6/28/18**	**8/8/18**
1772	Initial Draft Created	20 days	6/28/18	7/25/18
1773	Draft Reviewed	10 days	7/26/18	8/8/18
1774	Approval Obtained	1 day	8/8/18	8/8/18
1775	**User Acceptance Test Cases**	**30 days**	**6/28/18**	**8/8/18**
1776	Initial Draft Created	20 days	6/28/18	7/25/18
1777	Draft Reviewed	10 days	7/26/18	8/8/18
1778	Approval Obtained	1 day	8/8/18	8/8/18
1779	**Data Conversion System Integration Test Results**	**20 days**	**4/18/19**	**5/15/19**
1780	Initial Draft Created	10 days	4/18/19	5/1/19
1781	Draft Reviewed	10 days	5/2/19	5/15/19
1782	Approval Obtained	1 day	5/15/19	5/15/19
1783	**System Integration Test Results**	**20 days**	**4/18/19**	**5/15/19**
1784	Initial Draft Created	10 days	4/18/19	5/1/19
1785	Draft Reviewed	10 days	5/2/19	5/15/19
1786	Approval Obtained	1 day	5/15/19	5/15/19
1787	**Regression Test Results**	**20 days**	**4/18/19**	**5/15/19**
1788	Initial Draft Created	10 days	4/18/19	5/1/19
1789	Draft Reviewed	10 days	5/2/19	5/15/19
1790	Approval Obtained	1 day	5/15/19	5/15/19
1791	**Load/Stress Test Results**	**20 days**	**5/16/19**	**6/12/19**
1792	Initial Draft Created	10 days	5/16/19	5/29/19
1793	Draft Reviewed	10 days	5/30/19	6/12/19
1794	Approval Obtained	1 day	6/12/19	6/12/19
1795	**Capacity Analysis Report**	**20 days**	**5/16/19**	**6/12/19**
1796	Initial Draft Created	10 days	5/16/19	5/29/19
1797	Draft Reviewed	10 days	5/30/19	6/12/19

ID	Task Name	Duration	Start	Finish
1798	Approval Obtained	1 day	6/12/19	6/12/19
1799	M:Overall Completion of System Testing	0 days	5/29/19	5/29/19
1800	**User Acceptance Test Results**	**20 days**	**7/11/19**	**8/7/19**
1801	Initial Draft Created	10 days	7/11/19	7/24/19
1802	Draft Reviewed	10 days	7/25/19	8/7/19
1803	Approval Obtained	1 day	8/7/19	8/7/19
1804	M:Overall Completion of User Acceptance Testing	0 days	8/7/19	8/7/19
1805	**Implementation Readiness**	**90 days**	**4/4/19**	**8/7/19**
1806	**Training**	**25 days**	**5/2/19**	**6/5/19**
1807	Prepare Training Materials	15 days	5/2/19	5/22/19
1808	Prepare / Schedule Training for End Users and T3	15 days	5/2/19	5/22/19
1809	UAT Training	10 days	5/9/19	5/22/19
1810	Conduct Training for End Users and T3	10 days	5/23/19	6/5/19
1811	Configure Support system (helpdesk) with workflow and knowledge Base	10 days	5/23/19	6/5/19
1812	M&O Support	10 days	5/23/19	6/5/19
1813	**Operational Readiness**	**20 days**	**6/6/19**	**7/3/19**
1814	Baseline Checklist of Operational Areas	20 days	6/6/19	7/3/19
1815	Policies and Procedures, Job Aids Prepared & Posted	20 days	6/6/19	7/3/19
1816	Support system (helpdesk) Configured With Workflow and Knowledge Base	20 days	6/6/19	7/3/19
1817	Contacts Information and Contacts Defined	20 days	6/6/19	7/3/19
1818	Operational Reporting Requirements Defined	20 days	6/6/19	7/3/19
1819	Communication Planning and Execution	20 days	6/6/19	7/3/19
1820	Phone Lines & Phone Scripts are Open & Active	20 days	6/6/19	7/3/19
1821	Schedule & Conduct Dry Run With HelpDesk Staff on Rules	20 days	6/6/19	7/3/19
1822	Modify Checklist Based on Dry Run Feedback	20 days	6/6/19	7/3/19
1823	Schedule & Conduct Meeting With DHHR to review Checklist, Demo Product for ORT Walk Through	20 days	6/6/19	7/3/19
1824	Revise Checklist Based on DHHR Feedback	20 days	6/6/19	7/3/19
1825	**Implementation Readiness Deliverables**	**90 days**	**4/4/19**	**8/7/19**

ID	Task Name	Duration	Start	Finish
1826	Review / Accept DEDs	15 days	4/4/19	4/24/19
1827	**Operational Readiness Plan**	**20 days**	**4/18/19**	**5/15/19**
1828	Initial Draft Created	10 days	4/18/19	5/1/19
1829	Draft Reviewed	10 days	5/2/19	5/15/19
1830	Approval Obtained	1 day	5/15/19	5/15/19
1831	**Operational Readiness Test Scripts**	**20 days**	**5/2/19**	**5/29/19**
1832	Initial Draft Created	10 days	5/2/19	5/15/19
1833	Draft Reviewed	10 days	5/16/19	5/29/19
1834	Approval Obtained	1 day	5/29/19	5/29/19
1835	**Operational Readiness Test Results**	**20 days**	**7/4/19**	**7/31/19**
1836	Initial Draft Created	10 days	7/4/19	7/17/19
1837	Draft Reviewed	10 days	7/18/19	7/31/19
1838	Approval Obtained	1 day	7/31/19	7/31/19
1839	**Updated Training Management Plan**	**20 days**	**4/4/19**	**5/1/19**
1840	Initial Draft Created	10 days	4/4/19	4/17/19
1841	Draft Reviewed	10 days	4/18/19	5/1/19
1842	Approval Obtained	1 day	5/1/19	5/1/19
1843	**Training Schedule**	**20 days**	**4/4/19**	**5/1/19**
1844	Initial Draft Created	10 days	4/4/19	4/17/19
1845	Draft Reviewed	10 days	4/18/19	5/1/19
1846	Approval Obtained	1 day	5/1/19	5/1/19
1847	**Training Materials**	**20 days**	**4/4/19**	**5/1/19**
1848	Initial Draft Created	10 days	4/4/19	4/17/19
1849	Draft Reviewed	10 days	4/18/19	5/1/19
1850	Approval Obtained	1 day	5/1/19	5/1/19
1851	**Training Report**	**15 days**	**5/30/19**	**6/19/19**
1852	Initial Draft Created	5 days	5/30/19	6/5/19
1853	Draft Reviewed	10 days	6/6/19	6/19/19
1854	Approval Obtained	1 day	6/19/19	6/19/19
1855	**Implementation Plan**	**20 days**	**5/16/19**	**6/12/19**

ID	Task Name	Duration	Start	Finish
1856	Initial Draft Created	10 days	5/16/19	5/29/19
1857	Draft Reviewed	10 days	5/30/19	6/12/19
1858	Approval Obtained	1 day	6/12/19	6/12/19
1859	**Cut-Over Play Book**	**20 days**	**5/30/19**	**6/26/19**
1860	Initial Draft Created	10 days	5/30/19	6/12/19
1861	Draft Reviewed	10 days	6/13/19	6/26/19
1862	Approval Obtained	1 day	6/26/19	6/26/19
1863	**Report Distribution Schedule**	**20 days**	**6/13/19**	**7/10/19**
1864	Initial Draft Created	10 days	6/13/19	6/26/19
1865	Draft Reviewed	10 days	6/27/19	7/10/19
1866	Approval Obtained	1 day	7/10/19	7/10/19
1867	**Operations Project Management Plans**	**20 days**	**6/27/19**	**7/24/19**
1868	Initial Draft Created	10 days	6/27/19	7/10/19
1869	Draft Reviewed	10 days	7/11/19	7/24/19
1870	Approval Obtained	1 day	7/24/19	7/24/19
1871	**Solution health Monitoring Plan**	**20 days**	**7/11/19**	**8/7/19**
1872	Initial Draft Created	10 days	7/11/19	7/24/19
1873	Draft Reviewed	10 days	7/25/19	8/7/19
1874	Approval Obtained	1 day	8/7/19	8/7/19
1875	M:Overall Completion of Implementation Readiness	0 days	8/7/19	8/7/19
1876	Readiness Results Review - DHHR	5 days	8/1/19	8/7/19
1877	Go-No-Go Decision	1 day	8/7/19	8/7/19
1878	Cutover of Healthcare (Medicaid/CHIP)	5 days	8/8/19	8/14/19
1879	M:Overall Completion of Deployment to Production (Pilot)	0 days	8/14/19	8/14/19
1880	IE R2:PI2 - Pilot	60 days	8/15/19	11/6/19
1881	**Implementation Readiness Certification Deliverables**	**30 days**	**9/26/19**	**11/6/19**
1882	**Federal Certification and Review Management Plan**	**20 days**	**9/26/19**	**10/23/19**
1883	Initial Draft Created	10 days	9/26/19	10/9/19
1884	Draft Reviewed	10 days	10/10/19	10/23/19
1885	Approval Obtained	1 day	10/23/19	10/23/19

ID	Task Name	Duration	Start	Finish
1886	**ACF Certification Documentation**	**20 days**	**9/26/19**	**10/23/19**
1887	Initial Draft Created	10 days	9/26/19	10/9/19
1888	Draft Reviewed	10 days	10/10/19	10/23/19
1889	Approval Obtained	1 day	10/23/19	10/23/19
1890	**Federal Review Supporting Documentation**	**20 days**	**10/10/19**	**11/6/19**
1891	Initial Draft Created	10 days	10/10/19	10/23/19
1892	Draft Reviewed	10 days	10/24/19	11/6/19
1893	Approval Obtained	1 day	11/6/19	11/6/19
1894	**Social Security Administration Certification Documentation**	**20 days**	**10/10/19**	**11/6/19**
1895	Initial Draft Created	10 days	10/10/19	10/23/19
1896	Draft Reviewed	10 days	10/24/19	11/6/19
1897	Approval Obtained	1 day	11/6/19	11/6/19
1898	**Implementation Certification Letter**	**20 days**	**10/10/19**	**11/6/19**
1899	Initial Draft Created	10 days	10/10/19	10/23/19
1900	Draft Reviewed	10 days	10/24/19	11/6/19
1901	Approval Obtained	1 day	11/6/19	11/6/19
1902	IE R2:PI2 - Statewide Rollout	5 days	11/7/19	11/13/19
1903	M:Overall Completion of Deployment to Production	0 days	11/13/19	11/13/19
1904	IE R2:PI2 - Post Production Support	30 days	11/14/19	12/25/19
1905	**IE R2:PI3 - Other Family Assistance Programs**	**640 days**	**10/5/17**	**3/18/20**
1906	**Requirements Validation**	**70 days**	**10/5/17**	**1/10/18**
1907	**Requirements Analysis**	**70 days**	**10/5/17**	**1/10/18**
1908	**Other Family Assistance Programs**	**70 days**	**10/5/17**	**1/10/18**
1909	Complete detailed review of all workflows, use case documentation, and requirements developed by DHHR	70 days	10/5/17	1/10/18
1910	Interviews with key stakeholders to understand how baseline requirements translate into technical details	70 days	10/5/17	1/10/18
1911	Develop draft software requirements methodology that addresses the approach and tools for alignment with existing baseline requirements	70 days	10/5/17	1/10/18
1912	UI/UX Reviews	70 days	10/5/17	1/10/18

ID	Task Name	Duration	Start	Finish
1913	Conduct cross-walk of the BA and functional requirements against current functionality (gap analysis)	70 days	10/5/17	1/10/18
1914	Prepare Requirements Validation DEDs / Deliverables	70 days	10/5/17	1/10/18
1915	**Requirements Deliverables**	**70 days**	**10/5/17**	**1/10/18**
1916	Review / Accept DEDs	10 days	10/5/17	10/18/17
1917	**Requirements Traceability Matrix (RTM)**	**40 days**	**10/12/17**	**12/6/17**
1918	Initial Draft Created	30 days	10/12/17	11/22/17
1919	Draft Reviewed	10 days	11/23/17	12/6/17
1920	Approval Obtained	1 day	12/6/17	12/6/17
1921	**Requirements Specification Document (RSD)**	**40 days**	**11/16/17**	**1/10/18**
1922	Initial Draft Created	30 days	11/16/17	12/27/17
1923	Draft Reviewed	10 days	12/28/17	1/10/18
1924	Approval Obtained	1 day	1/10/18	1/10/18
1925	M:Overall Completion of Requirements Validation	0 days	1/10/18	1/10/18
1926	**Design**	**60 days**	**12/21/17**	**3/14/18**
1927	**Solution Design (JAD) & Release Planning**	**60 days**	**12/21/17**	**3/14/18**
1928	**Other Family Assistance Programs**	**60 days**	**12/21/17**	**3/14/18**
1929	Review Enterprise Architecture to understand solution design approach and compliance requirements	60 days	12/21/17	3/14/18
1930	UI/UX Design Sessions	60 days	12/21/17	3/14/18
1931	Define conceptual architecture	60 days	12/21/17	3/14/18
1932	Define logical architecture (SOA layers, Vendors, Service Consumers, Service Brokers, dependencies)	60 days	12/21/17	3/14/18
1933	Define physical architecture (various application services and how they should be implemented, integration layers)	60 days	12/21/17	3/14/18
1934	Functional Design / Technical Design sessions	60 days	12/21/17	3/14/18
1935	Data Conversion / Test Data Management	60 days	12/21/17	3/14/18
1936	Prepare Design DEDs / Deliverables	60 days	12/21/17	3/14/18
1937	**Design Deliverables**	**60 days**	**12/21/17**	**3/14/18**
1938	Review / Accept DEDs	10 days	12/21/17	1/3/18
1939	**Requirements Gap Analysis Document**	**25 days**	**12/21/17**	**1/24/18**

ID	Task Name	Duration	Start	Finish
1940	Initial Draft Created	15 days	12/21/17	1/10/18
1941	Draft Reviewed	10 days	1/11/18	1/24/18
1942	Approval Obtained	10 days	1/11/18	1/24/18
1943	**Business Process Models**	**25 days**	**12/21/17**	**1/24/18**
1944	Initial Draft Created	15 days	12/21/17	1/10/18
1945	Draft Reviewed	10 days	1/11/18	1/24/18
1946	Approval Obtained	1 day	1/24/18	1/24/18
1947	**Detailed System Design (DSD) Document**	**25 days**	**12/21/17**	**1/24/18**
1948	Initial Draft Created	15 days	12/21/17	1/10/18
1949	Draft Reviewed	10 days	1/11/18	1/24/18
1950	Approval Obtained	1 day	1/24/18	1/24/18
1951	**Data Dictionary**	**25 days**	**1/11/18**	**2/14/18**
1952	Initial Draft Created	15 days	1/11/18	1/31/18
1953	Draft Reviewed	10 days	2/1/18	2/14/18
1954	Approval Obtained	1 day	1/31/18	1/31/18
1955	**Data Models**	**25 days**	**1/11/18**	**2/14/18**
1956	Initial Draft Created	15 days	1/11/18	1/31/18
1957	Draft Reviewed	10 days	2/1/18	2/14/18
1958	Approval Obtained	1 day	2/14/18	2/14/18
1959	**Reports Inventory**	**25 days**	**1/11/18**	**2/14/18**
1960	Initial Draft Created	15 days	1/11/18	1/31/18
1961	Draft Reviewed	10 days	2/1/18	2/14/18
1962	Approval Obtained	1 day	2/14/18	2/14/18
1963	**Correspondence Inventory**	**25 days**	**1/11/18**	**2/14/18**
1964	Initial Draft Created	15 days	1/11/18	1/31/18
1965	Draft Reviewed	10 days	2/1/18	2/14/18
1966	Approval Obtained	1 day	2/14/18	2/14/18
1967	**Forms Inventory**	**20 days**	**2/1/18**	**2/28/18**
1968	Initial Draft Created	10 days	2/1/18	2/14/18
1969	Draft Reviewed	10 days	2/15/18	2/28/18

ID	Task Name	Duration	Start	Finish
1970	Approval Obtained	1 day	2/28/18	2/28/18
1971	**Interface Inventory**	**20 days**	**2/1/18**	**2/28/18**
1972	Initial Draft Created	10 days	2/1/18	2/14/18
1973	Draft Reviewed	10 days	2/15/18	2/28/18
1974	Approval Obtained	1 day	2/28/18	2/28/18
1975	**Data Cleansing and Conversion Requirements Document**	**20 days**	**2/15/18**	**3/14/18**
1976	Initial Draft Created	10 days	2/15/18	2/28/18
1977	Draft Reviewed	10 days	3/1/18	3/14/18
1978	Approval Obtained	1 day	3/14/18	3/14/18
1979	**Data Cleansing and Conversion Specification Document**	**20 days**	**2/15/18**	**3/14/18**
1980	Initial Draft Created	10 days	2/15/18	2/28/18
1981	Draft Reviewed	10 days	3/1/18	3/14/18
1982	Approval Obtained	1 day	3/14/18	3/14/18
1983	M:Overall Completion of Design Phase	0 days	3/14/18	3/14/18
1984	**Development and Testing**	**330 days**	**7/26/18**	**10/30/19**
1985	**Execution (Design/Build/Sys Test)**	**180 days**	**7/26/18**	**4/3/19**
1986	**IE R2:PI3 - Design Sprint**	**20 days**	**7/26/18**	**8/22/18**
1987	Conduct Business Rules specification sessions	20 days	7/26/18	8/22/18
1988	System integration points	20 days	7/26/18	8/22/18
1989	Design Interfaces / APIs	20 days	7/26/18	8/22/18
1990	Technical security controls and security architecture	20 days	7/26/18	8/22/18
1991	System Context Diagram updates	20 days	7/26/18	8/22/18
1992	Business Rules Designs	20 days	7/26/18	8/22/18
1993	UI/UX	20 days	7/26/18	8/22/18
1994	Data Conversion / Test Data Management	20 days	7/26/18	8/22/18
1995	Current / Future state Modeling sessions	20 days	7/26/18	8/22/18
1996	Prepare Development / Test / Readiness DEDs	20 days	7/26/18	8/22/18
1997	**IE R2:PI3-Sprint 1**	**20 days**	**8/23/18**	**9/19/18**
1998	**Configuration**	**20 days**	**8/23/18**	**9/19/18**
1999	Interfaces / APIs	20 days	8/23/18	9/19/18

ID	Task Name	Duration	Start	Finish
2000	Business Rules development	20 days	8/23/18	9/19/18
2001	Update Business rules repository	20 days	8/23/18	9/19/18
2002	Data Conversion / Test Data Management	20 days	8/23/18	9/19/18
2003	Integration with existing Systems	20 days	8/23/18	9/19/18
2004	UI / UX	20 days	8/23/18	9/19/18
2005	Conduct Reviews	20 days	8/23/18	9/19/18
2006	**Testing / Validation**	**20 days**	**8/23/18**	**9/19/18**
2007	Execution of Business Rules	20 days	8/23/18	9/19/18
2008	Validation of test cases against IES environment	20 days	8/23/18	9/19/18
2009	Identify, Track and Resolve Defects	20 days	8/23/18	9/19/18
2010	Prioritize and Retest Defects	20 days	8/23/18	9/19/18
2011	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	8/23/18	9/19/18
2012	Compile Test Results	20 days	8/23/18	9/19/18
2013	Sprint Review / Demo	1 day	9/19/18	9/19/18
2014	Sprint Planning	3 days	9/17/18	9/19/18
2015	**IE R2:PI3-Sprint 2**	**20 days**	**9/20/18**	**10/17/18**
2016	**Configuration**	**20 days**	**9/20/18**	**10/17/18**
2017	Interfaces / APIs	20 days	9/20/18	10/17/18
2018	Business Rules development	20 days	9/20/18	10/17/18
2019	Update Business rules repository	20 days	9/20/18	10/17/18
2020	Data Conversion / Test Data Management	20 days	9/20/18	10/17/18
2021	Integration with existing Systems	20 days	9/20/18	10/17/18
2022	UI / UX	20 days	9/20/18	10/17/18
2023	Conduct Reviews	20 days	9/20/18	10/17/18
2024	**Testing / Validation**	**20 days**	**9/20/18**	**10/17/18**
2025	Execution of Business Rules	20 days	9/20/18	10/17/18
2026	Validation of test cases against IES environment	20 days	9/20/18	10/17/18
2027	Identify, Track and Resolve Defects	20 days	9/20/18	10/17/18
2028	Prioritize and Retest Defects	20 days	9/20/18	10/17/18
2029	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	9/20/18	10/17/18

ID	Task Name	Duration	Start	Finish
2030	Compile Test Results	20 days	9/20/18	10/17/18
2031	Sprint Review / Demo	1 day	10/17/18	10/17/18
2032	Sprint Planning	3 days	10/15/18	10/17/18
2033	**IE R2:PI3-Sprint 3**	**20 days**	**10/18/18**	**11/14/18**
2034	**Configuration**	**20 days**	**10/18/18**	**11/14/18**
2035	Interfaces / APIs	20 days	10/18/18	11/14/18
2036	Business Rules development	20 days	10/18/18	11/14/18
2037	Update Business rules repository	20 days	10/18/18	11/14/18
2038	Data Conversion / Test Data Management	20 days	10/18/18	11/14/18
2039	Integration with existing Systems	20 days	10/18/18	11/14/18
2040	UI / UX	20 days	10/18/18	11/14/18
2041	Conduct Reviews	20 days	10/18/18	11/14/18
2042	**Testing / Validation**	**20 days**	**10/18/18**	**11/14/18**
2043	Execution of Business Rules	20 days	10/18/18	11/14/18
2044	Validation of test cases against IES environment	20 days	10/18/18	11/14/18
2045	Identify, Track and Resolve Defects	20 days	10/18/18	11/14/18
2046	Prioritize and Retest Defects	20 days	10/18/18	11/14/18
2047	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	10/18/18	11/14/18
2048	Compile Test Results	20 days	10/18/18	11/14/18
2049	Sprint Review / Demo	1 day	11/14/18	11/14/18
2050	Sprint Planning	3 days	11/12/18	11/14/18
2051	**IE R2:PI3-Sprint 4**	**20 days**	**11/15/18**	**12/12/18**
2052	**Configuration**	**20 days**	**11/15/18**	**12/12/18**
2053	Interfaces / APIs	20 days	11/15/18	12/12/18
2054	Business Rules development	20 days	11/15/18	12/12/18
2055	Update Business rules repository	20 days	11/15/18	12/12/18
2056	Data Conversion / Test Data Management	20 days	11/15/18	12/12/18
2057	Integration with existing Systems	20 days	11/15/18	12/12/18
2058	UI / UX	20 days	11/15/18	12/12/18
2059	Conduct Reviews	20 days	11/15/18	12/12/18

ID	Task Name	Duration	Start	Finish
2060	**Testing / Validation**	**20 days**	**11/15/18**	**12/12/18**
2061	Execution of Business Rules	20 days	11/15/18	12/12/18
2062	Validation of test cases against IES environment	20 days	11/15/18	12/12/18
2063	Identify, Track and Resolve Defects	20 days	11/15/18	12/12/18
2064	Prioritize and Retest Defects	20 days	11/15/18	12/12/18
2065	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	11/15/18	12/12/18
2066	Compile Test Results	20 days	11/15/18	12/12/18
2067	Sprint Review / Demo	1 day	12/12/18	12/12/18
2068	Sprint Planning	3 days	12/10/18	12/12/18
2069	**IE R2:PI3-Sprint 5**	**20 days**	**12/13/18**	**1/9/19**
2070	**Configuration**	**20 days**	**12/13/18**	**1/9/19**
2071	Interfaces / APIs	20 days	12/13/18	1/9/19
2072	Business Rules development	20 days	12/13/18	1/9/19
2073	Update Business rules repository	20 days	12/13/18	1/9/19
2074	Data Conversion / Test Data Management	20 days	12/13/18	1/9/19
2075	Integration with existing Systems	20 days	12/13/18	1/9/19
2076	UI / UX	20 days	12/13/18	1/9/19
2077	Conduct Reviews	20 days	12/13/18	1/9/19
2078	**Testing / Validation**	**20 days**	**12/13/18**	**1/9/19**
2079	Execution of Business Rules	20 days	12/13/18	1/9/19
2080	Validation of test cases against IES environment	20 days	12/13/18	1/9/19
2081	Identify, Track and Resolve Defects	20 days	12/13/18	1/9/19
2082	Prioritize and Retest Defects	20 days	12/13/18	1/9/19
2083	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	12/13/18	1/9/19
2084	Compile Test Results	20 days	12/13/18	1/9/19
2085	Sprint Review / Demo	1 day	1/9/19	1/9/19
2086	Sprint Planning	3 days	1/7/19	1/9/19
2087	**IE R2:PI3-Sprint 6**	**20 days**	**1/10/19**	**2/6/19**
2088	**Configuration**	**20 days**	**1/10/19**	**2/6/19**
2089	Interfaces / APIs	20 days	1/10/19	2/6/19

ID	Task Name	Duration	Start	Finish
2090	Business Rules development	20 days	1/10/19	2/6/19
2091	Update Business rules repository	20 days	1/10/19	2/6/19
2092	Data Conversion / Test Data Management	20 days	1/10/19	2/6/19
2093	Integration with existing Systems	20 days	1/10/19	2/6/19
2094	UI / UX	20 days	1/10/19	2/6/19
2095	Conduct Reviews	20 days	1/10/19	2/6/19
2096	**Testing / Validation**	**20 days**	**1/10/19**	**2/6/19**
2097	Execution of Business Rules	20 days	1/10/19	2/6/19
2098	Validation of test cases against IES environment	20 days	1/10/19	2/6/19
2099	Identify, Track and Resolve Defects	20 days	1/10/19	2/6/19
2100	Prioritize and Retest Defects	20 days	1/10/19	2/6/19
2101	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	1/10/19	2/6/19
2102	Compile Test Results	20 days	1/10/19	2/6/19
2103	Sprint Review / Demo	1 day	2/6/19	2/6/19
2104	Sprint Planning	3 days	2/4/19	2/6/19
2105	**IE R2:PI3-Sprint 7**	**20 days**	**2/7/19**	**3/6/19**
2106	**Configuration**	**20 days**	**2/7/19**	**3/6/19**
2107	Interfaces / APIs	20 days	2/7/19	3/6/19
2108	Business Rules development	20 days	2/7/19	3/6/19
2109	Update Business rules repository	20 days	2/7/19	3/6/19
2110	Data Conversion / Test Data Management	20 days	2/7/19	3/6/19
2111	Integration with existing Systems	20 days	2/7/19	3/6/19
2112	UI / UX	20 days	2/7/19	3/6/19
2113	Conduct Reviews	20 days	2/7/19	3/6/19
2114	**Testing / Validation**	**20 days**	**2/7/19**	**3/6/19**
2115	Execution of Business Rules	20 days	2/7/19	3/6/19
2116	Validation of test cases against IES environment	20 days	2/7/19	3/6/19
2117	Identify, Track and Resolve Defects	20 days	2/7/19	3/6/19
2118	Prioritize and Retest Defects	20 days	2/7/19	3/6/19
2119	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	2/7/19	3/6/19

ID	Task Name	Duration	Start	Finish
2120	Compile Test Results	20 days	2/7/19	3/6/19
2121	Sprint Review / Demo	1 day	3/6/19	3/6/19
2122	Sprint Planning	3 days	3/4/19	3/6/19
2123	**IE R2:PI3-Sprint 8**	**20 days**	**3/7/19**	**4/3/19**
2124	**Configuration**	**20 days**	**3/7/19**	**4/3/19**
2125	Interfaces / APIs	20 days	3/7/19	4/3/19
2126	Business Rules development	20 days	3/7/19	4/3/19
2127	Update Business rules repository	20 days	3/7/19	4/3/19
2128	Data Conversion / Test Data Management	20 days	3/7/19	4/3/19
2129	Integration with existing Systems	20 days	3/7/19	4/3/19
2130	UI / UX	20 days	3/7/19	4/3/19
2131	Conduct Reviews	20 days	3/7/19	4/3/19
2132	**Testing / Validation**	**20 days**	**3/7/19**	**4/3/19**
2133	Execution of Business Rules	20 days	3/7/19	4/3/19
2134	Validation of test cases against IES environment	20 days	3/7/19	4/3/19
2135	Identify, Track and Resolve Defects	20 days	3/7/19	4/3/19
2136	Prioritize and Retest Defects	20 days	3/7/19	4/3/19
2137	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	3/7/19	4/3/19
2138	Compile Test Results	20 days	3/7/19	4/3/19
2139	Sprint Review / Demo	1 day	4/3/19	4/3/19
2140	Sprint Planning	3 days	4/1/19	4/3/19
2141	**Testing (Integration/E2E/Perf/UAT)**	**140 days**	**4/4/19**	**10/16/19**
2142	**IE R2:PI3- Integration Test 1**	**20 days**	**4/4/19**	**5/1/19**
2143	Unit or Module Test	20 days	4/4/19	5/1/19
2144	Subsystem Integration Test	20 days	4/4/19	5/1/19
2145	System Qualification Test	20 days	4/4/19	5/1/19
2146	Regression Testing	20 days	4/4/19	5/1/19
2147	End to End Testing	20 days	4/4/19	5/1/19
2148	Data Conversion Test	20 days	4/4/19	5/1/19
2149	Security Testing	20 days	4/4/19	5/1/19

ID	Task Name	Duration	Start	Finish
2150	Interface / Accessibility Testing	20 days	4/4/19	5/1/19
2151	Parallel Testing	20 days	4/4/19	5/1/19
2152	Identify / Address Critical Defects	20 days	4/4/19	5/1/19
2153	**IE R2:PI3- Integration Test 2**	**20 days**	**5/2/19**	**5/29/19**
2154	Unit or Module Test	20 days	5/2/19	5/29/19
2155	Subsystem Integration Test	20 days	5/2/19	5/29/19
2156	System Qualification Test	20 days	5/2/19	5/29/19
2157	Regression Testing	20 days	5/2/19	5/29/19
2158	End to End Testing	20 days	5/2/19	5/29/19
2159	Data Conversion Testing	20 days	5/2/19	5/29/19
2160	Security Testing	20 days	5/2/19	5/29/19
2161	Interface / Accessibility Testing	20 days	5/2/19	5/29/19
2162	Parallel Testing	20 days	5/2/19	5/29/19
2163	Identify / Address Critical Defects	20 days	5/2/19	5/29/19
2164	**IE R2:PI3- Integration Test 3**	**20 days**	**5/30/19**	**6/26/19**
2165	Unit or Module Test	20 days	5/30/19	6/26/19
2166	Subsystem Integration Test	20 days	5/30/19	6/26/19
2167	System Qualification Test	20 days	5/30/19	6/26/19
2168	Regression Testing	20 days	5/30/19	6/26/19
2169	End to End Testing	20 days	5/30/19	6/26/19
2170	Data Conversion Testing	20 days	5/30/19	6/26/19
2171	Security Testing	20 days	5/30/19	6/26/19
2172	Interface / Accessibility Testing	20 days	5/30/19	6/26/19
2173	Parallel Testing	20 days	5/30/19	6/26/19
2174	Identify / Address Critical Defects	20 days	5/30/19	6/26/19
2175	**IE R2:PI3- Integration Test 4**	**20 days**	**6/27/19**	**7/24/19**
2176	Unit or Module Test	20 days	6/27/19	7/24/19
2177	Subsystem Integration Test	20 days	6/27/19	7/24/19
2178	System Qualification Test	20 days	6/27/19	7/24/19
2179	Regression Testing	20 days	6/27/19	7/24/19

ID	Task Name	Duration	Start	Finish
2180	End to End Testing	20 days	6/27/19	7/24/19
2181	Data Conversion Testing	20 days	6/27/19	7/24/19
2182	Security Testing	20 days	6/27/19	7/24/19
2183	Interface / Accessibility Testing	20 days	6/27/19	7/24/19
2184	Parallel Testing	20 days	6/27/19	7/24/19
2185	Identify / Address Critical Defects	20 days	6/27/19	7/24/19
2186	**IE R2:PI3- Performance**	**20 days**	**7/25/19**	**8/21/19**
2187	Performance Testing	20 days	7/25/19	8/21/19
2188	Mock Data Conversions	20 days	7/25/19	8/21/19
2189	Readiness Certification	20 days	7/25/19	8/21/19
2190	Site Readiness Assessments	20 days	7/25/19	8/21/19
2191	Identify / Address critical defects	20 days	7/25/19	8/21/19
2192	**IE R2:PI3-UAT 1**	**20 days**	**8/22/19**	**9/18/19**
2193	Prepare UAT test scripts	20 days	8/22/19	9/18/19
2194	Agency access to UAT environment	20 days	8/22/19	9/18/19
2195	Conduct UAT Testing / Ad-hoc testing	20 days	8/22/19	9/18/19
2196	Mock Data Conversions	20 days	8/22/19	9/18/19
2197	Review address critical defects	20 days	8/22/19	9/18/19
2198	Prepare UAT report	20 days	8/22/19	9/18/19
2199	**IE R2:PI3-UAT 2**	**20 days**	**9/19/19**	**10/16/19**
2200	Prepare UAT test scripts	20 days	9/19/19	10/16/19
2201	Agency access to UAT environment	20 days	9/19/19	10/16/19
2202	Conduct UAT Testing / Ad-hoc testing	20 days	9/19/19	10/16/19
2203	Mock Data Conversions	20 days	9/19/19	10/16/19
2204	Review address critical defects	20 days	9/19/19	10/16/19
2205	Prepare UAT report	20 days	9/19/19	10/16/19
2206	**Development and Testing Deliverables**	**310 days**	**8/23/18**	**10/30/19**
2207	Review / Accept DEDs	15 days	8/23/18	9/12/18
2208	**System Documentation**	**30 days**	**8/23/18**	**10/3/18**
2209	Initial Draft Created	20 days	8/23/18	9/19/18

ID	Task Name	Duration	Start	Finish
2210	Draft Reviewed	10 days	9/20/18	10/3/18
2211	Approval Obtained	1 day	10/3/18	10/3/18
2212	**System Security Plan (SSP)**	**30 days**	**8/23/18**	**10/3/18**
2213	Initial Draft Created	20 days	8/23/18	9/19/18
2214	Draft Reviewed	10 days	9/20/18	10/3/18
2215	Approval Obtained	1 day	10/3/18	10/3/18
2216	**Safeguard Procedures Report (SPR)**	**30 days**	**9/20/18**	**10/31/18**
2217	Initial Draft Created	20 days	9/20/18	10/17/18
2218	Draft Reviewed	10 days	10/18/18	10/31/18
2219	Approval Obtained	1 day	10/31/18	10/31/18
2220	**User Documentation**	**30 days**	**9/20/18**	**10/31/18**
2221	Initial Draft Created	20 days	9/20/18	10/17/18
2222	Draft Reviewed	10 days	10/18/18	10/31/18
2223	Approval Obtained	1 day	10/31/18	10/31/18
2224	**Data Conversion System Integration Test Cases**	**30 days**	**10/18/18**	**11/28/18**
2225	Initial Draft Created	20 days	10/18/18	11/14/18
2226	Draft Reviewed	10 days	11/15/18	11/28/18
2227	Approval Obtained	1 day	11/28/18	11/28/18
2228	**System Integration Test Cases**	**30 days**	**10/18/18**	**11/28/18**
2229	Initial Draft Created	20 days	10/18/18	11/14/18
2230	Draft Reviewed	10 days	11/15/18	11/28/18
2231	Approval Obtained	1 day	11/28/18	11/28/18
2232	**Regression Test Cases**	**30 days**	**11/15/18**	**12/26/18**
2233	Initial Draft Created	20 days	11/15/18	12/12/18
2234	Draft Reviewed	10 days	12/13/18	12/26/18
2235	Approval Obtained	1 day	12/26/18	12/26/18
2236	**Load/Stress Test Cases**	**30 days**	**11/15/18**	**12/26/18**
2237	Initial Draft Created	20 days	11/15/18	12/12/18
2238	Draft Reviewed	10 days	12/13/18	12/26/18
2239	Approval Obtained	1 day	12/26/18	12/26/18

ID	Task Name	Duration	Start	Finish
2240	**User Acceptance Test Cases**	**30 days**	**11/15/18**	**12/26/18**
2241	Initial Draft Created	20 days	11/15/18	12/12/18
2242	Draft Reviewed	10 days	12/13/18	12/26/18
2243	Approval Obtained	1 day	12/26/18	12/26/18
2244	**Data Conversion System Integration Test Results**	**20 days**	**7/11/19**	**8/7/19**
2245	Initial Draft Created	10 days	7/11/19	7/24/19
2246	Draft Reviewed	10 days	7/25/19	8/7/19
2247	Approval Obtained	1 day	8/7/19	8/7/19
2248	**System Integration Test Results**	**20 days**	**7/11/19**	**8/7/19**
2249	Initial Draft Created	10 days	7/11/19	7/24/19
2250	Draft Reviewed	10 days	7/25/19	8/7/19
2251	Approval Obtained	1 day	8/7/19	8/7/19
2252	**Regression Test Results**	**20 days**	**7/11/19**	**8/7/19**
2253	Initial Draft Created	10 days	7/11/19	7/24/19
2254	Draft Reviewed	10 days	7/25/19	8/7/19
2255	Approval Obtained	1 day	8/7/19	8/7/19
2256	**Load/Stress Test Results**	**20 days**	**8/8/19**	**9/4/19**
2257	Initial Draft Created	10 days	8/8/19	8/21/19
2258	Draft Reviewed	10 days	8/22/19	9/4/19
2259	Approval Obtained	1 day	9/4/19	9/4/19
2260	**Capacity Analysis Report**	**20 days**	**8/8/19**	**9/4/19**
2261	Initial Draft Created	10 days	8/8/19	8/21/19
2262	Draft Reviewed	10 days	8/22/19	9/4/19
2263	Approval Obtained	1 day	9/4/19	9/4/19
2264	M:Overall Completion of System Testing	0 days	8/21/19	8/21/19
2265	**User Acceptance Test Results**	**20 days**	**10/3/19**	**10/30/19**
2266	Initial Draft Created	10 days	10/3/19	10/16/19
2267	Draft Reviewed	10 days	10/17/19	10/30/19
2268	Approval Obtained	1 day	10/30/19	10/30/19
2269	M:Overall Completion of User Acceptance Testing	0 days	10/30/19	10/30/19

ID	Task Name	Duration	Start	Finish
2270	**Implementation Readiness**	**90 days**	**6/27/19**	**10/30/19**
2271	**Training**	**25 days**	**7/25/19**	**8/28/19**
2272	Prepare Training Materials	15 days	7/25/19	8/14/19
2273	Prepare / Schedule Training for End Users and T3	15 days	7/25/19	8/14/19
2274	UAT Training	10 days	8/1/19	8/14/19
2275	Conduct Training for End Users and T3	10 days	8/15/19	8/28/19
2276	Configure Support system (helpdesk) with workflow and knowledge Base	10 days	8/15/19	8/28/19
2277	M&O Support	10 days	8/15/19	8/28/19
2278	**Operational Readiness**	**20 days**	**8/29/19**	**9/25/19**
2279	Baseline Checklist of Operational Areas	20 days	8/29/19	9/25/19
2280	Policies and Procedures, Job Aids Prepared & Posted	20 days	8/29/19	9/25/19
2281	Support system (helpdesk) Configured With Workflow and Knowledge Base	20 days	8/29/19	9/25/19
2282	Contacts Information and Contacts Defined	20 days	8/29/19	9/25/19
2283	Operational Reporting Requirements Defined	20 days	8/29/19	9/25/19
2284	Communication Planning and Execution	20 days	8/29/19	9/25/19
2285	Phone Lines & Phone Scripts are Open & Active	20 days	8/29/19	9/25/19
2286	Schedule & Conduct Dry Run With HelpDesk Staff on Rules	20 days	8/29/19	9/25/19
2287	Modify Checklist Based on Dry Run Feedback	20 days	8/29/19	9/25/19
2288	Schedule & Conduct Meeting With DHHR to review Checklist, Demo Product for ORT Walk Through	20 days	8/29/19	9/25/19
2289	Revise Checklist Based on DHHR Feedback	20 days	8/29/19	9/25/19
2290	**Implementation Readiness Deliverables**	**90 days**	**6/27/19**	**10/30/19**
2291	Review / Accept DEDs	15 days	6/27/19	7/17/19
2292	**Operational Readiness Plan**	**20 days**	**7/11/19**	**8/7/19**
2293	Initial Draft Created	10 days	7/11/19	7/24/19
2294	Draft Reviewed	10 days	7/25/19	8/7/19
2295	Approval Obtained	1 day	8/7/19	8/7/19
2296	**Operational Readiness Test Scripts**	**20 days**	**7/25/19**	**8/21/19**
2297	Initial Draft Created	10 days	7/25/19	8/7/19

ID	Task Name	Duration	Start	Finish
2298	Draft Reviewed	10 days	8/8/19	8/21/19
2299	Approval Obtained	1 day	8/21/19	8/21/19
2300	**Operational Readiness Test Results**	**20 days**	**9/26/19**	**10/23/19**
2301	Initial Draft Created	10 days	9/26/19	10/9/19
2302	Draft Reviewed	10 days	10/10/19	10/23/19
2303	Approval Obtained	1 day	10/23/19	10/23/19
2304	**Updated Training Management Plan**	**20 days**	**6/27/19**	**7/24/19**
2305	Initial Draft Created	10 days	6/27/19	7/10/19
2306	Draft Reviewed	10 days	7/11/19	7/24/19
2307	Approval Obtained	1 day	7/24/19	7/24/19
2308	**Training Schedule**	**20 days**	**6/27/19**	**7/24/19**
2309	Initial Draft Created	10 days	6/27/19	7/10/19
2310	Draft Reviewed	10 days	7/11/19	7/24/19
2311	Approval Obtained	1 day	7/24/19	7/24/19
2312	**Training Materials**	**20 days**	**6/27/19**	**7/24/19**
2313	Initial Draft Created	10 days	6/27/19	7/10/19
2314	Draft Reviewed	10 days	7/11/19	7/24/19
2315	Approval Obtained	1 day	7/24/19	7/24/19
2316	**Training Report**	**15 days**	**8/22/19**	**9/11/19**
2317	Initial Draft Created	5 days	8/22/19	8/28/19
2318	Draft Reviewed	10 days	8/29/19	9/11/19
2319	Approval Obtained	1 day	9/11/19	9/11/19
2320	**Implementation Plan**	**20 days**	**8/8/19**	**9/4/19**
2321	Initial Draft Created	10 days	8/8/19	8/21/19
2322	Draft Reviewed	10 days	8/22/19	9/4/19
2323	Approval Obtained	1 day	9/4/19	9/4/19
2324	**Cut-Over Play Book**	**20 days**	**8/22/19**	**9/18/19**
2325	Initial Draft Created	10 days	8/22/19	9/4/19
2326	Draft Reviewed	10 days	9/5/19	9/18/19
2327	Approval Obtained	1 day	9/18/19	9/18/19

ID	Task Name	Duration	Start	Finish
2328	**Report Distribution Schedule**	**20 days**	**9/5/19**	**10/2/19**
2329	Initial Draft Created	10 days	9/5/19	9/18/19
2330	Draft Reviewed	10 days	9/19/19	10/2/19
2331	Approval Obtained	1 day	10/2/19	10/2/19
2332	**Operations Project Management Plans**	**20 days**	**9/19/19**	**10/16/19**
2333	Initial Draft Created	10 days	9/19/19	10/2/19
2334	Draft Reviewed	10 days	10/3/19	10/16/19
2335	Approval Obtained	1 day	10/16/19	10/16/19
2336	**Solution health Monitoring Plan**	**20 days**	**10/3/19**	**10/30/19**
2337	Initial Draft Created	10 days	10/3/19	10/16/19
2338	Draft Reviewed	10 days	10/17/19	10/30/19
2339	Approval Obtained	1 day	10/30/19	10/30/19
2340	M:Overall Completion of Implementation Readiness	0 days	10/30/19	10/30/19
2341	Readiness Results Review - DHHR	5 days	10/24/19	10/30/19
2342	Go-No-Go Decision	1 day	10/30/19	10/30/19
2343	Cutover of Other Family Assistance Programs	5 days	10/31/19	11/6/19
2344	M:Overall Completion of Deployment to Production (Pilot)	0 days	11/6/19	11/6/19
2345	IE R2:PI3 - Pilot	60 days	11/7/19	1/29/20
2346	**Implementation Readiness Certification Deliverables**	**30 days**	**12/19/19**	**1/29/20**
2347	**Federal Certification and Review Management Plan**	**20 days**	**12/19/19**	**1/15/20**
2348	Initial Draft Created	10 days	12/19/19	1/1/20
2349	Draft Reviewed	10 days	1/2/20	1/15/20
2350	Approval Obtained	1 day	1/15/20	1/15/20
2351	**ACF Certification Documentation**	**20 days**	**12/19/19**	**1/15/20**
2352	Initial Draft Created	10 days	12/19/19	1/1/20
2353	Draft Reviewed	10 days	1/2/20	1/15/20
2354	Approval Obtained	1 day	1/15/20	1/15/20
2355	**Federal Review Supporting Documentation**	**20 days**	**1/2/20**	**1/29/20**
2356	Initial Draft Created	10 days	1/2/20	1/15/20
2357	Draft Reviewed	10 days	1/16/20	1/29/20

ID	Task Name	Duration	Start	Finish
2358	Approval Obtained	1 day	1/29/20	1/29/20
2359	**Social Security Administration Certification Documentation**	**20 days**	**1/2/20**	**1/29/20**
2360	Initial Draft Created	10 days	1/2/20	1/15/20
2361	Draft Reviewed	10 days	1/16/20	1/29/20
2362	Approval Obtained	1 day	1/29/20	1/29/20
2363	**Implementation Certification Letter**	**20 days**	**1/2/20**	**1/29/20**
2364	Initial Draft Created	10 days	1/2/20	1/15/20
2365	Draft Reviewed	10 days	1/16/20	1/29/20
2366	Approval Obtained	1 day	1/29/20	1/29/20
2367	IE R2:PI3 - Statewide Rollout	5 days	1/30/20	2/5/20
2368	M:Overall Completion of Deployment to Production	0 days	2/5/20	2/5/20
2369	IE R2:PI3 - Post Production Support	30 days	2/6/20	3/18/20
2370	**(IE) Release 3 - MDM/Reports/Document Mgmt**	**615 days**	**11/9/17**	**3/18/20**
2371	**Requirements Validation**	**50 days**	**11/9/17**	**1/17/18**
2372	**Requirements Analysis**	**50 days**	**11/9/17**	**1/17/18**
2373	**MDM/Reports/Doc Mgmt**	**50 days**	**11/9/17**	**1/17/18**
2374	Complete detailed review of all workflows, use case documentation, and requirements developed by DHHR	50 days	11/9/17	1/17/18
2375	Interviews with key stakeholders to understand how baseline requirements translate into technical details	50 days	11/9/17	1/17/18
2376	Develop draft software requirements methodology that addresses the approach and tools for alignment with existing baseline requirements	50 days	11/9/17	1/17/18
2377	MDM/Reports/Doc Mngt reviews	50 days	11/9/17	1/17/18
2378	Conduct cross-walk of the BA and functional requirements against current functionality (gap analysis)	50 days	11/9/17	1/17/18
2379	Prepare Requirements Validation DEDs / Deliverables	50 days	11/9/17	1/17/18
2380	**Requirements Deliverables**	**50 days**	**11/9/17**	**1/17/18**
2381	Review / Accept DEDs	10 days	11/9/17	11/22/17
2382	**Requirements Traceability Matrix (RTM)**	**45 days**	**11/16/17**	**1/17/18**
2383	Initial Draft Created	35 days	11/16/17	1/3/18
2384	Draft Reviewed	10 days	1/4/18	1/17/18

ID	Task Name	Duration	Start	Finish
2385	Approval Obtained	1 day	1/17/18	1/17/18
2386	**Requirements Specification Document (RSD)**	**40 days**	**11/23/17**	**1/17/18**
2387	Initial Draft Created	30 days	11/23/17	1/3/18
2388	Draft Reviewed	10 days	1/4/18	1/17/18
2389	Approval Obtained	1 day	1/17/18	1/17/18
2390	M:Overall Completion of Requirements Validation	0 days	1/17/18	1/17/18
2391	**Design**	**120 days**	**12/7/17**	**5/23/18**
2392	**(IE) R3 - MDM**	**30 days**	**12/7/17**	**1/17/18**
2393	**Solution Design (JAD) & Release Planning**	**30 days**	**12/7/17**	**1/17/18**
2394	**(IE) R3 - MDM**	**30 days**	**12/7/17**	**1/17/18**
2395	Review Enterprise Architecture to understand solution design approach and compliance requirements	30 days	12/7/17	1/17/18
2396	UI/UX Design Sessions	30 days	12/7/17	1/17/18
2397	Define conceptual architecture	30 days	12/7/17	1/17/18
2398	Define logical architecture (SOA layers, Vendors, Service Consumers, Service Brokers, dependencies)	30 days	12/7/17	1/17/18
2399	Define physical architecture (various application services and how they should be implemented, integration layers)	30 days	12/7/17	1/17/18
2400	Functional Design / Technical Design sessions	30 days	12/7/17	1/17/18
2401	Data Conversion / Test Data Management	30 days	12/7/17	1/17/18
2402	Prepare Design DEDs / Deliverables	30 days	12/7/17	1/17/18
2403	**Design Deliverables**	**30 days**	**12/7/17**	**1/17/18**
2404	Review / Accept DEDs	10 days	12/7/17	12/20/17
2405	**Requirements Gap Analysis Document**	**15 days**	**12/7/17**	**12/27/17**
2406	Initial Draft Created	5 days	12/7/17	12/13/17
2407	Draft Reviewed	10 days	12/14/17	12/27/17
2408	Approval Obtained	1 day	12/27/17	12/27/17
2409	**Business Process Models**	**15 days**	**12/7/17**	**12/27/17**
2410	Initial Draft Created	5 days	12/7/17	12/13/17
2411	Draft Reviewed	10 days	12/14/17	12/27/17

ID	Task Name	Duration	Start	Finish
2412	Approval Obtained	1 day	12/27/17	12/27/17
2413	**Detailed System Design (DSD) Document**	**15 days**	**12/7/17**	**12/27/17**
2414	Initial Draft Created	5 days	12/7/17	12/13/17
2415	Draft Reviewed	10 days	12/14/17	12/27/17
2416	Approval Obtained	1 day	12/27/17	12/27/17
2417	**Data Dictionary**	**15 days**	**12/14/17**	**1/3/18**
2418	Initial Draft Created	5 days	12/14/17	12/20/17
2419	Draft Reviewed	10 days	12/21/17	1/3/18
2420	Approval Obtained	1 day	12/20/17	12/20/17
2421	**Data Models**	**15 days**	**12/14/17**	**1/3/18**
2422	Initial Draft Created	5 days	12/14/17	12/20/17
2423	Draft Reviewed	10 days	12/21/17	1/3/18
2424	Approval Obtained	1 day	1/3/18	1/3/18
2425	**Reports Inventory**	**15 days**	**12/14/17**	**1/3/18**
2426	Initial Draft Created	5 days	12/14/17	12/20/17
2427	Draft Reviewed	10 days	12/21/17	1/3/18
2428	Approval Obtained	1 day	1/3/18	1/3/18
2429	**Correspondence Inventory**	**15 days**	**12/14/17**	**1/3/18**
2430	Initial Draft Created	5 days	12/14/17	12/20/17
2431	Draft Reviewed	10 days	12/21/17	1/3/18
2432	Approval Obtained	1 day	1/3/18	1/3/18
2433	**Forms Inventory**	**15 days**	**12/21/17**	**1/10/18**
2434	Initial Draft Created	5 days	12/21/17	12/27/17
2435	Draft Reviewed	10 days	12/28/17	1/10/18
2436	Approval Obtained	1 day	1/10/18	1/10/18
2437	**Interface Inventory**	**15 days**	**12/21/17**	**1/10/18**
2438	Initial Draft Created	5 days	12/21/17	12/27/17
2439	Draft Reviewed	10 days	12/28/17	1/10/18
2440	Approval Obtained	1 day	1/10/18	1/10/18
2441	**Data Cleansing and Conversion Requirements Document**	**15 days**	**12/28/17**	**1/17/18**

ID	Task Name	Duration	Start	Finish
2442	Initial Draft Created	5 days	12/28/17	1/3/18
2443	Draft Reviewed	10 days	1/4/18	1/17/18
2444	Approval Obtained	1 day	1/17/18	1/17/18
2445	**Data Cleansing and Conversion Specification Document**	**15 days**	**12/28/17**	**1/17/18**
2446	Initial Draft Created	5 days	12/28/17	1/3/18
2447	Draft Reviewed	10 days	1/4/18	1/17/18
2448	Approval Obtained	1 day	1/17/18	1/17/18
2449	Overall Completion of Design Phase	0 days	1/17/18	1/17/18
2450	**(IE) R3 - Reports/Docs/Notices - PI1**	**30 days**	**1/18/18**	**2/28/18**
2451	**Solution Design (JAD) & Release Planning**	**30 days**	**1/18/18**	**2/28/18**
2452	**(IE) R3 Reports/Docs/Notices - PI1**	**30 days**	**1/18/18**	**2/28/18**
2453	Review Enterprise Architecture to understand solution design approach and compliance requirements	30 days	1/18/18	2/28/18
2454	UI/UX Design Sessions	30 days	1/18/18	2/28/18
2455	Define conceptual architecture	30 days	1/18/18	2/28/18
2456	Define logical architecture (SOA layers, Vendors, Service Consumers, Service Brokers, dependencies)	30 days	1/18/18	2/28/18
2457	Define physical architecture (various application services and how they should be implemented, integration layers)	30 days	1/18/18	2/28/18
2458	Functional Design / Technical Design sessions	30 days	1/18/18	2/28/18
2459	Data Conversion / Test Data Management	30 days	1/18/18	2/28/18
2460	Prepare Design DEDs / Deliverables	30 days	1/18/18	2/28/18
2461	**Design Deliverables**	**30 days**	**1/18/18**	**2/28/18**
2462	Review / Accept DEDs	10 days	1/18/18	1/31/18
2463	**Requirements Gap Analysis Document**	**15 days**	**1/18/18**	**2/7/18**
2464	Initial Draft Created	5 days	1/18/18	1/24/18
2465	Draft Reviewed	10 days	1/25/18	2/7/18
2466	Approval Obtained	1 day	2/7/18	2/7/18
2467	**Business Process Models**	**15 days**	**1/18/18**	**2/7/18**
2468	Initial Draft Created	5 days	1/18/18	1/24/18

ID	Task Name	Duration	Start	Finish
2469	Draft Reviewed	10 days	1/25/18	2/7/18
2470	Approval Obtained	1 day	2/7/18	2/7/18
2471	**Detailed System Design (DSD) Document**	**15 days**	**1/18/18**	**2/7/18**
2472	Initial Draft Created	5 days	1/18/18	1/24/18
2473	Draft Reviewed	10 days	1/25/18	2/7/18
2474	Approval Obtained	1 day	2/7/18	2/7/18
2475	**Data Dictionary**	**15 days**	**1/25/18**	**2/14/18**
2476	Initial Draft Created	5 days	1/25/18	1/31/18
2477	Draft Reviewed	10 days	2/1/18	2/14/18
2478	Approval Obtained	1 day	1/31/18	1/31/18
2479	**Data Models**	**15 days**	**1/25/18**	**2/14/18**
2480	Initial Draft Created	5 days	1/25/18	1/31/18
2481	Draft Reviewed	10 days	2/1/18	2/14/18
2482	Approval Obtained	1 day	2/14/18	2/14/18
2483	**Reports Inventory**	**15 days**	**1/25/18**	**2/14/18**
2484	Initial Draft Created	5 days	1/25/18	1/31/18
2485	Draft Reviewed	10 days	2/1/18	2/14/18
2486	Approval Obtained	1 day	2/14/18	2/14/18
2487	**Correspondence Inventory**	**15 days**	**1/25/18**	**2/14/18**
2488	Initial Draft Created	5 days	1/25/18	1/31/18
2489	Draft Reviewed	10 days	2/1/18	2/14/18
2490	Approval Obtained	1 day	2/14/18	2/14/18
2491	**Forms Inventory**	**15 days**	**2/1/18**	**2/21/18**
2492	Initial Draft Created	5 days	2/1/18	2/7/18
2493	Draft Reviewed	10 days	2/8/18	2/21/18
2494	Approval Obtained	1 day	2/21/18	2/21/18
2495	**Interface Inventory**	**15 days**	**2/1/18**	**2/21/18**
2496	Initial Draft Created	5 days	2/1/18	2/7/18
2497	Draft Reviewed	10 days	2/8/18	2/21/18
2498	Approval Obtained	1 day	2/21/18	2/21/18

ID	Task Name	Duration	Start	Finish
2499	**Data Cleansing and Conversion Requirements Document**	**15 days**	**2/8/18**	**2/28/18**
2500	Initial Draft Created	5 days	2/8/18	2/14/18
2501	Draft Reviewed	10 days	2/15/18	2/28/18
2502	Approval Obtained	1 day	2/28/18	2/28/18
2503	**Data Cleansing and Conversion Specification Document**	**15 days**	**2/8/18**	**2/28/18**
2504	Initial Draft Created	5 days	2/8/18	2/14/18
2505	Draft Reviewed	10 days	2/15/18	2/28/18
2506	Approval Obtained	1 day	2/28/18	2/28/18
2507	Overall Completion of Design Phase	0 days	2/28/18	2/28/18
2508	**(IE) R3 - Reports/Docs/Notices - PI2**	**30 days**	**3/1/18**	**4/11/18**
2509	**Solution Design (JAD) & Release Planning**	**30 days**	**3/1/18**	**4/11/18**
2510	**(IE) R3 Reports/Docs/Notices - PI2**	**30 days**	**3/1/18**	**4/11/18**
2511	Review Enterprise Architecture to understand solution design approach and compliance requirements	30 days	3/1/18	4/11/18
2512	UI/UX Design Sessions	30 days	3/1/18	4/11/18
2513	Define conceptual architecture	30 days	3/1/18	4/11/18
2514	Define logical architecture (SOA layers, Vendors, Service Consumers, Service Brokers, dependencies)	30 days	3/1/18	4/11/18
2515	Define physical architecture (various application services and how they should be implemented, integration layers)	30 days	3/1/18	4/11/18
2516	Functional Design / Technical Design sessions	30 days	3/1/18	4/11/18
2517	Data Conversion / Test Data Management	30 days	3/1/18	4/11/18
2518	Prepare Design DEDs / Deliverables	30 days	3/1/18	4/11/18
2519	**Design Deliverables**	**30 days**	**3/1/18**	**4/11/18**
2520	Review / Accept DEDs	10 days	3/1/18	3/14/18
2521	**Requirements Gap Analysis Document**	**15 days**	**3/1/18**	**3/21/18**
2522	Initial Draft Created	5 days	3/1/18	3/7/18
2523	Draft Reviewed	10 days	3/8/18	3/21/18
2524	Approval Obtained	1 day	3/21/18	3/21/18
2525	**Business Process Models**	**15 days**	**3/1/18**	**3/21/18**

ID	Task Name	Duration	Start	Finish
2526	Initial Draft Created	5 days	3/1/18	3/7/18
2527	Draft Reviewed	10 days	3/8/18	3/21/18
2528	Approval Obtained	1 day	3/21/18	3/21/18
2529	**Detailed System Design (DSD) Document**	**15 days**	**3/1/18**	**3/21/18**
2530	Initial Draft Created	5 days	3/1/18	3/7/18
2531	Draft Reviewed	10 days	3/8/18	3/21/18
2532	Approval Obtained	1 day	3/21/18	3/21/18
2533	**Data Dictionary**	**15 days**	**3/8/18**	**3/28/18**
2534	Initial Draft Created	5 days	3/8/18	3/14/18
2535	Draft Reviewed	10 days	3/15/18	3/28/18
2536	Approval Obtained	1 day	3/14/18	3/14/18
2537	**Data Models**	**15 days**	**3/8/18**	**3/28/18**
2538	Initial Draft Created	5 days	3/8/18	3/14/18
2539	Draft Reviewed	10 days	3/15/18	3/28/18
2540	Approval Obtained	1 day	3/28/18	3/28/18
2541	**Reports Inventory**	**15 days**	**3/8/18**	**3/28/18**
2542	Initial Draft Created	5 days	3/8/18	3/14/18
2543	Draft Reviewed	10 days	3/15/18	3/28/18
2544	Approval Obtained	1 day	3/28/18	3/28/18
2545	**Correspondence Inventory**	**15 days**	**3/8/18**	**3/28/18**
2546	Initial Draft Created	5 days	3/8/18	3/14/18
2547	Draft Reviewed	10 days	3/15/18	3/28/18
2548	Approval Obtained	1 day	3/28/18	3/28/18
2549	**Forms Inventory**	**15 days**	**3/15/18**	**4/4/18**
2550	Initial Draft Created	5 days	3/15/18	3/21/18
2551	Draft Reviewed	10 days	3/22/18	4/4/18
2552	Approval Obtained	1 day	4/4/18	4/4/18
2553	**Interface Inventory**	**15 days**	**3/15/18**	**4/4/18**
2554	Initial Draft Created	5 days	3/15/18	3/21/18
2555	Draft Reviewed	10 days	3/22/18	4/4/18

ID	Task Name	Duration	Start	Finish
2556	Approval Obtained	1 day	4/4/18	4/4/18
2557	**Data Cleansing and Conversion Requirements Document**	**15 days**	**3/22/18**	**4/11/18**
2558	Initial Draft Created	5 days	3/22/18	3/28/18
2559	Draft Reviewed	10 days	3/29/18	4/11/18
2560	Approval Obtained	1 day	4/11/18	4/11/18
2561	**Data Cleansing and Conversion Specification Document**	**15 days**	**3/22/18**	**4/11/18**
2562	Initial Draft Created	5 days	3/22/18	3/28/18
2563	Draft Reviewed	10 days	3/29/18	4/11/18
2564	Approval Obtained	1 day	4/11/18	4/11/18
2565	Overall Completion of Design Phase	0 days	4/11/18	4/11/18
2566	**(IE) R3 - Reports/Docs/Notices - PI3**	**30 days**	**4/12/18**	**5/23/18**
2567	**Solution Design (JAD) & Release Planning**	**30 days**	**4/12/18**	**5/23/18**
2568	**(IE) R3 - Reports/Docs/Notices - PI3**	**30 days**	**4/12/18**	**5/23/18**
2569	Review Enterprise Architecture to understand solution design approach and compliance requirements	30 days	4/12/18	5/23/18
2570	UI/UX Design Sessions	30 days	4/12/18	5/23/18
2571	Define conceptual architecture	30 days	4/12/18	5/23/18
2572	Define logical architecture (SOA layers, Vendors, Service Consumers, Service Brokers, dependencies)	30 days	4/12/18	5/23/18
2573	Define physical architecture (various application services and how they should be implemented, integration layers)	30 days	4/12/18	5/23/18
2574	Functional Design / Technical Design sessions	30 days	4/12/18	5/23/18
2575	Data Conversion / Test Data Management	30 days	4/12/18	5/23/18
2576	Prepare Design DEDs / Deliverables	30 days	4/12/18	5/23/18
2577	**Design Deliverables**	**30 days**	**4/12/18**	**5/23/18**
2578	Review / Accept DEDs	10 days	4/12/18	4/25/18
2579	**Requirements Gap Analysis Document**	**15 days**	**4/12/18**	**5/2/18**
2580	Initial Draft Created	5 days	4/12/18	4/18/18
2581	Draft Reviewed	10 days	4/19/18	5/2/18
2582	Approval Obtained	1 day	5/2/18	5/2/18

ID	Task Name	Duration	Start	Finish
2583	**Business Process Models**	**15 days**	**4/12/18**	**5/2/18**
2584	Initial Draft Created	5 days	4/12/18	4/18/18
2585	Draft Reviewed	10 days	4/19/18	5/2/18
2586	Approval Obtained	1 day	5/2/18	5/2/18
2587	**Detailed System Design (DSD) Document**	**15 days**	**4/12/18**	**5/2/18**
2588	Initial Draft Created	5 days	4/12/18	4/18/18
2589	Draft Reviewed	10 days	4/19/18	5/2/18
2590	Approval Obtained	1 day	5/2/18	5/2/18
2591	**Data Dictionary**	**15 days**	**4/19/18**	**5/9/18**
2592	Initial Draft Created	5 days	4/19/18	4/25/18
2593	Draft Reviewed	10 days	4/26/18	5/9/18
2594	Approval Obtained	1 day	4/25/18	4/25/18
2595	**Data Models**	**15 days**	**4/19/18**	**5/9/18**
2596	Initial Draft Created	5 days	4/19/18	4/25/18
2597	Draft Reviewed	10 days	4/26/18	5/9/18
2598	Approval Obtained	1 day	5/9/18	5/9/18
2599	**Reports Inventory**	**15 days**	**4/19/18**	**5/9/18**
2600	Initial Draft Created	5 days	4/19/18	4/25/18
2601	Draft Reviewed	10 days	4/26/18	5/9/18
2602	Approval Obtained	1 day	5/9/18	5/9/18
2603	**Correspondence Inventory**	**15 days**	**4/19/18**	**5/9/18**
2604	Initial Draft Created	5 days	4/19/18	4/25/18
2605	Draft Reviewed	10 days	4/26/18	5/9/18
2606	Approval Obtained	1 day	5/9/18	5/9/18
2607	**Forms Inventory**	**15 days**	**4/26/18**	**5/16/18**
2608	Initial Draft Created	5 days	4/26/18	5/2/18
2609	Draft Reviewed	10 days	5/3/18	5/16/18
2610	Approval Obtained	1 day	5/16/18	5/16/18
2611	**Interface Inventory**	**15 days**	**4/26/18**	**5/16/18**
2612	Initial Draft Created	5 days	4/26/18	5/2/18

ID	Task Name	Duration	Start	Finish
2613	Draft Reviewed	10 days	5/3/18	5/16/18
2614	Approval Obtained	1 day	5/16/18	5/16/18
2615	**Data Cleansing and Conversion Requirements Document**	**15 days**	**5/3/18**	**5/23/18**
2616	Initial Draft Created	5 days	5/3/18	5/9/18
2617	Draft Reviewed	10 days	5/10/18	5/23/18
2618	Approval Obtained	1 day	5/23/18	5/23/18
2619	**Data Cleansing and Conversion Specification Document**	**15 days**	**5/3/18**	**5/23/18**
2620	Initial Draft Created	5 days	5/3/18	5/9/18
2621	Draft Reviewed	10 days	5/10/18	5/23/18
2622	Approval Obtained	1 day	5/23/18	5/23/18
2623	M:Overall Completion of Design Phase	0 days	5/23/18	5/23/18
2624	**Development and Testing**	**465 days**	**1/18/18**	**10/30/19**
2625	**Execution (Design/Build/Sys Test)**	**250 days**	**1/18/18**	**1/2/19**
2626	**(IE) R3 - MDM Design Sprint**	**20 days**	**1/18/18**	**2/14/18**
2627	Conduct Business Rules specification sessions	20 days	1/18/18	2/14/18
2628	System integration points	20 days	1/18/18	2/14/18
2629	Design Interfaces / APIs	20 days	1/18/18	2/14/18
2630	Technical security controls and security architecture	20 days	1/18/18	2/14/18
2631	System Context Diagram updates	20 days	1/18/18	2/14/18
2632	Business Rules Designs	20 days	1/18/18	2/14/18
2633	MDM/Reports/Doc Mngt Use Cases	20 days	1/18/18	2/14/18
2634	Data Conversion / Test Data Management	20 days	1/18/18	2/14/18
2635	Current / Future state Modeling sessions	20 days	1/18/18	2/14/18
2636	Prepare Development / Test / Readiness DEDs	20 days	1/18/18	2/14/18
2637	**(IE) R3 - MDM Sprint 1**	**20 days**	**2/15/18**	**3/14/18**
2638	**Configuration**	**20 days**	**2/15/18**	**3/14/18**
2639	Interfaces / APIs	20 days	2/15/18	3/14/18
2640	Business Rules development	20 days	2/15/18	3/14/18
2641	Update Business rules repository	20 days	2/15/18	3/14/18
2642	Data Conversion / Test Data Management	20 days	2/15/18	3/14/18

ID	Task Name	Duration	Start	Finish
2643	Integration with existing Systems	20 days	2/15/18	3/14/18
2644	MDM / Reports / Doc Mngt	20 days	2/15/18	3/14/18
2645	Conduct Reviews	20 days	2/15/18	3/14/18
2646	**Testing / Validation**	**20 days**	**2/15/18**	**3/14/18**
2647	Execution of Rules / Reports	20 days	2/15/18	3/14/18
2648	Validation of test cases against IES environment	20 days	2/15/18	3/14/18
2649	Identify, Track and Resolve Defects	20 days	2/15/18	3/14/18
2650	Prioritize and Retest Defects	20 days	2/15/18	3/14/18
2651	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	2/15/18	3/14/18
2652	Compile Test Results	20 days	2/15/18	3/14/18
2653	Sprint Review / Demo	1 day	3/14/18	3/14/18
2654	Sprint Planning	3 days	3/12/18	3/14/18
2655	**(IE) R3 - MDM Sprint 2**	**20 days**	**3/15/18**	**4/11/18**
2656	**Configuration**	**20 days**	**3/15/18**	**4/11/18**
2657	Interfaces / APIs	20 days	3/15/18	4/11/18
2658	Business Rules development	20 days	3/15/18	4/11/18
2659	Update Business rules repository	20 days	3/15/18	4/11/18
2660	Data Conversion / Test Data Management	20 days	3/15/18	4/11/18
2661	Integration with existing Systems	20 days	3/15/18	4/11/18
2662	MDM / Reports / Doc Mngt	20 days	3/15/18	4/11/18
2663	Conduct Reviews	20 days	3/15/18	4/11/18
2664	**Testing / Validation**	**20 days**	**3/15/18**	**4/11/18**
2665	Execution of Rules / Reports	20 days	3/15/18	4/11/18
2666	Validation of test cases against IES environment	20 days	3/15/18	4/11/18
2667	Identify, Track and Resolve Defects	20 days	3/15/18	4/11/18
2668	Prioritize and Retest Defects	20 days	3/15/18	4/11/18
2669	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	3/15/18	4/11/18
2670	Compile Test Results	20 days	3/15/18	4/11/18
2671	Sprint Review / Demo	1 day	4/11/18	4/11/18
2672	Sprint Planning	3 days	4/9/18	4/11/18

ID	Task Name	Duration	Start	Finish
2673	**(IE) R3 - MDM Sprint 3**	**20 days**	**4/12/18**	**5/9/18**
2674	**Configuration**	**20 days**	**4/12/18**	**5/9/18**
2675	Interfaces / APIs	20 days	4/12/18	5/9/18
2676	Business Rules development	20 days	4/12/18	5/9/18
2677	Update Business rules repository	20 days	4/12/18	5/9/18
2678	Data Conversion / Test Data Management	20 days	4/12/18	5/9/18
2679	Integration with existing Systems	20 days	4/12/18	5/9/18
2680	MDM / Reports / Doc Mngt	20 days	4/12/18	5/9/18
2681	Conduct Reviews	20 days	4/12/18	5/9/18
2682	**Testing / Validation**	**20 days**	**4/12/18**	**5/9/18**
2683	Execution of Rules / Reports	20 days	4/12/18	5/9/18
2684	Validation of test cases against IES environment	20 days	4/12/18	5/9/18
2685	Identify, Track and Resolve Defects	20 days	4/12/18	5/9/18
2686	Prioritize and Retest Defects	20 days	4/12/18	5/9/18
2687	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	4/12/18	5/9/18
2688	Compile Test Results	20 days	4/12/18	5/9/18
2689	Sprint Review / Demo	1 day	5/9/18	5/9/18
2690	Sprint Planning	3 days	5/7/18	5/9/18
2691	**(IE) R3 - Design Sprint**	**20 days**	**5/10/18**	**6/6/18**
2692	**Configuration**	**20 days**	**5/10/18**	**6/6/18**
2693	Interfaces / APIs	20 days	5/10/18	6/6/18
2694	Business Rules development	20 days	5/10/18	6/6/18
2695	Update Business rules repository	20 days	5/10/18	6/6/18
2696	Data Conversion / Test Data Management	20 days	5/10/18	6/6/18
2697	Integration with existing Systems	20 days	5/10/18	6/6/18
2698	MDM / Reports / Doc Mngt	20 days	5/10/18	6/6/18
2699	Conduct Reviews	20 days	5/10/18	6/6/18
2700	**Testing / Validation**	**20 days**	**5/10/18**	**6/6/18**
2701	Execution of Rules / Reports	20 days	5/10/18	6/6/18
2702	Validation of test cases against IES environment	20 days	5/10/18	6/6/18

ID	Task Name	Duration	Start	Finish
2703	Identify, Track and Resolve Defects	20 days	5/10/18	6/6/18
2704	Prioritize and Retest Defects	20 days	5/10/18	6/6/18
2705	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	5/10/18	6/6/18
2706	Compile Test Results	20 days	5/10/18	6/6/18
2707	Sprint Review / Demo	1 day	6/6/18	6/6/18
2708	Sprint Planning	3 days	6/4/18	6/6/18
2709	**(IE) R3 - Sprint 1**	**20 days**	**6/7/18**	**7/4/18**
2710	**Configuration**	**20 days**	**6/7/18**	**7/4/18**
2711	Interfaces / APIs	20 days	6/7/18	7/4/18
2712	Business Rules development	20 days	6/7/18	7/4/18
2713	Update Business rules repository	20 days	6/7/18	7/4/18
2714	Data Conversion / Test Data Management	20 days	6/7/18	7/4/18
2715	Integration with existing Systems	20 days	6/7/18	7/4/18
2716	MDM / Reports / Doc Mngt	20 days	6/7/18	7/4/18
2717	Conduct Reviews	20 days	6/7/18	7/4/18
2718	**Testing / Validation**	**20 days**	**6/7/18**	**7/4/18**
2719	Execution of Rules / Reports	20 days	6/7/18	7/4/18
2720	Validation of test cases against IES environment	20 days	6/7/18	7/4/18
2721	Identify, Track and Resolve Defects	20 days	6/7/18	7/4/18
2722	Prioritize and Retest Defects	20 days	6/7/18	7/4/18
2723	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	6/7/18	7/4/18
2724	Compile Test Results	20 days	6/7/18	7/4/18
2725	Sprint Review / Demo	1 day	7/4/18	7/4/18
2726	Sprint Planning	3 days	7/2/18	7/4/18
2727	**(IE) R3 - Sprint 2**	**20 days**	**7/5/18**	**8/1/18**
2728	**Configuration**	**20 days**	**7/5/18**	**8/1/18**
2729	Interfaces / APIs	20 days	7/5/18	8/1/18
2730	Business Rules development	20 days	7/5/18	8/1/18
2731	Update Business rules repository	20 days	7/5/18	8/1/18
2732	Data Conversion / Test Data Management	20 days	7/5/18	8/1/18

ID	Task Name	Duration	Start	Finish
2733	Integration with existing Systems	20 days	7/5/18	8/1/18
2734	MDM / Reports / Doc Mngt	20 days	7/5/18	8/1/18
2735	Conduct Reviews	20 days	7/5/18	8/1/18
2736	**Testing / Validation**	**20 days**	**7/5/18**	**8/1/18**
2737	Execution of Rules / Reports	20 days	7/5/18	8/1/18
2738	Validation of test cases against IES environment	20 days	7/5/18	8/1/18
2739	Identify, Track and Resolve Defects	20 days	7/5/18	8/1/18
2740	Prioritize and Retest Defects	20 days	7/5/18	8/1/18
2741	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	7/5/18	8/1/18
2742	Compile Test Results	20 days	7/5/18	8/1/18
2743	Sprint Review / Demo	1 day	8/1/18	8/1/18
2744	Sprint Planning	3 days	7/30/18	8/1/18
2745	**(IE) R3 - Sprint 3**	**20 days**	**8/2/18**	**8/29/18**
2746	**Configuration**	**20 days**	**8/2/18**	**8/29/18**
2747	Interfaces / APIs	20 days	8/2/18	8/29/18
2748	Business Rules development	20 days	8/2/18	8/29/18
2749	Update Business rules repository	20 days	8/2/18	8/29/18
2750	Data Conversion / Test Data Management	20 days	8/2/18	8/29/18
2751	Integration with existing Systems	20 days	8/2/18	8/29/18
2752	MDM / Reports / Doc Mngt	20 days	8/2/18	8/29/18
2753	Conduct Reviews	20 days	8/2/18	8/29/18
2754	**Testing / Validation**	**20 days**	**8/2/18**	**8/29/18**
2755	Execution of Rules / Reports	20 days	8/2/18	8/29/18
2756	Validation of test cases against IES environment	20 days	8/2/18	8/29/18
2757	Identify, Track and Resolve Defects	20 days	8/2/18	8/29/18
2758	Prioritize and Retest Defects	20 days	8/2/18	8/29/18
2759	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	8/2/18	8/29/18
2760	Compile Test Results	20 days	8/2/18	8/29/18
2761	Sprint Review / Demo	1 day	8/29/18	8/29/18
2762	Sprint Planning	3 days	8/27/18	8/29/18

ID	Task Name	Duration	Start	Finish
2763	**(IE) R3 - Sprint 4**	**20 days**	**8/30/18**	**9/26/18**
2764	**Configuration**	**20 days**	**8/30/18**	**9/26/18**
2765	Interfaces / APIs	20 days	8/30/18	9/26/18
2766	Business Rules development	20 days	8/30/18	9/26/18
2767	Update Business rules repository	20 days	8/30/18	9/26/18
2768	Data Conversion / Test Data Management	20 days	8/30/18	9/26/18
2769	Integration with existing Systems	20 days	8/30/18	9/26/18
2770	MDM / Reports / Doc Mngt	20 days	8/30/18	9/26/18
2771	Conduct Reviews	20 days	8/30/18	9/26/18
2772	**Testing / Validation**	**20 days**	**8/30/18**	**9/26/18**
2773	Execution of Rules / Reports	20 days	8/30/18	9/26/18
2774	Validation of test cases against IES environment	20 days	8/30/18	9/26/18
2775	Identify, Track and Resolve Defects	20 days	8/30/18	9/26/18
2776	Prioritize and Retest Defects	20 days	8/30/18	9/26/18
2777	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	8/30/18	9/26/18
2778	Compile Test Results	20 days	8/30/18	9/26/18
2779	Sprint Review / Demo	1 day	9/26/18	9/26/18
2780	Sprint Planning	3 days	9/24/18	9/26/18
2781	**(IE) R3 - Sprint 5**	**20 days**	**9/27/18**	**10/24/18**
2782	**Configuration**	**20 days**	**9/27/18**	**10/24/18**
2783	Interfaces / APIs	20 days	9/27/18	10/24/18
2784	Business Rules development	20 days	9/27/18	10/24/18
2785	Update Business rules repository	20 days	9/27/18	10/24/18
2786	Data Conversion / Test Data Management	20 days	9/27/18	10/24/18
2787	Integration with existing Systems	20 days	9/27/18	10/24/18
2788	MDM / Reports / Doc Mngt	20 days	9/27/18	10/24/18
2789	Conduct Reviews	20 days	9/27/18	10/24/18
2790	**Testing / Validation**	**20 days**	**9/27/18**	**10/24/18**
2791	Execution of Rules / Reports	20 days	9/27/18	10/24/18
2792	Validation of test cases against IES environment	20 days	9/27/18	10/24/18

ID	Task Name	Duration	Start	Finish
2793	Identify, Track and Resolve Defects	20 days	9/27/18	10/24/18
2794	Prioritize and Retest Defects	20 days	9/27/18	10/24/18
2795	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	9/27/18	10/24/18
2796	Compile Test Results	20 days	9/27/18	10/24/18
2797	Sprint Review / Demo	1 day	10/24/18	10/24/18
2798	Sprint Planning	3 days	10/22/18	10/24/18
2799	**(IE) R3 - Sprint 6**	**20 days**	**10/25/18**	**11/21/18**
2800	**Configuration**	**20 days**	**10/25/18**	**11/21/18**
2801	Interfaces / APIs	20 days	10/25/18	11/21/18
2802	Business Rules development	20 days	10/25/18	11/21/18
2803	Update Business rules repository	20 days	10/25/18	11/21/18
2804	Data Conversion / Test Data Management	20 days	10/25/18	11/21/18
2805	Integration with existing Systems	20 days	10/25/18	11/21/18
2806	MDM / Reports / Doc Mngt	20 days	10/25/18	11/21/18
2807	Conduct Reviews	20 days	10/25/18	11/21/18
2808	**Testing / Validation**	**20 days**	**10/25/18**	**11/21/18**
2809	Execution of Rules / Reports	20 days	10/25/18	11/21/18
2810	Validation of test cases against IES environment	20 days	10/25/18	11/21/18
2811	Identify, Track and Resolve Defects	20 days	10/25/18	11/21/18
2812	Prioritize and Retest Defects	20 days	10/25/18	11/21/18
2813	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	10/25/18	11/21/18
2814	Compile Test Results	20 days	10/25/18	11/21/18
2815	Sprint Review / Demo	1 day	11/21/18	11/21/18
2816	Sprint Planning	3 days	11/19/18	11/21/18
2817	**(IE) R3 - Sprint 7 (MDM)**	**30 days**	**11/22/18**	**1/2/19**
2818	**Configuration**	**30 days**	**11/22/18**	**1/2/19**
2819	Interfaces / APIs	30 days	11/22/18	1/2/19
2820	Business Rules development	30 days	11/22/18	1/2/19
2821	Update Business rules repository	30 days	11/22/18	1/2/19
2822	Data Conversion / Test Data Management	30 days	11/22/18	1/2/19

ID	Task Name	Duration	Start	Finish
2823	Integration with existing Systems	30 days	11/22/18	1/2/19
2824	MDM / Reports / Doc Mngt	30 days	11/22/18	1/2/19
2825	Conduct Reviews	30 days	11/22/18	1/2/19
2826	**Testing / Validation**	**30 days**	**11/22/18**	**1/2/19**
2827	Execution of Rules / Reports	30 days	11/22/18	1/2/19
2828	Validation of test cases against IES environment	30 days	11/22/18	1/2/19
2829	Identify, Track and Resolve Defects	30 days	11/22/18	1/2/19
2830	Prioritize and Retest Defects	30 days	11/22/18	1/2/19
2831	Provide Status / Dashboard of Test Cases & Defects - Weekly	30 days	11/22/18	1/2/19
2832	Compile Test Results	30 days	11/22/18	1/2/19
2833	Sprint Review / Demo	1 day	1/2/19	1/2/19
2834	Sprint Planning	3 days	12/31/18	1/2/19
2835	**Testing (Integration/E2E/Perf/UAT)**	**365 days**	**5/24/18**	**10/16/19**
2836	**(IE) R3 - MDM**	**45 days**	**5/24/18**	**7/25/18**
2837	**(IE) R3 - MDM Integration Test 1**	**25 days**	**5/24/18**	**6/27/18**
2838	Unit or Module Test	25 days	5/24/18	6/27/18
2839	Subsystem Integration Test	25 days	5/24/18	6/27/18
2840	System Qualification Test	25 days	5/24/18	6/27/18
2841	Regression Testing	25 days	5/24/18	6/27/18
2842	End to End Testing	25 days	5/24/18	6/27/18
2843	Data Conversion Testing	25 days	5/24/18	6/27/18
2844	Security Testing	25 days	5/24/18	6/27/18
2845	Interface / Accessibility Testing	25 days	5/24/18	6/27/18
2846	Parallel Testing	25 days	5/24/18	6/27/18
2847	Identify / Address Critical Defects	25 days	5/24/18	6/27/18
2848	**(IE) R3 - MDM Performance**	**10 days**	**6/28/18**	**7/11/18**
2849	Performance Testing	10 days	6/28/18	7/11/18
2850	Mock Data Conversion	10 days	6/28/18	7/11/18
2851	Readiness Certification	10 days	6/28/18	7/11/18
2852	Site Readiness Assessments	10 days	6/28/18	7/11/18

ID	Task Name	Duration	Start	Finish
2853	Identify / Address critical defects	10 days	6/28/18	7/11/18
2854	**(IE) R3 - MDM UAT**	**20 days**	**6/28/18**	**7/25/18**
2855	Prepare UAT test scripts	20 days	6/28/18	7/25/18
2856	Agency access to UAT environment	20 days	6/28/18	7/25/18
2857	Conduct UAT Testing / Ad-hoc testing	20 days	6/28/18	7/25/18
2858	Mock Data Conversion	20 days	6/28/18	7/25/18
2859	Review address critical defects	20 days	6/28/18	7/25/18
2860	Prepare UAT report	20 days	6/28/18	7/25/18
2861	**(IE) R3 - PI1**	**120 days**	**10/30/18**	**4/15/19**
2862	**(IE) R3 P1 - Integration Test 1**	**20 days**	**10/30/18**	**11/26/18**
2863	Unit or Module Test	20 days	10/30/18	11/26/18
2864	Subsystem Integration Test	20 days	10/30/18	11/26/18
2865	System Qualification Test	20 days	10/30/18	11/26/18
2866	Regression Testing	20 days	10/30/18	11/26/18
2867	End to End Testing	20 days	10/30/18	11/26/18
2868	Data Conversion Testing	20 days	10/30/18	11/26/18
2869	Security Testing	20 days	10/30/18	11/26/18
2870	Interface / Accessibility Testing	20 days	10/30/18	11/26/18
2871	Parallel Testing	20 days	10/30/18	11/26/18
2872	Identify / Address Critical Defects	20 days	10/30/18	11/26/18
2873	**(IE) R3 P1 - Integration Test 2**	**20 days**	**11/27/18**	**12/24/18**
2874	Unit or Module Test	20 days	11/27/18	12/24/18
2875	Subsystem Integration Test	20 days	11/27/18	12/24/18
2876	System Qualification Test	20 days	11/27/18	12/24/18
2877	Regression Testing	20 days	11/27/18	12/24/18
2878	End to End Testing	20 days	11/27/18	12/24/18
2879	Data Conversion Testing	20 days	11/27/18	12/24/18
2880	Security Testing	20 days	11/27/18	12/24/18
2881	Interface / Accessibility Testing	20 days	11/27/18	12/24/18
2882	Parallel Testing	20 days	11/27/18	12/24/18

ID	Task Name	Duration	Start	Finish
2883	Identify / Address Critical Defects	20 days	11/27/18	12/24/18
2884	**(IE) R3 P1 - Integration Test 3**	**20 days**	**12/25/18**	**1/21/19**
2885	Unit or Module Test	20 days	12/25/18	1/21/19
2886	Subsystem Integration Test	20 days	12/25/18	1/21/19
2887	System Qualification Test	20 days	12/25/18	1/21/19
2888	Regression Testing	20 days	12/25/18	1/21/19
2889	End to End Testing	20 days	12/25/18	1/21/19
2890	Data Conversion Testing	20 days	12/25/18	1/21/19
2891	Security Testing	20 days	12/25/18	1/21/19
2892	Interface / Accessibility Testing	20 days	12/25/18	1/21/19
2893	Parallel Testing	20 days	12/25/18	1/21/19
2894	Identify / Address Critical Defects	20 days	12/25/18	1/21/19
2895	**(IE) R3 P1 - Performance**	**20 days**	**1/22/19**	**2/18/19**
2896	Performance Testing	20 days	1/22/19	2/18/19
2897	Mock Data Conversion	20 days	1/22/19	2/18/19
2898	Readiness Certification	20 days	1/22/19	2/18/19
2899	Site Readiness Assessments	20 days	1/22/19	2/18/19
2900	Identify / Address critical defects	20 days	1/22/19	2/18/19
2901	**(IE) R3 P1 - UAT 1**	**20 days**	**2/19/19**	**3/18/19**
2902	Prepare UAT test scripts	20 days	2/19/19	3/18/19
2903	Agency access to UAT environment	20 days	2/19/19	3/18/19
2904	Conduct UAT Testing / Ad-hoc testing	20 days	2/19/19	3/18/19
2905	Mock Data Conversion	20 days	2/19/19	3/18/19
2906	Review address critical defects	20 days	2/19/19	3/18/19
2907	Prepare UAT report	20 days	2/19/19	3/18/19
2908	**(IE) R3 P1 - UAT 2**	**20 days**	**3/19/19**	**4/15/19**
2909	Prepare UAT test scripts	20 days	3/19/19	4/15/19
2910	Agency access to UAT environment	20 days	3/19/19	4/15/19
2911	Conduct UAT Testing / Ad-hoc testing	20 days	3/19/19	4/15/19
2912	Mock Data Conversion	20 days	3/19/19	4/15/19

ID	Task Name	Duration	Start	Finish
2913	Review address critical defects	20 days	3/19/19	4/15/19
2914	Prepare UAT report	20 days	3/19/19	4/15/19
2915	**(IE) R3 - PI2**	**120 days**	**2/7/19**	**7/24/19**
2916	**(IE) R3 PI2 - Integration Test 1**	**20 days**	**2/7/19**	**3/6/19**
2917	Unit or Module Test	20 days	2/7/19	3/6/19
2918	Subsystem Integration Test	20 days	2/7/19	3/6/19
2919	System Qualification Test	20 days	2/7/19	3/6/19
2920	Regression Testing	20 days	2/7/19	3/6/19
2921	End to End Testing	20 days	2/7/19	3/6/19
2922	Data Conversion Testing	20 days	2/7/19	3/6/19
2923	Security Testing	20 days	2/7/19	3/6/19
2924	Interface / Accessibility Testing	20 days	2/7/19	3/6/19
2925	Parallel Testing	20 days	2/7/19	3/6/19
2926	Identify / Address Critical Defects	20 days	2/7/19	3/6/19
2927	**(IE) R3 PI2 - Integration Test 2**	**20 days**	**3/7/19**	**4/3/19**
2928	Unit or Module Test	20 days	3/7/19	4/3/19
2929	Subsystem Integration Test	20 days	3/7/19	4/3/19
2930	System Qualification Test	20 days	3/7/19	4/3/19
2931	Regression Testing	20 days	3/7/19	4/3/19
2932	End to End Testing	20 days	3/7/19	4/3/19
2933	Data Conversion Testing	20 days	3/7/19	4/3/19
2934	Security Testing	20 days	3/7/19	4/3/19
2935	Interface / Accessibility Testing	20 days	3/7/19	4/3/19
2936	Parallel Testing	20 days	3/7/19	4/3/19
2937	Identify / Address Critical Defects	20 days	3/7/19	4/3/19
2938	**(IE) R3 PI2 - Integration Test 3**	**20 days**	**4/4/19**	**5/1/19**
2939	Unit or Module Test	20 days	4/4/19	5/1/19
2940	Subsystem Integration Test	20 days	4/4/19	5/1/19
2941	System Qualification Test	20 days	4/4/19	5/1/19
2942	Regression Testing	20 days	4/4/19	5/1/19

ID	Task Name	Duration	Start	Finish
2943	End to End Testing	20 days	4/4/19	5/1/19
2944	Data Conversion Testing	20 days	4/4/19	5/1/19
2945	Security Testing	20 days	4/4/19	5/1/19
2946	Interface / Accessibility Testing	20 days	4/4/19	5/1/19
2947	Parallel Testing	20 days	4/4/19	5/1/19
2948	Identify / Address Critical Defects	20 days	4/4/19	5/1/19
2949	**(IE) R3 PI2 - Performance**	**20 days**	**5/2/19**	**5/29/19**
2950	Performance Testing	20 days	5/2/19	5/29/19
2951	Mock Data Conversion	20 days	5/2/19	5/29/19
2952	Readiness Certification	20 days	5/2/19	5/29/19
2953	Site Readiness Assessments	20 days	5/2/19	5/29/19
2954	Identify / Address critical defects	20 days	5/2/19	5/29/19
2955	**(IE) R3 PI2 - UAT 1**	**20 days**	**5/30/19**	**6/26/19**
2956	Prepare UAT test scripts	20 days	5/30/19	6/26/19
2957	Agency access to UAT environment	20 days	5/30/19	6/26/19
2958	Conduct UAT Testing / Ad-hoc testing	20 days	5/30/19	6/26/19
2959	Mock Data Conversion	20 days	5/30/19	6/26/19
2960	Review address critical defects	20 days	5/30/19	6/26/19
2961	Prepare UAT report	20 days	5/30/19	6/26/19
2962	**(IE) R3 PI2 - UAT 2**	**20 days**	**6/27/19**	**7/24/19**
2963	Prepare UAT test scripts	20 days	6/27/19	7/24/19
2964	Agency access to UAT environment	20 days	6/27/19	7/24/19
2965	Conduct UAT Testing / Ad-hoc testing	20 days	6/27/19	7/24/19
2966	Mock Data Conversion	20 days	6/27/19	7/24/19
2967	Review address critical defects	20 days	6/27/19	7/24/19
2968	Prepare UAT report	20 days	6/27/19	7/24/19
2969	**(IE) R3 - PI3**	**120 days**	**5/2/19**	**10/16/19**
2970	**(IE) R3 PI3 - Integration Test 1**	**20 days**	**5/2/19**	**5/29/19**
2971	Unit or Module Test	20 days	5/2/19	5/29/19
2972	Subsystem Integration Test	20 days	5/2/19	5/29/19

ID	Task Name	Duration	Start	Finish
2973	System Qualification Test	20 days	5/2/19	5/29/19
2974	Regression Testing	20 days	5/2/19	5/29/19
2975	End to End Testing	20 days	5/2/19	5/29/19
2976	Data Conversion Testing	20 days	5/2/19	5/29/19
2977	Security Testing	20 days	5/2/19	5/29/19
2978	Interface / Accessibility Testing	20 days	5/2/19	5/29/19
2979	Parallel Testing	20 days	5/2/19	5/29/19
2980	Identify / Address Critical Defects	20 days	5/2/19	5/29/19
2981	**(IE) R3 PI3 - Integration Test 2**	**20 days**	**5/30/19**	**6/26/19**
2982	Unit or Module Test	20 days	5/30/19	6/26/19
2983	Subsystem Integration Test	20 days	5/30/19	6/26/19
2984	System Qualification Test	20 days	5/30/19	6/26/19
2985	Regression Testing	20 days	5/30/19	6/26/19
2986	End to End Testing	20 days	5/30/19	6/26/19
2987	Data Conversion Testing	20 days	5/30/19	6/26/19
2988	Security Testing	20 days	5/30/19	6/26/19
2989	Interface / Accessibility Testing	20 days	5/30/19	6/26/19
2990	Parallel Testing	20 days	5/30/19	6/26/19
2991	Identify / Address Critical Defects	20 days	5/30/19	6/26/19
2992	**(IE) R3 PI3 - Integration Test 3**	**20 days**	**6/27/19**	**7/24/19**
2993	Unit or Module Test	20 days	6/27/19	7/24/19
2994	Subsystem Integration Test	20 days	6/27/19	7/24/19
2995	System Qualification Test	20 days	6/27/19	7/24/19
2996	Regression Testing	20 days	6/27/19	7/24/19
2997	End to End Testing	20 days	6/27/19	7/24/19
2998	Data Conversion Testing	20 days	6/27/19	7/24/19
2999	Security Testing	20 days	6/27/19	7/24/19
3000	Interface / Accessibility Testing	20 days	6/27/19	7/24/19
3001	Parallel Testing	20 days	6/27/19	7/24/19
3002	Identify / Address Critical Defects	20 days	6/27/19	7/24/19

ID	Task Name	Duration	Start	Finish
3003	**(IE) R3 PI3 - Performance**	**20 days**	**7/25/19**	**8/21/19**
3004	Performance Testing	20 days	7/25/19	8/21/19
3005	Mock Data Conversion	20 days	7/25/19	8/21/19
3006	Readiness Certification	20 days	7/25/19	8/21/19
3007	Site Readiness Assessments	20 days	7/25/19	8/21/19
3008	Identify / Address critical defects	20 days	7/25/19	8/21/19
3009	**(IE) R3 PI3 - UAT 1**	**20 days**	**8/22/19**	**9/18/19**
3010	Prepare UAT test scripts	20 days	8/22/19	9/18/19
3011	Agency access to UAT environment	20 days	8/22/19	9/18/19
3012	Conduct UAT Testing / Ad-hoc testing	20 days	8/22/19	9/18/19
3013	Mock Data Conversion	20 days	8/22/19	9/18/19
3014	Review address critical defects	20 days	8/22/19	9/18/19
3015	Prepare UAT report	20 days	8/22/19	9/18/19
3016	**(IE) R3 PI3 - UAT 2**	**20 days**	**9/19/19**	**10/16/19**
3017	Prepare UAT test scripts	20 days	9/19/19	10/16/19
3018	Agency access to UAT environment	20 days	9/19/19	10/16/19
3019	Conduct UAT Testing / Ad-hoc testing	20 days	9/19/19	10/16/19
3020	Mock Data Conversion	20 days	9/19/19	10/16/19
3021	Review address critical defects	20 days	9/19/19	10/16/19
3022	Prepare UAT report	20 days	9/19/19	10/16/19
3023	**Development and Testing Deliverables**	**465 days**	**1/18/18**	**10/30/19**
3024	**(IE) R3 - MDM**	**145 days**	**1/18/18**	**8/8/18**
3025	Review / Accept DEDs	15 days	1/18/18	2/7/18
3026	**System Documentation**	**15 days**	**1/18/18**	**2/7/18**
3027	Initial Draft Created	5 days	1/18/18	1/24/18
3028	Draft Reviewed	10 days	1/25/18	2/7/18
3029	Approval Obtained	1 day	2/7/18	2/7/18
3030	**System Security Plan (SSP)**	**15 days**	**1/18/18**	**2/7/18**
3031	Initial Draft Created	5 days	1/18/18	1/24/18
3032	Draft Reviewed	10 days	1/25/18	2/7/18

ID	Task Name	Duration	Start	Finish
3033	Approval Obtained	1 day	2/7/18	2/7/18
3034	**Safeguard Procedures Report (SPR)**	**15 days**	**1/25/18**	**2/14/18**
3035	Initial Draft Created	5 days	1/25/18	1/31/18
3036	Draft Reviewed	10 days	2/1/18	2/14/18
3037	Approval Obtained	1 day	2/14/18	2/14/18
3038	**User Documentation**	**15 days**	**1/25/18**	**2/14/18**
3039	Initial Draft Created	5 days	1/25/18	1/31/18
3040	Draft Reviewed	10 days	2/1/18	2/14/18
3041	Approval Obtained	1 day	2/14/18	2/14/18
3042	**Data Conversion System Integration Test Cases**	**15 days**	**2/1/18**	**2/21/18**
3043	Initial Draft Created	5 days	2/1/18	2/7/18
3044	Draft Reviewed	10 days	2/8/18	2/21/18
3045	Approval Obtained	1 day	2/21/18	2/21/18
3046	**System Integration Test Cases**	**15 days**	**2/1/18**	**2/21/18**
3047	Initial Draft Created	5 days	2/1/18	2/7/18
3048	Draft Reviewed	10 days	2/8/18	2/21/18
3049	Approval Obtained	1 day	2/21/18	2/21/18
3050	**Regression Test Cases**	**15 days**	**2/8/18**	**2/28/18**
3051	Initial Draft Created	5 days	2/8/18	2/14/18
3052	Draft Reviewed	10 days	2/15/18	2/28/18
3053	Approval Obtained	1 day	2/28/18	2/28/18
3054	**Load/Stress Test Cases**	**15 days**	**2/8/18**	**2/28/18**
3055	Initial Draft Created	5 days	2/8/18	2/14/18
3056	Draft Reviewed	10 days	2/15/18	2/28/18
3057	Approval Obtained	1 day	2/28/18	2/28/18
3058	**User Acceptance Test Cases**	**15 days**	**2/8/18**	**2/28/18**
3059	Initial Draft Created	5 days	2/8/18	2/14/18
3060	Draft Reviewed	10 days	2/15/18	2/28/18
3061	Approval Obtained	1 day	2/28/18	2/28/18
3062	**Data Conversion System Integration Test Results**	**15 days**	**6/21/18**	**7/11/18**

ID	Task Name	Duration	Start	Finish
3063	Initial Draft Created	5 days	6/21/18	6/27/18
3064	Draft Reviewed	10 days	6/28/18	7/11/18
3065	Approval Obtained	1 day	7/11/18	7/11/18
3066	**System Integration Test Results**	**15 days**	**6/21/18**	**7/11/18**
3067	Initial Draft Created	5 days	6/21/18	6/27/18
3068	Draft Reviewed	10 days	6/28/18	7/11/18
3069	Approval Obtained	1 day	7/11/18	7/11/18
3070	**Regression Test Results**	**15 days**	**6/21/18**	**7/11/18**
3071	Initial Draft Created	5 days	6/21/18	6/27/18
3072	Draft Reviewed	10 days	6/28/18	7/11/18
3073	Approval Obtained	1 day	7/11/18	7/11/18
3074	**Load/Stress Test Results**	**15 days**	**7/5/18**	**7/25/18**
3075	Initial Draft Created	5 days	7/5/18	7/11/18
3076	Draft Reviewed	10 days	7/12/18	7/25/18
3077	Approval Obtained	1 day	7/25/18	7/25/18
3078	**Capacity Analysis Report**	**15 days**	**7/5/18**	**7/25/18**
3079	Initial Draft Created	5 days	7/5/18	7/11/18
3080	Draft Reviewed	10 days	7/12/18	7/25/18
3081	Approval Obtained	1 day	7/25/18	7/25/18
3082	M:Overall Completion of System Testing	0 days	7/11/18	7/11/18
3083	**User Acceptance Test Results**	**20 days**	**7/12/18**	**8/8/18**
3084	Initial Draft Created	10 days	7/12/18	7/25/18
3085	Draft Reviewed	10 days	7/26/18	8/8/18
3086	Approval Obtained	1 day	8/8/18	8/8/18
3087	M:Overall Completion of User Acceptance Testing	0 days	8/8/18	8/8/18
3088	**(IE) R3 - PI1**	**303 days**	**3/1/18**	**4/29/19**
3089	Review / Accept DEDs	15 days	3/1/18	3/21/18
3090	**System Documentation**	**30 days**	**3/1/18**	**4/11/18**
3091	Initial Draft Created	20 days	3/1/18	3/28/18
3092	Draft Reviewed	10 days	3/29/18	4/11/18

ID	Task Name	Duration	Start	Finish
3093	Approval Obtained	1 day	4/11/18	4/11/18
3094	**System Security Plan (SSP)**	**30 days**	**3/1/18**	**4/11/18**
3095	Initial Draft Created	20 days	3/1/18	3/28/18
3096	Draft Reviewed	10 days	3/29/18	4/11/18
3097	Approval Obtained	1 day	4/11/18	4/11/18
3098	**Safeguard Procedures Report (SPR)**	**30 days**	**3/29/18**	**5/9/18**
3099	Initial Draft Created	20 days	3/29/18	4/25/18
3100	Draft Reviewed	10 days	4/26/18	5/9/18
3101	Approval Obtained	1 day	5/9/18	5/9/18
3102	**User Documentation**	**30 days**	**3/29/18**	**5/9/18**
3103	Initial Draft Created	20 days	3/29/18	4/25/18
3104	Draft Reviewed	10 days	4/26/18	5/9/18
3105	Approval Obtained	1 day	5/9/18	5/9/18
3106	**Data Conversion System Integration Test Cases**	**30 days**	**4/26/18**	**6/6/18**
3107	Initial Draft Created	20 days	4/26/18	5/23/18
3108	Draft Reviewed	10 days	5/24/18	6/6/18
3109	Approval Obtained	1 day	6/6/18	6/6/18
3110	**System Integration Test Cases**	**30 days**	**4/26/18**	**6/6/18**
3111	Initial Draft Created	20 days	4/26/18	5/23/18
3112	Draft Reviewed	10 days	5/24/18	6/6/18
3113	Approval Obtained	1 day	6/6/18	6/6/18
3114	**Regression Test Cases**	**30 days**	**5/24/18**	**7/4/18**
3115	Initial Draft Created	20 days	5/24/18	6/20/18
3116	Draft Reviewed	10 days	6/21/18	7/4/18
3117	Approval Obtained	1 day	7/4/18	7/4/18
3118	**Load/Stress Test Cases**	**30 days**	**5/24/18**	**7/4/18**
3119	Initial Draft Created	20 days	5/24/18	6/20/18
3120	Draft Reviewed	10 days	6/21/18	7/4/18
3121	Approval Obtained	1 day	7/4/18	7/4/18
3122	**User Acceptance Test Cases**	**30 days**	**5/24/18**	**7/4/18**

ID	Task Name	Duration	Start	Finish
3123	Initial Draft Created	20 days	5/24/18	6/20/18
3124	Draft Reviewed	10 days	6/21/18	7/4/18
3125	Approval Obtained	1 day	7/4/18	7/4/18
3126	**Data Conversion System Integration Test Results**	**20 days**	**1/8/19**	**2/4/19**
3127	Initial Draft Created	10 days	1/8/19	1/21/19
3128	Draft Reviewed	10 days	1/22/19	2/4/19
3129	Approval Obtained	1 day	2/4/19	2/4/19
3130	**System Integration Test Results**	**20 days**	**1/8/19**	**2/4/19**
3131	Initial Draft Created	10 days	1/8/19	1/21/19
3132	Draft Reviewed	10 days	1/22/19	2/4/19
3133	Approval Obtained	1 day	2/4/19	2/4/19
3134	**Regression Test Results**	**20 days**	**1/8/19**	**2/4/19**
3135	Initial Draft Created	10 days	1/8/19	1/21/19
3136	Draft Reviewed	10 days	1/22/19	2/4/19
3137	Approval Obtained	1 day	2/4/19	2/4/19
3138	**Load/Stress Test Results**	**20 days**	**2/5/19**	**3/4/19**
3139	Initial Draft Created	10 days	2/5/19	2/18/19
3140	Draft Reviewed	10 days	2/19/19	3/4/19
3141	Approval Obtained	1 day	3/4/19	3/4/19
3142	**Capacity Analysis Report**	**20 days**	**2/5/19**	**3/4/19**
3143	Initial Draft Created	10 days	2/5/19	2/18/19
3144	Draft Reviewed	10 days	2/19/19	3/4/19
3145	Approval Obtained	1 day	3/4/19	3/4/19
3146	M:Overall Completion of System Testing	0 days	2/18/19	2/18/19
3147	**User Acceptance Test Results**	**20 days**	**4/2/19**	**4/29/19**
3148	Initial Draft Created	10 days	4/2/19	4/15/19
3149	Draft Reviewed	10 days	4/16/19	4/29/19
3150	Approval Obtained	1 day	4/29/19	4/29/19
3151	M:Overall Completion of User Acceptance Testing	0 days	4/29/19	4/29/19
3152	**(IE) R3 - PI2**	**345 days**	**4/12/18**	**8/7/19**

ID	Task Name	Duration	Start	Finish
3153	Review / Accept DEDs	15 days	4/12/18	5/2/18
3154	**System Documentation**	**30 days**	**4/12/18**	**5/23/18**
3155	Initial Draft Created	20 days	4/12/18	5/9/18
3156	Draft Reviewed	10 days	5/10/18	5/23/18
3157	Approval Obtained	1 day	5/23/18	5/23/18
3158	**System Security Plan (SSP)**	**30 days**	**4/12/18**	**5/23/18**
3159	Initial Draft Created	20 days	4/12/18	5/9/18
3160	Draft Reviewed	10 days	5/10/18	5/23/18
3161	Approval Obtained	1 day	5/23/18	5/23/18
3162	**Safeguard Procedures Report (SPR)**	**30 days**	**5/10/18**	**6/20/18**
3163	Initial Draft Created	20 days	5/10/18	6/6/18
3164	Draft Reviewed	10 days	6/7/18	6/20/18
3165	Approval Obtained	1 day	6/20/18	6/20/18
3166	**User Documentation**	**30 days**	**5/10/18**	**6/20/18**
3167	Initial Draft Created	20 days	5/10/18	6/6/18
3168	Draft Reviewed	10 days	6/7/18	6/20/18
3169	Approval Obtained	1 day	6/20/18	6/20/18
3170	**Data Conversion System Integration Test Cases**	**30 days**	**6/7/18**	**7/18/18**
3171	Initial Draft Created	20 days	6/7/18	7/4/18
3172	Draft Reviewed	10 days	7/5/18	7/18/18
3173	Approval Obtained	1 day	7/18/18	7/18/18
3174	**System Integration Test Cases**	**30 days**	**6/7/18**	**7/18/18**
3175	Initial Draft Created	20 days	6/7/18	7/4/18
3176	Draft Reviewed	10 days	7/5/18	7/18/18
3177	Approval Obtained	1 day	7/18/18	7/18/18
3178	**Regression Test Cases**	**30 days**	**7/5/18**	**8/15/18**
3179	Initial Draft Created	20 days	7/5/18	8/1/18
3180	Draft Reviewed	10 days	8/2/18	8/15/18
3181	Approval Obtained	1 day	8/15/18	8/15/18
3182	**Load/Stress Test Cases**	**30 days**	**7/5/18**	**8/15/18**

ID	Task Name	Duration	Start	Finish
3183	Initial Draft Created	20 days	7/5/18	8/1/18
3184	Draft Reviewed	10 days	8/2/18	8/15/18
3185	Approval Obtained	1 day	8/15/18	8/15/18
3186	**User Acceptance Test Cases**	**30 days**	**7/5/18**	**8/15/18**
3187	Initial Draft Created	20 days	7/5/18	8/1/18
3188	Draft Reviewed	10 days	8/2/18	8/15/18
3189	Approval Obtained	1 day	8/15/18	8/15/18
3190	**Data Conversion System Integration Test Results**	**20 days**	**4/18/19**	**5/15/19**
3191	Initial Draft Created	10 days	4/18/19	5/1/19
3192	Draft Reviewed	10 days	5/2/19	5/15/19
3193	Approval Obtained	1 day	5/15/19	5/15/19
3194	**System Integration Test Results**	**20 days**	**4/18/19**	**5/15/19**
3195	Initial Draft Created	10 days	4/18/19	5/1/19
3196	Draft Reviewed	10 days	5/2/19	5/15/19
3197	Approval Obtained	1 day	5/15/19	5/15/19
3198	**Regression Test Results**	**20 days**	**4/18/19**	**5/15/19**
3199	Initial Draft Created	10 days	4/18/19	5/1/19
3200	Draft Reviewed	10 days	5/2/19	5/15/19
3201	Approval Obtained	1 day	5/15/19	5/15/19
3202	**Load/Stress Test Results**	**20 days**	**5/16/19**	**6/12/19**
3203	Initial Draft Created	10 days	5/16/19	5/29/19
3204	Draft Reviewed	10 days	5/30/19	6/12/19
3205	Approval Obtained	1 day	6/12/19	6/12/19
3206	**Capacity Analysis Report**	**20 days**	**5/16/19**	**6/12/19**
3207	Initial Draft Created	10 days	5/16/19	5/29/19
3208	Draft Reviewed	10 days	5/30/19	6/12/19
3209	Approval Obtained	1 day	6/12/19	6/12/19
3210	M:Overall Completion of System Testing	0 days	5/29/19	5/29/19
3211	**User Acceptance Test Results**	**20 days**	**7/11/19**	**8/7/19**
3212	Initial Draft Created	10 days	7/11/19	7/24/19

ID	Task Name	Duration	Start	Finish
3213	Draft Reviewed	10 days	7/25/19	8/7/19
3214	Approval Obtained	1 day	8/7/19	8/7/19
3215	M:Overall Completion of User Acceptance Testing	0 days	8/7/19	8/7/19
3216	**(IE) R3 - PI3**	**375 days**	**5/24/18**	**10/30/19**
3217	Review / Accept DEDs	15 days	5/24/18	6/13/18
3218	**System Documentation**	**30 days**	**5/24/18**	**7/4/18**
3219	Initial Draft Created	20 days	5/24/18	6/20/18
3220	Draft Reviewed	10 days	6/21/18	7/4/18
3221	Approval Obtained	1 day	7/4/18	7/4/18
3222	**System Security Plan (SSP)**	**30 days**	**5/24/18**	**7/4/18**
3223	Initial Draft Created	20 days	5/24/18	6/20/18
3224	Draft Reviewed	10 days	6/21/18	7/4/18
3225	Approval Obtained	1 day	7/4/18	7/4/18
3226	**Safeguard Procedures Report (SPR)**	**30 days**	**6/21/18**	**8/1/18**
3227	Initial Draft Created	20 days	6/21/18	7/18/18
3228	Draft Reviewed	10 days	7/19/18	8/1/18
3229	Approval Obtained	1 day	8/1/18	8/1/18
3230	**User Documentation**	**30 days**	**6/21/18**	**8/1/18**
3231	Initial Draft Created	20 days	6/21/18	7/18/18
3232	Draft Reviewed	10 days	7/19/18	8/1/18
3233	Approval Obtained	1 day	8/1/18	8/1/18
3234	**Data Conversion System Integration Test Cases**	**30 days**	**7/19/18**	**8/29/18**
3235	Initial Draft Created	20 days	7/19/18	8/15/18
3236	Draft Reviewed	10 days	8/16/18	8/29/18
3237	Approval Obtained	1 day	8/29/18	8/29/18
3238	**System Integration Test Cases**	**30 days**	**7/19/18**	**8/29/18**
3239	Initial Draft Created	20 days	7/19/18	8/15/18
3240	Draft Reviewed	10 days	8/16/18	8/29/18
3241	Approval Obtained	1 day	8/29/18	8/29/18
3242	**Regression Test Cases**	**30 days**	**8/16/18**	**9/26/18**

ID	Task Name	Duration	Start	Finish
3243	Initial Draft Created	20 days	8/16/18	9/12/18
3244	Draft Reviewed	10 days	9/13/18	9/26/18
3245	Approval Obtained	1 day	9/26/18	9/26/18
3246	**Load/Stress Test Cases**	**30 days**	**8/16/18**	**9/26/18**
3247	Initial Draft Created	20 days	8/16/18	9/12/18
3248	Draft Reviewed	10 days	9/13/18	9/26/18
3249	Approval Obtained	1 day	9/26/18	9/26/18
3250	**User Acceptance Test Cases**	**30 days**	**8/16/18**	**9/26/18**
3251	Initial Draft Created	20 days	8/16/18	9/12/18
3252	Draft Reviewed	10 days	9/13/18	9/26/18
3253	Approval Obtained	1 day	9/26/18	9/26/18
3254	**Data Conversion System Integration Test Results**	**20 days**	**7/11/19**	**8/7/19**
3255	Initial Draft Created	10 days	7/11/19	7/24/19
3256	Draft Reviewed	10 days	7/25/19	8/7/19
3257	Approval Obtained	1 day	8/7/19	8/7/19
3258	**System Integration Test Results**	**20 days**	**7/11/19**	**8/7/19**
3259	Initial Draft Created	10 days	7/11/19	7/24/19
3260	Draft Reviewed	10 days	7/25/19	8/7/19
3261	Approval Obtained	1 day	8/7/19	8/7/19
3262	**Regression Test Results**	**20 days**	**7/11/19**	**8/7/19**
3263	Initial Draft Created	10 days	7/11/19	7/24/19
3264	Draft Reviewed	10 days	7/25/19	8/7/19
3265	Approval Obtained	1 day	8/7/19	8/7/19
3266	**Load/Stress Test Results**	**20 days**	**8/8/19**	**9/4/19**
3267	Initial Draft Created	10 days	8/8/19	8/21/19
3268	Draft Reviewed	10 days	8/22/19	9/4/19
3269	Approval Obtained	1 day	9/4/19	9/4/19
3270	**Capacity Analysis Report**	**20 days**	**8/8/19**	**9/4/19**
3271	Initial Draft Created	10 days	8/8/19	8/21/19
3272	Draft Reviewed	10 days	8/22/19	9/4/19

ID	Task Name	Duration	Start	Finish
3273	Approval Obtained	1 day	9/4/19	9/4/19
3274	M:Overall Completion of System Testing	0 days	8/21/19	8/21/19
3275	**User Acceptance Test Results**	**20 days**	**10/3/19**	**10/30/19**
3276	Initial Draft Created	10 days	10/3/19	10/16/19
3277	Draft Reviewed	10 days	10/17/19	10/30/19
3278	Approval Obtained	1 day	10/30/19	10/30/19
3279	M:Overall Completion of User Acceptance Testing	0 days	10/30/19	10/30/19
3280	**Implementation Readiness**	**480 days**	**5/17/18**	**3/18/20**
3281	**(IE) R3 - MDM**	**110 days**	**5/17/18**	**10/17/18**
3282	**Training**	**25 days**	**6/14/18**	**7/18/18**
3283	Prepare Training Materials	15 days	6/14/18	7/4/18
3284	Prepare / Schedule Training for End Users and T3	15 days	6/14/18	7/4/18
3285	UAT Training	10 days	6/14/18	6/27/18
3286	Conduct Training for End Users and T3	10 days	7/5/18	7/18/18
3287	Configure Support system (helpdesk) with workflow and knowledge Base	10 days	7/5/18	7/18/18
3288	M&O Support	10 days	7/5/18	7/18/18
3289	**Operational Readiness**	**20 days**	**6/21/18**	**7/18/18**
3290	Baseline Checklist of Operational Areas	20 days	6/21/18	7/18/18
3291	Policies and Procedures, Job Aids Prepared & Posted	20 days	6/21/18	7/18/18
3292	Support system (helpdesk) Configured With Workflow and Knowledge Base	20 days	6/21/18	7/18/18
3293	Contacts Information and Contacts Defined	20 days	6/21/18	7/18/18
3294	Operational Reporting Requirements Defined	20 days	6/21/18	7/18/18
3295	Communication Planning and Execution	20 days	6/21/18	7/18/18
3296	Phone Lines & Phone Scripts are Open & Active	20 days	6/21/18	7/18/18
3297	Schedule & Conduct Dry Run With HelpDesk Staff on Rules	20 days	6/21/18	7/18/18
3298	Modify Checklist Based on Dry Run Feedback	20 days	6/21/18	7/18/18
3299	Schedule & Conduct Meeting With DHHR to review Checklist, Demo Product for ORT Walk Through	20 days	6/21/18	7/18/18
3300	Revise Checklist Based on DHHR Feedback	20 days	6/21/18	7/18/18

ID	Task Name	Duration	Start	Finish
3301	**Implementation Readiness Deliverables**	**60 days**	**5/17/18**	**8/8/18**
3302	Review / Accept DEDs	15 days	5/17/18	6/6/18
3303	**Operational Readiness Plan**	**15 days**	**5/31/18**	**6/20/18**
3304	Initial Draft Created	5 days	5/31/18	6/6/18
3305	Draft Reviewed	10 days	6/7/18	6/20/18
3306	Approval Obtained	1 day	6/20/18	6/20/18
3307	**Operational Readiness Test Scripts**	**15 days**	**5/31/18**	**6/20/18**
3308	Initial Draft Created	5 days	5/31/18	6/6/18
3309	Draft Reviewed	10 days	6/7/18	6/20/18
3310	Approval Obtained	1 day	6/20/18	6/20/18
3311	**Operational Readiness Test Results**	**15 days**	**7/19/18**	**8/8/18**
3312	Initial Draft Created	5 days	7/19/18	7/25/18
3313	Draft Reviewed	10 days	7/26/18	8/8/18
3314	Approval Obtained	1 day	8/8/18	8/8/18
3315	**Updated Training Management Plan**	**15 days**	**5/17/18**	**6/6/18**
3316	Initial Draft Created	5 days	5/17/18	5/23/18
3317	Draft Reviewed	10 days	5/24/18	6/6/18
3318	Approval Obtained	1 day	6/6/18	6/6/18
3319	**Training Schedule**	**15 days**	**5/17/18**	**6/6/18**
3320	Initial Draft Created	5 days	5/17/18	5/23/18
3321	Draft Reviewed	10 days	5/24/18	6/6/18
3322	Approval Obtained	1 day	6/6/18	6/6/18
3323	**Training Materials**	**15 days**	**5/24/18**	**6/13/18**
3324	Initial Draft Created	5 days	5/24/18	5/30/18
3325	Draft Reviewed	10 days	5/31/18	6/13/18
3326	Approval Obtained	1 day	6/13/18	6/13/18
3327	**Training Report**	**15 days**	**7/12/18**	**8/1/18**
3328	Initial Draft Created	5 days	7/12/18	7/18/18
3329	Draft Reviewed	10 days	7/19/18	8/1/18
3330	Approval Obtained	1 day	8/1/18	8/1/18

ID	Task Name	Duration	Start	Finish
3331	**Implementation Plan**	**15 days**	**6/7/18**	**6/27/18**
3332	Initial Draft Created	5 days	6/7/18	6/13/18
3333	Draft Reviewed	10 days	6/14/18	6/27/18
3334	Approval Obtained	1 day	6/27/18	6/27/18
3335	**Cut-Over Play Book**	**15 days**	**6/14/18**	**7/4/18**
3336	Initial Draft Created	5 days	6/14/18	6/20/18
3337	Draft Reviewed	10 days	6/21/18	7/4/18
3338	Approval Obtained	1 day	7/4/18	7/4/18
3339	**Report Distribution Schedule**	**15 days**	**6/21/18**	**7/11/18**
3340	Initial Draft Created	5 days	6/21/18	6/27/18
3341	Draft Reviewed	10 days	6/28/18	7/11/18
3342	Approval Obtained	1 day	7/11/18	7/11/18
3343	**Operations Project Management Plans**	**15 days**	**6/28/18**	**7/18/18**
3344	Initial Draft Created	5 days	6/28/18	7/4/18
3345	Draft Reviewed	10 days	7/5/18	7/18/18
3346	Approval Obtained	1 day	7/18/18	7/18/18
3347	**Solution health Monitoring Plan**	**15 days**	**7/5/18**	**7/25/18**
3348	Initial Draft Created	5 days	7/5/18	7/11/18
3349	Draft Reviewed	10 days	7/12/18	7/25/18
3350	Approval Obtained	1 day	7/25/18	7/25/18
3351	M:Overall Completion of Implementation Readiness	0 days	8/8/18	8/8/18
3352	Readiness Results Review - DHHR	5 days	8/2/18	8/8/18
3353	Go-No-Go Decision	1 day	8/8/18	8/8/18
3354	Cutover of (IE) R3 - MDM	5 days	8/9/18	8/15/18
3355	M:Overall Completion of Deployment to Production (Pilot)	0 days	8/15/18	8/15/18
3356	(IE) R3 - MDM Pilot	20 days	8/16/18	9/12/18
3357	**Implementation Readiness Certification Deliverables**	**20 days**	**8/16/18**	**9/12/18**
3358	**Federal Certification and Review Management Plan**	**15 days**	**8/16/18**	**9/5/18**
3359	Initial Draft Created	5 days	8/16/18	8/22/18
3360	Draft Reviewed	10 days	8/23/18	9/5/18

ID	Task Name	Duration	Start	Finish
3361	Approval Obtained	1 day	9/5/18	9/5/18
3362	**ACF Certification Documentation**	**15 days**	**8/16/18**	**9/5/18**
3363	Initial Draft Created	5 days	8/16/18	8/22/18
3364	Draft Reviewed	10 days	8/23/18	9/5/18
3365	Approval Obtained	1 day	9/5/18	9/5/18
3366	**Federal Review Supporting Documentation**	**15 days**	**8/23/18**	**9/12/18**
3367	Initial Draft Created	5 days	8/23/18	8/29/18
3368	Draft Reviewed	10 days	8/30/18	9/12/18
3369	Approval Obtained	1 day	9/12/18	9/12/18
3370	**Social Security Administration Certification Documentation**	**15 days**	**8/23/18**	**9/12/18**
3371	Initial Draft Created	5 days	8/23/18	8/29/18
3372	Draft Reviewed	10 days	8/30/18	9/12/18
3373	Approval Obtained	1 day	9/12/18	9/12/18
3374	**Implementation Certification Letter**	**15 days**	**8/23/18**	**9/12/18**
3375	Initial Draft Created	5 days	8/23/18	8/29/18
3376	Draft Reviewed	10 days	8/30/18	9/12/18
3377	Approval Obtained	1 day	9/12/18	9/12/18
3378	(IE) R3 - MDM Statewide Rollout	5 days	9/13/18	9/19/18
3379	M:Overall Completion of Deployment to Production	0 days	9/19/18	9/19/18
3380	(IE) R3 - MDM Post Production Support	20 days	9/20/18	10/17/18
3381	**(IE) R3 - PI1**	**190 days**	**12/25/18**	**9/16/19**
3382	**Training**	**25 days**	**1/22/19**	**2/25/19**
3383	Prepare Training Materials	15 days	1/22/19	2/11/19
3384	Prepare / Schedule Training for End Users and T3	15 days	1/22/19	2/11/19
3385	UAT training	10 days	1/29/19	2/11/19
3386	Conduct Training for End Users and T3	10 days	2/12/19	2/25/19
3387	Configure Support system (helpdesk) with workflow and knowledge Base	10 days	2/12/19	2/25/19
3388	M&O Support	10 days	2/12/19	2/25/19
3389	**Operational Readiness**	**20 days**	**2/26/19**	**3/25/19**
3390	Baseline Checklist of Operational Areas	20 days	2/26/19	3/25/19

ID	Task Name	Duration	Start	Finish
3391	Policies and Procedures, Job Aids Prepared & Posted	20 days	2/26/19	3/25/19
3392	Support system (helpdesk) Configured With Workflow and Knowledge Base	20 days	2/26/19	3/25/19
3393	Contacts Information and Contacts Defined	20 days	2/26/19	3/25/19
3394	Operational Reporting Requirements Defined	20 days	2/26/19	3/25/19
3395	Communication Planning and Execution	20 days	2/26/19	3/25/19
3396	Phone Lines & Phone Scripts are Open & Active	20 days	2/26/19	3/25/19
3397	Schedule & Conduct Dry Run With HelpDesk Staff on Rules	20 days	2/26/19	3/25/19
3398	Modify Checklist Based on Dry Run Feedback	20 days	2/26/19	3/25/19
3399	Schedule & Conduct Meeting With DHHR to review Checklist, Demo Product for ORT Walk Through	20 days	2/26/19	3/25/19
3400	Revise Checklist Based on DHHR Feedback	20 days	2/26/19	3/25/19
3401	**Implementation Readiness Deliverables**	**90 days**	**12/25/18**	**4/29/19**
3402	Review / Accept DEDs	15 days	12/25/18	1/14/19
3403	**Operational Readiness Plan**	**20 days**	**1/8/19**	**2/4/19**
3404	Initial Draft Created	10 days	1/8/19	1/21/19
3405	Draft Reviewed	10 days	1/22/19	2/4/19
3406	Approval Obtained	1 day	2/4/19	2/4/19
3407	**Operational Readiness Test Scripts**	**20 days**	**1/22/19**	**2/18/19**
3408	Initial Draft Created	10 days	1/22/19	2/4/19
3409	Draft Reviewed	10 days	2/5/19	2/18/19
3410	Approval Obtained	1 day	2/18/19	2/18/19
3411	**Operational Readiness Test Results**	**20 days**	**3/26/19**	**4/22/19**
3412	Initial Draft Created	10 days	3/26/19	4/8/19
3413	Draft Reviewed	10 days	4/9/19	4/22/19
3414	Approval Obtained	1 day	4/22/19	4/22/19
3415	**Updated Training Management Plan**	**20 days**	**12/25/18**	**1/21/19**
3416	Initial Draft Created	10 days	12/25/18	1/7/19
3417	Draft Reviewed	10 days	1/8/19	1/21/19
3418	Approval Obtained	1 day	1/21/19	1/21/19

ID	Task Name	Duration	Start	Finish
3419	**Training Schedule**	**20 days**	**12/25/18**	**1/21/19**
3420	Initial Draft Created	10 days	12/25/18	1/7/19
3421	Draft Reviewed	10 days	1/8/19	1/21/19
3422	Approval Obtained	1 day	1/21/19	1/21/19
3423	**Training Materials**	**20 days**	**12/25/18**	**1/21/19**
3424	Initial Draft Created	10 days	12/25/18	1/7/19
3425	Draft Reviewed	10 days	1/8/19	1/21/19
3426	Approval Obtained	1 day	1/21/19	1/21/19
3427	**Training Report**	**15 days**	**2/19/19**	**3/11/19**
3428	Initial Draft Created	5 days	2/19/19	2/25/19
3429	Draft Reviewed	10 days	2/26/19	3/11/19
3430	Approval Obtained	1 day	3/11/19	3/11/19
3431	**Implementation Plan**	**20 days**	**2/5/19**	**3/4/19**
3432	Initial Draft Created	10 days	2/5/19	2/18/19
3433	Draft Reviewed	10 days	2/19/19	3/4/19
3434	Approval Obtained	1 day	3/4/19	3/4/19
3435	**Cut-Over Play Book**	**20 days**	**2/19/19**	**3/18/19**
3436	Initial Draft Created	10 days	2/19/19	3/4/19
3437	Draft Reviewed	10 days	3/5/19	3/18/19
3438	Approval Obtained	1 day	3/18/19	3/18/19
3439	**Report Distribution Schedule**	**20 days**	**3/5/19**	**4/1/19**
3440	Initial Draft Created	10 days	3/5/19	3/18/19
3441	Draft Reviewed	10 days	3/19/19	4/1/19
3442	Approval Obtained	1 day	4/1/19	4/1/19
3443	**Operations Project Management Plans**	**20 days**	**3/19/19**	**4/15/19**
3444	Initial Draft Created	10 days	3/19/19	4/1/19
3445	Draft Reviewed	10 days	4/2/19	4/15/19
3446	Approval Obtained	1 day	4/15/19	4/15/19
3447	**Solution health Monitoring Plan**	**20 days**	**4/2/19**	**4/29/19**
3448	Initial Draft Created	10 days	4/2/19	4/15/19

ID	Task Name	Duration	Start	Finish
3449	Draft Reviewed	10 days	4/16/19	4/29/19
3450	Approval Obtained	1 day	4/29/19	4/29/19
3451	M:Overall Completion of Implementation Readiness	0 days	4/29/19	4/29/19
3452	Readiness Results Review - DHHR	5 days	4/23/19	4/29/19
3453	Go-No-Go Decision	1 day	4/29/19	4/29/19
3454	Cutover of (IE) R3 - PI1	5 days	4/30/19	5/6/19
3455	M:Overall Completion of Deployment to Production (Pilot)	0 days	5/6/19	5/6/19
3456	(IE) R3 - PI1 Pilot	60 days	5/7/19	7/29/19
3457	**Implementation Readiness Certification Deliverables**	**30 days**	**6/18/19**	**7/29/19**
3458	**Federal Certification and Review Management Plan**	**20 days**	**6/18/19**	**7/15/19**
3459	Initial Draft Created	10 days	6/18/19	7/1/19
3460	Draft Reviewed	10 days	7/2/19	7/15/19
3461	Approval Obtained	1 day	7/15/19	7/15/19
3462	**ACF Certification Documentation**	**20 days**	**6/18/19**	**7/15/19**
3463	Initial Draft Created	10 days	6/18/19	7/1/19
3464	Draft Reviewed	10 days	7/2/19	7/15/19
3465	Approval Obtained	1 day	7/15/19	7/15/19
3466	**Federal Review Supporting Documentation**	**20 days**	**7/2/19**	**7/29/19**
3467	Initial Draft Created	10 days	7/2/19	7/15/19
3468	Draft Reviewed	10 days	7/16/19	7/29/19
3469	Approval Obtained	1 day	7/29/19	7/29/19
3470	**Social Security Administration Certification Documentation**	**20 days**	**7/2/19**	**7/29/19**
3471	Initial Draft Created	10 days	7/2/19	7/15/19
3472	Draft Reviewed	10 days	7/16/19	7/29/19
3473	Approval Obtained	1 day	7/29/19	7/29/19
3474	**Implementation Certification Letter**	**20 days**	**7/2/19**	**7/29/19**
3475	Initial Draft Created	10 days	7/2/19	7/15/19
3476	Draft Reviewed	10 days	7/16/19	7/29/19
3477	Approval Obtained	1 day	7/29/19	7/29/19
3478	(IE) R3 - PI1 Statewide Rollout	5 days	7/30/19	8/5/19

ID	Task Name	Duration	Start	Finish
3479	M:Overall Completion of Deployment to Production	0 days	8/5/19	8/5/19
3480	(IE) R3 - PI1 Post Production Support	30 days	8/6/19	9/16/19
3481	**(IE) R3 - PI2**	**190 days**	**4/4/19**	**12/25/19**
3482	**Training**	**25 days**	**5/2/19**	**6/5/19**
3483	Prepare Training Materials	15 days	5/2/19	5/22/19
3484	Prepare / Schedule Training for End Users and T3	15 days	5/2/19	5/22/19
3485	UAT Training	10 days	5/9/19	5/22/19
3486	Conduct Training for End Users and T3	10 days	5/23/19	6/5/19
3487	Configure Support system (helpdesk) with workflow and knowledge Base	10 days	5/23/19	6/5/19
3488	M&O Support	10 days	5/23/19	6/5/19
3489	**Operational Readiness**	**20 days**	**6/6/19**	**7/3/19**
3490	Baseline Checklist of Operational Areas	20 days	6/6/19	7/3/19
3491	Policies and Procedures, Job Aids Prepared & Posted	20 days	6/6/19	7/3/19
3492	Support system (helpdesk) Configured With Workflow and Knowledge Base	20 days	6/6/19	7/3/19
3493	Contacts Information and Contacts Defined	20 days	6/6/19	7/3/19
3494	Operational Reporting Requirements Defined	20 days	6/6/19	7/3/19
3495	Communication Planning and Execution	20 days	6/6/19	7/3/19
3496	Phone Lines & Phone Scripts are Open & Active	20 days	6/6/19	7/3/19
3497	Schedule & Conduct Dry Run With HelpDesk Staff on Rules	20 days	6/6/19	7/3/19
3498	Modify Checklist Based on Dry Run Feedback	20 days	6/6/19	7/3/19
3499	Schedule & Conduct Meeting With DHHR to review Checklist, Demo Product for ORT Walk Through	20 days	6/6/19	7/3/19
3500	Revise Checklist Based on DHHR Feedback	20 days	6/6/19	7/3/19
3501	**Implementation Readiness Deliverables**	**90 days**	**4/4/19**	**8/7/19**
3502	Review / Accept DEDs	15 days	4/4/19	4/24/19
3503	**Operational Readiness Plan**	**20 days**	**4/18/19**	**5/15/19**
3504	Initial Draft Created	10 days	4/18/19	5/1/19
3505	Draft Reviewed	10 days	5/2/19	5/15/19
3506	Approval Obtained	1 day	5/15/19	5/15/19

ID	Task Name	Duration	Start	Finish
3507	**Operational Readiness Test Scripts**	**20 days**	**5/2/19**	**5/29/19**
3508	Initial Draft Created	10 days	5/2/19	5/15/19
3509	Draft Reviewed	10 days	5/16/19	5/29/19
3510	Approval Obtained	1 day	5/29/19	5/29/19
3511	**Operational Readiness Test Results**	**20 days**	**7/4/19**	**7/31/19**
3512	Initial Draft Created	10 days	7/4/19	7/17/19
3513	Draft Reviewed	10 days	7/18/19	7/31/19
3514	Approval Obtained	1 day	7/31/19	7/31/19
3515	**Updated Training Management Plan**	**20 days**	**4/4/19**	**5/1/19**
3516	Initial Draft Created	10 days	4/4/19	4/17/19
3517	Draft Reviewed	10 days	4/18/19	5/1/19
3518	Approval Obtained	1 day	5/1/19	5/1/19
3519	**Training Schedule**	**20 days**	**4/4/19**	**5/1/19**
3520	Initial Draft Created	10 days	4/4/19	4/17/19
3521	Draft Reviewed	10 days	4/18/19	5/1/19
3522	Approval Obtained	1 day	5/1/19	5/1/19
3523	**Training Materials**	**20 days**	**4/4/19**	**5/1/19**
3524	Initial Draft Created	10 days	4/4/19	4/17/19
3525	Draft Reviewed	10 days	4/18/19	5/1/19
3526	Approval Obtained	1 day	5/1/19	5/1/19
3527	**Training Report**	**15 days**	**5/30/19**	**6/19/19**
3528	Initial Draft Created	5 days	5/30/19	6/5/19
3529	Draft Reviewed	10 days	6/6/19	6/19/19
3530	Approval Obtained	1 day	6/19/19	6/19/19
3531	**Implementation Plan**	**20 days**	**5/16/19**	**6/12/19**
3532	Initial Draft Created	10 days	5/16/19	5/29/19
3533	Draft Reviewed	10 days	5/30/19	6/12/19
3534	Approval Obtained	1 day	6/12/19	6/12/19
3535	**Cut-Over Play Book**	**20 days**	**5/30/19**	**6/26/19**
3536	Initial Draft Created	10 days	5/30/19	6/12/19

ID	Task Name	Duration	Start	Finish
3537	Draft Reviewed	10 days	6/13/19	6/26/19
3538	Approval Obtained	1 day	6/26/19	6/26/19
3539	**Report Distribution Schedule**	**20 days**	**6/13/19**	**7/10/19**
3540	Initial Draft Created	10 days	6/13/19	6/26/19
3541	Draft Reviewed	10 days	6/27/19	7/10/19
3542	Approval Obtained	1 day	7/10/19	7/10/19
3543	**Operations Project Management Plans**	**20 days**	**6/27/19**	**7/24/19**
3544	Initial Draft Created	10 days	6/27/19	7/10/19
3545	Draft Reviewed	10 days	7/11/19	7/24/19
3546	Approval Obtained	1 day	7/24/19	7/24/19
3547	**Solution health Monitoring Plan**	**20 days**	**7/11/19**	**8/7/19**
3548	Initial Draft Created	10 days	7/11/19	7/24/19
3549	Draft Reviewed	10 days	7/25/19	8/7/19
3550	Approval Obtained	1 day	8/7/19	8/7/19
3551	M:Overall Completion of Implementation Readiness	0 days	8/7/19	8/7/19
3552	Readiness Results Review - DHHR	5 days	8/1/19	8/7/19
3553	Go-No-Go Decision	1 day	8/7/19	8/7/19
3554	Cutover of (IE) R3 - PI2	5 days	8/8/19	8/14/19
3555	M:Overall Completion of Deployment to Production (Pilot)	0 days	8/14/19	8/14/19
3556	(IE) R3 - PI2 Pilot	60 days	8/15/19	11/6/19
3557	**Implementation Readiness Certification Deliverables**	**30 days**	**9/26/19**	**11/6/19**
3558	**Federal Certification and Review Management Plan**	**20 days**	**9/26/19**	**10/23/19**
3559	Initial Draft Created	10 days	9/26/19	10/9/19
3560	Draft Reviewed	10 days	10/10/19	10/23/19
3561	Approval Obtained	1 day	10/23/19	10/23/19
3562	**ACF Certification Documentation**	**20 days**	**9/26/19**	**10/23/19**
3563	Initial Draft Created	10 days	9/26/19	10/9/19
3564	Draft Reviewed	10 days	10/10/19	10/23/19
3565	Approval Obtained	1 day	10/23/19	10/23/19
3566	**Federal Review Supporting Documentation**	**20 days**	**10/10/19**	**11/6/19**

ID	Task Name	Duration	Start	Finish
3567	Initial Draft Created	10 days	10/10/19	10/23/19
3568	Draft Reviewed	10 days	10/24/19	11/6/19
3569	Approval Obtained	1 day	11/6/19	11/6/19
3570	**Social Security Administration Certification Documentation**	**20 days**	**10/10/19**	**11/6/19**
3571	Initial Draft Created	10 days	10/10/19	10/23/19
3572	Draft Reviewed	10 days	10/24/19	11/6/19
3573	Approval Obtained	1 day	11/6/19	11/6/19
3574	**Implementation Certification Letter**	**20 days**	**10/10/19**	**11/6/19**
3575	Initial Draft Created	10 days	10/10/19	10/23/19
3576	Draft Reviewed	10 days	10/24/19	11/6/19
3577	Approval Obtained	1 day	11/6/19	11/6/19
3578	(IE) R3 - PI2 Statewide Rollout	5 days	11/7/19	11/13/19
3579	M:Overall Completion of Deployment to Production	0 days	11/13/19	11/13/19
3580	(IE) R3 - PI2 Post Production Support	30 days	11/14/19	12/25/19
3581	**(IE) R3 - PI3**	**190 days**	**6/27/19**	**3/18/20**
3582	**Training**	**25 days**	**7/25/19**	**8/28/19**
3583	Prepare Training Materials	15 days	7/25/19	8/14/19
3584	Prepare / Schedule Training for End Users and T3	15 days	7/25/19	8/14/19
3585	UAT Training	10 days	8/1/19	8/14/19
3586	Conduct Training for End Users and T3	10 days	8/15/19	8/28/19
3587	Configure Support system (helpdesk) with workflow and knowledge Base	10 days	8/15/19	8/28/19
3588	M&O Support	10 days	8/15/19	8/28/19
3589	**Operational Readiness**	**20 days**	**8/29/19**	**9/25/19**
3590	Baseline Checklist of Operational Areas	20 days	8/29/19	9/25/19
3591	Policies and Procedures, Job Aids Prepared & Posted	20 days	8/29/19	9/25/19
3592	Support system (helpdesk) Configured With Workflow and Knowledge Base	20 days	8/29/19	9/25/19
3593	Contacts Information and Contacts Defined	20 days	8/29/19	9/25/19
3594	Operational Reporting Requirements Defined	20 days	8/29/19	9/25/19
3595	Communication Planning and Execution	20 days	8/29/19	9/25/19

ID	Task Name	Duration	Start	Finish
3596	Phone Lines & Phone Scripts are Open & Active	20 days	8/29/19	9/25/19
3597	Schedule & Conduct Dry Run With HelpDesk Staff on Rules	20 days	8/29/19	9/25/19
3598	Modify Checklist Based on Dry Run Feedback	20 days	8/29/19	9/25/19
3599	Schedule & Conduct Meeting With DHHR to review Checklist, Demo Product for ORT Walk Through	20 days	8/29/19	9/25/19
3600	Revise Checklist Based on DHHR Feedback	20 days	8/29/19	9/25/19
3601	**Implementation Readiness Deliverables**	**90 days**	**6/27/19**	**10/30/19**
3602	Review / Accept DEDs	15 days	6/27/19	7/17/19
3603	**Operational Readiness Plan**	**20 days**	**7/11/19**	**8/7/19**
3604	Initial Draft Created	10 days	7/11/19	7/24/19
3605	Draft Reviewed	10 days	7/25/19	8/7/19
3606	Approval Obtained	1 day	8/7/19	8/7/19
3607	**Operational Readiness Test Scripts**	**20 days**	**7/25/19**	**8/21/19**
3608	Initial Draft Created	10 days	7/25/19	8/7/19
3609	Draft Reviewed	10 days	8/8/19	8/21/19
3610	Approval Obtained	1 day	8/21/19	8/21/19
3611	**Operational Readiness Test Results**	**20 days**	**9/26/19**	**10/23/19**
3612	Initial Draft Created	10 days	9/26/19	10/9/19
3613	Draft Reviewed	10 days	10/10/19	10/23/19
3614	Approval Obtained	1 day	10/23/19	10/23/19
3615	**Updated Training Management Plan**	**20 days**	**6/27/19**	**7/24/19**
3616	Initial Draft Created	10 days	6/27/19	7/10/19
3617	Draft Reviewed	10 days	7/11/19	7/24/19
3618	Approval Obtained	1 day	7/24/19	7/24/19
3619	**Training Schedule**	**20 days**	**6/27/19**	**7/24/19**
3620	Initial Draft Created	10 days	6/27/19	7/10/19
3621	Draft Reviewed	10 days	7/11/19	7/24/19
3622	Approval Obtained	1 day	7/24/19	7/24/19
3623	**Training Materials**	**20 days**	**6/27/19**	**7/24/19**
3624	Initial Draft Created	10 days	6/27/19	7/10/19

ID	Task Name	Duration	Start	Finish
3625	Draft Reviewed	10 days	7/11/19	7/24/19
3626	Approval Obtained	1 day	7/24/19	7/24/19
3627	**Training Report**	**15 days**	**8/22/19**	**9/11/19**
3628	Initial Draft Created	5 days	8/22/19	8/28/19
3629	Draft Reviewed	10 days	8/29/19	9/11/19
3630	Approval Obtained	1 day	9/11/19	9/11/19
3631	**Implementation Plan**	**20 days**	**8/8/19**	**9/4/19**
3632	Initial Draft Created	10 days	8/8/19	8/21/19
3633	Draft Reviewed	10 days	8/22/19	9/4/19
3634	Approval Obtained	1 day	9/4/19	9/4/19
3635	**Cut-Over Play Book**	**20 days**	**8/22/19**	**9/18/19**
3636	Initial Draft Created	10 days	8/22/19	9/4/19
3637	Draft Reviewed	10 days	9/5/19	9/18/19
3638	Approval Obtained	1 day	9/18/19	9/18/19
3639	**Report Distribution Schedule**	**20 days**	**9/5/19**	**10/2/19**
3640	Initial Draft Created	10 days	9/5/19	9/18/19
3641	Draft Reviewed	10 days	9/19/19	10/2/19
3642	Approval Obtained	1 day	10/2/19	10/2/19
3643	**Operations Project Management Plans**	**20 days**	**9/19/19**	**10/16/19**
3644	Initial Draft Created	10 days	9/19/19	10/2/19
3645	Draft Reviewed	10 days	10/3/19	10/16/19
3646	Approval Obtained	1 day	10/16/19	10/16/19
3647	**Solution health Monitoring Plan**	**20 days**	**10/3/19**	**10/30/19**
3648	Initial Draft Created	10 days	10/3/19	10/16/19
3649	Draft Reviewed	10 days	10/17/19	10/30/19
3650	Approval Obtained	1 day	10/30/19	10/30/19
3651	M:Overall Completion of Implementation Readiness	0 days	10/30/19	10/30/19
3652	Readiness Results Review - DHHR	5 days	10/24/19	10/30/19
3653	Go-No-Go Decision	1 day	10/30/19	10/30/19
3654	Cutover of (IE) R3 - PI3	5 days	10/31/19	11/6/19

ID	Task Name	Duration	Start	Finish
3655	M:Overall Completion of Deployment to Production (Pilot)	0 days	11/6/19	11/6/19
3656	(IE) R3 - PI3 Pilot	60 days	11/7/19	1/29/20
3657	**Implementation Readiness Certification Deliverables**	**30 days**	**12/19/19**	**1/29/20**
3658	**Federal Certification and Review Management Plan**	**20 days**	**12/19/19**	**1/15/20**
3659	Initial Draft Created	10 days	12/19/19	1/1/20
3660	Draft Reviewed	10 days	1/2/20	1/15/20
3661	Approval Obtained	1 day	1/15/20	1/15/20
3662	**ACF Certification Documentation**	**20 days**	**12/19/19**	**1/15/20**
3663	Initial Draft Created	10 days	12/19/19	1/1/20
3664	Draft Reviewed	10 days	1/2/20	1/15/20
3665	Approval Obtained	1 day	1/15/20	1/15/20
3666	**Federal Review Supporting Documentation**	**20 days**	**1/2/20**	**1/29/20**
3667	Initial Draft Created	10 days	1/2/20	1/15/20
3668	Draft Reviewed	10 days	1/16/20	1/29/20
3669	Approval Obtained	1 day	1/29/20	1/29/20
3670	**Social Security Administration Certification Documentation**	**20 days**	**1/2/20**	**1/29/20**
3671	Initial Draft Created	10 days	1/2/20	1/15/20
3672	Draft Reviewed	10 days	1/16/20	1/29/20
3673	Approval Obtained	1 day	1/29/20	1/29/20
3674	**Implementation Certification Letter**	**20 days**	**1/2/20**	**1/29/20**
3675	Initial Draft Created	10 days	1/2/20	1/15/20
3676	Draft Reviewed	10 days	1/16/20	1/29/20
3677	Approval Obtained	1 day	1/29/20	1/29/20
3678	(IE) R3 - PI3 Statewide Rollout	5 days	1/30/20	2/5/20
3679	M:Overall Completion of Deployment to Production	0 days	2/5/20	2/5/20
3680	(IE) R3 - PI3 Post Production Support	30 days	2/6/20	3/18/20
3681				
3682	**Child Welfare**	**520 days**	**10/5/17**	**10/2/19**
3683	**(CW) Release 1 - (Intake, Investigation, Assessment, Case, Adoption & Sys Admin)**	**280 days**	**10/5/17**	**10/31/18**
3684	**Requirements Validation**	**40 days**	**10/5/17**	**11/29/17**

ID	Task Name	Duration	Start	Finish
3685	**Requirements Analysis**	**40 days**	**10/5/17**	**11/29/17**
3686	**Intake, Investigation, Assessment, Case, Adoption & Sys Admin**	**40 days**	**10/5/17**	**11/29/17**
3687	Complete detailed review of all workflows, use case documentation, and requirements developed by DHHR	40 days	10/5/17	11/29/17
3688	Interviews with key stakeholders to understand how baseline requirements translate into technical details	40 days	10/5/17	11/29/17
3689	Develop draft software requirements methodology that addresses the approach and tools for alignment with existing baseline requirements	40 days	10/5/17	11/29/17
3690	UI/UX Reviews	40 days	10/5/17	11/29/17
3691	Conduct cross-walk of the BA and functional requirements against current functionality (gap analysis)	40 days	10/5/17	11/29/17
3692	Prepare Requirements Validation DEDs / Deliverables	40 days	10/5/17	11/29/17
3693	**Requirements Deliverables**	**40 days**	**10/5/17**	**11/29/17**
3694	Review / Accept DEDs	10 days	10/5/17	10/18/17
3695	**Requirements Traceability Matrix (RTM)**	**30 days**	**10/12/17**	**11/22/17**
3696	Initial Draft Created	20 days	10/12/17	11/8/17
3697	Draft Reviewed	10 days	11/9/17	11/22/17
3698	Approval Obtained	1 day	11/22/17	11/22/17
3699	**Requirements Specification Document (RSD)**	**30 days**	**10/19/17**	**11/29/17**
3700	Initial Draft Created	20 days	10/19/17	11/15/17
3701	Draft Reviewed	10 days	11/16/17	11/29/17
3702	Approval Obtained	1 day	11/29/17	11/29/17
3703	M:Overall Completion of Requirements Validation	0 days	11/29/17	11/29/17
3704	**Design**	**45 days**	**11/2/17**	**1/3/18**
3705	**Solution Design (JAD) & Release Planning**	**45 days**	**11/2/17**	**1/3/18**
3706	**Child Welfare - Intake, Investigation, Assessment, Case, Adoption & Sys Admin**	**45 days**	**11/2/17**	**1/3/18**
3707	Review Enterprise Architecture to understand solution design approach and compliance requirements	45 days	11/2/17	1/3/18
3708	UI/UX Design Sessions	45 days	11/2/17	1/3/18
3709	Define conceptual architecture	45 days	11/2/17	1/3/18

ID	Task Name	Duration	Start	Finish
3710	Define logical architecture (SOA layers, Vendors, Service Consumers, Service Brokers, dependencies)	45 days	11/2/17	1/3/18
3711	Define physical architecture (various application services and how they should be implemented, integration layers)	45 days	11/2/17	1/3/18
3712	Functional Design / Technical Design sessions	45 days	11/2/17	1/3/18
3713	Data Conversion / Test Data Management	45 days	11/2/17	1/3/18
3714	Prepare Design DEDs / Deliverables	45 days	11/2/17	1/3/18
3715	**Design Deliverables**	**45 days**	**11/2/17**	**1/3/18**
3716	Review / Accept DEDs	10 days	11/2/17	11/15/17
3717	**Requirements Gap Analysis Document**	**20 days**	**11/2/17**	**11/29/17**
3718	Initial Draft Created	10 days	11/2/17	11/15/17
3719	Draft Reviewed	10 days	11/16/17	11/29/17
3720	Approval Obtained	10 days	11/16/17	11/29/17
3721	**Business Process Models**	**20 days**	**11/2/17**	**11/29/17**
3722	Initial Draft Created	10 days	11/2/17	11/15/17
3723	Draft Reviewed	10 days	11/16/17	11/29/17
3724	Approval Obtained	1 day	11/29/17	11/29/17
3725	**Detailed System Design (DSD) Document**	**20 days**	**11/2/17**	**11/29/17**
3726	Initial Draft Created	10 days	11/2/17	11/15/17
3727	Draft Reviewed	10 days	11/16/17	11/29/17
3728	Approval Obtained	1 day	11/29/17	11/29/17
3729	**Data Dictionary**	**20 days**	**11/16/17**	**12/13/17**
3730	Initial Draft Created	10 days	11/16/17	11/29/17
3731	Draft Reviewed	10 days	11/30/17	12/13/17
3732	Approval Obtained	1 day	11/29/17	11/29/17
3733	**Data Models**	**20 days**	**11/16/17**	**12/13/17**
3734	Initial Draft Created	10 days	11/16/17	11/29/17
3735	Draft Reviewed	10 days	11/30/17	12/13/17
3736	Approval Obtained	1 day	12/13/17	12/13/17
3737	**Reports Inventory**	**20 days**	**11/16/17**	**12/13/17**

ID	Task Name	Duration	Start	Finish
3738	Initial Draft Created	10 days	11/16/17	11/29/17
3739	Draft Reviewed	10 days	11/30/17	12/13/17
3740	Approval Obtained	1 day	12/13/17	12/13/17
3741	**Correspondence Inventory**	**20 days**	**11/16/17**	**12/13/17**
3742	Initial Draft Created	10 days	11/16/17	11/29/17
3743	Draft Reviewed	10 days	11/30/17	12/13/17
3744	Approval Obtained	1 day	12/13/17	12/13/17
3745	**Forms Inventory**	**15 days**	**11/30/17**	**12/20/17**
3746	Initial Draft Created	5 days	11/30/17	12/6/17
3747	Draft Reviewed	10 days	12/7/17	12/20/17
3748	Approval Obtained	1 day	12/20/17	12/20/17
3749	**Interface Inventory**	**15 days**	**11/30/17**	**12/20/17**
3750	Initial Draft Created	5 days	11/30/17	12/6/17
3751	Draft Reviewed	10 days	12/7/17	12/20/17
3752	Approval Obtained	1 day	12/20/17	12/20/17
3753	**Data Cleansing and Conversion Requirements Document**	**20 days**	**12/7/17**	**1/3/18**
3754	Initial Draft Created	10 days	12/7/17	12/20/17
3755	Draft Reviewed	10 days	12/21/17	1/3/18
3756	Approval Obtained	1 day	1/3/18	1/3/18
3757	**Data Cleansing and Conversion Specification Document**	**20 days**	**12/7/17**	**1/3/18**
3758	Initial Draft Created	10 days	12/7/17	12/20/17
3759	Draft Reviewed	10 days	12/21/17	1/3/18
3760	Approval Obtained	1 day	1/3/18	1/3/18
3761	M:Overall Completion of Design Phase	0 days	1/3/18	1/3/18
3762	**Development and Testing**	**190 days**	**11/16/17**	**8/8/18**
3763	**Execution (Design/Build/Sys Test)**	**120 days**	**11/16/17**	**5/2/18**
3764	**CW R1- Design Sprint**	**20 days**	**11/16/17**	**12/13/17**
3765	Conduct Business Rules specification sessions	20 days	11/16/17	12/13/17
3766	System integration points	20 days	11/16/17	12/13/17
3767	Design Interfaces / APIs	20 days	11/16/17	12/13/17

ID	Task Name	Duration	Start	Finish
3768	Technical security controls and security architecture	20 days	11/16/17	12/13/17
3769	System Context Diagram updates	20 days	11/16/17	12/13/17
3770	Business Rules Designs	20 days	11/16/17	12/13/17
3771	UI/UX	20 days	11/16/17	12/13/17
3772	Data Conversion / Test Data Management	20 days	11/16/17	12/13/17
3773	Current / Future state Modeling sessions	20 days	11/16/17	12/13/17
3774	Prepare Development / Test / Readiness DEDs	20 days	11/16/17	12/13/17
3775	**CW R1-Sprint 1**	**20 days**	**12/14/17**	**1/10/18**
3776	**Configuration**	**20 days**	**12/14/17**	**1/10/18**
3777	Interfaces / APIs	20 days	12/14/17	1/10/18
3778	Business Rules development	20 days	12/14/17	1/10/18
3779	Update Business rules repository	20 days	12/14/17	1/10/18
3780	Data Conversion / Test Data Management	20 days	12/14/17	1/10/18
3781	Integration with existing Systems	20 days	12/14/17	1/10/18
3782	UI / UX	20 days	12/14/17	1/10/18
3783	Conduct Reviews	20 days	12/14/17	1/10/18
3784	**Testing / Validation**	**20 days**	**12/14/17**	**1/10/18**
3785	Execution of Business Rules	20 days	12/14/17	1/10/18
3786	Validation of test cases against IES environment	20 days	12/14/17	1/10/18
3787	Identify, Track and Resolve Defects	20 days	12/14/17	1/10/18
3788	Prioritize and Retest Defects	20 days	12/14/17	1/10/18
3789	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	12/14/17	1/10/18
3790	Compile Test Results	20 days	12/14/17	1/10/18
3791	Sprint Review / Demo	1 day	1/10/18	1/10/18
3792	Sprint Planning	3 days	1/8/18	1/10/18
3793	**CW R1-Sprint 2**	**20 days**	**1/11/18**	**2/7/18**
3794	**Configuration**	**20 days**	**1/11/18**	**2/7/18**
3795	Interfaces / APIs	20 days	1/11/18	2/7/18
3796	Business Rules development	20 days	1/11/18	2/7/18
3797	Update Business rules repository	20 days	1/11/18	2/7/18

ID	Task Name	Duration	Start	Finish
3798	Data Conversion / Test Data Management	20 days	1/11/18	2/7/18
3799	Integration with existing Systems	20 days	1/11/18	2/7/18
3800	UI / UX	20 days	1/11/18	2/7/18
3801	Conduct Reviews	20 days	1/11/18	2/7/18
3802	**Testing / Validation**	**20 days**	**1/11/18**	**2/7/18**
3803	Execution of Business Rules	20 days	1/11/18	2/7/18
3804	Validation of test cases against IES environment	20 days	1/11/18	2/7/18
3805	Identify, Track and Resolve Defects	20 days	1/11/18	2/7/18
3806	Prioritize and Retest Defects	20 days	1/11/18	2/7/18
3807	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	1/11/18	2/7/18
3808	Compile Test Results	20 days	1/11/18	2/7/18
3809	Sprint Review / Demo	1 day	2/7/18	2/7/18
3810	Sprint Planning	3 days	2/5/18	2/7/18
3811	**CW R1-Sprint 3**	**20 days**	**2/8/18**	**3/7/18**
3812	**Configuration**	**20 days**	**2/8/18**	**3/7/18**
3813	Interfaces / APIs	20 days	2/8/18	3/7/18
3814	Business Rules development	20 days	2/8/18	3/7/18
3815	Update Business rules repository	20 days	2/8/18	3/7/18
3816	Data Conversion / Test Data Management	20 days	2/8/18	3/7/18
3817	Integration with existing Systems	20 days	2/8/18	3/7/18
3818	UI / UX	20 days	2/8/18	3/7/18
3819	Conduct Reviews	20 days	2/8/18	3/7/18
3820	**Testing / Validation**	**20 days**	**2/8/18**	**3/7/18**
3821	Execution of Business Rules	20 days	2/8/18	3/7/18
3822	Validation of test cases against IES environment	20 days	2/8/18	3/7/18
3823	Identify, Track and Resolve Defects	20 days	2/8/18	3/7/18
3824	Prioritize and Retest Defects	20 days	2/8/18	3/7/18
3825	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	2/8/18	3/7/18
3826	Compile Test Results	20 days	2/8/18	3/7/18
3827	Sprint Review / Demo	1 day	3/7/18	3/7/18

ID	Task Name	Duration	Start	Finish
3828	Sprint Planning	3 days	3/5/18	3/7/18
3829	**CW R1-Sprint 4**	**20 days**	**3/8/18**	**4/4/18**
3830	**Configuration**	**20 days**	**3/8/18**	**4/4/18**
3831	Interfaces / APIs	20 days	3/8/18	4/4/18
3832	Business Rules development	20 days	3/8/18	4/4/18
3833	Update Business rules repository	20 days	3/8/18	4/4/18
3834	Data Conversion / Test Data Management	20 days	3/8/18	4/4/18
3835	Integration with existing Systems	20 days	3/8/18	4/4/18
3836	UI / UX	20 days	3/8/18	4/4/18
3837	Conduct Reviews	20 days	3/8/18	4/4/18
3838	**Testing / Validation**	**20 days**	**3/8/18**	**4/4/18**
3839	Execution of Business Rules	20 days	3/8/18	4/4/18
3840	Validation of test cases against IES environment	20 days	3/8/18	4/4/18
3841	Identify, Track and Resolve Defects	20 days	3/8/18	4/4/18
3842	Prioritize and Retest Defects	20 days	3/8/18	4/4/18
3843	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	3/8/18	4/4/18
3844	Compile Test Results	20 days	3/8/18	4/4/18
3845	Sprint Review / Demo	1 day	4/4/18	4/4/18
3846	Sprint Planning	3 days	4/2/18	4/4/18
3847	**CW R1-Sprint 5**	**20 days**	**4/5/18**	**5/2/18**
3848	**Configuration**	**20 days**	**4/5/18**	**5/2/18**
3849	Interfaces / APIs	20 days	4/5/18	5/2/18
3850	Business Rules development	20 days	4/5/18	5/2/18
3851	Update Business rules repository	20 days	4/5/18	5/2/18
3852	Data Conversion / Test Data Management	20 days	4/5/18	5/2/18
3853	Integration with existing Systems	20 days	4/5/18	5/2/18
3854	UI / UX	20 days	4/5/18	5/2/18
3855	Conduct Reviews	20 days	4/5/18	5/2/18
3856	**Testing / Validation**	**20 days**	**4/5/18**	**5/2/18**
3857	Execution of Business Rules	20 days	4/5/18	5/2/18

ID	Task Name	Duration	Start	Finish
3858	Validation of test cases against IES environment	20 days	4/5/18	5/2/18
3859	Identify, Track and Resolve Defects	20 days	4/5/18	5/2/18
3860	Prioritize and Retest Defects	20 days	4/5/18	5/2/18
3861	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	4/5/18	5/2/18
3862	Compile Test Results	20 days	4/5/18	5/2/18
3863	Sprint Review / Demo	1 day	5/2/18	5/2/18
3864	Sprint Planning	3 days	4/30/18	5/2/18
3865	**Testing (Integration/E2E/Perf/UAT)**	**60 days**	**5/3/18**	**7/25/18**
3866	**CW R1- Integration Test 1**	**20 days**	**5/3/18**	**5/30/18**
3867	Unit or Module Test	20 days	5/3/18	5/30/18
3868	Subsystem Integration Test	20 days	5/3/18	5/30/18
3869	System Qualification Test	20 days	5/3/18	5/30/18
3870	Regression Testing	20 days	5/3/18	5/30/18
3871	End to End Testing	20 days	5/3/18	5/30/18
3872	Data Conversion Test	20 days	5/3/18	5/30/18
3873	Security Testing	20 days	5/3/18	5/30/18
3874	Interface / Accessibility Testing	20 days	5/3/18	5/30/18
3875	Parallel Testing	20 days	5/3/18	5/30/18
3876	Identify / Address Critical Defects	20 days	5/3/18	5/30/18
3877	**CW R1- Integration Test 2**	**20 days**	**5/31/18**	**6/27/18**
3878	Unit or Module Test	20 days	5/31/18	6/27/18
3879	Subsystem Integration Test	20 days	5/31/18	6/27/18
3880	System Qualification Test	20 days	5/31/18	6/27/18
3881	Regression Testing	20 days	5/31/18	6/27/18
3882	End to End Testing	20 days	5/31/18	6/27/18
3883	Data Conversion Testing	20 days	5/31/18	6/27/18
3884	Security Testing	20 days	5/31/18	6/27/18
3885	Interface / Accessibility Testing	20 days	5/31/18	6/27/18
3886	Parallel Testing	20 days	5/31/18	6/27/18
3887	Identify / Address Critical Defects	20 days	5/31/18	6/27/18

ID	Task Name	Duration	Start	Finish
3888	**CW R1- Performance**	**20 days**	**5/31/18**	**6/27/18**
3889	Performance Testing	20 days	5/31/18	6/27/18
3890	Mock Data Conversions	20 days	5/31/18	6/27/18
3891	Readiness Certification	20 days	5/31/18	6/27/18
3892	Site Readiness Assessments	20 days	5/31/18	6/27/18
3893	Identify / Address critical defects	20 days	5/31/18	6/27/18
3894	**CW R1-UAT-1**	**20 days**	**6/28/18**	**7/25/18**
3895	Prepare UAT test scripts	20 days	6/28/18	7/25/18
3896	Agency access to UAT environment	20 days	6/28/18	7/25/18
3897	Conduct UAT Testing / Ad-hoc testing	20 days	6/28/18	7/25/18
3898	Mock Data Conversions	20 days	6/28/18	7/25/18
3899	Review address critical defects	20 days	6/28/18	7/25/18
3900	Prepare UAT report	20 days	6/28/18	7/25/18
3901	**Development and Testing Deliverables**	**170 days**	**12/14/17**	**8/8/18**
3902	Review / Accept DEDs	15 days	12/14/17	1/3/18
3903	**System Documentation**	**30 days**	**12/14/17**	**1/24/18**
3904	Initial Draft Created	20 days	12/14/17	1/10/18
3905	Draft Reviewed	10 days	1/11/18	1/24/18
3906	Approval Obtained	1 day	1/24/18	1/24/18
3907	**System Security Plan (SSP)**	**30 days**	**12/14/17**	**1/24/18**
3908	Initial Draft Created	20 days	12/14/17	1/10/18
3909	Draft Reviewed	10 days	1/11/18	1/24/18
3910	Approval Obtained	1 day	1/24/18	1/24/18
3911	**Safeguard Procedures Report (SPR)**	**30 days**	**1/11/18**	**2/21/18**
3912	Initial Draft Created	20 days	1/11/18	2/7/18
3913	Draft Reviewed	10 days	2/8/18	2/21/18
3914	Approval Obtained	1 day	2/21/18	2/21/18
3915	**User Documentation**	**30 days**	**1/11/18**	**2/21/18**
3916	Initial Draft Created	20 days	1/11/18	2/7/18
3917	Draft Reviewed	10 days	2/8/18	2/21/18

ID	Task Name	Duration	Start	Finish
3918	Approval Obtained	1 day	2/21/18	2/21/18
3919	**Data Conversion System Integration Test Cases**	**30 days**	**2/8/18**	**3/21/18**
3920	Initial Draft Created	20 days	2/8/18	3/7/18
3921	Draft Reviewed	10 days	3/8/18	3/21/18
3922	Approval Obtained	1 day	3/21/18	3/21/18
3923	**System Integration Test Cases**	**30 days**	**2/8/18**	**3/21/18**
3924	Initial Draft Created	20 days	2/8/18	3/7/18
3925	Draft Reviewed	10 days	3/8/18	3/21/18
3926	Approval Obtained	1 day	3/21/18	3/21/18
3927	**Regression Test Cases**	**30 days**	**3/8/18**	**4/18/18**
3928	Initial Draft Created	20 days	3/8/18	4/4/18
3929	Draft Reviewed	10 days	4/5/18	4/18/18
3930	Approval Obtained	1 day	4/18/18	4/18/18
3931	**Load/Stress Test Cases**	**30 days**	**3/8/18**	**4/18/18**
3932	Initial Draft Created	20 days	3/8/18	4/4/18
3933	Draft Reviewed	10 days	4/5/18	4/18/18
3934	Approval Obtained	1 day	4/18/18	4/18/18
3935	**User Acceptance Test Cases**	**30 days**	**3/8/18**	**4/18/18**
3936	Initial Draft Created	20 days	3/8/18	4/4/18
3937	Draft Reviewed	10 days	4/5/18	4/18/18
3938	Approval Obtained	1 day	4/18/18	4/18/18
3939	**Data Conversion System Integration Test Results**	**20 days**	**6/14/18**	**7/11/18**
3940	Initial Draft Created	10 days	6/14/18	6/27/18
3941	Draft Reviewed	10 days	6/28/18	7/11/18
3942	Approval Obtained	1 day	7/11/18	7/11/18
3943	**System Integration Test Results**	**20 days**	**6/14/18**	**7/11/18**
3944	Initial Draft Created	10 days	6/14/18	6/27/18
3945	Draft Reviewed	10 days	6/28/18	7/11/18
3946	Approval Obtained	1 day	7/11/18	7/11/18
3947	**Regression Test Results**	**20 days**	**6/14/18**	**7/11/18**

ID	Task Name	Duration	Start	Finish
3948	Initial Draft Created	10 days	6/14/18	6/27/18
3949	Draft Reviewed	10 days	6/28/18	7/11/18
3950	Approval Obtained	1 day	7/11/18	7/11/18
3951	**Load/Stress Test Results**	**20 days**	**6/14/18**	**7/11/18**
3952	Initial Draft Created	10 days	6/14/18	6/27/18
3953	Draft Reviewed	10 days	6/28/18	7/11/18
3954	Approval Obtained	1 day	7/11/18	7/11/18
3955	**Capacity Analysis Report**	**20 days**	**6/14/18**	**7/11/18**
3956	Initial Draft Created	10 days	6/14/18	6/27/18
3957	Draft Reviewed	10 days	6/28/18	7/11/18
3958	Approval Obtained	1 day	7/11/18	7/11/18
3959	M:Overall Completion of System Testing	0 days	6/27/18	6/27/18
3960	**User Acceptance Test Results**	**20 days**	**7/12/18**	**8/8/18**
3961	Initial Draft Created	10 days	7/12/18	7/25/18
3962	Draft Reviewed	10 days	7/26/18	8/8/18
3963	Approval Obtained	1 day	8/8/18	8/8/18
3964	M:Overall Completion of User Acceptance Testing	0 days	8/8/18	8/8/18
3965	**Implementation Readiness**	**60 days**	**5/17/18**	**8/8/18**
3966	**Training**	**25 days**	**6/7/18**	**7/11/18**
3967	Prepare Training Materials	15 days	6/7/18	6/27/18
3968	Prepare / Schedule Training for End Users and T3	15 days	6/7/18	6/27/18
3969	UAT Training	10 days	6/14/18	6/27/18
3970	Conduct Training for End Users and T3	10 days	6/28/18	7/11/18
3971	Configure Support system (helpdesk) with workflow and knowledge Base	10 days	6/28/18	7/11/18
3972	M&O Support	10 days	6/28/18	7/11/18
3973	**Operational Readiness**	**20 days**	**6/21/18**	**7/18/18**
3974	Baseline Checklist of Operational Areas	20 days	6/21/18	7/18/18
3975	Policies and Procedures, Job Aids Prepared & Posted	20 days	6/21/18	7/18/18
3976	Support system (helpdesk) Configured With Workflow and Knowledge Base	20 days	6/21/18	7/18/18
3977	Contacts Information and Contacts Defined	20 days	6/21/18	7/18/18

ID	Task Name	Duration	Start	Finish
3978	Operational Reporting Requirements Defined	20 days	6/21/18	7/18/18
3979	Communication Planning and Execution	20 days	6/21/18	7/18/18
3980	Phone Lines & Phone Scripts are Open & Active	20 days	6/21/18	7/18/18
3981	Schedule & Conduct Dry Run With HelpDesk Staff on Rules	20 days	6/21/18	7/18/18
3982	Modify Checklist Based on Dry Run Feedback	20 days	6/21/18	7/18/18
3983	Schedule & Conduct Meeting With DHHR to review Checklist, Demo Product for ORT Walk Through	20 days	6/21/18	7/18/18
3984	Revise Checklist Based on DHHR Feedback	20 days	6/21/18	7/18/18
3985	**Implementation Readiness Deliverables**	**60 days**	**5/17/18**	**8/8/18**
3986	Review / Accept DEDs	15 days	5/17/18	6/6/18
3987	**Operational Readiness Plan**	**20 days**	**6/7/18**	**7/4/18**
3988	Initial Draft Created	10 days	6/7/18	6/20/18
3989	Draft Reviewed	10 days	6/21/18	7/4/18
3990	Approval Obtained	1 day	7/4/18	7/4/18
3991	**Operational Readiness Test Scripts**	**20 days**	**6/14/18**	**7/11/18**
3992	Initial Draft Created	10 days	6/14/18	6/27/18
3993	Draft Reviewed	10 days	6/28/18	7/11/18
3994	Approval Obtained	1 day	7/11/18	7/11/18
3995	**Operational Readiness Test Results**	**20 days**	**7/12/18**	**8/8/18**
3996	Initial Draft Created	10 days	7/12/18	7/25/18
3997	Draft Reviewed	10 days	7/26/18	8/8/18
3998	Approval Obtained	1 day	8/8/18	8/8/18
3999	**Updated Training Management Plan**	**20 days**	**5/17/18**	**6/13/18**
4000	Initial Draft Created	10 days	5/17/18	5/30/18
4001	Draft Reviewed	10 days	5/31/18	6/13/18
4002	Approval Obtained	1 day	6/13/18	6/13/18
4003	**Training Schedule**	**20 days**	**5/17/18**	**6/13/18**
4004	Initial Draft Created	10 days	5/17/18	5/30/18
4005	Draft Reviewed	10 days	5/31/18	6/13/18
4006	Approval Obtained	1 day	6/13/18	6/13/18

ID	Task Name	Duration	Start	Finish
4007	**Training Materials**	**20 days**	**5/17/18**	**6/13/18**
4008	Initial Draft Created	10 days	5/17/18	5/30/18
4009	Draft Reviewed	10 days	5/31/18	6/13/18
4010	Approval Obtained	1 day	6/13/18	6/13/18
4011	**Training Report**	**15 days**	**7/5/18**	**7/25/18**
4012	Initial Draft Created	5 days	7/5/18	7/11/18
4013	Draft Reviewed	10 days	7/12/18	7/25/18
4014	Approval Obtained	1 day	7/25/18	7/25/18
4015	**Implementation Plan**	**15 days**	**6/28/18**	**7/18/18**
4016	Initial Draft Created	5 days	6/28/18	7/4/18
4017	Draft Reviewed	10 days	7/5/18	7/18/18
4018	Approval Obtained	1 day	7/18/18	7/18/18
4019	**Cut-Over Play Book**	**15 days**	**7/5/18**	**7/25/18**
4020	Initial Draft Created	5 days	7/5/18	7/11/18
4021	Draft Reviewed	10 days	7/12/18	7/25/18
4022	Approval Obtained	1 day	7/25/18	7/25/18
4023	**Report Distribution Schedule**	**15 days**	**7/12/18**	**8/1/18**
4024	Initial Draft Created	5 days	7/12/18	7/18/18
4025	Draft Reviewed	10 days	7/19/18	8/1/18
4026	Approval Obtained	1 day	8/1/18	8/1/18
4027	**Operations Project Management Plans**	**15 days**	**7/19/18**	**8/8/18**
4028	Initial Draft Created	5 days	7/19/18	7/25/18
4029	Draft Reviewed	10 days	7/26/18	8/8/18
4030	Approval Obtained	1 day	8/8/18	8/8/18
4031	**Solution health Monitoring Plan**	**15 days**	**7/19/18**	**8/8/18**
4032	Initial Draft Created	5 days	7/19/18	7/25/18
4033	Draft Reviewed	10 days	7/26/18	8/8/18
4034	Approval Obtained	1 day	8/8/18	8/8/18
4035	M:Overall Completion of Implementation Readiness	0 days	8/8/18	8/8/18
4036	Readiness Results Review - DHHR	5 days	8/2/18	8/8/18

ID	Task Name	Duration	Start	Finish
4037	Go-No-Go Decision	1 day	8/8/18	8/8/18
4038	Cutover of Child Welfare - Intake, Investigation, Assessment, Case, Adoption & Sys Admin	5 days	8/9/18	8/15/18
4039	M:Overall Completion of Deployment to Production (Pilot)	0 days	8/15/18	8/15/18
4040	CW R1 - Pilot	20 days	8/16/18	9/12/18
4041	**Implementation Readiness Certification Deliverables**	**20 days**	**8/16/18**	**9/12/18**
4042	**Federal Certification and Review Management Plan**	**15 days**	**8/16/18**	**9/5/18**
4043	Initial Draft Created	5 days	8/16/18	8/22/18
4044	Draft Reviewed	10 days	8/23/18	9/5/18
4045	Approval Obtained	1 day	9/5/18	9/5/18
4046	**ACF Certification Documentation**	**15 days**	**8/16/18**	**9/5/18**
4047	Initial Draft Created	5 days	8/16/18	8/22/18
4048	Draft Reviewed	10 days	8/23/18	9/5/18
4049	Approval Obtained	1 day	9/5/18	9/5/18
4050	**Federal Review Supporting Documentation**	**15 days**	**8/23/18**	**9/12/18**
4051	Initial Draft Created	5 days	8/23/18	8/29/18
4052	Draft Reviewed	10 days	8/30/18	9/12/18
4053	Approval Obtained	1 day	9/12/18	9/12/18
4054	**Social Security Administration Certification Documentation**	**15 days**	**8/23/18**	**9/12/18**
4055	Initial Draft Created	5 days	8/23/18	8/29/18
4056	Draft Reviewed	10 days	8/30/18	9/12/18
4057	Approval Obtained	1 day	9/12/18	9/12/18
4058	**Implementation Certification Letter**	**15 days**	**8/23/18**	**9/12/18**
4059	Initial Draft Created	5 days	8/23/18	8/29/18
4060	Draft Reviewed	10 days	8/30/18	9/12/18
4061	Approval Obtained	1 day	9/12/18	9/12/18
4062	CW R1 - Statewide Rollout	5 days	9/13/18	9/19/18
4063	M:Overall Completion of Deployment to Production	0 days	9/19/18	9/19/18
4064	CW R1 - Post Production Support	30 days	9/20/18	10/31/18
4065	**(CW) Release 2 - (Financial & Provider Mgmt)**	**520 days**	**10/5/17**	**10/2/19**
4066	**Requirements Validation**	**45 days**	**10/5/17**	**12/6/17**

ID	Task Name	Duration	Start	Finish
4067	**Requirements Analysis**	**45 days**	**10/5/17**	**12/6/17**
4068	**Financial & Provider Mgmt**	**45 days**	**10/5/17**	**12/6/17**
4069	Complete detailed review of all workflows, use case documentation, and requirements developed by DHHR	45 days	10/5/17	12/6/17
4070	Interviews with key stakeholders to understand how baseline requirements translate into technical details	45 days	10/5/17	12/6/17
4071	Develop draft software requirements methodology that addresses the approach and tools for alignment with existing baseline requirements	45 days	10/5/17	12/6/17
4072	UI/UX Reviews	45 days	10/5/17	12/6/17
4073	Conduct cross-walk of the BA and functional requirements against current functionality (gap analysis)	45 days	10/5/17	12/6/17
4074	Prepare Requirements Validation DEDs / Deliverables	45 days	10/5/17	12/6/17
4075	**Requirements Deliverables**	**45 days**	**10/5/17**	**12/6/17**
4076	Review / Accept DEDs	10 days	10/5/17	10/18/17
4077	**Requirements Traceability Matrix (RTM)**	**35 days**	**10/12/17**	**11/29/17**
4078	Initial Draft Created	25 days	10/12/17	11/15/17
4079	Draft Reviewed	10 days	11/16/17	11/29/17
4080	Approval Obtained	1 day	11/29/17	11/29/17
4081	**Requirements Specification Document (RSD)**	**35 days**	**10/19/17**	**12/6/17**
4082	Initial Draft Created	25 days	10/19/17	11/22/17
4083	Draft Reviewed	10 days	11/23/17	12/6/17
4084	Approval Obtained	1 day	12/6/17	12/6/17
4085	M:Overall Completion of Requirements Validation	0 days	12/6/17	12/6/17
4086	**Design**	**45 days**	**11/2/17**	**1/3/18**
4087	**Solution Design (JAD) & Release Planning**	**45 days**	**11/2/17**	**1/3/18**
4088	**Child Welfare - Financial & Provider Mgmt**	**45 days**	**11/2/17**	**1/3/18**
4089	Review Enterprise Architecture to understand solution design approach and compliance requirements	45 days	11/2/17	1/3/18
4090	UI/UX Design Sessions	45 days	11/2/17	1/3/18
4091	Define conceptual architecture	45 days	11/2/17	1/3/18

ID	Task Name	Duration	Start	Finish
4092	Define logical architecture (SOA layers, Vendors, Service Consumers, Service Brokers, dependencies)	45 days	11/2/17	1/3/18
4093	Define physical architecture (various application services and how they should be implemented, integration layers)	45 days	11/2/17	1/3/18
4094	Functional Design / Technical Design sessions	45 days	11/2/17	1/3/18
4095	Data Conversion / Test Data Management	45 days	11/2/17	1/3/18
4096	Prepare Design DEDs / Deliverables	45 days	11/2/17	1/3/18
4097	**Design Deliverables**	**45 days**	**11/2/17**	**1/3/18**
4098	Review / Accept DEDs	10 days	11/2/17	11/15/17
4099	**Requirements Gap Analysis Document**	**20 days**	**11/2/17**	**11/29/17**
4100	Initial Draft Created	10 days	11/2/17	11/15/17
4101	Draft Reviewed	10 days	11/16/17	11/29/17
4102	Approval Obtained	10 days	11/16/17	11/29/17
4103	**Business Process Models**	**20 days**	**11/2/17**	**11/29/17**
4104	Initial Draft Created	10 days	11/2/17	11/15/17
4105	Draft Reviewed	10 days	11/16/17	11/29/17
4106	Approval Obtained	1 day	11/29/17	11/29/17
4107	**Detailed System Design (DSD) Document**	**20 days**	**11/2/17**	**11/29/17**
4108	Initial Draft Created	10 days	11/2/17	11/15/17
4109	Draft Reviewed	10 days	11/16/17	11/29/17
4110	Approval Obtained	1 day	11/29/17	11/29/17
4111	**Data Dictionary**	**20 days**	**11/16/17**	**12/13/17**
4112	Initial Draft Created	10 days	11/16/17	11/29/17
4113	Draft Reviewed	10 days	11/30/17	12/13/17
4114	Approval Obtained	1 day	11/29/17	11/29/17
4115	**Data Models**	**20 days**	**11/16/17**	**12/13/17**
4116	Initial Draft Created	10 days	11/16/17	11/29/17
4117	Draft Reviewed	10 days	11/30/17	12/13/17
4118	Approval Obtained	1 day	12/13/17	12/13/17
4119	**Reports Inventory**	**20 days**	**11/16/17**	**12/13/17**

ID	Task Name	Duration	Start	Finish
4120	Initial Draft Created	10 days	11/16/17	11/29/17
4121	Draft Reviewed	10 days	11/30/17	12/13/17
4122	Approval Obtained	1 day	12/13/17	12/13/17
4123	**Correspondence Inventory**	**20 days**	**11/16/17**	**12/13/17**
4124	Initial Draft Created	10 days	11/16/17	11/29/17
4125	Draft Reviewed	10 days	11/30/17	12/13/17
4126	Approval Obtained	1 day	12/13/17	12/13/17
4127	**Forms Inventory**	**15 days**	**11/30/17**	**12/20/17**
4128	Initial Draft Created	5 days	11/30/17	12/6/17
4129	Draft Reviewed	10 days	12/7/17	12/20/17
4130	Approval Obtained	1 day	12/20/17	12/20/17
4131	**Interface Inventory**	**15 days**	**11/30/17**	**12/20/17**
4132	Initial Draft Created	5 days	11/30/17	12/6/17
4133	Draft Reviewed	10 days	12/7/17	12/20/17
4134	Approval Obtained	1 day	12/20/17	12/20/17
4135	**Data Cleansing and Conversion Requirements Document**	**20 days**	**12/7/17**	**1/3/18**
4136	Initial Draft Created	10 days	12/7/17	12/20/17
4137	Draft Reviewed	10 days	12/21/17	1/3/18
4138	Approval Obtained	1 day	1/3/18	1/3/18
4139	**Data Cleansing and Conversion Specification Document**	**20 days**	**12/7/17**	**1/3/18**
4140	Initial Draft Created	10 days	12/7/17	12/20/17
4141	Draft Reviewed	10 days	12/21/17	1/3/18
4142	Approval Obtained	1 day	1/3/18	1/3/18
4143	M:Overall Completion of Design Phase	0 days	1/3/18	1/3/18
4144	**Development and Testing**	**385 days**	**12/21/17**	**6/12/19**
4145	**Execution (Design/Build/Sys Test)**	**275 days**	**12/21/17**	**1/9/19**
4146	**CW R2- Design Sprint**	**20 days**	**12/21/17**	**1/17/18**
4147	Conduct Business Rules specification sessions	20 days	12/21/17	1/17/18
4148	System integration points	20 days	12/21/17	1/17/18
4149	Design Interfaces / APIs	20 days	12/21/17	1/17/18

ID	Task Name	Duration	Start	Finish
4150	Technical security controls and security architecture	20 days	12/21/17	1/17/18
4151	System Context Diagram updates	20 days	12/21/17	1/17/18
4152	Business Rules Designs	20 days	12/21/17	1/17/18
4153	UI/UX	20 days	12/21/17	1/17/18
4154	Data Conversion / Test Data Management	20 days	12/21/17	1/17/18
4155	Current / Future state Modeling sessions	20 days	12/21/17	1/17/18
4156	Prepare Development / Test / Readiness DEDs	20 days	12/21/17	1/17/18
4157	**CW R2-Sprint 1**	**20 days**	**1/18/18**	**2/14/18**
4158	**Configuration**	**20 days**	**1/18/18**	**2/14/18**
4159	Interfaces / APIs	20 days	1/18/18	2/14/18
4160	Business Rules development	20 days	1/18/18	2/14/18
4161	Update Business rules repository	20 days	1/18/18	2/14/18
4162	Data Conversion / Test Data Management	20 days	1/18/18	2/14/18
4163	Integration with existing Systems	20 days	1/18/18	2/14/18
4164	UI / UX	20 days	1/18/18	2/14/18
4165	Conduct Reviews	20 days	1/18/18	2/14/18
4166	**Testing / Validation**	**20 days**	**1/18/18**	**2/14/18**
4167	Execution of Business Rules	20 days	1/18/18	2/14/18
4168	Validation of test cases against IES environment	20 days	1/18/18	2/14/18
4169	Identify, Track and Resolve Defects	20 days	1/18/18	2/14/18
4170	Prioritize and Retest Defects	20 days	1/18/18	2/14/18
4171	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	1/18/18	2/14/18
4172	Compile Test Results	20 days	1/18/18	2/14/18
4173	Sprint Review / Demo	1 day	2/14/18	2/14/18
4174	Sprint Planning	3 days	2/12/18	2/14/18
4175	**CW R2-Sprint 2**	**20 days**	**2/15/18**	**3/14/18**
4176	**Configuration**	**20 days**	**2/15/18**	**3/14/18**
4177	Interfaces / APIs	20 days	2/15/18	3/14/18
4178	Business Rules development	20 days	2/15/18	3/14/18
4179	Update Business rules repository	20 days	2/15/18	3/14/18

ID	Task Name	Duration	Start	Finish
4180	Data Conversion / Test Data Management	20 days	2/15/18	3/14/18
4181	Integration with existing Systems	20 days	2/15/18	3/14/18
4182	UI / UX	20 days	2/15/18	3/14/18
4183	Conduct Reviews	20 days	2/15/18	3/14/18
4184	**Testing / Validation**	**20 days**	**2/15/18**	**3/14/18**
4185	Execution of Business Rules	20 days	2/15/18	3/14/18
4186	Validation of test cases against IES environment	20 days	2/15/18	3/14/18
4187	Identify, Track and Resolve Defects	20 days	2/15/18	3/14/18
4188	Prioritize and Retest Defects	20 days	2/15/18	3/14/18
4189	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	2/15/18	3/14/18
4190	Compile Test Results	20 days	2/15/18	3/14/18
4191	Sprint Review / Demo	1 day	3/14/18	3/14/18
4192	Sprint Planning	3 days	3/12/18	3/14/18
4193	**CW R2-Sprint 3**	**20 days**	**3/15/18**	**4/11/18**
4194	**Configuration**	**20 days**	**3/15/18**	**4/11/18**
4195	Interfaces / APIs	20 days	3/15/18	4/11/18
4196	Business Rules development	20 days	3/15/18	4/11/18
4197	Update Business rules repository	20 days	3/15/18	4/11/18
4198	Data Conversion / Test Data Management	20 days	3/15/18	4/11/18
4199	Integration with existing Systems	20 days	3/15/18	4/11/18
4200	UI / UX	20 days	3/15/18	4/11/18
4201	Conduct Reviews	20 days	3/15/18	4/11/18
4202	**Testing / Validation**	**20 days**	**3/15/18**	**4/11/18**
4203	Execution of Business Rules	20 days	3/15/18	4/11/18
4204	Validation of test cases against IES environment	20 days	3/15/18	4/11/18
4205	Identify, Track and Resolve Defects	20 days	3/15/18	4/11/18
4206	Prioritize and Retest Defects	20 days	3/15/18	4/11/18
4207	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	3/15/18	4/11/18
4208	Compile Test Results	20 days	3/15/18	4/11/18
4209	Sprint Review / Demo	1 day	4/11/18	4/11/18

ID	Task Name	Duration	Start	Finish
4210	Sprint Planning	3 days	4/9/18	4/11/18
4211	**CW R2-Sprint 4**	**20 days**	**4/12/18**	**5/9/18**
4212	**Configuration**	**20 days**	**4/12/18**	**5/9/18**
4213	Interfaces / APIs	20 days	4/12/18	5/9/18
4214	Business Rules development	20 days	4/12/18	5/9/18
4215	Update Business rules repository	20 days	4/12/18	5/9/18
4216	Data Conversion / Test Data Management	20 days	4/12/18	5/9/18
4217	Integration with existing Systems	20 days	4/12/18	5/9/18
4218	UI / UX	20 days	4/12/18	5/9/18
4219	Conduct Reviews	20 days	4/12/18	5/9/18
4220	**Testing / Validation**	**20 days**	**4/12/18**	**5/9/18**
4221	Execution of Business Rules	20 days	4/12/18	5/9/18
4222	Validation of test cases against IES environment	20 days	4/12/18	5/9/18
4223	Identify, Track and Resolve Defects	20 days	4/12/18	5/9/18
4224	Prioritize and Retest Defects	20 days	4/12/18	5/9/18
4225	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	4/12/18	5/9/18
4226	Compile Test Results	20 days	4/12/18	5/9/18
4227	Sprint Review / Demo	1 day	5/9/18	5/9/18
4228	Sprint Planning	3 days	5/7/18	5/9/18
4229	**CW R2-Sprint 5**	**20 days**	**5/10/18**	**6/6/18**
4230	**Configuration**	**20 days**	**5/10/18**	**6/6/18**
4231	Interfaces / APIs	20 days	5/10/18	6/6/18
4232	Business Rules development	20 days	5/10/18	6/6/18
4233	Update Business rules repository	20 days	5/10/18	6/6/18
4234	Data Conversion / Test Data Management	20 days	5/10/18	6/6/18
4235	Integration with existing Systems	20 days	5/10/18	6/6/18
4236	UI / UX	20 days	5/10/18	6/6/18
4237	Conduct Reviews	20 days	5/10/18	6/6/18
4238	**Testing / Validation**	**20 days**	**5/10/18**	**6/6/18**
4239	Execution of Business Rules	20 days	5/10/18	6/6/18

ID	Task Name	Duration	Start	Finish
4240	Validation of test cases against IES environment	20 days	5/10/18	6/6/18
4241	Identify, Track and Resolve Defects	20 days	5/10/18	6/6/18
4242	Prioritize and Retest Defects	20 days	5/10/18	6/6/18
4243	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	5/10/18	6/6/18
4244	Compile Test Results	20 days	5/10/18	6/6/18
4245	Sprint Review / Demo	1 day	6/6/18	6/6/18
4246	Sprint Planning	3 days	6/4/18	6/6/18
4247	**CW R2-Sprint 6**	**20 days**	**6/7/18**	**7/4/18**
4248	**Configuration**	**20 days**	**6/7/18**	**7/4/18**
4249	Interfaces / APIs	20 days	6/7/18	7/4/18
4250	Business Rules development	20 days	6/7/18	7/4/18
4251	Update Business rules repository	20 days	6/7/18	7/4/18
4252	Data Conversion / Test Data Management	20 days	6/7/18	7/4/18
4253	Integration with existing Systems	20 days	6/7/18	7/4/18
4254	UI / UX	20 days	6/7/18	7/4/18
4255	Conduct Reviews	20 days	6/7/18	7/4/18
4256	**Testing / Validation**	**20 days**	**6/7/18**	**7/4/18**
4257	Execution of Business Rules	20 days	6/7/18	7/4/18
4258	Validation of test cases against IES environment	20 days	6/7/18	7/4/18
4259	Identify, Track and Resolve Defects	20 days	6/7/18	7/4/18
4260	Prioritize and Retest Defects	20 days	6/7/18	7/4/18
4261	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	6/7/18	7/4/18
4262	Compile Test Results	20 days	6/7/18	7/4/18
4263	Sprint Review / Demo	1 day	7/4/18	7/4/18
4264	Sprint Planning	3 days	7/2/18	7/4/18
4265	**CW R2-Sprint 7**	**20 days**	**7/5/18**	**8/1/18**
4266	**Configuration**	**20 days**	**7/5/18**	**8/1/18**
4267	Interfaces / APIs	20 days	7/5/18	8/1/18
4268	Business Rules development	20 days	7/5/18	8/1/18
4269	Update Business rules repository	20 days	7/5/18	8/1/18

ID	Task Name	Duration	Start	Finish
4270	Data Conversion / Test Data Management	20 days	7/5/18	8/1/18
4271	Integration with existing Systems	20 days	7/5/18	8/1/18
4272	UI / UX	20 days	7/5/18	8/1/18
4273	Conduct Reviews	20 days	7/5/18	8/1/18
4274	**Testing / Validation**	**20 days**	**7/5/18**	**8/1/18**
4275	Execution of Business Rules	20 days	7/5/18	8/1/18
4276	Validation of test cases against IES environment	20 days	7/5/18	8/1/18
4277	Identify, Track and Resolve Defects	20 days	7/5/18	8/1/18
4278	Prioritize and Retest Defects	20 days	7/5/18	8/1/18
4279	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	7/5/18	8/1/18
4280	Compile Test Results	20 days	7/5/18	8/1/18
4281	Sprint Review / Demo	1 day	8/1/18	8/1/18
4282	Sprint Planning	3 days	7/30/18	8/1/18
4283	**CW R2-Sprint 8**	**20 days**	**8/2/18**	**8/29/18**
4284	**Configuration**	**20 days**	**8/2/18**	**8/29/18**
4285	Interfaces / APIs	20 days	8/2/18	8/29/18
4286	Business Rules development	20 days	8/2/18	8/29/18
4287	Update Business rules repository	20 days	8/2/18	8/29/18
4288	Data Conversion / Test Data Management	20 days	8/2/18	8/29/18
4289	Integration with existing Systems	20 days	8/2/18	8/29/18
4290	UI / UX	20 days	8/2/18	8/29/18
4291	Conduct Reviews	20 days	8/2/18	8/29/18
4292	**Testing / Validation**	**20 days**	**8/2/18**	**8/29/18**
4293	Execution of Business Rules	20 days	8/2/18	8/29/18
4294	Validation of test cases against IES environment	20 days	8/2/18	8/29/18
4295	Identify, Track and Resolve Defects	20 days	8/2/18	8/29/18
4296	Prioritize and Retest Defects	20 days	8/2/18	8/29/18
4297	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	8/2/18	8/29/18
4298	Compile Test Results	20 days	8/2/18	8/29/18
4299	Sprint Review / Demo	1 day	8/29/18	8/29/18

ID	Task Name	Duration	Start	Finish
4300	Sprint Planning	3 days	8/27/18	8/29/18
4301	**CW R2-Sprint 9**	**20 days**	**8/30/18**	**9/26/18**
4302	**Configuration**	**20 days**	**8/30/18**	**9/26/18**
4303	Interfaces / APIs	20 days	8/30/18	9/26/18
4304	Business Rules development	20 days	8/30/18	9/26/18
4305	Update Business rules repository	20 days	8/30/18	9/26/18
4306	Data Conversion / Test Data Management	20 days	8/30/18	9/26/18
4307	Integration with existing Systems	20 days	8/30/18	9/26/18
4308	UI / UX	20 days	8/30/18	9/26/18
4309	Conduct Reviews	20 days	8/30/18	9/26/18
4310	**Testing / Validation**	**20 days**	**8/30/18**	**9/26/18**
4311	Execution of Business Rules	20 days	8/30/18	9/26/18
4312	Validation of test cases against IES environment	20 days	8/30/18	9/26/18
4313	Identify, Track and Resolve Defects	20 days	8/30/18	9/26/18
4314	Prioritize and Retest Defects	20 days	8/30/18	9/26/18
4315	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	8/30/18	9/26/18
4316	Compile Test Results	20 days	8/30/18	9/26/18
4317	Sprint Review / Demo	1 day	9/26/18	9/26/18
4318	Sprint Planning	3 days	9/24/18	9/26/18
4319	**CW R2-Sprint 10**	**20 days**	**9/27/18**	**10/24/18**
4320	**Configuration**	**20 days**	**9/27/18**	**10/24/18**
4321	Interfaces / APIs	20 days	9/27/18	10/24/18
4322	Business Rules development	20 days	9/27/18	10/24/18
4323	Update Business rules repository	20 days	9/27/18	10/24/18
4324	Data Conversion / Test Data Management	20 days	9/27/18	10/24/18
4325	Integration with existing Systems	20 days	9/27/18	10/24/18
4326	UI / UX	20 days	9/27/18	10/24/18
4327	Conduct Reviews	20 days	9/27/18	10/24/18
4328	**Testing / Validation**	**20 days**	**9/27/18**	**10/24/18**
4329	Execution of Business Rules	20 days	9/27/18	10/24/18

ID	Task Name	Duration	Start	Finish
4330	Validation of test cases against IES environment	20 days	9/27/18	10/24/18
4331	Identify, Track and Resolve Defects	20 days	9/27/18	10/24/18
4332	Prioritize and Retest Defects	20 days	9/27/18	10/24/18
4333	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	9/27/18	10/24/18
4334	Compile Test Results	20 days	9/27/18	10/24/18
4335	Sprint Review / Demo	1 day	10/24/18	10/24/18
4336	Sprint Planning	3 days	10/22/18	10/24/18
4337	**CW R2-Sprint 11**	**20 days**	**10/25/18**	**11/21/18**
4338	**Configuration**	**20 days**	**10/25/18**	**11/21/18**
4339	Interfaces / APIs	20 days	10/25/18	11/21/18
4340	Business Rules development	20 days	10/25/18	11/21/18
4341	Update Business rules repository	20 days	10/25/18	11/21/18
4342	Data Conversion / Test Data Management	20 days	10/25/18	11/21/18
4343	Integration with existing Systems	20 days	10/25/18	11/21/18
4344	UI / UX	20 days	10/25/18	11/21/18
4345	Conduct Reviews	20 days	10/25/18	11/21/18
4346	**Testing / Validation**	**20 days**	**10/25/18**	**11/21/18**
4347	Execution of Business Rules	20 days	10/25/18	11/21/18
4348	Validation of test cases against IES environment	20 days	10/25/18	11/21/18
4349	Identify, Track and Resolve Defects	20 days	10/25/18	11/21/18
4350	Prioritize and Retest Defects	20 days	10/25/18	11/21/18
4351	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	10/25/18	11/21/18
4352	Compile Test Results	20 days	10/25/18	11/21/18
4353	Sprint Review / Demo	1 day	11/21/18	11/21/18
4354	Sprint Planning	3 days	11/19/18	11/21/18
4355	**CW R2-Sprint 12**	**20 days**	**11/22/18**	**12/19/18**
4356	**Configuration**	**20 days**	**11/22/18**	**12/19/18**
4357	Interfaces / APIs	20 days	11/22/18	12/19/18
4358	Business Rules development	20 days	11/22/18	12/19/18
4359	Update Business rules repository	20 days	11/22/18	12/19/18

ID	Task Name	Duration	Start	Finish
4360	Data Conversion / Test Data Management	20 days	11/22/18	12/19/18
4361	Integration with existing Systems	20 days	11/22/18	12/19/18
4362	UI / UX	20 days	11/22/18	12/19/18
4363	Conduct Reviews	20 days	11/22/18	12/19/18
4364	**Testing / Validation**	**20 days**	**11/22/18**	**12/19/18**
4365	Execution of Business Rules	20 days	11/22/18	12/19/18
4366	Validation of test cases against IES environment	20 days	11/22/18	12/19/18
4367	Identify, Track and Resolve Defects	20 days	11/22/18	12/19/18
4368	Prioritize and Retest Defects	20 days	11/22/18	12/19/18
4369	Provide Status / Dashboard of Test Cases & Defects - Weekly	20 days	11/22/18	12/19/18
4370	Compile Test Results	20 days	11/22/18	12/19/18
4371	Sprint Review / Demo	1 day	12/19/18	12/19/18
4372	Sprint Planning	3 days	12/17/18	12/19/18
4373	**CW R2-Sprint 13**	**15 days**	**12/20/18**	**1/9/19**
4374	**Configuration**	**15 days**	**12/20/18**	**1/9/19**
4375	Interfaces / APIs	15 days	12/20/18	1/9/19
4376	Business Rules development	15 days	12/20/18	1/9/19
4377	Update Business rules repository	15 days	12/20/18	1/9/19
4378	Data Conversion / Test Data Management	15 days	12/20/18	1/9/19
4379	Integration with existing Systems	15 days	12/20/18	1/9/19
4380	UI / UX	15 days	12/20/18	1/9/19
4381	Conduct Reviews	15 days	12/20/18	1/9/19
4382	**Testing / Validation**	**15 days**	**12/20/18**	**1/9/19**
4383	Execution of Business Rules	15 days	12/20/18	1/9/19
4384	Validation of test cases against IES environment	15 days	12/20/18	1/9/19
4385	Identify, Track and Resolve Defects	15 days	12/20/18	1/9/19
4386	Prioritize and Retest Defects	15 days	12/20/18	1/9/19
4387	Provide Status / Dashboard of Test Cases & Defects - Weekly	15 days	12/20/18	1/9/19
4388	Compile Test Results	15 days	12/20/18	1/9/19
4389	Sprint Review / Demo	1 day	1/9/19	1/9/19

ID	Task Name	Duration	Start	Finish
4390	Sprint Planning	3 days	1/7/19	1/9/19
4391	**Testing (Integration/E2E/Perf/UAT)**	**100 days**	**1/10/19**	**5/29/19**
4392	**CW R2- Integration Test 1**	**20 days**	**1/10/19**	**2/6/19**
4393	Unit or Module Test	20 days	1/10/19	2/6/19
4394	Subsystem Integration Test	20 days	1/10/19	2/6/19
4395	System Qualification Test	20 days	1/10/19	2/6/19
4396	Regression Testing	20 days	1/10/19	2/6/19
4397	End to End Testing	20 days	1/10/19	2/6/19
4398	Data Conversion Test	20 days	1/10/19	2/6/19
4399	Security Testing	20 days	1/10/19	2/6/19
4400	Interface / Accessibility Testing	20 days	1/10/19	2/6/19
4401	Parallel Testing	20 days	1/10/19	2/6/19
4402	Identify / Address Critical Defects	20 days	1/10/19	2/6/19
4403	**CW R2- Integration Test 2**	**20 days**	**2/7/19**	**3/6/19**
4404	Unit or Module Test	20 days	2/7/19	3/6/19
4405	Subsystem Integration Test	20 days	2/7/19	3/6/19
4406	System Qualification Test	20 days	2/7/19	3/6/19
4407	Regression Testing	20 days	2/7/19	3/6/19
4408	End to End Testing	20 days	2/7/19	3/6/19
4409	Data Conversion Testing	20 days	2/7/19	3/6/19
4410	Security Testing	20 days	2/7/19	3/6/19
4411	Interface / Accessibility Testing	20 days	2/7/19	3/6/19
4412	Parallel Testing	20 days	2/7/19	3/6/19
4413	Identify / Address Critical Defects	20 days	2/7/19	3/6/19
4414	**CW R2- Regression Testing**	**20 days**	**3/7/19**	**4/3/19**
4415	Regression Testing	20 days	3/7/19	4/3/19
4416	Subsystem Integration Test	20 days	3/7/19	4/3/19
4417	System Qualification Test	20 days	3/7/19	4/3/19
4418	End to End Testing	20 days	3/7/19	4/3/19
4419	Data Conversion Testing	20 days	3/7/19	4/3/19

ID	Task Name	Duration	Start	Finish
4420	Security Testing	20 days	3/7/19	4/3/19
4421	Interface / Accessibility Testing	20 days	3/7/19	4/3/19
4422	Identify / Address Critical Defects	20 days	3/7/19	4/3/19
4423	**CW R2- Performance**	**20 days**	**3/7/19**	**4/3/19**
4424	Performance Testing	20 days	3/7/19	4/3/19
4425	Regression Testing	20 days	3/7/19	4/3/19
4426	Mock Data Conversions	20 days	3/7/19	4/3/19
4427	Readiness Certification	20 days	3/7/19	4/3/19
4428	Site Readiness Assessments	20 days	3/7/19	4/3/19
4429	Identify / Address critical defects	20 days	3/7/19	4/3/19
4430	**CW R2-UAT-1**	**20 days**	**4/4/19**	**5/1/19**
4431	Prepare UAT test scripts	20 days	4/4/19	5/1/19
4432	Agency access to UAT environment	20 days	4/4/19	5/1/19
4433	Conduct UAT Testing / Ad-hoc testing	20 days	4/4/19	5/1/19
4434	Mock Data Conversions	20 days	4/4/19	5/1/19
4435	Review address critical defects	20 days	4/4/19	5/1/19
4436	Prepare UAT report	20 days	4/4/19	5/1/19
4437	**CW R2-UAT-2**	**20 days**	**5/2/19**	**5/29/19**
4438	Prepare UAT test scripts	20 days	5/2/19	5/29/19
4439	Agency access to UAT environment	20 days	5/2/19	5/29/19
4440	Conduct UAT Testing / Ad-hoc testing	20 days	5/2/19	5/29/19
4441	Mock Data Conversions	20 days	5/2/19	5/29/19
4442	Review address critical defects	20 days	5/2/19	5/29/19
4443	Prepare UAT report	20 days	5/2/19	5/29/19
4444	**Development and Testing Deliverables**	**365 days**	**1/18/18**	**6/12/19**
4445	Review / Accept DEDs	15 days	1/18/18	2/7/18
4446	**System Documentation**	**30 days**	**1/18/18**	**2/28/18**
4447	Initial Draft Created	20 days	1/18/18	2/14/18
4448	Draft Reviewed	10 days	2/15/18	2/28/18
4449	Approval Obtained	1 day	2/28/18	2/28/18

ID	Task Name	Duration	Start	Finish
4450	**System Security Plan (SSP)**	**30 days**	**1/18/18**	**2/28/18**
4451	Initial Draft Created	20 days	1/18/18	2/14/18
4452	Draft Reviewed	10 days	2/15/18	2/28/18
4453	Approval Obtained	1 day	2/28/18	2/28/18
4454	**Safeguard Procedures Report (SPR)**	**30 days**	**2/15/18**	**3/28/18**
4455	Initial Draft Created	20 days	2/15/18	3/14/18
4456	Draft Reviewed	10 days	3/15/18	3/28/18
4457	Approval Obtained	1 day	3/28/18	3/28/18
4458	**User Documentation**	**30 days**	**2/15/18**	**3/28/18**
4459	Initial Draft Created	20 days	2/15/18	3/14/18
4460	Draft Reviewed	10 days	3/15/18	3/28/18
4461	Approval Obtained	1 day	3/28/18	3/28/18
4462	**Data Conversion System Integration Test Cases**	**30 days**	**3/15/18**	**4/25/18**
4463	Initial Draft Created	20 days	3/15/18	4/11/18
4464	Draft Reviewed	10 days	4/12/18	4/25/18
4465	Approval Obtained	1 day	4/25/18	4/25/18
4466	**System Integration Test Cases**	**30 days**	**3/15/18**	**4/25/18**
4467	Initial Draft Created	20 days	3/15/18	4/11/18
4468	Draft Reviewed	10 days	4/12/18	4/25/18
4469	Approval Obtained	1 day	4/25/18	4/25/18
4470	**Regression Test Cases**	**30 days**	**4/12/18**	**5/23/18**
4471	Initial Draft Created	20 days	4/12/18	5/9/18
4472	Draft Reviewed	10 days	5/10/18	5/23/18
4473	Approval Obtained	1 day	5/23/18	5/23/18
4474	**Load/Stress Test Cases**	**30 days**	**4/12/18**	**5/23/18**
4475	Initial Draft Created	20 days	4/12/18	5/9/18
4476	Draft Reviewed	10 days	5/10/18	5/23/18
4477	Approval Obtained	1 day	5/23/18	5/23/18
4478	**User Acceptance Test Cases**	**30 days**	**4/12/18**	**5/23/18**
4479	Initial Draft Created	20 days	4/12/18	5/9/18

ID	Task Name	Duration	Start	Finish
4480	Draft Reviewed	10 days	5/10/18	5/23/18
4481	Approval Obtained	1 day	5/23/18	5/23/18
4482	**Data Conversion System Integration Test Results**	**20 days**	**3/21/19**	**4/17/19**
4483	Initial Draft Created	10 days	3/21/19	4/3/19
4484	Draft Reviewed	10 days	4/4/19	4/17/19
4485	Approval Obtained	1 day	4/17/19	4/17/19
4486	**System Integration Test Results**	**20 days**	**3/21/19**	**4/17/19**
4487	Initial Draft Created	10 days	3/21/19	4/3/19
4488	Draft Reviewed	10 days	4/4/19	4/17/19
4489	Approval Obtained	1 day	4/17/19	4/17/19
4490	**Regression Test Results**	**20 days**	**3/21/19**	**4/17/19**
4491	Initial Draft Created	10 days	3/21/19	4/3/19
4492	Draft Reviewed	10 days	4/4/19	4/17/19
4493	Approval Obtained	1 day	4/17/19	4/17/19
4494	**Load/Stress Test Results**	**20 days**	**3/21/19**	**4/17/19**
4495	Initial Draft Created	10 days	3/21/19	4/3/19
4496	Draft Reviewed	10 days	4/4/19	4/17/19
4497	Approval Obtained	1 day	4/17/19	4/17/19
4498	**Capacity Analysis Report**	**20 days**	**3/21/19**	**4/17/19**
4499	Initial Draft Created	10 days	3/21/19	4/3/19
4500	Draft Reviewed	10 days	4/4/19	4/17/19
4501	Approval Obtained	1 day	4/17/19	4/17/19
4502	M:Overall Completion of System Testing	0 days	4/3/19	4/3/19
4503	**User Acceptance Test Results**	**20 days**	**5/16/19**	**6/12/19**
4504	Initial Draft Created	10 days	5/16/19	5/29/19
4505	Draft Reviewed	10 days	5/30/19	6/12/19
4506	Approval Obtained	1 day	6/12/19	6/12/19
4507	M:Overall Completion of User Acceptance Testing	0 days	6/12/19	6/12/19
4508	**Implementation Readiness**	**90 days**	**2/7/19**	**6/12/19**
4509	**Training**	**25 days**	**3/7/19**	**4/10/19**

ID	Task Name	Duration	Start	Finish
4510	Prepare Training Materials	15 days	3/7/19	3/27/19
4511	Prepare / Schedule Training for End Users and T3	15 days	3/7/19	3/27/19
4512	UAT Training	10 days	3/14/19	3/27/19
4513	Conduct Training for End Users and T3	10 days	3/28/19	4/10/19
4514	Configure Support system (helpdesk) with workflow and knowledge Base	10 days	3/28/19	4/10/19
4515	M&O Support	10 days	3/28/19	4/10/19
4516	**Operational Readiness**	**20 days**	**4/11/19**	**5/8/19**
4517	Baseline Checklist of Operational Areas	20 days	4/11/19	5/8/19
4518	Policies and Procedures, Job Aids Prepared & Posted	20 days	4/11/19	5/8/19
4519	Support system (helpdesk) Configured With Workflow and Knowledge Base	20 days	4/11/19	5/8/19
4520	Contacts Information and Contacts Defined	20 days	4/11/19	5/8/19
4521	Operational Reporting Requirements Defined	20 days	4/11/19	5/8/19
4522	Communication Planning and Execution	20 days	4/11/19	5/8/19
4523	Phone Lines & Phone Scripts are Open & Active	20 days	4/11/19	5/8/19
4524	Schedule & Conduct Dry Run With HelpDesk Staff on Rules	20 days	4/11/19	5/8/19
4525	Modify Checklist Based on Dry Run Feedback	20 days	4/11/19	5/8/19
4526	Schedule & Conduct Meeting With DHHR to review Checklist, Demo Product for ORT Walk Through	20 days	4/11/19	5/8/19
4527	Revise Checklist Based on DHHR Feedback	20 days	4/11/19	5/8/19
4528	**Implementation Readiness Deliverables**	**90 days**	**2/7/19**	**6/12/19**
4529	Review / Accept DEDs	15 days	2/7/19	2/27/19
4530	**Operational Readiness Plan**	**20 days**	**2/14/19**	**3/13/19**
4531	Initial Draft Created	10 days	2/14/19	2/27/19
4532	Draft Reviewed	10 days	2/28/19	3/13/19
4533	Approval Obtained	1 day	3/13/19	3/13/19
4534	**Operational Readiness Test Scripts**	**20 days**	**2/28/19**	**3/27/19**
4535	Initial Draft Created	10 days	2/28/19	3/13/19
4536	Draft Reviewed	10 days	3/14/19	3/27/19
4537	Approval Obtained	1 day	3/27/19	3/27/19
4538	**Operational Readiness Test Results**	**20 days**	**5/9/19**	**6/5/19**

ID	Task Name	Duration	Start	Finish
4539	Initial Draft Created	10 days	5/9/19	5/22/19
4540	Draft Reviewed	10 days	5/23/19	6/5/19
4541	Approval Obtained	1 day	6/5/19	6/5/19
4542	**Updated Training Management Plan**	**20 days**	**2/7/19**	**3/6/19**
4543	Initial Draft Created	10 days	2/7/19	2/20/19
4544	Draft Reviewed	10 days	2/21/19	3/6/19
4545	Approval Obtained	1 day	3/6/19	3/6/19
4546	**Training Schedule**	**20 days**	**2/7/19**	**3/6/19**
4547	Initial Draft Created	10 days	2/7/19	2/20/19
4548	Draft Reviewed	10 days	2/21/19	3/6/19
4549	Approval Obtained	1 day	3/6/19	3/6/19
4550	**Training Materials**	**20 days**	**2/7/19**	**3/6/19**
4551	Initial Draft Created	10 days	2/7/19	2/20/19
4552	Draft Reviewed	10 days	2/21/19	3/6/19
4553	Approval Obtained	1 day	3/6/19	3/6/19
4554	**Training Report**	**15 days**	**4/4/19**	**4/24/19**
4555	Initial Draft Created	5 days	4/4/19	4/10/19
4556	Draft Reviewed	10 days	4/11/19	4/24/19
4557	Approval Obtained	1 day	4/24/19	4/24/19
4558	**Implementation Plan**	**20 days**	**3/14/19**	**4/10/19**
4559	Initial Draft Created	10 days	3/14/19	3/27/19
4560	Draft Reviewed	10 days	3/28/19	4/10/19
4561	Approval Obtained	1 day	4/10/19	4/10/19
4562	**Cut-Over Play Book**	**20 days**	**3/28/19**	**4/24/19**
4563	Initial Draft Created	10 days	3/28/19	4/10/19
4564	Draft Reviewed	10 days	4/11/19	4/24/19
4565	Approval Obtained	1 day	4/24/19	4/24/19
4566	**Report Distribution Schedule**	**20 days**	**4/11/19**	**5/8/19**
4567	Initial Draft Created	10 days	4/11/19	4/24/19
4568	Draft Reviewed	10 days	4/25/19	5/8/19

ID	Task Name	Duration	Start	Finish
4569	Approval Obtained	1 day	5/8/19	5/8/19
4570	**Operations Project Management Plans**	**20 days**	**4/25/19**	**5/22/19**
4571	Initial Draft Created	10 days	4/25/19	5/8/19
4572	Draft Reviewed	10 days	5/9/19	5/22/19
4573	Approval Obtained	1 day	5/22/19	5/22/19
4574	**Solution health Monitoring Plan**	**20 days**	**4/25/19**	**5/22/19**
4575	Initial Draft Created	10 days	4/25/19	5/8/19
4576	Draft Reviewed	10 days	5/9/19	5/22/19
4577	Approval Obtained	1 day	5/22/19	5/22/19
4578	M:Overall Completion of Implementation Readiness	0 days	6/12/19	6/12/19
4579	Readiness Results Review - DHHR	5 days	6/6/19	6/12/19
4580	Go-No-Go Decision	1 day	6/12/19	6/12/19
4581	Cutover of Child Welfare - Financial & Provider Mgmt	5 days	6/13/19	6/19/19
4582	M:Overall Completion of Deployment to Production (Pilot)	0 days	6/19/19	6/19/19
4583	CW R2 - Pilot	40 days	6/20/19	8/14/19
4584	**Implementation Readiness Certification Deliverables**	**30 days**	**7/4/19**	**8/14/19**
4585	**Federal Certification and Review Management Plan**	**20 days**	**7/4/19**	**7/31/19**
4586	Initial Draft Created	10 days	7/4/19	7/17/19
4587	Draft Reviewed	10 days	7/18/19	7/31/19
4588	Approval Obtained	1 day	7/31/19	7/31/19
4589	**ACF Certification Documentation**	**20 days**	**7/4/19**	**7/31/19**
4590	Initial Draft Created	10 days	7/4/19	7/17/19
4591	Draft Reviewed	10 days	7/18/19	7/31/19
4592	Approval Obtained	1 day	7/31/19	7/31/19
4593	**Federal Review Supporting Documentation**	**20 days**	**7/18/19**	**8/14/19**
4594	Initial Draft Created	10 days	7/18/19	7/31/19
4595	Draft Reviewed	10 days	8/1/19	8/14/19
4596	Approval Obtained	1 day	8/14/19	8/14/19
4597	**Social Security Administration Certification Documentation**	**20 days**	**7/18/19**	**8/14/19**
4598	Initial Draft Created	10 days	7/18/19	7/31/19

ID	Task Name	Duration	Start	Finish
4599	Draft Reviewed	10 days	8/1/19	8/14/19
4600	Approval Obtained	1 day	8/14/19	8/14/19
4601	**Implementation Certification Letter**	**20 days**	**7/18/19**	**8/14/19**
4602	Initial Draft Created	10 days	7/18/19	7/31/19
4603	Draft Reviewed	10 days	8/1/19	8/14/19
4604	Approval Obtained	1 day	8/14/19	8/14/19
4605	CW R2 - Statewide Rollout	5 days	8/15/19	8/21/19
4606	M:Overall Completion of Deployment to Production	0 days	8/21/19	8/21/19
4607	CW R2 - Post Production Support	30 days	8/22/19	10/2/19
4608				
4609	**Child Support**	**540 days**	**10/5/17**	**10/30/19**
4610	**(CS) Release 1 - (Legacy Modernization)**	**540 days**	**10/5/17**	**10/30/19**
4611	**Requirements Validation**	**45 days**	**10/5/17**	**12/6/17**
4612	**Requirements Analysis**	**45 days**	**10/5/17**	**12/6/17**
4613	**Legacy Modernization**	**45 days**	**10/5/17**	**12/6/17**
4614	Complete detailed review of all workflows, use case documentation, and requirements developed by DHHR	45 days	10/5/17	12/6/17
4615	Interviews with key stakeholders to understand how baseline requirements translate into technical details	45 days	10/5/17	12/6/17
4616	Develop draft software requirements methodology that addresses the approach and tools for alignment with existing baseline requirements	45 days	10/5/17	12/6/17
4617	UI/UX Reviews	45 days	10/5/17	12/6/17
4618	Conduct cross-walk of the BA and functional requirements against current functionality (gap analysis)	45 days	10/5/17	12/6/17
4619	Prepare Requirements Validation DEDs / Deliverables	45 days	10/5/17	12/6/17
4620	**Requirements Deliverables**	**45 days**	**10/5/17**	**12/6/17**
4621	Review / Accept DEDs	10 days	10/5/17	10/18/17
4622	**Requirements Traceability Matrix (RTM)**	**35 days**	**10/12/17**	**11/29/17**
4623	Initial Draft Created	25 days	10/12/17	11/15/17
4624	Draft Reviewed	10 days	11/16/17	11/29/17
4625	Approval Obtained	1 day	11/29/17	11/29/17

ID	Task Name	Duration	Start	Finish
4626	**Requirements Specification Document (RSD)**	**35 days**	**10/19/17**	**12/6/17**
4627	Initial Draft Created	25 days	10/19/17	11/22/17
4628	Draft Reviewed	10 days	11/23/17	12/6/17
4629	Approval Obtained	1 day	12/6/17	12/6/17
4630	M:Overall Completion of Requirements Validation	0 days	12/6/17	12/6/17
4631	**Design**	**45 days**	**11/2/17**	**1/3/18**
4632	**Solution Design (JAD) & Release Planning**	**45 days**	**11/2/17**	**1/3/18**
4633	**Child Support - Legacy Modernization**	**45 days**	**11/2/17**	**1/3/18**
4634	Review Enterprise Architecture to understand solution design approach and compliance requirements	45 days	11/2/17	1/3/18
4635	UI/UX Design Sessions	45 days	11/2/17	1/3/18
4636	Define conceptual architecture	45 days	11/2/17	1/3/18
4637	Define logical architecture (SOA layers, Vendors, Service Consumers, Service Brokers, dependencies)	45 days	11/2/17	1/3/18
4638	Define physical architecture (various application services and how they should be implemented, integration layers)	45 days	11/2/17	1/3/18
4639	Functional Design / Technical Design sessions	45 days	11/2/17	1/3/18
4640	Data Conversion / Test Data Management	45 days	11/2/17	1/3/18
4641	Prepare Design DEDs / Deliverables	45 days	11/2/17	1/3/18
4642	**Design Deliverables**	**45 days**	**11/2/17**	**1/3/18**
4643	Review / Accept DEDs	10 days	11/2/17	11/15/17
4644	**Requirements Gap Analysis Document**	**20 days**	**11/2/17**	**11/29/17**
4645	Initial Draft Created	10 days	11/2/17	11/15/17
4646	Draft Reviewed	10 days	11/16/17	11/29/17
4647	Approval Obtained	10 days	11/16/17	11/29/17
4648	**Business Process Models**	**20 days**	**11/2/17**	**11/29/17**
4649	Initial Draft Created	10 days	11/2/17	11/15/17
4650	Draft Reviewed	10 days	11/16/17	11/29/17
4651	Approval Obtained	1 day	11/29/17	11/29/17
4652	**Detailed System Design (DSD) Document**	**20 days**	**11/2/17**	**11/29/17**

ID	Task Name	Duration	Start	Finish
4653	Initial Draft Created	10 days	11/2/17	11/15/17
4654	Draft Reviewed	10 days	11/16/17	11/29/17
4655	Approval Obtained	1 day	11/29/17	11/29/17
4656	**Data Dictionary**	**20 days**	**11/16/17**	**12/13/17**
4657	Initial Draft Created	10 days	11/16/17	11/29/17
4658	Draft Reviewed	10 days	11/30/17	12/13/17
4659	Approval Obtained	1 day	11/29/17	11/29/17
4660	**Data Models**	**20 days**	**11/16/17**	**12/13/17**
4661	Initial Draft Created	10 days	11/16/17	11/29/17
4662	Draft Reviewed	10 days	11/30/17	12/13/17
4663	Approval Obtained	1 day	12/13/17	12/13/17
4664	**Reports Inventory**	**15 days**	**11/16/17**	**12/6/17**
4665	Initial Draft Created	5 days	11/16/17	11/22/17
4666	Draft Reviewed	10 days	11/23/17	12/6/17
4667	Approval Obtained	1 day	12/6/17	12/6/17
4668	**Correspondence Inventory**	**15 days**	**11/16/17**	**12/6/17**
4669	Initial Draft Created	5 days	11/16/17	11/22/17
4670	Draft Reviewed	10 days	11/23/17	12/6/17
4671	Approval Obtained	1 day	12/6/17	12/6/17
4672	**Forms Inventory**	**20 days**	**11/23/17**	**12/20/17**
4673	Initial Draft Created	10 days	11/23/17	12/6/17
4674	Draft Reviewed	10 days	12/7/17	12/20/17
4675	Approval Obtained	1 day	12/20/17	12/20/17
4676	**Interface Inventory**	**20 days**	**11/23/17**	**12/20/17**
4677	Initial Draft Created	10 days	11/23/17	12/6/17
4678	Draft Reviewed	10 days	12/7/17	12/20/17
4679	Approval Obtained	1 day	12/20/17	12/20/17
4680	**Data Cleansing and Conversion Requirements Document**	**20 days**	**12/7/17**	**1/3/18**
4681	Initial Draft Created	10 days	12/7/17	12/20/17
4682	Draft Reviewed	10 days	12/21/17	1/3/18

ID	Task Name	Duration	Start	Finish
4683	Approval Obtained	1 day	1/3/18	1/3/18
4684	**Data Cleansing and Conversion Specification Document**	**20 days**	**12/7/17**	**1/3/18**
4685	Initial Draft Created	10 days	12/7/17	12/20/17
4686	Draft Reviewed	10 days	12/21/17	1/3/18
4687	Approval Obtained	1 day	1/3/18	1/3/18
4688	M:Overall Completion of Design Phase	0 days	1/3/18	1/3/18
4689	**Development and Testing**	**430 days**	**11/16/17**	**7/10/19**
4690	**Execution (Design/Build/Sys Test)**	**320 days**	**11/16/17**	**2/6/19**
4691	**CS R2- Design Sprint 1**	**40 days**	**11/16/17**	**1/10/18**
4692	Conduct Business Rules specification sessions	40 days	11/16/17	1/10/18
4693	System integration points	40 days	11/16/17	1/10/18
4694	Design Interfaces / APIs	40 days	11/16/17	1/10/18
4695	Technical security controls and security architecture	40 days	11/16/17	1/10/18
4696	System Context Diagram updates	40 days	11/16/17	1/10/18
4697	Business Rules Designs	40 days	11/16/17	1/10/18
4698	UI/UX	40 days	11/16/17	1/10/18
4699	Data Conversion / Test Data Management	40 days	11/16/17	1/10/18
4700	Current / Future state Modeling sessions	40 days	11/16/17	1/10/18
4701	Prepare Development / Test / Readiness DEDs	40 days	11/16/17	1/10/18
4702	**CS R2-Sprint 2**	**60 days**	**1/11/18**	**4/4/18**
4703	**Configuration**	**60 days**	**1/11/18**	**4/4/18**
4704	Interfaces / APIs	60 days	1/11/18	4/4/18
4705	Business Rules development	60 days	1/11/18	4/4/18
4706	Update Business rules repository	60 days	1/11/18	4/4/18
4707	Data Conversion / Test Data Management	60 days	1/11/18	4/4/18
4708	Integration with existing Systems	60 days	1/11/18	4/4/18
4709	UI / UX	60 days	1/11/18	4/4/18
4710	Conduct Reviews	60 days	1/11/18	4/4/18
4711	**Testing / Validation**	**60 days**	**1/11/18**	**4/4/18**
4712	Execution of Business Rules	60 days	1/11/18	4/4/18

ID	Task Name	Duration	Start	Finish
4713	Validation of test cases against IES environment	60 days	1/11/18	4/4/18
4714	Identify, Track and Resolve Defects	60 days	1/11/18	4/4/18
4715	Prioritize and Retest Defects	60 days	1/11/18	4/4/18
4716	Provide Status / Dashboard of Test Cases & Defects - Weekly	60 days	1/11/18	4/4/18
4717	Compile Test Results	60 days	1/11/18	4/4/18
4718	Sprint Review / Demo	1 day	4/4/18	4/4/18
4719	Sprint Planning	3 days	4/2/18	4/4/18
4720	**CS R2-Sprint 3**	**60 days**	**4/5/18**	**6/27/18**
4721	**Configuration**	**60 days**	**4/5/18**	**6/27/18**
4722	Interfaces / APIs	60 days	4/5/18	6/27/18
4723	Business Rules development	60 days	4/5/18	6/27/18
4724	Update Business rules repository	60 days	4/5/18	6/27/18
4725	Data Conversion / Test Data Management	60 days	4/5/18	6/27/18
4726	Integration with existing Systems	60 days	4/5/18	6/27/18
4727	UI / UX	60 days	4/5/18	6/27/18
4728	Conduct Reviews	60 days	4/5/18	6/27/18
4729	**Testing / Validation**	**60 days**	**4/5/18**	**6/27/18**
4730	Execution of Business Rules	60 days	4/5/18	6/27/18
4731	Validation of test cases against IES environment	60 days	4/5/18	6/27/18
4732	Identify, Track and Resolve Defects	60 days	4/5/18	6/27/18
4733	Prioritize and Retest Defects	60 days	4/5/18	6/27/18
4734	Provide Status / Dashboard of Test Cases & Defects - Weekly	60 days	4/5/18	6/27/18
4735	Compile Test Results	60 days	4/5/18	6/27/18
4736	Sprint Review / Demo	1 day	6/27/18	6/27/18
4737	Sprint Planning	3 days	6/25/18	6/27/18
4738	**CS R2-Sprint 4**	**60 days**	**6/28/18**	**9/19/18**
4739	**Configuration**	**60 days**	**6/28/18**	**9/19/18**
4740	Interfaces / APIs	60 days	6/28/18	9/19/18
4741	Business Rules development	60 days	6/28/18	9/19/18
4742	Update Business rules repository	60 days	6/28/18	9/19/18

ID	Task Name	Duration	Start	Finish
4743	Data Conversion / Test Data Management	60 days	6/28/18	9/19/18
4744	Integration with existing Systems	60 days	6/28/18	9/19/18
4745	UI / UX	60 days	6/28/18	9/19/18
4746	Conduct Reviews	60 days	6/28/18	9/19/18
4747	**Testing / Validation**	**60 days**	**6/28/18**	**9/19/18**
4748	Execution of Business Rules	60 days	6/28/18	9/19/18
4749	Validation of test cases against IES environment	60 days	6/28/18	9/19/18
4750	Identify, Track and Resolve Defects	60 days	6/28/18	9/19/18
4751	Prioritize and Retest Defects	60 days	6/28/18	9/19/18
4752	Provide Status / Dashboard of Test Cases & Defects - Weekly	60 days	6/28/18	9/19/18
4753	Compile Test Results	60 days	6/28/18	9/19/18
4754	Sprint Review / Demo	1 day	9/19/18	9/19/18
4755	Sprint Planning	3 days	9/17/18	9/19/18
4756	**CS R2-Sprint 5**	**50 days**	**9/20/18**	**11/28/18**
4757	**Configuration**	**50 days**	**9/20/18**	**11/28/18**
4758	Interfaces / APIs	50 days	9/20/18	11/28/18
4759	Business Rules development	50 days	9/20/18	11/28/18
4760	Update Business rules repository	50 days	9/20/18	11/28/18
4761	Data Conversion / Test Data Management	50 days	9/20/18	11/28/18
4762	Integration with existing Systems	50 days	9/20/18	11/28/18
4763	UI / UX	50 days	9/20/18	11/28/18
4764	Conduct Reviews	50 days	9/20/18	11/28/18
4765	**Testing / Validation**	**50 days**	**9/20/18**	**11/28/18**
4766	Execution of Business Rules	50 days	9/20/18	11/28/18
4767	Validation of test cases against IES environment	50 days	9/20/18	11/28/18
4768	Identify, Track and Resolve Defects	50 days	9/20/18	11/28/18
4769	Prioritize and Retest Defects	50 days	9/20/18	11/28/18
4770	Provide Status / Dashboard of Test Cases & Defects - Weekly	50 days	9/20/18	11/28/18
4771	Compile Test Results	50 days	9/20/18	11/28/18
4772	Sprint Review / Demo	1 day	11/28/18	11/28/18

ID	Task Name	Duration	Start	Finish
4773	Sprint Planning	3 days	11/26/18	11/28/18
4774	**CS R2-Sprint 6**	**50 days**	**11/29/18**	**2/6/19**
4775	**Configuration**	**50 days**	**11/29/18**	**2/6/19**
4776	Interfaces / APIs	50 days	11/29/18	2/6/19
4777	Business Rules development	50 days	11/29/18	2/6/19
4778	Update Business rules repository	50 days	11/29/18	2/6/19
4779	Data Conversion / Test Data Management	50 days	11/29/18	2/6/19
4780	Integration with existing Systems	50 days	11/29/18	2/6/19
4781	UI / UX	50 days	11/29/18	2/6/19
4782	Conduct Reviews	50 days	11/29/18	2/6/19
4783	**Testing / Validation**	**50 days**	**11/29/18**	**2/6/19**
4784	Execution of Business Rules	50 days	11/29/18	2/6/19
4785	Validation of test cases against IES environment	50 days	11/29/18	2/6/19
4786	Identify, Track and Resolve Defects	50 days	11/29/18	2/6/19
4787	Prioritize and Retest Defects	50 days	11/29/18	2/6/19
4788	Provide Status / Dashboard of Test Cases & Defects - Weekly	50 days	11/29/18	2/6/19
4789	Compile Test Results	50 days	11/29/18	2/6/19
4790	Sprint Review / Demo	1 day	2/6/19	2/6/19
4791	Sprint Planning	3 days	2/4/19	2/6/19
4792	**Testing (Integration/E2E/Perf/UAT)**	**100 days**	**2/7/19**	**6/26/19**
4793	**CS R2- Integration Test 1**	**20 days**	**2/7/19**	**3/6/19**
4794	Unit or Module Test	20 days	2/7/19	3/6/19
4795	Subsystem Integration Test	20 days	2/7/19	3/6/19
4796	System Qualification Test	20 days	2/7/19	3/6/19
4797	Regression Testing	20 days	2/7/19	3/6/19
4798	End to End Testing	20 days	2/7/19	3/6/19
4799	Data Conversion Test	20 days	2/7/19	3/6/19
4800	Security Testing	20 days	2/7/19	3/6/19
4801	Interface / Accessibility Testing	20 days	2/7/19	3/6/19
4802	Parallel Testing	20 days	2/7/19	3/6/19

ID	Task Name	Duration	Start	Finish
4803	Identify / Address Critical Defects	20 days	2/7/19	3/6/19
4804	**CS R2- Integration Test 2**	**20 days**	**3/7/19**	**4/3/19**
4805	Unit or Module Test	20 days	3/7/19	4/3/19
4806	Subsystem Integration Test	20 days	3/7/19	4/3/19
4807	System Qualification Test	20 days	3/7/19	4/3/19
4808	Regression Testing	20 days	3/7/19	4/3/19
4809	End to End Testing	20 days	3/7/19	4/3/19
4810	Data Conversion Testing	20 days	3/7/19	4/3/19
4811	Security Testing	20 days	3/7/19	4/3/19
4812	Interface / Accessibility Testing	20 days	3/7/19	4/3/19
4813	Parallel Testing	20 days	3/7/19	4/3/19
4814	Identify / Address Critical Defects	20 days	3/7/19	4/3/19
4815	**CS R2- Integration Test 3**	**20 days**	**4/4/19**	**5/1/19**
4816	Unit or Module Test	20 days	4/4/19	5/1/19
4817	Subsystem Integration Test	20 days	4/4/19	5/1/19
4818	System Qualification Test	20 days	4/4/19	5/1/19
4819	Regression Testing	20 days	4/4/19	5/1/19
4820	End to End Testing	20 days	4/4/19	5/1/19
4821	Data Conversion Testing	20 days	4/4/19	5/1/19
4822	Security Testing	20 days	4/4/19	5/1/19
4823	Interface / Accessibility Testing	20 days	4/4/19	5/1/19
4824	Parallel Testing	20 days	4/4/19	5/1/19
4825	Identify / Address Critical Defects	20 days	4/4/19	5/1/19
4826	**CS R2- Performance**	**20 days**	**4/4/19**	**5/1/19**
4827	Performance Testing	20 days	4/4/19	5/1/19
4828	Mock Data Conversions	20 days	4/4/19	5/1/19
4829	Readiness Certification	20 days	4/4/19	5/1/19
4830	Site Readiness Assessments	20 days	4/4/19	5/1/19
4831	Identify / Address critical defects	20 days	4/4/19	5/1/19
4832	**CS R2-UAT-1**	**20 days**	**5/2/19**	**5/29/19**

ID	Task Name	Duration	Start	Finish
4833	Prepare UAT test scripts	20 days	5/2/19	5/29/19
4834	Agency access to UAT environment	20 days	5/2/19	5/29/19
4835	Conduct UAT Testing / Ad-hoc testing	20 days	5/2/19	5/29/19
4836	Mock Data Conversions	20 days	5/2/19	5/29/19
4837	Review address critical defects	20 days	5/2/19	5/29/19
4838	Prepare UAT report	20 days	5/2/19	5/29/19
4839	**CS R2-UAT-2**	**20 days**	**5/30/19**	**6/26/19**
4840	Prepare UAT test scripts	20 days	5/30/19	6/26/19
4841	Agency access to UAT environment	20 days	5/30/19	6/26/19
4842	Conduct UAT Testing / Ad-hoc testing	20 days	5/30/19	6/26/19
4843	Mock Data Conversions	20 days	5/30/19	6/26/19
4844	Review address critical defects	20 days	5/30/19	6/26/19
4845	Prepare UAT report	20 days	5/30/19	6/26/19
4846	**Development and Testing Deliverables**	**390 days**	**1/11/18**	**7/10/19**
4847	Review / Accept DEDs	15 days	1/11/18	1/31/18
4848	**System Documentation**	**30 days**	**1/11/18**	**2/21/18**
4849	Initial Draft Created	20 days	1/11/18	2/7/18
4850	Draft Reviewed	10 days	2/8/18	2/21/18
4851	Approval Obtained	1 day	2/21/18	2/21/18
4852	**System Security Plan (SSP)**	**30 days**	**1/11/18**	**2/21/18**
4853	Initial Draft Created	20 days	1/11/18	2/7/18
4854	Draft Reviewed	10 days	2/8/18	2/21/18
4855	Approval Obtained	1 day	2/21/18	2/21/18
4856	**Safeguard Procedures Report (SPR)**	**30 days**	**2/8/18**	**3/21/18**
4857	Initial Draft Created	20 days	2/8/18	3/7/18
4858	Draft Reviewed	10 days	3/8/18	3/21/18
4859	Approval Obtained	1 day	3/21/18	3/21/18
4860	**User Documentation**	**30 days**	**2/8/18**	**3/21/18**
4861	Initial Draft Created	20 days	2/8/18	3/7/18
4862	Draft Reviewed	10 days	3/8/18	3/21/18

ID	Task Name	Duration	Start	Finish
4863	Approval Obtained	1 day	3/21/18	3/21/18
4864	**Data Conversion System Integration Test Cases**	**30 days**	**3/8/18**	**4/18/18**
4865	Initial Draft Created	20 days	3/8/18	4/4/18
4866	Draft Reviewed	10 days	4/5/18	4/18/18
4867	Approval Obtained	1 day	4/18/18	4/18/18
4868	**System Integration Test Cases**	**30 days**	**3/8/18**	**4/18/18**
4869	Initial Draft Created	20 days	3/8/18	4/4/18
4870	Draft Reviewed	10 days	4/5/18	4/18/18
4871	Approval Obtained	1 day	4/18/18	4/18/18
4872	**Regression Test Cases**	**30 days**	**4/5/18**	**5/16/18**
4873	Initial Draft Created	20 days	4/5/18	5/2/18
4874	Draft Reviewed	10 days	5/3/18	5/16/18
4875	Approval Obtained	1 day	5/16/18	5/16/18
4876	**Load/Stress Test Cases**	**30 days**	**4/5/18**	**5/16/18**
4877	Initial Draft Created	20 days	4/5/18	5/2/18
4878	Draft Reviewed	10 days	5/3/18	5/16/18
4879	Approval Obtained	1 day	5/16/18	5/16/18
4880	**User Acceptance Test Cases**	**30 days**	**4/5/18**	**5/16/18**
4881	Initial Draft Created	20 days	4/5/18	5/2/18
4882	Draft Reviewed	10 days	5/3/18	5/16/18
4883	Approval Obtained	1 day	5/16/18	5/16/18
4884	**Data Conversion System Integration Test Results**	**20 days**	**4/18/19**	**5/15/19**
4885	Initial Draft Created	10 days	4/18/19	5/1/19
4886	Draft Reviewed	10 days	5/2/19	5/15/19
4887	Approval Obtained	1 day	5/15/19	5/15/19
4888	**System Integration Test Results**	**20 days**	**4/18/19**	**5/15/19**
4889	Initial Draft Created	10 days	4/18/19	5/1/19
4890	Draft Reviewed	10 days	5/2/19	5/15/19
4891	Approval Obtained	1 day	5/15/19	5/15/19
4892	**Regression Test Results**	**20 days**	**4/18/19**	**5/15/19**

ID	Task Name	Duration	Start	Finish
4893	Initial Draft Created	10 days	4/18/19	5/1/19
4894	Draft Reviewed	10 days	5/2/19	5/15/19
4895	Approval Obtained	1 day	5/15/19	5/15/19
4896	**Load/Stress Test Results**	**20 days**	**4/18/19**	**5/15/19**
4897	Initial Draft Created	10 days	4/18/19	5/1/19
4898	Draft Reviewed	10 days	5/2/19	5/15/19
4899	Approval Obtained	1 day	5/15/19	5/15/19
4900	**Capacity Analysis Report**	**20 days**	**4/18/19**	**5/15/19**
4901	Initial Draft Created	10 days	4/18/19	5/1/19
4902	Draft Reviewed	10 days	5/2/19	5/15/19
4903	Approval Obtained	1 day	5/15/19	5/15/19
4904	M:Overall Completion of System Testing	0 days	5/1/19	5/1/19
4905	**User Acceptance Test Results**	**20 days**	**6/13/19**	**7/10/19**
4906	Initial Draft Created	10 days	6/13/19	6/26/19
4907	Draft Reviewed	10 days	6/27/19	7/10/19
4908	Approval Obtained	1 day	7/10/19	7/10/19
4909	M:Overall Completion of User Acceptance Testing	0 days	7/10/19	7/10/19
4910	**Implementation Readiness**	**90 days**	**3/7/19**	**7/10/19**
4911	**Training**	**25 days**	**4/4/19**	**5/8/19**
4912	Prepare Training Materials	15 days	4/4/19	4/24/19
4913	Prepare / Schedule Training for End Users and T3	15 days	4/4/19	4/24/19
4914	UAT Training	10 days	4/11/19	4/24/19
4915	Conduct Training for End Users and T3	10 days	4/25/19	5/8/19
4916	Configure Support system (helpdesk) with workflow and knowledge Base	10 days	4/25/19	5/8/19
4917	M&O Support	10 days	4/25/19	5/8/19
4918	**Operational Readiness**	**20 days**	**5/9/19**	**6/5/19**
4919	Baseline Checklist of Operational Areas	20 days	5/9/19	6/5/19
4920	Policies and Procedures, Job Aids Prepared & Posted	20 days	5/9/19	6/5/19
4921	Support system (helpdesk) Configured With Workflow and Knowledge Base	20 days	5/9/19	6/5/19
4922	Contacts Information and Contacts Defined	20 days	5/9/19	6/5/19

ID	Task Name	Duration	Start	Finish
4923	Operational Reporting Requirements Defined	20 days	5/9/19	6/5/19
4924	Communication Planning and Execution	20 days	5/9/19	6/5/19
4925	Phone Lines & Phone Scripts are Open & Active	20 days	5/9/19	6/5/19
4926	Schedule & Conduct Dry Run With HelpDesk Staff on Rules	20 days	5/9/19	6/5/19
4927	Modify Checklist Based on Dry Run Feedback	20 days	5/9/19	6/5/19
4928	Schedule & Conduct Meeting With DHHR to review Checklist, Demo Product for ORT Walk Through	20 days	5/9/19	6/5/19
4929	Revise Checklist Based on DHHR Feedback	20 days	5/9/19	6/5/19
4930	**Implementation Readiness Deliverables**	**90 days**	**3/7/19**	**7/10/19**
4931	Review / Accept DEDs	15 days	3/7/19	3/27/19
4932	**Operational Readiness Plan**	**20 days**	**3/14/19**	**4/10/19**
4933	Initial Draft Created	10 days	3/14/19	3/27/19
4934	Draft Reviewed	10 days	3/28/19	4/10/19
4935	Approval Obtained	1 day	4/10/19	4/10/19
4936	**Operational Readiness Test Scripts**	**20 days**	**3/21/19**	**4/17/19**
4937	Initial Draft Created	10 days	3/21/19	4/3/19
4938	Draft Reviewed	10 days	4/4/19	4/17/19
4939	Approval Obtained	1 day	4/17/19	4/17/19
4940	**Operational Readiness Test Results**	**20 days**	**6/6/19**	**7/3/19**
4941	Initial Draft Created	10 days	6/6/19	6/19/19
4942	Draft Reviewed	10 days	6/20/19	7/3/19
4943	Approval Obtained	1 day	7/3/19	7/3/19
4944	**Updated Training Management Plan**	**20 days**	**3/7/19**	**4/3/19**
4945	Initial Draft Created	10 days	3/7/19	3/20/19
4946	Draft Reviewed	10 days	3/21/19	4/3/19
4947	Approval Obtained	1 day	4/3/19	4/3/19
4948	**Training Schedule**	**20 days**	**3/7/19**	**4/3/19**
4949	Initial Draft Created	10 days	3/7/19	3/20/19
4950	Draft Reviewed	10 days	3/21/19	4/3/19
4951	Approval Obtained	1 day	4/3/19	4/3/19

ID	Task Name	Duration	Start	Finish
4952	**Training Materials**	**20 days**	**3/7/19**	**4/3/19**
4953	Initial Draft Created	10 days	3/7/19	3/20/19
4954	Draft Reviewed	10 days	3/21/19	4/3/19
4955	Approval Obtained	1 day	4/3/19	4/3/19
4956	**Training Report**	**15 days**	**5/2/19**	**5/22/19**
4957	Initial Draft Created	5 days	5/2/19	5/8/19
4958	Draft Reviewed	10 days	5/9/19	5/22/19
4959	Approval Obtained	1 day	5/22/19	5/22/19
4960	**Implementation Plan**	**20 days**	**4/4/19**	**5/1/19**
4961	Initial Draft Created	10 days	4/4/19	4/17/19
4962	Draft Reviewed	10 days	4/18/19	5/1/19
4963	Approval Obtained	1 day	5/1/19	5/1/19
4964	**Cut-Over Play Book**	**20 days**	**4/18/19**	**5/15/19**
4965	Initial Draft Created	10 days	4/18/19	5/1/19
4966	Draft Reviewed	10 days	5/2/19	5/15/19
4967	Approval Obtained	1 day	5/15/19	5/15/19
4968	**Report Distribution Schedule**	**20 days**	**5/2/19**	**5/29/19**
4969	Initial Draft Created	10 days	5/2/19	5/15/19
4970	Draft Reviewed	10 days	5/16/19	5/29/19
4971	Approval Obtained	1 day	5/29/19	5/29/19
4972	**Operations Project Management Plans**	**20 days**	**5/16/19**	**6/12/19**
4973	Initial Draft Created	10 days	5/16/19	5/29/19
4974	Draft Reviewed	10 days	5/30/19	6/12/19
4975	Approval Obtained	1 day	6/12/19	6/12/19
4976	**Solution health Monitoring Plan**	**20 days**	**5/23/19**	**6/19/19**
4977	Initial Draft Created	10 days	5/23/19	6/5/19
4978	Draft Reviewed	10 days	6/6/19	6/19/19
4979	Approval Obtained	1 day	6/19/19	6/19/19
4980	M:Overall Completion of Implementation Readiness	0 days	7/10/19	7/10/19
4981	Readiness Results Review - DHHR	5 days	7/4/19	7/10/19

ID	Task Name	Duration	Start	Finish
4982	Go-No-Go Decision	1 day	7/10/19	7/10/19
4983	Cutover of Child Support - Release 1 Legacy Modernization	5 days	7/11/19	7/17/19
4984	M:Overall Completion of Deployment to Production (Pilot)	0 days	7/17/19	7/17/19
4985	CS R1 - Pilot	40 days	7/18/19	9/11/19
4986	**Implementation Readiness Certification Deliverables**	**30 days**	**8/1/19**	**9/11/19**
4987	**Federal Certification and Review Management Plan**	**20 days**	**8/1/19**	**8/28/19**
4988	Initial Draft Created	10 days	8/1/19	8/14/19
4989	Draft Reviewed	10 days	8/15/19	8/28/19
4990	Approval Obtained	1 day	8/28/19	8/28/19
4991	**ACF Certification Documentation**	**20 days**	**8/1/19**	**8/28/19**
4992	Initial Draft Created	10 days	8/1/19	8/14/19
4993	Draft Reviewed	10 days	8/15/19	8/28/19
4994	Approval Obtained	1 day	8/28/19	8/28/19
4995	**Federal Review Supporting Documentation**	**20 days**	**8/15/19**	**9/11/19**
4996	Initial Draft Created	10 days	8/15/19	8/28/19
4997	Draft Reviewed	10 days	8/29/19	9/11/19
4998	Approval Obtained	1 day	9/11/19	9/11/19
4999	**Social Security Administration Certification Documentation**	**20 days**	**8/15/19**	**9/11/19**
5000	Initial Draft Created	10 days	8/15/19	8/28/19
5001	Draft Reviewed	10 days	8/29/19	9/11/19
5002	Approval Obtained	1 day	9/11/19	9/11/19
5003	**Implementation Certification Letter**	**20 days**	**8/15/19**	**9/11/19**
5004	Initial Draft Created	10 days	8/15/19	8/28/19
5005	Draft Reviewed	10 days	8/29/19	9/11/19
5006	Approval Obtained	1 day	9/11/19	9/11/19
5007	CS R1 - Statewide Rollout	5 days	9/12/19	9/18/19
5008	M:Overall Completion of Deployment to Production	0 days	9/18/19	9/18/19
5009	CS R1 - Post Production Support	30 days	9/19/19	10/30/19
5010				
5011	**Maintenance & Operations Services**	**1337 days**	**8/9/18**	**9/22/23**

ID	Task Name	Duration	Start	Finish
5012	**Integrated Eligibility**	**750 days**	**8/9/18**	**6/23/21**
5013	**(IE) Release-1**	**390 days**	**8/9/18**	**2/5/20**
5014	**Knowledge Transfer**	**10 days**	**8/9/18**	**8/22/18**
5015	**Knowledge Transfer Activities**	**5 days**	**8/9/18**	**8/15/18**
5016	Access to system resources, environments, critical tools and repositories for KT purpose	5 days	8/9/18	8/15/18
5017	Participate with DDI and DHHR in transition activities	5 days	8/9/18	8/15/18
5018	Understand state specific processes and reporting	5 days	8/9/18	8/15/18
5019	Monitoring and ticket management processes	5 days	8/9/18	8/15/18
5020	Perform asset inventory consolidation	5 days	8/9/18	8/15/18
5021	**Knowledge Transfer Artifacts**	**5 days**	**8/16/18**	**8/22/18**
5022	System Administration Accounts	5 days	8/16/18	8/22/18
5023	Requirements Documents	5 days	8/16/18	8/22/18
5024	System Design Documents	5 days	8/16/18	8/22/18
5025	Interface Control Documents	5 days	8/16/18	8/22/18
5026	System Security Plan	5 days	8/16/18	8/22/18
5027	Interface Design Specifications	5 days	8/16/18	8/22/18
5028	Disaster Recovery and business continuity plans	5 days	8/16/18	8/22/18
5029	Process diagrams related to System Operations services	5 days	8/16/18	8/22/18
5030	rulesBusiness Rules Inventory (Code, Configuration, reports, etc.)	5 days	8/16/18	8/22/18
5031	Build / Release procedures	5 days	8/16/18	8/22/18
5032	System Test Plans	5 days	8/16/18	8/22/18
5033	Production Run books	5 days	8/16/18	8/22/18
5034	Reporting	5 days	8/16/18	8/22/18
5035	Know issues and workarounds	5 days	8/16/18	8/22/18
5036	DHHR Policies and Services	5 days	8/16/18	8/22/18
5037	**Shadow Tasks**	**5 days**	**8/16/18**	**8/22/18**
5038	Monitor system availability	5 days	8/16/18	8/22/18
5039	Maintain System activities	5 days	8/16/18	8/22/18
5040	Monitor / Execute Scheduled system activities (Batch Jobs)	5 days	8/16/18	8/22/18

ID	Task Name	Duration	Start	Finish
5041	Monitor Server Resource Utilization	5 days	8/16/18	8/22/18
5042	Capacity planning	5 days	8/16/18	8/22/18
5043	Defect Resolution	5 days	8/16/18	8/22/18
5044	Release Planning	5 days	8/16/18	8/22/18
5045	Application Build / Release procedures	5 days	8/16/18	8/22/18
5046	Security Activities	5 days	8/16/18	8/22/18
5047	Incident Management Procedures	5 days	8/16/18	8/22/18
5048	Change Management Procedures	5 days	8/16/18	8/22/18
5049	Configuration Management Process	5 days	8/16/18	8/22/18
5050	Reporting	5 days	8/16/18	8/22/18
5051	Development / Testing Procedures	5 days	8/16/18	8/22/18
5052	**Operational Change Management Plan**	**15 days**	**8/23/18**	**9/12/18**
5053	Configuration Management system	5 days	8/23/18	8/29/18
5054	Licensing changes	5 days	8/23/18	8/29/18
5055	Maintenance and Enhancements	5 days	8/23/18	8/29/18
5056	Review emergency change procedures	5 days	8/23/18	8/29/18
5057	Provide training on tailored procedures	5 days	8/23/18	8/29/18
5058	System configuration Plan	5 days	8/23/18	8/29/18
5059	Change Control Procedures	5 days	8/23/18	8/29/18
5060	Review plan with DHHR	10 days	8/30/18	9/12/18
5061	Approved Operational Change Management Plan	0 days	9/12/18	9/12/18
5062	**Operational Support Plan**	**15 days**	**8/23/18**	**9/12/18**
5063	Document baseline / target SLAs and metric	5 days	8/23/18	8/29/18
5064	Defined target M&O KPIs / SLAs	5 days	8/23/18	8/29/18
5065	Define process and periodic reports delivered	5 days	8/23/18	8/29/18
5066	Define how to validate Corrective Action Plans	5 days	8/23/18	8/29/18
5067	Licensing, Maintenance, and Enhancements	5 days	8/23/18	8/29/18
5068	HelpDesk Support Services	5 days	8/23/18	8/29/18
5069	Review Plan with DHHR	10 days	8/30/18	9/12/18
5070	Approved Operational Support Plan	0 days	9/12/18	9/12/18

ID	Task Name	Duration	Start	Finish
5071	(IE) R1 - M&O	365 days	9/13/18	2/5/20
5072	**(IE) Release-2**	**522 days**	**6/25/19**	**6/23/21**
5073	**(IE) R2:PI1**	**390 days**	**6/25/19**	**12/21/20**
5074	**Knowledge Transfer**	**10 days**	**6/25/19**	**7/8/19**
5075	**Knowledge Transfer Activities**	**5 days**	**6/25/19**	**7/1/19**
5076	Access to system resources, environments, critical tools and repositories for KT purpose	5 days	6/25/19	7/1/19
5077	Participate with DDI and DHHR in transition activities	5 days	6/25/19	7/1/19
5078	Understand state specific processes and reporting	5 days	6/25/19	7/1/19
5079	Monitoring and ticket management processes	5 days	6/25/19	7/1/19
5080	Perform asset inventory consolidation	5 days	6/25/19	7/1/19
5081	**Knowledge Transfer Artifacts**	**5 days**	**7/2/19**	**7/8/19**
5082	System Administration Accounts	5 days	7/2/19	7/8/19
5083	Requirements Documents	5 days	7/2/19	7/8/19
5084	System Design Documents	5 days	7/2/19	7/8/19
5085	Interface Control Documents	5 days	7/2/19	7/8/19
5086	System Security Plan	5 days	7/2/19	7/8/19
5087	Interface Design Specifications	5 days	7/2/19	7/8/19
5088	Disaster Recovery and business continuity plans	5 days	7/2/19	7/8/19
5089	Process diagrams related to System Operations services	5 days	7/2/19	7/8/19
5090	rulesBusiness Rules Inventory (Code, Configuration, reports, etc.)	5 days	7/2/19	7/8/19
5091	Build / Release procedures	5 days	7/2/19	7/8/19
5092	System Test Plans	5 days	7/2/19	7/8/19
5093	Production Run books	5 days	7/2/19	7/8/19
5094	Reporting	5 days	7/2/19	7/8/19
5095	Know issues and workarounds	5 days	7/2/19	7/8/19
5096	DHHR Policies and Services	5 days	7/2/19	7/8/19
5097	**Shadow Tasks**	**5 days**	**7/2/19**	**7/8/19**
5098	Monitor system availability	5 days	7/2/19	7/8/19
5099	Maintain System activities	5 days	7/2/19	7/8/19

ID	Task Name	Duration	Start	Finish
5100	Monitor / Execute Scheduled system activities (Batch Jobs)	5 days	7/2/19	7/8/19
5101	Monitor Server Resource Utilization	5 days	7/2/19	7/8/19
5102	Capacity planning	5 days	7/2/19	7/8/19
5103	Defect Resolution	5 days	7/2/19	7/8/19
5104	Release Planning	5 days	7/2/19	7/8/19
5105	Application Build / Release procedures	5 days	7/2/19	7/8/19
5106	Security Activities	5 days	7/2/19	7/8/19
5107	Incident Management Procedures	5 days	7/2/19	7/8/19
5108	Change Management Procedures	5 days	7/2/19	7/8/19
5109	Configuration Management Process	5 days	7/2/19	7/8/19
5110	Reporting	5 days	7/2/19	7/8/19
5111	Development / Testing Procedures	5 days	7/2/19	7/8/19
5112	**Operational Change Management Plan**	**15 days**	**7/9/19**	**7/29/19**
5113	Configuration Management system	5 days	7/9/19	7/15/19
5114	Licensing changes	5 days	7/9/19	7/15/19
5115	Maintenance and Enhancements	5 days	7/9/19	7/15/19
5116	Review emergency change procedures	5 days	7/9/19	7/15/19
5117	Provide training on tailored procedures	5 days	7/9/19	7/15/19
5118	System configuration Plan	5 days	7/9/19	7/15/19
5119	Change Control Procedures	5 days	7/9/19	7/15/19
5120	Review plan with DHHR	10 days	7/16/19	7/29/19
5121	Approved Operational Change Management Plan	0 days	7/29/19	7/29/19
5122	**Operational Support Plan**	**15 days**	**7/9/19**	**7/29/19**
5123	Document baseline / target SLAs and metric	5 days	7/9/19	7/15/19
5124	Defined target M&O KPIs / SLAs	5 days	7/9/19	7/15/19
5125	Define process and periodic reports delivered	5 days	7/9/19	7/15/19
5126	Define how to validate Corrective Action Plans	5 days	7/9/19	7/15/19
5127	Licensing, Maintenance, and Enhancements	5 days	7/9/19	7/15/19
5128	HelpDesk Support Services	5 days	7/9/19	7/15/19
5129	Review Plan with DHHR	10 days	7/16/19	7/29/19

ID	Task Name	Duration	Start	Finish
5130	Approved Operational Support Plan	0 days	7/29/19	7/29/19
5131	(IE) R2:PI1- M&O	365 days	7/30/19	12/21/20
5132	**(IE) R2:PI2**	**390 days**	**10/3/19**	**3/31/21**
5133	**Knowledge Transfer**	**10 days**	**10/3/19**	**10/16/19**
5134	**Knowledge Transfer Activities**	**5 days**	**10/3/19**	**10/9/19**
5135	Access to system resources, environments, critical tools and repositories for KT purpose	5 days	10/3/19	10/9/19
5136	Participate with DDI and DHHR in transition activities	5 days	10/3/19	10/9/19
5137	Understand state specific processes and reporting	5 days	10/3/19	10/9/19
5138	Monitoring and ticket management processes	5 days	10/3/19	10/9/19
5139	Perform asset inventory consolidation	5 days	10/3/19	10/9/19
5140	**Knowledge Transfer Artifacts**	**5 days**	**10/10/19**	**10/16/19**
5141	System Administration Accounts	5 days	10/10/19	10/16/19
5142	Requirements Documents	5 days	10/10/19	10/16/19
5143	System Design Documents	5 days	10/10/19	10/16/19
5144	Interface Control Documents	5 days	10/10/19	10/16/19
5145	System Security Plan	5 days	10/10/19	10/16/19
5146	Interface Design Specifications	5 days	10/10/19	10/16/19
5147	Disaster Recovery and business continuity plans	5 days	10/10/19	10/16/19
5148	Process diagrams related to System Operations services	5 days	10/10/19	10/16/19
5149	rulesBusiness Rules Inventory (Code, Configuration, reports, etc.)	5 days	10/10/19	10/16/19
5150	Build / Release procedures	5 days	10/10/19	10/16/19
5151	System Test Plans	5 days	10/10/19	10/16/19
5152	Production Run books	5 days	10/10/19	10/16/19
5153	Reporting	5 days	10/10/19	10/16/19
5154	Know issues and workarounds	5 days	10/10/19	10/16/19
5155	DHHR Policies and Services	5 days	10/10/19	10/16/19
5156	**Shadow Tasks**	**5 days**	**10/10/19**	**10/16/19**
5157	Monitor system availability	5 days	10/10/19	10/16/19
5158	Maintain System activities	5 days	10/10/19	10/16/19

ID	Task Name	Duration	Start	Finish
5159	Monitor / Execute Scheduled system activities (Batch Jobs)	5 days	10/10/19	10/16/19
5160	Monitor Server Resource Utilization	5 days	10/10/19	10/16/19
5161	Capacity planning	5 days	10/10/19	10/16/19
5162	Defect Resolution	5 days	10/10/19	10/16/19
5163	Release Planning	5 days	10/10/19	10/16/19
5164	Application Build / Release procedures	5 days	10/10/19	10/16/19
5165	Security Activities	5 days	10/10/19	10/16/19
5166	Incident Management Procedures	5 days	10/10/19	10/16/19
5167	Change Management Procedures	5 days	10/10/19	10/16/19
5168	Configuration Management Process	5 days	10/10/19	10/16/19
5169	Reporting	5 days	10/10/19	10/16/19
5170	Development / Testing Procedures	5 days	10/10/19	10/16/19
5171	**Operational Change Management Plan**	**15 days**	**10/17/19**	**11/6/19**
5172	Configuration Management system	5 days	10/17/19	10/23/19
5173	Licensing changes	5 days	10/17/19	10/23/19
5174	Maintenance and Enhancements	5 days	10/17/19	10/23/19
5175	Review emergency change procedures	5 days	10/17/19	10/23/19
5176	Provide training on tailored procedures	5 days	10/17/19	10/23/19
5177	System configuration Plan	5 days	10/17/19	10/23/19
5178	Change Control Procedures	5 days	10/17/19	10/23/19
5179	Review plan with DHHR	10 days	10/24/19	11/6/19
5180	Approved Operational Change Management Plan	0 days	11/6/19	11/6/19
5181	**Operational Support Plan**	**15 days**	**10/17/19**	**11/6/19**
5182	Document baseline / target SLAs and metric	5 days	10/17/19	10/23/19
5183	Defined target M&O KPIs / SLAs	5 days	10/17/19	10/23/19
5184	Define process and periodic reports delivered	5 days	10/17/19	10/23/19
5185	Define how to validate Corrective Action Plans	5 days	10/17/19	10/23/19
5186	Licensing, Maintenance, and Enhancements	5 days	10/17/19	10/23/19
5187	HelpDesk Support Services	5 days	10/17/19	10/23/19
5188	Review Plan with DHHR	10 days	10/24/19	11/6/19

ID	Task Name	Duration	Start	Finish
5189	Approved Operational Support Plan	0 days	11/6/19	11/6/19
5190	(IE) R2:PI2- M&O	365 days	11/7/19	3/31/21
5191	**(IE) R2:PI3**	**390 days**	**12/26/19**	**6/23/21**
5192	**Knowledge Transfer**	**10 days**	**12/26/19**	**1/8/20**
5193	**Knowledge Transfer Activities**	**5 days**	**12/26/19**	**1/1/20**
5194	Access to system resources, environments, critical tools and repositories for KT purpose	5 days	12/26/19	1/1/20
5195	Participate with DDI and DHHR in transition activities	5 days	12/26/19	1/1/20
5196	Understand state specific processes and reporting	5 days	12/26/19	1/1/20
5197	Monitoring and ticket management processes	5 days	12/26/19	1/1/20
5198	Perform asset inventory consolidation	5 days	12/26/19	1/1/20
5199	**Knowledge Transfer Artifacts**	**5 days**	**1/2/20**	**1/8/20**
5200	System Administration Accounts	5 days	1/2/20	1/8/20
5201	Requirements Documents	5 days	1/2/20	1/8/20
5202	System Design Documents	5 days	1/2/20	1/8/20
5203	Interface Control Documents	5 days	1/2/20	1/8/20
5204	System Security Plan	5 days	1/2/20	1/8/20
5205	Interface Design Specifications	5 days	1/2/20	1/8/20
5206	Disaster Recovery and business continuity plans	5 days	1/2/20	1/8/20
5207	Process diagrams related to System Operations services	5 days	1/2/20	1/8/20
5208	rulesBusiness Rules Inventory (Code, Configuration, reports, etc.)	5 days	1/2/20	1/8/20
5209	Build / Release procedures	5 days	1/2/20	1/8/20
5210	System Test Plans	5 days	1/2/20	1/8/20
5211	Production Run books	5 days	1/2/20	1/8/20
5212	Reporting	5 days	1/2/20	1/8/20
5213	Know issues and workarounds	5 days	1/2/20	1/8/20
5214	DHHR Policies and Services	5 days	1/2/20	1/8/20
5215	**Shadow Tasks**	**5 days**	**1/2/20**	**1/8/20**
5216	Monitor system availability	5 days	1/2/20	1/8/20
5217	Maintain System activities	5 days	1/2/20	1/8/20

ID	Task Name	Duration	Start	Finish
5218	Monitor / Execute Scheduled system activities (Batch Jobs)	5 days	1/2/20	1/8/20
5219	Monitor Server Resource Utilization	5 days	1/2/20	1/8/20
5220	Capacity planning	5 days	1/2/20	1/8/20
5221	Defect Resolution	5 days	1/2/20	1/8/20
5222	Release Planning	5 days	1/2/20	1/8/20
5223	Application Build / Release procedures	5 days	1/2/20	1/8/20
5224	Security Activities	5 days	1/2/20	1/8/20
5225	Incident Management Procedures	5 days	1/2/20	1/8/20
5226	Change Management Procedures	5 days	1/2/20	1/8/20
5227	Configuration Management Process	5 days	1/2/20	1/8/20
5228	Reporting	5 days	1/2/20	1/8/20
5229	Development / Testing Procedures	5 days	1/2/20	1/8/20
5230	**Operational Change Management Plan**	**15 days**	**1/9/20**	**1/29/20**
5231	Configuration Management system	5 days	1/9/20	1/15/20
5232	Licensing changes	5 days	1/9/20	1/15/20
5233	Maintenance and Enhancements	5 days	1/9/20	1/15/20
5234	Review emergency change procedures	5 days	1/9/20	1/15/20
5235	Provide training on tailored procedures	5 days	1/9/20	1/15/20
5236	System configuration Plan	5 days	1/9/20	1/15/20
5237	Change Control Procedures	5 days	1/9/20	1/15/20
5238	Review plan with DHHR	10 days	1/16/20	1/29/20
5239	Approved Operational Change Management Plan	0 days	1/29/20	1/29/20
5240	**Operational Support Plan**	**15 days**	**1/9/20**	**1/29/20**
5241	Document baseline / target SLAs and metric	5 days	1/9/20	1/15/20
5242	Defined target M&O KPIs / SLAs	5 days	1/9/20	1/15/20
5243	Define process and periodic reports delivered	5 days	1/9/20	1/15/20
5244	Define how to validate Corrective Action Plans	5 days	1/9/20	1/15/20
5245	Licensing, Maintenance, and Enhancements	5 days	1/9/20	1/15/20
5246	HelpDesk Support Services	5 days	1/9/20	1/15/20
5247	Review Plan with DHHR	10 days	1/16/20	1/29/20

ID	Task Name	Duration	Start	Finish
5248	Approved Operational Support Plan	0 days	1/29/20	1/29/20
5249	(IE) R2:PI3 - M&O	365 days	1/30/20	6/23/21
5250	**(IE) Release-3**	**750 days**	**8/9/18**	**6/23/21**
5251	**(IE) R3: MDM**	**390 days**	**8/9/18**	**2/5/20**
5252	**Knowledge Transfer**	**10 days**	**8/9/18**	**8/22/18**
5253	**Knowledge Transfer Activities**	**5 days**	**8/9/18**	**8/15/18**
5254	Access to system resources, environments, critical tools and repositories for KT purpose	5 days	8/9/18	8/15/18
5255	Participate with DDI and DHHR in transition activities	5 days	8/9/18	8/15/18
5256	Understand state specific processes and reporting	5 days	8/9/18	8/15/18
5257	Monitoring and ticket management processes	5 days	8/9/18	8/15/18
5258	Perform asset inventory consolidation	5 days	8/9/18	8/15/18
5259	**Knowledge Transfer Artifacts**	**5 days**	**8/16/18**	**8/22/18**
5260	System Administration Accounts	5 days	8/16/18	8/22/18
5261	Requirements Documents	5 days	8/16/18	8/22/18
5262	System Design Documents	5 days	8/16/18	8/22/18
5263	Interface Control Documents	5 days	8/16/18	8/22/18
5264	System Security Plan	5 days	8/16/18	8/22/18
5265	Interface Design Specifications	5 days	8/16/18	8/22/18
5266	Disaster Recovery and business continuity plans	5 days	8/16/18	8/22/18
5267	Process diagrams related to System Operations services	5 days	8/16/18	8/22/18
5268	Business Rules Inventory (Code, Configuration, reports, etc.)	5 days	8/16/18	8/22/18
5269	Build / Release procedures	5 days	8/16/18	8/22/18
5270	System Test Plans	5 days	8/16/18	8/22/18
5271	Production Run books	5 days	8/16/18	8/22/18
5272	Reporting	5 days	8/16/18	8/22/18
5273	Know issues and workarounds	5 days	8/16/18	8/22/18
5274	DHHR Policies and Services	5 days	8/16/18	8/22/18
5275	**Shadow Tasks**	**5 days**	**8/16/18**	**8/22/18**
5276	Monitor system availability	5 days	8/16/18	8/22/18

ID	Task Name	Duration	Start	Finish
5277	Maintain System activities	5 days	8/16/18	8/22/18
5278	Monitor / Execute Scheduled system activities (Batch Jobs)	5 days	8/16/18	8/22/18
5279	Monitor Server Resource Utilization	5 days	8/16/18	8/22/18
5280	Capacity planning	5 days	8/16/18	8/22/18
5281	Defect Resolution	5 days	8/16/18	8/22/18
5282	Release Planning	5 days	8/16/18	8/22/18
5283	Application Build / Release procedures	5 days	8/16/18	8/22/18
5284	Security Activities	5 days	8/16/18	8/22/18
5285	Incident Management Procedures	5 days	8/16/18	8/22/18
5286	Change Management Procedures	5 days	8/16/18	8/22/18
5287	Configuration Management Process	5 days	8/16/18	8/22/18
5288	Reporting	5 days	8/16/18	8/22/18
5289	Development / Testing Procedures	5 days	8/16/18	8/22/18
5290	**Operational Change Management Plan**	**15 days**	**8/23/18**	**9/12/18**
5291	Configuration Management system	5 days	8/23/18	8/29/18
5292	Licensing changes	5 days	8/23/18	8/29/18
5293	Maintenance and Enhancements	5 days	8/23/18	8/29/18
5294	Review emergency change procedures	5 days	8/23/18	8/29/18
5295	Provide training on tailored procedures	5 days	8/23/18	8/29/18
5296	System configuration Plan	5 days	8/23/18	8/29/18
5297	Change Control Procedures	5 days	8/23/18	8/29/18
5298	Review plan with DHHR	10 days	8/30/18	9/12/18
5299	Approved Operational Change Management Plan	0 days	9/12/18	9/12/18
5300	**Operational Support Plan**	**15 days**	**8/23/18**	**9/12/18**
5301	Document baseline / target SLAs and metric	5 days	8/23/18	8/29/18
5302	Defined target M&O KPIs / SLAs	5 days	8/23/18	8/29/18
5303	Define process and periodic reports delivered	5 days	8/23/18	8/29/18
5304	Define how to validate Corrective Action Plans	5 days	8/23/18	8/29/18
5305	Licensing, Maintenance, and Enhancements	5 days	8/23/18	8/29/18
5306	HelpDesk Support Services	5 days	8/23/18	8/29/18

ID	Task Name	Duration	Start	Finish
5307	Review Plan with DHHR	10 days	8/30/18	9/12/18
5308	Approved Operational Support Plan	0 days	9/12/18	9/12/18
5309	(IE) R3 MDM - M&O	365 days	9/13/18	2/5/20
5310	**(IE) R3:PI1**	**390 days**	**6/25/19**	**12/21/20**
5311	**Knowledge Transfer**	**10 days**	**6/25/19**	**7/8/19**
5312	**Knowledge Transfer Activities**	**5 days**	**6/25/19**	**7/1/19**
5313	Access to system resources, environments, critical tools and repositories for KT purpose	5 days	6/25/19	7/1/19
5314	Participate with DDI and DHHR in transition activities	5 days	6/25/19	7/1/19
5315	Understand state specific processes and reporting	5 days	6/25/19	7/1/19
5316	Monitoring and ticket management processes	5 days	6/25/19	7/1/19
5317	Perform asset inventory consolidation	5 days	6/25/19	7/1/19
5318	**Knowledge Transfer Artifacts**	**5 days**	**7/2/19**	**7/8/19**
5319	System Administration Accounts	5 days	7/2/19	7/8/19
5320	Requirements Documents	5 days	7/2/19	7/8/19
5321	System Design Documents	5 days	7/2/19	7/8/19
5322	Interface Control Documents	5 days	7/2/19	7/8/19
5323	System Security Plan	5 days	7/2/19	7/8/19
5324	Interface Design Specifications	5 days	7/2/19	7/8/19
5325	Disaster Recovery and business continuity plans	5 days	7/2/19	7/8/19
5326	Process diagrams related to System Operations services	5 days	7/2/19	7/8/19
5327	Business Rules Inventory (Code, Configuration, reports, etc.)	5 days	7/2/19	7/8/19
5328	Build / Release procedures	5 days	7/2/19	7/8/19
5329	System Test Plans	5 days	7/2/19	7/8/19
5330	Production Run books	5 days	7/2/19	7/8/19
5331	Reporting	5 days	7/2/19	7/8/19
5332	Know issues and workarounds	5 days	7/2/19	7/8/19
5333	DHHR Policies and Services	5 days	7/2/19	7/8/19
5334	**Shadow Tasks**	**5 days**	**7/2/19**	**7/8/19**
5335	Monitor system availability	5 days	7/2/19	7/8/19

ID	Task Name	Duration	Start	Finish
5336	Maintain System activities	5 days	7/2/19	7/8/19
5337	Monitor / Execute Scheduled system activities (Batch Jobs)	5 days	7/2/19	7/8/19
5338	Monitor Server Resource Utilization	5 days	7/2/19	7/8/19
5339	Capacity planning	5 days	7/2/19	7/8/19
5340	Defect Resolution	5 days	7/2/19	7/8/19
5341	Release Planning	5 days	7/2/19	7/8/19
5342	Application Build / Release procedures	5 days	7/2/19	7/8/19
5343	Security Activities	5 days	7/2/19	7/8/19
5344	Incident Management Procedures	5 days	7/2/19	7/8/19
5345	Change Management Procedures	5 days	7/2/19	7/8/19
5346	Configuration Management Process	5 days	7/2/19	7/8/19
5347	Reporting	5 days	7/2/19	7/8/19
5348	Development / Testing Procedures	5 days	7/2/19	7/8/19
5349	**Operational Change Management Plan**	**15 days**	**7/9/19**	**7/29/19**
5350	Configuration Management system	5 days	7/9/19	7/15/19
5351	Licensing changes	5 days	7/9/19	7/15/19
5352	Maintenance and Enhancements	5 days	7/9/19	7/15/19
5353	Review emergency change procedures	5 days	7/9/19	7/15/19
5354	Provide training on tailored procedures	5 days	7/9/19	7/15/19
5355	System configuration Plan	5 days	7/9/19	7/15/19
5356	Change Control Procedures	5 days	7/9/19	7/15/19
5357	Review plan with DHHR	10 days	7/16/19	7/29/19
5358	Approved Operational Change Management Plan	0 days	7/29/19	7/29/19
5359	**Operational Support Plan**	**15 days**	**7/9/19**	**7/29/19**
5360	Document baseline / target SLAs and metric	5 days	7/9/19	7/15/19
5361	Defined target M&O KPIs / SLAs	5 days	7/9/19	7/15/19
5362	Define process and periodic reports delivered	5 days	7/9/19	7/15/19
5363	Define how to validate Corrective Action Plans	5 days	7/9/19	7/15/19
5364	Licensing, Maintenance, and Enhancements	5 days	7/9/19	7/15/19
5365	HelpDesk Support Services	5 days	7/9/19	7/15/19

ID	Task Name	Duration	Start	Finish
5366	Review Plan with DHHR	10 days	7/16/19	7/29/19
5367	Approved Operational Support Plan	0 days	7/29/19	7/29/19
5368	(IE) R3 PI:1 - M&O	365 days	7/30/19	12/21/20
5369	**(IE) R3:PI2**	**390 days**	**10/3/19**	**3/31/21**
5370	**Knowledge Transfer**	**10 days**	**10/3/19**	**10/16/19**
5371	**Knowledge Transfer Activities**	**5 days**	**10/3/19**	**10/9/19**
5372	Access to system resources, environments, critical tools and repositories for KT purpose	5 days	10/3/19	10/9/19
5373	Participate with DDI and DHHR in transition activities	5 days	10/3/19	10/9/19
5374	Understand state specific processes and reporting	5 days	10/3/19	10/9/19
5375	Monitoring and ticket management processes	5 days	10/3/19	10/9/19
5376	Perform asset inventory consolidation	5 days	10/3/19	10/9/19
5377	**Knowledge Transfer Artifacts**	**5 days**	**10/10/19**	**10/16/19**
5378	System Administration Accounts	5 days	10/10/19	10/16/19
5379	Requirements Documents	5 days	10/10/19	10/16/19
5380	System Design Documents	5 days	10/10/19	10/16/19
5381	Interface Control Documents	5 days	10/10/19	10/16/19
5382	System Security Plan	5 days	10/10/19	10/16/19
5383	Interface Design Specifications	5 days	10/10/19	10/16/19
5384	Disaster Recovery and business continuity plans	5 days	10/10/19	10/16/19
5385	Process diagrams related to System Operations services	5 days	10/10/19	10/16/19
5386	Business Rules Inventory (Code, Configuration, reports, etc.)	5 days	10/10/19	10/16/19
5387	Build / Release procedures	5 days	10/10/19	10/16/19
5388	System Test Plans	5 days	10/10/19	10/16/19
5389	Production Run books	5 days	10/10/19	10/16/19
5390	Reporting	5 days	10/10/19	10/16/19
5391	Know issues and workarounds	5 days	10/10/19	10/16/19
5392	DHHR Policies and Services	5 days	10/10/19	10/16/19
5393	**Shadow Tasks**	**5 days**	**10/10/19**	**10/16/19**
5394	Monitor system availability	5 days	10/10/19	10/16/19

ID	Task Name	Duration	Start	Finish
5395	Maintain System activities	5 days	10/10/19	10/16/19
5396	Monitor / Execute Scheduled system activities (Batch Jobs)	5 days	10/10/19	10/16/19
5397	Monitor Server Resource Utilization	5 days	10/10/19	10/16/19
5398	Capacity planning	5 days	10/10/19	10/16/19
5399	Defect Resolution	5 days	10/10/19	10/16/19
5400	Release Planning	5 days	10/10/19	10/16/19
5401	Application Build / Release procedures	5 days	10/10/19	10/16/19
5402	Security Activities	5 days	10/10/19	10/16/19
5403	Incident Management Procedures	5 days	10/10/19	10/16/19
5404	Change Management Procedures	5 days	10/10/19	10/16/19
5405	Configuration Management Process	5 days	10/10/19	10/16/19
5406	Reporting	5 days	10/10/19	10/16/19
5407	Development / Testing Procedures	5 days	10/10/19	10/16/19
5408	**Operational Change Management Plan**	**15 days**	**10/17/19**	**11/6/19**
5409	Configuration Management system	5 days	10/17/19	10/23/19
5410	Licensing changes	5 days	10/17/19	10/23/19
5411	Maintenance and Enhancements	5 days	10/17/19	10/23/19
5412	Review emergency change procedures	5 days	10/17/19	10/23/19
5413	Provide training on tailored procedures	5 days	10/17/19	10/23/19
5414	System configuration Plan	5 days	10/17/19	10/23/19
5415	Change Control Procedures	5 days	10/17/19	10/23/19
5416	Review plan with DHHR	10 days	10/24/19	11/6/19
5417	Approved Operational Change Management Plan	0 days	11/6/19	11/6/19
5418	**Operational Support Plan**	**15 days**	**10/17/19**	**11/6/19**
5419	Document baseline / target SLAs and metric	5 days	10/17/19	10/23/19
5420	Defined target M&O KPIs / SLAs	5 days	10/17/19	10/23/19
5421	Define process and periodic reports delivered	5 days	10/17/19	10/23/19
5422	Define how to validate Corrective Action Plans	5 days	10/17/19	10/23/19
5423	Licensing, Maintenance, and Enhancements	5 days	10/17/19	10/23/19
5424	HelpDesk Support Services	5 days	10/17/19	10/23/19

ID	Task Name	Duration	Start	Finish
5425	Review Plan with DHHR	10 days	10/24/19	11/6/19
5426	Approved Operational Support Plan	0 days	11/6/19	11/6/19
5427	(IE) R3 PI:2 - M&O	365 days	11/7/19	3/31/21
5428	**(IE) R3:PI3**	**390 days**	**12/26/19**	**6/23/21**
5429	**Knowledge Transfer**	**10 days**	**12/26/19**	**1/8/20**
5430	**Knowledge Transfer Activities**	**5 days**	**12/26/19**	**1/1/20**
5431	Access to system resources, environments, critical tools and repositories for KT purpose	5 days	12/26/19	1/1/20
5432	Participate with DDI and DHHR in transition activities	5 days	12/26/19	1/1/20
5433	Understand state specific processes and reporting	5 days	12/26/19	1/1/20
5434	Monitoring and ticket management processes	5 days	12/26/19	1/1/20
5435	Perform asset inventory consolidation	5 days	12/26/19	1/1/20
5436	**Knowledge Transfer Artifacts**	**5 days**	**1/2/20**	**1/8/20**
5437	System Administration Accounts	5 days	1/2/20	1/8/20
5438	Requirements Documents	5 days	1/2/20	1/8/20
5439	System Design Documents	5 days	1/2/20	1/8/20
5440	Interface Control Documents	5 days	1/2/20	1/8/20
5441	System Security Plan	5 days	1/2/20	1/8/20
5442	Interface Design Specifications	5 days	1/2/20	1/8/20
5443	Disaster Recovery and business continuity plans	5 days	1/2/20	1/8/20
5444	Process diagrams related to System Operations services	5 days	1/2/20	1/8/20
5445	Business Rules Inventory (Code, Configuration, reports, etc.)	5 days	1/2/20	1/8/20
5446	Build / Release procedures	5 days	1/2/20	1/8/20
5447	System Test Plans	5 days	1/2/20	1/8/20
5448	Production Run books	5 days	1/2/20	1/8/20
5449	Reporting	5 days	1/2/20	1/8/20
5450	Know issues and workarounds	5 days	1/2/20	1/8/20
5451	DHHR Policies and Services	5 days	1/2/20	1/8/20
5452	**Shadow Tasks**	**5 days**	**1/2/20**	**1/8/20**
5453	Monitor system availability	5 days	1/2/20	1/8/20

ID	Task Name	Duration	Start	Finish
5454	Maintain System activities	5 days	1/2/20	1/8/20
5455	Monitor / Execute Scheduled system activities (Batch Jobs)	5 days	1/2/20	1/8/20
5456	Monitor Server Resource Utilization	5 days	1/2/20	1/8/20
5457	Capacity planning	5 days	1/2/20	1/8/20
5458	Defect Resolution	5 days	1/2/20	1/8/20
5459	Release Planning	5 days	1/2/20	1/8/20
5460	Application Build / Release procedures	5 days	1/2/20	1/8/20
5461	Security Activities	5 days	1/2/20	1/8/20
5462	Incident Management Procedures	5 days	1/2/20	1/8/20
5463	Change Management Procedures	5 days	1/2/20	1/8/20
5464	Configuration Management Process	5 days	1/2/20	1/8/20
5465	Reporting	5 days	1/2/20	1/8/20
5466	Development / Testing Procedures	5 days	1/2/20	1/8/20
5467	**Operational Change Management Plan**	**15 days**	**1/9/20**	**1/29/20**
5468	Configuration Management system	5 days	1/9/20	1/15/20
5469	Licensing changes	5 days	1/9/20	1/15/20
5470	Maintenance and Enhancements	5 days	1/9/20	1/15/20
5471	Review emergency change procedures	5 days	1/9/20	1/15/20
5472	Provide training on tailored procedures	5 days	1/9/20	1/15/20
5473	System configuration Plan	5 days	1/9/20	1/15/20
5474	Change Control Procedures	5 days	1/9/20	1/15/20
5475	Review plan with DHHR	10 days	1/16/20	1/29/20
5476	Approved Operational Change Management Plan	0 days	1/29/20	1/29/20
5477	**Operational Support Plan**	**15 days**	**1/9/20**	**1/29/20**
5478	Document baseline / target SLAs and metric	5 days	1/9/20	1/15/20
5479	Defined target M&O KPIs / SLAs	5 days	1/9/20	1/15/20
5480	Define process and periodic reports delivered	5 days	1/9/20	1/15/20
5481	Define how to validate Corrective Action Plans	5 days	1/9/20	1/15/20
5482	Licensing, Maintenance, and Enhancements	5 days	1/9/20	1/15/20
5483	HelpDesk Support Services	5 days	1/9/20	1/15/20

ID	Task Name	Duration	Start	Finish
5484	Review Plan with DHHR	10 days	1/16/20	1/29/20
5485	Approved Operational Support Plan	0 days	1/29/20	1/29/20
5486	(IE) R3 PI:3 - M&O	365 days	1/30/20	6/23/21
5487	**Child Welfare**	**630 days**	**8/9/18**	**1/6/21**
5488	**(CW) Release-1**	**390 days**	**8/9/18**	**2/5/20**
5489	**Knowledge Transfer**	**10 days**	**8/9/18**	**8/22/18**
5490	**Knowledge Transfer Activities**	**5 days**	**8/9/18**	**8/15/18**
5491	Access to system resources, environments, critical tools and repositories for KT purpose	5 days	8/9/18	8/15/18
5492	Participate with DDI and DHHR in transition activities	5 days	8/9/18	8/15/18
5493	Understand state specific processes and reporting	5 days	8/9/18	8/15/18
5494	Monitoring and ticket management processes	5 days	8/9/18	8/15/18
5495	Perform asset inventory consolidation	5 days	8/9/18	8/15/18
5496	**Knowledge Transfer Artifacts**	**5 days**	**8/16/18**	**8/22/18**
5497	System Administration Accounts	5 days	8/16/18	8/22/18
5498	Requirements Documents	5 days	8/16/18	8/22/18
5499	System Design Documents	5 days	8/16/18	8/22/18
5500	Interface Control Documents	5 days	8/16/18	8/22/18
5501	System Security Plan	5 days	8/16/18	8/22/18
5502	Interface Design Specifications	5 days	8/16/18	8/22/18
5503	Disaster Recovery and business continuity plans	5 days	8/16/18	8/22/18
5504	Process diagrams related to System Operations services	5 days	8/16/18	8/22/18
5505	Business Rules Inventory (Code, Configuration, reports, etc.)	5 days	8/16/18	8/22/18
5506	Build / Release procedures	5 days	8/16/18	8/22/18
5507	System Test Plans	5 days	8/16/18	8/22/18
5508	Production Run books	5 days	8/16/18	8/22/18
5509	Reporting	5 days	8/16/18	8/22/18
5510	Know issues and workarounds	5 days	8/16/18	8/22/18
5511	DHHR Policies and Services	5 days	8/16/18	8/22/18
5512	**Shadow Tasks**	**5 days**	**8/16/18**	**8/22/18**

ID	Task Name	Duration	Start	Finish
5513	Monitor system availability	5 days	8/16/18	8/22/18
5514	Maintain System activities	5 days	8/16/18	8/22/18
5515	Monitor / Execute Scheduled system activities (Batch Jobs)	5 days	8/16/18	8/22/18
5516	Monitor Server Resource Utilization	5 days	8/16/18	8/22/18
5517	Capacity planning	5 days	8/16/18	8/22/18
5518	Defect Resolution	5 days	8/16/18	8/22/18
5519	Release Planning	5 days	8/16/18	8/22/18
5520	Application Build / Release procedures	5 days	8/16/18	8/22/18
5521	Security Activities	5 days	8/16/18	8/22/18
5522	Incident Management Procedures	5 days	8/16/18	8/22/18
5523	Change Management Procedures	5 days	8/16/18	8/22/18
5524	Configuration Management Process	5 days	8/16/18	8/22/18
5525	Reporting	5 days	8/16/18	8/22/18
5526	Development / Testing Procedures	5 days	8/16/18	8/22/18
5527	**Operational Change Management Plan**	**15 days**	**8/23/18**	**9/12/18**
5528	Configuration Management system	5 days	8/23/18	8/29/18
5529	Licensing changes	5 days	8/23/18	8/29/18
5530	Maintenance and Enhancements	5 days	8/23/18	8/29/18
5531	Review emergency change procedures	5 days	8/23/18	8/29/18
5532	Provide training on tailored procedures	5 days	8/23/18	8/29/18
5533	System configuration Plan	5 days	8/23/18	8/29/18
5534	Change Control Procedures	5 days	8/23/18	8/29/18
5535	Review plan with DHHR	10 days	8/30/18	9/12/18
5536	Approved Operational Change Management Plan	0 days	9/12/18	9/12/18
5537	**Operational Support Plan**	**15 days**	**8/23/18**	**9/12/18**
5538	Document baseline / target SLAs and metric	5 days	8/23/18	8/29/18
5539	Defined target M&O KPIs / SLAs	5 days	8/23/18	8/29/18
5540	Define process and periodic reports delivered	5 days	8/23/18	8/29/18
5541	Define how to validate Corrective Action Plans	5 days	8/23/18	8/29/18
5542	Licensing, Maintenance, and Enhancements	5 days	8/23/18	8/29/18

ID	Task Name	Duration	Start	Finish
5543	HelpDesk Support Services	5 days	8/23/18	8/29/18
5544	Review Plan with DHHR	10 days	8/30/18	9/12/18
5545	Approved Operational Support Plan	0 days	9/12/18	9/12/18
5546	(CW) Release-1 - M&O	365 days	9/13/18	2/5/20
5547	**(CW) Release-2**	**390 days**	**7/11/19**	**1/6/21**
5548	**Knowledge Transfer**	**10 days**	**7/11/19**	**7/24/19**
5549	**Knowledge Transfer Activities**	**5 days**	**7/11/19**	**7/17/19**
5550	Access to system resources, environments, critical tools and repositories for KT purpose	5 days	7/11/19	7/17/19
5551	Participate with DDI and DHHR in transition activities	5 days	7/11/19	7/17/19
5552	Understand state specific processes and reporting	5 days	7/11/19	7/17/19
5553	Monitoring and ticket management processes	5 days	7/11/19	7/17/19
5554	Perform asset inventory consolidation	5 days	7/11/19	7/17/19
5555	**Knowledge Transfer Artifacts**	**5 days**	**7/18/19**	**7/24/19**
5556	System Administration Accounts	5 days	7/18/19	7/24/19
5557	Requirements Documents	5 days	7/18/19	7/24/19
5558	System Design Documents	5 days	7/18/19	7/24/19
5559	Interface Control Documents	5 days	7/18/19	7/24/19
5560	System Security Plan	5 days	7/18/19	7/24/19
5561	Interface Design Specifications	5 days	7/18/19	7/24/19
5562	Disaster Recovery and business continuity plans	5 days	7/18/19	7/24/19
5563	Process diagrams related to System Operations services	5 days	7/18/19	7/24/19
5564	rulesBusiness Rules Inventory (Code, Configuration, reports, etc.)	5 days	7/18/19	7/24/19
5565	Build / Release procedures	5 days	7/18/19	7/24/19
5566	System Test Plans	5 days	7/18/19	7/24/19
5567	Production Run books	5 days	7/18/19	7/24/19
5568	Reporting	5 days	7/18/19	7/24/19
5569	Know issues and workarounds	5 days	7/18/19	7/24/19
5570	DHHR Policies and Services	5 days	7/18/19	7/24/19
5571	**Shadow Tasks**	**5 days**	**7/18/19**	**7/24/19**

ID	Task Name	Duration	Start	Finish
5572	Monitor system availability	5 days	7/18/19	7/24/19
5573	Maintain System activities	5 days	7/18/19	7/24/19
5574	Monitor / Execute Scheduled system activities (Batch Jobs)	5 days	7/18/19	7/24/19
5575	Monitor Server Resource Utilization	5 days	7/18/19	7/24/19
5576	Capacity planning	5 days	7/18/19	7/24/19
5577	Defect Resolution	5 days	7/18/19	7/24/19
5578	Release Planning	5 days	7/18/19	7/24/19
5579	Application Build / Release procedures	5 days	7/18/19	7/24/19
5580	Security Activities	5 days	7/18/19	7/24/19
5581	Incident Management Procedures	5 days	7/18/19	7/24/19
5582	Change Management Procedures	5 days	7/18/19	7/24/19
5583	Configuration Management Process	5 days	7/18/19	7/24/19
5584	Reporting	5 days	7/18/19	7/24/19
5585	Development / Testing Procedures	5 days	7/18/19	7/24/19
5586	**Operational Change Management Plan**	**15 days**	**7/25/19**	**8/14/19**
5587	Configuration Management system	5 days	7/25/19	7/31/19
5588	Licensing changes	5 days	7/25/19	7/31/19
5589	Maintenance and Enhancements	5 days	7/25/19	7/31/19
5590	Review emergency change procedures	5 days	7/25/19	7/31/19
5591	Provide training on tailored procedures	5 days	7/25/19	7/31/19
5592	System configuration Plan	5 days	7/25/19	7/31/19
5593	Change Control Procedures	5 days	7/25/19	7/31/19
5594	Review plan with DHHR	10 days	8/1/19	8/14/19
5595	Approved Operational Change Management Plan	0 days	8/14/19	8/14/19
5596	**Operational Support Plan**	**15 days**	**7/25/19**	**8/14/19**
5597	Document baseline / target SLAs and metric	5 days	7/25/19	7/31/19
5598	Defined target M&O KPIs / SLAs	5 days	7/25/19	7/31/19
5599	Define process and periodic reports delivered	5 days	7/25/19	7/31/19
5600	Define how to validate Corrective Action Plans	5 days	7/25/19	7/31/19
5601	Licensing, Maintenance, and Enhancements	5 days	7/25/19	7/31/19

ID	Task Name	Duration	Start	Finish
5602	HelpDesk Support Services	5 days	7/25/19	7/31/19
5603	Review Plan with DHHR	10 days	8/1/19	8/14/19
5604	Approved Operational Support Plan	0 days	8/14/19	8/14/19
5605	(CW) Release-2 - M&O	365 days	8/15/19	1/6/21
5606	**Child Support**	**390 days**	**8/8/19**	**2/3/21**
5607	**(CS) Release-1**	**390 days**	**8/8/19**	**2/3/21**
5608	**Knowledge Transfer**	**10 days**	**8/8/19**	**8/21/19**
5609	**Knowledge Transfer Activities**	**5 days**	**8/8/19**	**8/14/19**
5610	Access to system resources, environments, critical tools and repositories for KT purpose	5 days	8/8/19	8/14/19
5611	Participate with DDI and DHHR in transition activities	5 days	8/8/19	8/14/19
5612	Understand state specific processes and reporting	5 days	8/8/19	8/14/19
5613	Monitoring and ticket management processes	5 days	8/8/19	8/14/19
5614	Perform asset inventory consolidation	5 days	8/8/19	8/14/19
5615	**Knowledge Transfer Artifacts**	**5 days**	**8/15/19**	**8/21/19**
5616	System Administration Accounts	5 days	8/15/19	8/21/19
5617	Requirements Documents	5 days	8/15/19	8/21/19
5618	System Design Documents	5 days	8/15/19	8/21/19
5619	Interface Control Documents	5 days	8/15/19	8/21/19
5620	System Security Plan	5 days	8/15/19	8/21/19
5621	Interface Design Specifications	5 days	8/15/19	8/21/19
5622	Disaster Recovery and business continuity plans	5 days	8/15/19	8/21/19
5623	Process diagrams related to System Operations services	5 days	8/15/19	8/21/19
5624	Business Rules Inventory (Code, Configuration, reports, etc.)	5 days	8/15/19	8/21/19
5625	Build / Release procedures	5 days	8/15/19	8/21/19
5626	System Test Plans	5 days	8/15/19	8/21/19
5627	Production Run books	5 days	8/15/19	8/21/19
5628	Reporting	5 days	8/15/19	8/21/19
5629	Know issues and workarounds	5 days	8/15/19	8/21/19
5630	DHHR Policies and Services	5 days	8/15/19	8/21/19

ID	Task Name	Duration	Start	Finish
5631	**Shadow Tasks**	**5 days**	**8/15/19**	**8/21/19**
5632	Monitor system availability	5 days	8/15/19	8/21/19
5633	Maintain System activities	5 days	8/15/19	8/21/19
5634	Monitor / Execute Scheduled system activities (Batch Jobs)	5 days	8/15/19	8/21/19
5635	Monitor Server Resource Utilization	5 days	8/15/19	8/21/19
5636	Capacity planning	5 days	8/15/19	8/21/19
5637	Defect Resolution	5 days	8/15/19	8/21/19
5638	Release Planning	5 days	8/15/19	8/21/19
5639	Application Build / Release procedures	5 days	8/15/19	8/21/19
5640	Security Activities	5 days	8/15/19	8/21/19
5641	Incident Management Procedures	5 days	8/15/19	8/21/19
5642	Change Management Procedures	5 days	8/15/19	8/21/19
5643	Configuration Management Process	5 days	8/15/19	8/21/19
5644	Reporting	5 days	8/15/19	8/21/19
5645	Development / Testing Procedures	5 days	8/15/19	8/21/19
5646	**Operational Change Management Plan**	**15 days**	**8/22/19**	**9/11/19**
5647	Configuration Management system	5 days	8/22/19	8/28/19
5648	Licensing changes	5 days	8/22/19	8/28/19
5649	Maintenance and Enhancements	5 days	8/22/19	8/28/19
5650	Review emergency change procedures	5 days	8/22/19	8/28/19
5651	Provide training on tailored procedures	5 days	8/22/19	8/28/19
5652	System configuration Plan	5 days	8/22/19	8/28/19
5653	Change Control Procedures	5 days	8/22/19	8/28/19
5654	Review plan with DHHR	10 days	8/29/19	9/11/19
5655	Approved Operational Change Management Plan	0 days	9/11/19	9/11/19
5656	**Operational Support Plan**	**15 days**	**8/22/19**	**9/11/19**
5657	Document baseline / target SLAs and metric	5 days	8/22/19	8/28/19
5658	Defined target M&O KPIs / SLAs	5 days	8/22/19	8/28/19
5659	Define process and periodic reports delivered	5 days	8/22/19	8/28/19
5660	Define how to validate Corrective Action Plans	5 days	8/22/19	8/28/19

ID	Task Name	Duration	Start	Finish
5661	Licensing, Maintenance, and Enhancements	5 days	8/22/19	8/28/19
5662	HelpDesk Support Services	5 days	8/22/19	8/28/19
5663	Review Plan with DHHR	10 days	8/29/19	9/11/19
5664	Approved Operational Support Plan	0 days	9/11/19	9/11/19
5665	(CS) Release1 - M&O	365 days	9/12/19	2/3/21
5666	**Operational Reporting**	**1312 days**	**9/13/18**	**9/22/23**
5667	**Stabilization Checklist**	**131 days**	**9/13/18**	**3/14/19**
5668	Measure System Processing Time against Defined SLAs	131 days	9/13/18	3/14/19
5669	Measure network response time against Defined SLAs	131 days	9/13/18	3/14/19
5670	KT Matrix - For Staff knowledge & training	131 days	9/13/18	3/14/19
5671	Help Desk SLAs - Measure	131 days	9/13/18	3/14/19
5672	All Business Processes - Executed	131 days	9/13/18	3/14/19
5673	All Business Rule - Working as expected	131 days	9/13/18	3/14/19
5674	All Standard Reports - Working as expected	131 days	9/13/18	3/14/19
5675	Mutual agree plan for all inherited defects	131 days	9/13/18	3/14/19
5676	Batch Interfaces - Working as expected	131 days	9/13/18	3/14/19
5677	Real Time Interfaces - Working as expected	131 days	9/13/18	3/14/19
5678	Mutual agreed plan on All in-flight Enhancements	131 days	9/13/18	3/14/19
5679	RDBMS manage	131 days	9/13/18	3/14/19
5680	Third party vulnerability and penetration testing	131 days	9/13/18	3/14/19
5681	All required environments been implemented and working as required	131 days	9/13/18	3/14/19
5682	M&O staffing complete	131 days	9/13/18	3/14/19
5683	Operations Reports	131 days	9/13/18	3/14/19
5684	Maintenance and Operations Documentation	131 days	9/13/18	3/14/19
5685	All required documentation developed and approved by the DHHR	131 days	9/13/18	3/14/19
5686	**Availability - Daily System Health Report**	**1312 days**	**9/13/18**	**9/22/23**
5687	Production Support - System Performance Metrics	1312 days	9/13/18	9/22/23
5688	Conduct 2x Daily Operation Status Checkpoints	1312 days	9/13/18	9/22/23
5689	Monitor Approved SLA / Metrics	1312 days	9/13/18	9/22/23
5690	Outcome of health check	1312 days	9/13/18	9/22/23

ID	Task Name	Duration	Start	Finish
5691	Highlight parameters above system thresholds	1312 days	9/13/18	9/22/23
5692	**On-going Weekly Status Reports**	**1312 days**	**9/13/18**	**9/22/23**
5693	On-going Weekly Status Reports	1312 days	9/13/18	9/22/23
5694	Change Advisory Board Meetings	1312 days	9/13/18	9/22/23
5695	IRAAD; Risk Register Weekly Reports	1312 days	9/13/18	9/22/23
5696	Leadership / Contract Briefing meetings	1312 days	9/13/18	9/22/23
5697	Issue/Defect identification Reports	1312 days	9/13/18	9/22/23
5698	**Monthly - Reporting**	**1312 days**	**9/13/18**	**9/22/23**
5699	Availability / Usage Reports	1312 days	9/13/18	9/22/23
5700	KPI / SLA Reports	1312 days	9/13/18	9/22/23
5701	Training Report	1312 days	9/13/18	9/22/23
5702				
5703	**Project Closeout**	**90 days**	**5/22/23**	**9/22/23**
5704	**Turnover and Closeout**	**90 days**	**5/22/23**	**9/22/23**
5705	**Review / Approve System Turnover plan**	**25 days**	**5/22/23**	**6/23/23**
5706	Proposed Approach for turnover	15 days	5/22/23	6/9/23
5707	Tasks for Turnover	15 days	5/22/23	6/9/23
5708	System Turnover Plan	15 days	5/22/23	6/9/23
5709	System Requirements statement	15 days	5/22/23	6/9/23
5710	Operational Code and current documentation	15 days	5/22/23	6/9/23
5711	Deliver Production run books, know issues and work around; Service management toolset	15 days	5/22/23	6/9/23
5712	Documentation procedures	15 days	5/22/23	6/9/23
5713	System Turnover Reviewed / Approved	10 days	6/12/23	6/23/23
5714	System Turnover Plan	0 days	6/23/23	6/23/23
5715	**Initiation (Setup and Documentation)**	**20 days**	**6/26/23**	**7/21/23**
5716	Inventory of system components and documentation	20 days	6/26/23	7/21/23
5717	Prepare detailed transition plan	20 days	6/26/23	7/21/23

ID	Task Name	Duration	Start	Finish
5718	Deliver System Design Document; DB Design Document; Data Management Plan; Interface Control Document; System Security Plan; Interface Design Specification; DR and business continuity plan; Application Inventory (code, configuration, reports)	20 days	6/26/23	7/21/23
5719	Optum will finalize system operations and transition scope; current SLAs and metrics; RACI; Production support roster; System Operations dashboard and reporting; Escalation process to Agency;	20 days	6/26/23	7/21/23
5720	Define transition acceptance criteria	20 days	6/26/23	7/21/23
5721	New vendor understands business functions and key stakeholders	20 days	6/26/23	7/21/23
5722	New vendor gets access to existing documentation	20 days	6/26/23	7/21/23
5723	New vendor understands existing processes, SLAs, metric	20 days	6/26/23	7/21/23
5724	System Requirements Statement	20 days	6/26/23	7/21/23
5725	Operational system code and all current documentation	20 days	6/26/23	7/21/23
5726	System Turnover - Initiation Complete	0 days	7/21/23	7/21/23
5727	**Knowledge Transfer**	**20 days**	**7/24/23**	**8/18/23**
5728	Grant Access to system components and critical tools	20 days	7/24/23	8/18/23
5729	Conduct KT sessions on application, processes	20 days	7/24/23	8/18/23
5730	Agency Staff training	20 days	7/24/23	8/18/23
5731	Continue to be prime for system operations	20 days	7/24/23	8/18/23
5732	New vendor consolidate documentation and system components inventory	20 days	7/24/23	8/18/23
5733	New vendor continues to refine documentation	20 days	7/24/23	8/18/23
5734	New Vendor starts getting work assigned from Incumbent	20 days	7/24/23	8/18/23
5735	System Turnover - Knowledge Transfer Complete	0 days	8/18/23	8/18/23
5736	**Prepare for Cutover**	**20 days**	**8/21/23**	**9/15/23**
5737	Provide coaching to new vendor as needed	20 days	8/21/23	9/15/23
5738	Review key deliverables to Agency	20 days	8/21/23	9/15/23
5739	New vendor drives and has prime responsibility	20 days	8/21/23	9/15/23
5740	New vendor monitors SLAs and metrics of the system to perform to the level defined	20 days	8/21/23	9/15/23
5741	New vendor publishes reports and dashboards	20 days	8/21/23	9/15/23
5742	System Turnover - Cutover Complete	0 days	9/15/23	9/15/23

ID	Task Name	Duration	Start	Finish
5743	**Steady State**	**5 days**	**9/18/23**	**9/22/23**
5744	Remove access to artifacts and assets	5 days	9/18/23	9/22/23
5745	Staff re-deployed	5 days	9/18/23	9/22/23
5746	New vendor assumes delivery responsibility	5 days	9/18/23	9/22/23
5747	System Turnover - Steady State	0 days	9/22/23	9/22/23
5748	M:Turnover and Closeout	0 days	9/22/23	9/22/23

West Virginia Integrated Eligibility Solution (IES)

Draft Deliverable Dictionary

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

_____ **Signature**

_____ **Date**

xxxxxxxxx

Optum

_____ **Signature**

_____ **Date**

August 8, 2017
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Contract No. <nnnn>
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Revision History

Version	Date	Author	Summary of Changes
1.1	8/8/2017	Optum	Initial draft release

Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 1
1.5 Related Documents 1
2. Deliverables Dictionary 2

1. Introduction

The Deliverable Dictionary provides a comprehensive list of planned deliverables for the West Virginia Integrated Eligibility Solution (WV IES) Project, along with associated primary milestones.

1.1 Objective

The Deliverable Dictionary defines the complete list of deliverables and milestones that will be created and delivered during the WV IES Project. For each deliverable, we provide the following elements:

- Deliverable Number
- Deliverable Title
- Purpose
- Description
- Initial acceptance criteria based on requested content in the RFP

1.2 Plan Scope

The scope of the Deliverable Dictionary is to provide the consolidated list of deliverables and milestones that will be produced during the WV IES Project.

1.3 Plan Assumptions

Not applicable.

1.4 Plan Organization

The Deliverable Dictionary is organized into the following sections:

- **Introduction (Section 1)** lists the objectives and scope of the Deliverable Dictionary, assumptions made in developing the plan, describes the plan organization, and identifies related documents
- **Deliverable Dictionary (Section 2)** Provides a comprehensive list of all deliverables that will be produced during the WV IES, and corresponding detail for each deliverable

1.5 Related Documents

The Deliverable Dictionary is subordinate to the overall Project Management Plan (PMP).Once the Deliverable Dictionary has been approved by DHHR it will be placed under configuration management control. Subsequent updates to the Deliverable Dictionary must be approved by appropriate DHHR and Optum management prior to being implemented.

2. Deliverable Dictionary

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D001	Milestone	Establishment of Facility	Physical workspace space for the key staff and support staff named by the State plus DHHR resources which is within five miles of the OMIS office in Charleston, WV	Complete when the State accepts the Optum facility.	DHHR validates that Optum has met the requirements for the facility as stated in Mandatory Requirements 5.1, 5.2, and 5.4
D002	Deliverable	Project Kickoff Meeting within 10 Calendar Days of Contract Execution	Formally begins the project; address key topics of interest or concern and introduce the Optum and DHHR teams	The initial meeting is meant to begin the project, conduct initial introductions, and signals the formal start of project work. Optum and DHHR will work together to identify the topics for discussion in this meeting. Optum will prepare the agenda for this meeting and is responsible for the creating and distributing the meeting notes.	DHHR accepts the agenda, meeting notes, actions, and any other agreements made during the Project Kickoff Meeting.
D003	Deliverable	Project Charter	Documents the formal authorization for the project and the top-level requirements that meet DHHR expectations	The Project Charter will provide the business need, assumptions, constraints, understanding of the project, and the services that will be provided. It authorizes the project.	DHHR representatives agree to the Project Charter and formally sign off on the document.
D004	Deliverable	Stakeholder Analysis	Identifies the internal and external stakeholders and their interests, expectations and influences on the success of the project	The Stakeholder Analysis defines the stakeholder register, and background information on each stakeholder.	DHHR agrees that the Stakeholder Register and analysis is complete and appropriately comprehensive for the purposes of this project.
D005	Deliverable	Stakeholder Management Plan	Documents the approach and tools for evaluating and engaging stakeholders at appropriate phases of the project, managing stakeholder expectations through proper communications, addressing concerns and clarifying and resolving any issues raised by stakeholders	A draft version of the Stakeholder Management Plan is included with the proposal submission. It provides the approach that Optum will take to manage stakeholder engagement during the project.	DHHR agrees that executing the plan results in appropriate stakeholder engagement, communication and issue/concern clarification and resolution. And, that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D006	Deliverable	Facility Management Plan	Defines the planned approach for establishing the facilities required to effectively implement and support the West Virginia Integrated Eligibility Solution, providing the appropriate steps and level of detail for the identification, lease, establishment, and maintenance of physical workspace space for the key and support staff named by the State plus DHHR resource	A draft version of the Facility Management Plan is included with the proposal submission. It provides the approach that Optum will take to identify, lease, establish, and maintain project facilities in support of the WV IES project.	DHHR agrees that executing the plan results in meeting the requirements for the facility as stated in Mandatory Requirements 5.1, 5.2, and 5.4; and that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.
D007	Deliverable	Staffing Management Plan	Defines the process we will use to effectively staff the WV IES project throughout the course of the project, providing the appropriate level of detail for organization and roles and responsibilities of project staff; approach to hiring and replacing staff including contingencies; and process for approval of new staff	A draft version of the Staffing Management Plan is included with the proposal submission. It provides the approach that Optum will take to staff the project and maintain compliance with all staffing requirements set forth in RFP Appendices VI, Table 26: Business and Technical Requirements and VII, Table 27: Operations Requirements of the RFP.	DHHR agrees that executing the plan results in meeting the requirements set forth in RFP Appendices VI, Table 26: Business and Technical Requirements and VII, Table 27: Operations Requirements of the RFP; and that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.
D008	Deliverable	Documentation Management Plan	Defines the process by which user and systems documentation and other key project artifacts will be developed, maintained and made readily available to DHHR.	A draft version of the Documentation Management Plan is included with the proposal submission. It provides the approach that Optum will use to use to manage project documentation, including: • Documentation types include deliverables, meeting materials, and artifacts • Use, access, and management of document repositories • Approach to version control on all project documentation	DHHR agrees that executing the plan results in project documentation and other key project artifacts being developed, maintained and made readily available to DHHR. And, that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D009	Deliverable	Training Management Plan	Outlines our approach to training WV IES users and Optum team members. Identifies the targeted population for training, and the type of training required for users based on their expected use of the WV IES	A draft version of the Training Management Plan is included with the proposal submission. It provides the approach we will take to train system users. The plan will describe how our approach will meet training requirements as described throughout RFP Section Four, Subsection 4.3.7.	DHHR agrees that executing the plan results in completion of Training Deliverables and Milestones (RFP Appendix II) and appropriately includes the definition of our approach to development, maintenance and implementation of training on the solution. And, that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.
D010	Deliverable	Testing Management Plan	Defines the approach, responsibilities, test deliverables, and describes the status reporting procedures to be employed for the testing phases of the project. Provides the framework used to plan and manage the testing effort, outlining the scope, schedules, responsibilities, resources, issues, risks, and environment needs required to complete testing activities.	A draft version of the Testing Management Plan is included with the proposal submission. It provides a description of the Optum approach to conducting and supporting each phase of testing as described throughout RFP Section Four, Subsection 4.3.5 of the RFP.	DHHR agrees that executing the plan, in concert with Deliverables D054 through D061 as applicable, should result in an appropriate testing plan for the solution. And that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.
D011	Deliverable	Scope Management Plan	Describes how the WV IES project scope of work will be defined, developed, monitored, controlled, and verified throughout the project. Defines the collaborative processes that will be implemented between Optum and DHHR to determine the impacts and risks associated with changes to the baseline scope of effort, including planned implementation activities, schedules and resource needs	A draft version of the Scope Management Plan is included with the proposal submission. It provides the approach that Optum will take to define, control, and verify scope during the project, and will include the following elements: • The approach for developing project scope statement • The approach to creating the Work Breakdown Structure (WBS) based on the scope statement • The approach to maintenance of the WBS • WBS that decomposes project tasks down to the work package level	DHHR agrees that executing the plan results in the definition, control and verification of the appropriate WBS and assessment of changes to the baseline scope of effort for both Optum and DHHR. And, that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D012	Deliverable	Deliverable Dictionary	Provides a comprehensive list of planned deliverables for the WV IES project, along with associated primary milestones, detailing the State-defined elements	A draft version of the Deliverable Dictionary is included in the proposal submission. It provides a list of all project deliverables including the following elements for each deliverable: • Deliverable Number • Deliverable Title • Purpose • Description • Initial acceptance criteria based on requested content in the RFP	DHHR agrees that the list of project deliverables aligns with the listing in the RFP, Appendix III and is complete and appropriately comprehensive.
D013	Deliverable	Schedule Management Plan	Defines the processes, roles and responsibilities for modifying the WBS to reflect actual progress against planned efforts, applying updates resulting from DHHR-approved changes in requirements and resource allocations. Defines the process required to maintain clear lines of accountability; and the format and content requirements of variance reports that highlight major differences between the previously approved baseline version and a recalculated forecast	A draft version of the Schedule Management Plan is included in the proposal submission. It defines Optum's approach to managing the project schedule and includes the following elements: • Scheduling Tool • Standing schedule review meetings • Project schedule delivery interval • Assumptions used to develop draft project schedule • Constraints that impact the draft project schedule • Project schedule reporting • Approach to baselining the project schedule	DHHR agrees that executing the plan results in the appropriate management of the project schedule, including the use of applicable tools, protocols and communication methods. And, that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D014	Deliverable	Project Schedule	Details the tasks, deliverables, schedules, task dependencies and identification of resource requirements for the DDI phase of the project. This includes the start and completion dates for each deliverable task in the RFP	A draft version of the project schedule is included with the proposal submission. It includes a detailed task-by-task schedule of the activities to be completed during the DDI phase of the project, tying back to the WBS. The project schedule provides start and end dates, durations, work estimates, resources, and predecessors for each tasks, deliverables, and milestones. The project schedule is developed in Microsoft Project format, and will be baselined upon initial approval by DHHR.	DHHR agrees that the project schedule contains the appropriate level of detail as noted in the description and serves as the applicable baseline for the project.
D015	Deliverable	Cost Management Plan	Describes how project costs will be planned, incurred, structured, controlled and reported. Defines the processes by which the policies, procedures, and documentation for planning, managing, expending, and controlling the project costs will be established	A draft version of the Cost Management Plan is included with the proposal submission. It provides the approach that Optum will use to manage the project budget to verify the project stays within budget.	DHHR agrees that executing the plan results in the appropriate management of project costs. And, that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.
D016	Deliverable	Quality Management Plan	Documents how we meet, comply with, and continually monitor established quality standards, implement supporting processes, evaluation steps, procedures and metrics. Defines the quality assurance processes, responsibilities, and, in conjunction with the WBS, define the deliverable review process and timeframes necessary to keep the project implementation on schedule	A draft version of the Quality Management Plan is included with the proposal submission. It provides the approach that Optum will use to manage the quality of the work that is provided on the project. The Quality Management Plan will establish the deliverable review process and quality assurance approach for the project, as described in RFP Section Four, and Subsection 4.3.2.	DHHR agrees that executing the plan results in providing Quality Assurance services that confirm that the solution delivers the capabilities established in the RFP. And, that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D017	Deliverable	Human Resources Management Plan	Defines the management approach for the human resources assigned to project, discussing the three key processes related to human resource management: • Development and organization of the Human Resources Management Plan • Acquisition and development of the project team itself • Management of the team to successfully complete the project	A draft version of the Human Resources Management Plan is included with the proposal submission. It provides the approach that Optum will use to manage the human resources that support the project.	DHHR agrees that executing the plan results in providing the appropriate human resource management for the project. And, that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.
D018	Deliverable	Communication Management Plan	Provides the context, framework and guidance for communications and stakeholder engagement activities related to the WV IES project. Provides an overall framework for managing and coordinating the wide variety of communications that directly or indirectly take place as part of the WV IES Project. It outline the roles and responsibilities of Optum, DHHR, and project stakeholders in sharing information about key project processes, events, documents, and milestones.	A draft version of the Communication Management Plan is included in the proposal submission. It will provide the approach that Optum will take to manage communications during the project, and will include the following elements: • Audience • Tools • Standing project meetings (purpose, audience, frequency) • Reporting • Maintenance of contact list • Time frame and frequency of communications • Required project communications	DHHR agrees that executing the plan results in clear communication to the stakeholders using various communication strategies to verify that consistent and accurate information is conveyed. And, that content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D019	Deliverable	Risk Management Plan	Defines the processes and tools to be used to plan for, identify, analyze, respond to, monitor, and control risk for the WV IES Project. Address the processes and procedures, roles and responsibilities for identifying and managing issues initially identified as a risk, or those that are escalated to the status of a risk.	A draft version of the Risk Management Plan is included with the proposal submission. It provides the approach that Optum will use to manage risk on the project, and will contain the following elements: • Risk management tools • Data sources that support risk management • Roles and responsibilities • Criticality and probability measures • Escalation measures • Mitigation techniques	DHHR agrees that executing the plan results in the ability to focus management attention on major issues that threaten the success of a project. And, that content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.
D020	Deliverable	Issue Management Plan	Describes the processes and tools to identify and resolve issues that arise during the WV IES Project. Defines the roles and responsibilities for Optum and DHHR to identify, track and resolve issues that occur during performance of contract requirements.	A draft version of the Issue Management Plan is included with the proposal submission. It provides the approach that Optum will use to manage project issues, and will contain the following elements: • Issue management tools • Data sources that support issue management • Roles and responsibilities • Criticality measures • Escalation measures • Corrective action plan methodology	DHHR agrees that executing the plan results in the ability to identify, evaluate and assign issues for resolution during the course of the project. And, that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D021	Deliverable	Change Management Plan	Outlines the process for identifying, preparing, validating, monitoring, controlling, approving and reviewing change requests. Provides an overall framework for managing and coordinating changes to the WV IES in a coordinated manner. It addresses how Optum will document various types of changes, and defines the notifications and authorizations required before a change will be placed in production.	A draft version of the Change Management Plan is included in the proposal submission. It provides the approach that Optum will use to conduct change management on the project, and will include: • Change management tools • Establishment of a change control board • Regularly scheduled change control meetings • Process used to document change requests on the project • A description of how the approach aligns with the change management requirements contained in the project goals in RFP Section 4.3: Common Governance Structure.	DHHR agrees that executing the plan results in the ability to provide a management framework to verify the proper management of changes to the solution. And, that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D022	Deliverable	Security, Privacy, and Confidentiality Management Plan	To protect the WV IES from a wide variety of threats that could compromise the confidentiality, integrity or availability of the WV IES data. Describes the data handling protocols used to secure and protect the confidentiality of the State data and its citizens' privacy. Addresses how DHHR's data is used, accessed, and secured while in storage, transmission and processing; and sanitized or destroyed in accordance with applicable laws and best practices. Provides DHHR with the knowledge needed to understand the security posture of the WV IES data. Describes the solution's security and privacy environment, including the security and privacy controls for the protection of all data received, stored, processed and transmitted by the WV IES, throughout the life of the project.	A draft version of the Security, Privacy, and Confidentiality Management Plan is included in the proposal submission. It provides the approach that Optum will use to manage security, privacy, and confidentiality during the project. This plan will establish the approach for complying with all federal and State security mandates. This plan will also include the following elements: • Our approach to conducting penetration testing • Account management • Role-based security (including complete solution role matrix) • Audit controls and logging • Incident response plan • A description of how we will use IDS, IPS, Security Information Event Management (SIEM), and malicious software detection • Annual update process • Data breach reporting processes • A description of how the approach aligns with the related procedures in State plans provided in Procurement Library • The approach to completing SSP, SPR, POA&M, and other artifacts tied to federal reviews	DHHR agrees that executing the plan results in the appropriate level of security, privacy and confidentiality of State data and citizens' privacy within the solution. And, that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D023	Deliverable	Configuration Management Plan	Outlines the overall configuration management approach throughout the project lifecycle. Defines the project's structure as well as methods and tools used to define and baseline the Configuration Items (CIs), management of changes and releases of these items as well as controlling the storage and delivery of the CIs.	A draft version of the Configuration Management Plan is included with the proposal submission. The plan describes the approach that Optum will take to manage the solution configuration during the project.	DHHR agrees that executing the plan results in the appropriate management of CIs for the solution. And, that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D024	Deliverable	Data Conversion Management Plan	Provides a data element-to-data element mapping, and approach for how the values will be converted from the legacy systems to the WV IES. Provides the details of data "clean up" procedures that could be applied to legacy systems data prior to the data conversion and migration effort.	A draft version of the Data Conversion Management Plan is included with the proposal submission. It provides the approach that Optum will take to conduct the data conversion activities supporting the transition from the legacy solutions to the integrated solution. The plan should include the following elements: • Development or use of conversion programs, tools, or existing extract routines to extract data from the current system • Validation of the data conversion software, including description of a system test of all conversion software to demonstrate its functionality and performance before conversion • Conducting parallel system and subcomponent runs to validate data conversion results • Data cleansing, including development of a Data Conversion Specifications Document containing the specific data cleansing and conversion criteria for all data elements • Development and use of data conversion test scripts • Support for UAT of converted data Approach to data conversion reconciliation, including methodologies for: – Trial conversions – Results reporting and analysis – Verification of pilot implementation data – Verification of system-wide implementation data – Strategy for any data that does not convert – Approach to development and use of data conversion test scripts	DHHR agrees that executing the plan results in accurate data conversion from the legacy systems to the solution. And, that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D025	Deliverable	Disaster Recovery and Business Continuity Plan	Addresses the approach that Optum will use to restore operations following a disaster event. This includes: • Backup and recovery procedures as well as disconnected operational capability to make certain that the WV IES can continue to operate in the event of an unexpected destruction of hardware, software, or communications through system failure, disruption of connectivity or natural disasters • Arrangements for backup hardware or processing sites; off-site data storage; schedule for creation of backup media; and detailed recovery procedures for all anticipated types of disasters • A description of each anticipated type of disaster • Escalation plans that specify the necessary points of contact and decision-making authority at the State offices and local provider levels	A draft version of the Disaster Recovery and Business Continuity Plan is included with the proposal submission. The plan will provide the approach that Optum will use to restore operations following a disaster event. The plan will include the following elements: • Backup and protection plans and procedures, to include files, software, hardware, and network connectivity • Description of any proposed alternate hot sites, including proposed plans and procedures for failover testing • Description of off-site storage procedures, including a detailed schedule for backup operations and any proposed clustering methodology for high availability • Proposed recovery time and recovery point objectives • Risk analysis and risk mitigation for each core business process • Processes and procedures for testing and reporting of the Disaster Recovery and Business Continuity Plan to include: – Failover/fallback functionality – Back-up/recovery functionality, including Recovery Point Objective and Recovery Time Objective • Business Continuity • Process for updating the plan through the life of the contract	DHHR agrees that executing the plan results in the appropriate level of disaster recovery and business continuity for the solution. And, that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D026	Deliverable	Integration Management Plan	Describes the approach to verify that the integrated solution as designed, developed, implemented, and operated by the Optum WV IES team aligns with and advances MITA maturity within the enterprise. Provides the approach that Optum will use to manage the modules that make up the complete solution and describes how these modules support the CMS Seven Conditions and Standards.	A draft version of the Integration Management Plan is included with the proposal submission. The plan will provide the approach that Optum will use to manage the modules that make up the complete solution and how these modules support the CMS Seven Conditions and Standards.	DHHR agrees that executing the plan results in the expected integration of the modules of the solution which supports the Seven Conditions and Standards. And, that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.
D027	Deliverable	Data Quality and Governance Plan	Defines the infrastructure, policies and procedures that Optum will use to meet the data integrity, data quality and data verification objectives for the WV IES. Addresses the approach to manage program data and records within the solution.	A draft version of the Data Quality and Governance Plan is included with the proposal submission. The Plan will provide the approach that Optum will use to manage program data and records in the system. The plan will include: • Executive Summary • Functional and Organizational Infrastructure • Technical Infrastructure • Policies and Procedures • Data Quality Management	DHHR agrees that executing the plan results in the achievement of the objectives of data integrity, data quality and data verification within the solution. And, that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D028	Deliverable	System Back Up and Record Retention Plan	Defines the system backup and retention processes and schedules that will be followed to support recovery of the system and data should any problems arise.	A draft version of the System Back Up and Record Retention Plan is included in the proposal submission. The plan will provide the approach that Optum will use to conduct system back-ups and validate that all records are retained on a schedule that aligns with State and federal regulations. The plan will include the following elements: • Detailed schedules, to verify that data maintained on the WV IES or in other system/manual files is properly and routinely purged, archived, and protected from loss, unauthorized access, or destruction, in accordance with all relevant State policies and procedures • Retention methodology for all data and records associated with each of the WV IES Project phases	DHHR agrees that executing the plan results in the appropriate approach to conduct system back-ups and make sure that all records are retained on a schedule that aligns with State and federal regulations. And, that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.
D029	Deliverable	Turnover and Closeout Management Plan	Defines the collaborative processes that will be implemented between Optum, DHHR and/or the successor vendor to transfer the system, data, and associated assets so the State and/or successor vendor can effectively operate and maintain the WV IES.	A draft version of the Turnover and Closeout Management Plan is included with the proposal submission. The plan will provide the approach that Optum will use to transition the operations and maintenance of the system to the new vendor or the State when the contract ends. The plan will include the following elements: • Knowledge transfer to new vendor and/or State staff • Delivery of project documentation • Job shadowing • Transfer of assets (software, hardware, furniture) • Escrow • All data • Certificates of destruction • Project Closeout Report	DHHR agrees that executing the plan results in the appropriate approach to transition the operations and maintenance of the system to the new vendor or State when the contract ends. And, that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D030	Deliverable	Weekly Project Status Report Template	Provides the format and expected content for weekly project status reports.	A draft version of the Weekly Project Status Report Template is included with the proposal submission. The template will be the baseline version of the report that will be completed on a weekly basis to convey the detailed status of the WV IES Project.	DHHR and Optum agree that the report template, when populated with the appropriate content, will provide the weekly project status at the expected level of detail.
D031	Deliverable	Monthly Project Status Report Template	Provides the format and expected content for monthly project status reports. We have assumed that this report is at a more summarized level than the weekly project statuses and is intended for an executive audience.	A draft version of the Monthly Project Status Report Template is included with the proposal submission. This template will be the baseline version of the report that will be completed on a monthly basis to convey the summary-level status of the WV IES project.	DHHR and Optum agree that the report template, when populated with the appropriate content, will provide the monthly project status at the expected level of detail.
D032	Deliverable	Weekly Project Status Report	Provides a detailed assessment of progress against current deliverables, milestones, risks and actions using the approved template (see D030).	Each Weekly Status Report submitted by Optum ties to this deliverable.	The report is submitted on time and DHHR accepts the information contained in the weekly status report and agrees on the nature, status, and priority of any actions recommended within the report.
D033	Deliverable	Monthly Project Status Report	Provides a summarized assessment of progress which consolidates as appropriate the previous weekly status reports against current deliverables, milestones, risks and actions using the approved template (see D031).	Each Monthly Status Report submitted by Optum ties to this deliverable.	The report is submitted on time and State accepts the information contained in the monthly status report and agrees on the nature, status and priority of any actions recommended within the status report.
D034	Milestone	Completion of Project Management Plan	Defines the management organization, processes and tools we will use to effectively manage the WV IES project. Defines the processes, methods, tools and resources that we will use to manage all project activities. Provides PMI-aligned framework for all sub-plans.	This milestone represents completion of all component project management plan deliverables for the DDI phase of the project, and that they have been approved by DHHR.	DHHR agrees that executing the plan results in the appropriate project management approach to design, implement and operate the WV IES. And, that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D035	Deliverable	Requirements Traceability Matrix (RTM)	Links all requirements for the WV IES back to their origin and traces their implementation throughout the project lifecycle.	The RTM will establish traceability of the solution requirements from the beginning of the project. An initial version of the RTM will be approved following the completion of the Requirements Validation Sessions. The RTM continues to be updated and maintained throughout the course of the project.	DHHR agrees that the requirements list is complete and accurate and requirements are appropriately traced back to their origin.
D036	Deliverable	Requirements Specification Document (RSD)	Documents the specific system requirements as agreed to by DHHR and Optum. Supports a rigorous assessment of requirements before design begins in order to reduce later redesign. Provides a realistic basis for estimating product costs, risks, and schedules.	The RSD is the primary output of the Requirements Validation sessions. The RSD will establish Optum's ownership of all system requirements by documenting the shared understanding of the expectations for each requirement between DHHR and Optum.	DHHR agrees that the RSD provides the appropriate description of the requirements for the solution with sufficient detail to enable moving forward with DDI.
D037	Milestone	Overall Completion of Requirements Validation	Represents completion of the requirements gathering and documentation activities.	Completion of the Requirements Validation is achieved when Optum has completed all requirements validation sessions with DHHR, and the Requirements Specification Document Deliverable has been submitted and approved.	DHHR agrees that all requirements validation sessions have been satisfactorily completed, and has reviewed and approved the Requirements Specification Document.
D038	Deliverable	Requirements Gap Analysis Document	This deliverable documents, and validate with DHHR, the differences between business requirements and current WV IES capabilities. It also defines the approach to close for each gap item identified.	The Requirements Gap Analysis Document will identify and document the approach for resolving any gaps between system requirements and the capabilities of the solution.	DHHR agrees via formal signoff that requirement gaps to the solution and the approach to closing the gaps has been adequately documented.
D039	Deliverable	Business Process Models	Documents the workflow for each business process supported by the WV IES. Documentation is provided at a level required to understand how the process will work with the solution, including whether changes from the current state process are required or desired.	The Business Process Models will provide a step-by-step workflow of each business process to be supported by the solution.	DHHR agrees that the workflow for each business process supported by the solution has been appropriately documented.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D040	Deliverable	Detailed System Design (DSD) Document	Describes the WV IES including its architecture, procedures, data and interfaces, all in sufficient detail to enable the development and implementation of the solution to meet all requirements described in the RFP.	The DSD will provide the solution design that Optum will use to satisfy the requirements of the contract. The DSD is the primary output of the design sessions.	DHHR agrees via formal signoff that the WV IES design documented will satisfy the requirements of the contract.
D041	Deliverable	Data Dictionary	Provides a centralized, complete and comprehensive listing of WV IES data elements. Detail on each field is provided including the valid values for each.	The Data Dictionary will provide a complete inventory of all data elements that exist in the solution. It also includes a definition, data type, and table location for each element.	DHHR agrees that all data elements that exist in the solution are correctly and appropriately documented.
D042	Deliverable	Data Models	Facilitates the planning for and handling all in-scope data varieties and volumes. Facilitates the understanding of the complexities inherent in defining the relationship between source and target data structures.	The Data Models will provide the conceptual, logical, and physical models that define the structure of the data in the solution.	DHHR agrees that the conceptual, logical and physical data models appropriately represent the structure of the data in the WV IES.
D043	Deliverable	Reports Inventory	A consolidated inventory of all current reports generated by the WV IES. Detail on each report is also included in the inventory.	The Reports Inventory will provide a consolidated list of all reports generated by the solution. The inventory will include a unique ID, title, description, frequency, retention, and audience for each report.	DHHR agrees that the Report Inventory is complete and appropriate.
D044	Deliverable	Correspondence Inventory	A consolidated inventory of all correspondence generated by the WV IES. The inventory is searchable and includes items such as letter and notices.	The Correspondence Inventory will provide a consolidated list of all correspondence generated by the solution. Correspondence includes both letters (informational) and notices (decisions and changes to client accounts). The inventory will include a unique ID, title, description, related program.	DHHR agrees that the Correspondence Inventory is complete and appropriate.
D045	Deliverable	Forms Inventory	A consolidated inventory of all forms generated by the WV IES. The inventory is searchable and includes a description of each form.	The Forms Inventory provides a complete inventory of all forms generated by the solution. The inventory will include a unique ID, title, description, and related program for each form.	DHHR agrees that the Forms Inventory is complete and appropriate.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D046	Deliverable	Interface Inventory	A consolidated inventory of all external interfaces to the WV IES. The inventory is searchable and includes a description of each interface.	The Interface Inventory provides a complete inventory of external interfaces to the solution. The inventory will include a unique ID, title, description, source/destination, inbound/outbound, data classification, format, transmission method/medium, frequency, and format/standard for each interface.	DHHR agrees that the Interface Inventory is complete and appropriate.
D047	Deliverable	Data Cleansing and Conversion Requirements Document	Documents the current databases, files, data types, data values and their intended use in the WV IES, and additional information including: • Naming conventions for new tables and rows • Changes to key fields • Strategy for normalization • What if any new fields must be added • Structures supported by each database • How null values are handled • How date and time fields are stored • Procedures and timing for freezing current production system data	The Data Cleansing and Conversion Requirements Document will document the business rules that will be used to support the conversion of data from the legacy systems to the modernized solution.	DHHR agrees that the document appropriately captures the information required to create the Data Cleansing and Conversion Specification Document (D048)
D048	Deliverable	Data Cleansing and Conversion Specification Document	Documents the complete lists of conversion input and output files. It also includes the mapping of input fields to output fields, using the Data Cleansing and Conversion Requirements Document (D047) as an input.	The Data Cleansing and Conversion Specification Document provides the mapping of fields and all other information require to support the conversion from the legacy to the modernized solution.	DHHR agrees that the document appropriately captures the mapping of fields and all other information required to support the conversion from the legacy systems to the WV IES.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D049	Milestone	Overall Completion of Design Phase	Signifies formal completion of the WV IES Design Phase within each defined solution release, including submittal and State acceptance of prescribed baseline design deliverables. Successful completion of this milestone is required before release Development Phase can begin.	This milestone is achieved when Optum completes all design sessions with DHHR, and DHHR approves the Detailed System Design (DSD) deliverable.	DHHR accepts and signs off on prescribed design deliverables within each release.
D050	Deliverable	System Documentation	Describes the operational and design details of the WV IES and provides information for system developers to promote a clear understanding and knowledge transfer of design features and functionality.	System Documentation consists of all artifacts that document the design, structure, and operation of the WV IES.	DHHR agrees that the artifacts provided appropriately document the design and structure of the solution.
D051	Deliverable	System Security Plan (SSP)	Documents the current level of existing security controls within the WV IES that protect the confidentiality, integrity and availability of the system and its information.	The System Security Plan provides the CMS-mandated mapping for how the Optum solution meets all security controls that are applicable to the solution. The plan is based on the template provided by CMS.	CMS and the State accept as appropriate the completed System Security Plan for the solution.
D052	Deliverable	Safeguard Procedures Report (SPR) Replaced by the Safeguard Security Report (SSR) as of 2014	Documents, for the Internal Revenue Service, the processes, procedures and security controls in place to protect Federal Tax Information provided in accordance with IRC 6103 (p)(4).	The Safeguard Procedures Report provides the IRS-mandated mapping for how Optum meets all IRS Publication 1075 Security Requirements that are applicable to the solution. The report is based on the template provided by the IRS.	The IRS and the State accept as appropriate the completed Safeguard Procedures Report for the solution.
D053	Deliverable	User Documentation	Used to support training and assisting end users with their use of the WV IES. Promotes a clear understanding and knowledge transfer of WV IES user features and functionality.	User Documentation consists of all supporting documentation that we will make available to system users to support specific business processes. This may include desk level procedures, user guides, and other job aids.	DHHR agrees that the supporting documentation provided appropriately describes the utilization of the solution by the user community.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D054	Deliverable	Data Conversion System Integration Test Cases	Provides a series of test cases that verify that the data conversion specifications (D048) were followed and that data was successfully converted from legacy systems to the WV IES.	This deliverable documents the test cases that we will use to verify that the data conversion was successful at the system-test level.	DHHR agrees that the test cases will verify successful data conversion at the system-test level.
D055	Deliverable	Data Conversion System Integration Test Results	Provides the results of the Data Conversion System Integration Tests (D054) to demonstrate satisfactory data conversion functionality and performance prior to actual conversion operations. Demonstrates that all data migrated in the conversion test environment complies with the standards set out in the Data Conversion Management Plan.	This deliverable provides the test results verifying that the data conversion was successful at the system-test level.	DHHR agrees via formal signoff that the test results indicate successful data conversion at the system-test level.
D056	Deliverable	System Integration Test Cases	Provide a series of test cases to verify that the WV IES sub-components communicate effectively within the integrated system, and that the solution meets the functional requirements established for the system.	This deliverable provides the test cases that we will use to verify solution functionality at the system-test level.	DHHR agrees that the test cases will verify solution functionality at the system-test level.
D057	Deliverable	System Integration Test Results	Provides the results of the System Integration Tests (D056) to demonstrate that all parts of the WV IES successfully co-exist and exchange data where required.	This deliverable provides the test results verifying solution functionality at the system-test level.	DHHR agrees via formal signoff that the test results verify solution functionality at the system-test level.
D058	Deliverable	Regression Test Cases	Provides a series of test cases to verify that changes to the WV IES do not affect the functionality of the overall solution.	This deliverable documents the test cases that we will use to verify solution functionality during regression testing.	DHHR agrees that the test cases will provide verification of the solution functionality during regression testing.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D059	Deliverable	Regression Test Results	Provides the results of the Regression Tests (D058) to demonstrate that changes to the WV IES did not affect the functionality of the overall solution.	This deliverable provides the results verifying solution functionality during regression testing.	DHHR agrees via formal signoff that the test results verify satisfactory solution functionality during regression testing.
D060	Deliverable	Load/Stress Test Cases	Provides a series of test cases to verify WV IES functionality under load (e.g., the expected number of concurrent users) and stress (e.g., the upper limit of capacity of the solution).	This deliverable documents the test cases that Optum will use to verify solution functionality during load/stress testing.	DHHR agrees that the test cases will provide verification of solution functionality during load/stress testing.
D061	Deliverable	Load/Stress Test Results	Provides the results of the Load/Stress Tests (D060) to demonstrate that the WV IES performed satisfactorily under load and stress conditions.	This document provides the test results verifying solution performance during load/stress testing.	DHHR agrees via formal signoff that the test results verify solution performance during load/stress testing.
D062	Deliverable	Capacity Analysis Report	Documents the results of an analysis of the maximum workload for the WV IES, as designed and configured. Provides recommendations to assist State planning and consideration for WV IES capacity expansion, as required.	This report analyzes the workload that the solution can handle in its designed configuration. This gives DHHR the ability to determine if expansion is necessary to support integration of additional programs, or expansion of the client base, and to plan for that expansion.	DHHR agrees that the report appropriately analyzes the capacity of the solution and any recommendations for solution expansion.
D063	Milestone	Overall Completion of System Testing	Signifies formal completion of the WV IES Development and Testing Phase within each defined solution release. This includes submittal and State acceptance of the required baseline Testing Deliverables. Successful completion of this milestone is required before UAT can begin.	This milestone is complete when Optum has completed all system testing activities and DHHR has approved the System Integration Test Cases and Results.	DHHR accepts and signs off on the required testing deliverables within each release.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D064	Deliverable	User Acceptance Test Cases	Allows users to test the WV IES in a mock production environment to verify that it performs to all established specifications, and that its infrastructure works within the defined constraints. This also builds end user understanding and acceptance of the business use functionality of the WV IES. It provides the protocol, test cases, and training material for State users to execute in order to validate the functionality of the WV IES as documented in the Requirements Specification Document (D036). This occurs prior to promotion of the IES into the Production environment. It also provides training aids to address the three basic learning styles: audio, visual and kinesthetic, so that by the end of UAT all participants will understand how to use the system.	This deliverable documents the test cases that the State will use to verify solution functionality during UAT.	DHHR agrees that the use cases will result in verification of solution functionality during User Acceptance Testing.
D065	Deliverable	User Acceptance Test Results	Provides the results of the User Acceptance Tests (D060) to demonstrate that State users satisfactorily understand how to use the WV IES and that the solution performs to State expectations.	This deliverable provides the test results verifying solution functionality during UAT.	DHHR agrees via formal signoff that the test results verify solution functionality.
D066	Milestone	Overall Completion of User Acceptance Testing	Signifies formal completion of the WV IES UAT within each defined solution release, including submittal and DHHR acceptance of required UAT deliverables. Successful completion of this milestone is required before Operational Readiness assessments can begin.	This milestone is achieved when user acceptance test execution is complete for all releases, Optum delivers final UAT results to DHHR, and Optum has resolved all defects that are identified to impact the final release of the solution.	DHHR accepts and signs off on required UAT deliverables within each release.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D067	Deliverable	Operational Readiness Plan	Helps to promote the transition and build confidence as the development team releases the solution to the operations/support team. Provides a checklist to be used by Optum and DHHR to confirm that all components of the solution are complete. The Plan also includes a Go/No Go decision.	The Operational Readiness Plan provides the approach that Optum will use to confirm organizational readiness to make the transition from the legacy systems to the new solution.	DHHR agrees that execution of the Plan will result in confirmation that the components of the solution are complete and ready for users in the Production environment.
D068	Deliverable	Operational Readiness Test Scripts	Provides a series of test scripts which will be used to confirm components of the solution (documented in the Operational Readiness Plan), adhere to requirements and are deployed and ready for operations.	This deliverable documents the test scripts that Optum will use to test readiness for solution transition during operational readiness testing.	DHHR agrees that execution of the test scripts will confirm components of the checklist in the Operational Readiness Plan, as part of the overall readiness for solution transition.
D069	Deliverable	Operational Readiness Test Results	Provides the results of the Operational Readiness Test Scripts (D069) to demonstrate that the WV IES (including sub-systems, functions, processes, operational procedures, staffing, communications, and all other associated support) is ready for operation.	This deliverable documents the results from Operational Readiness Testing, and confirms that the solution is ready for transition to operations.	DHHR agrees via formal signoff that the test results verify components of the checklist in the Operational Readiness Plan.
D070	Deliverable	Updated Training Management Plan	Updates the Training Management Plan (D009) to reflect updates stemming from State-approved IES change requests. Confirms that user training is being performed using the latest approved WV IES baseline configuration.	The Training Management Plan is updated prior to user training to confirm that training includes the latest configuration including any approved State-approved changes since the first version of the plan was created.	DHHR agrees that revisions to the plan, including Training Deliverables and Milestones (RFP Appendix II) are appropriate. And, that the content of the deliverable is sufficiently detailed, aligns with the table of contents, and has no material gaps.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D071	Deliverable	Training Schedule	Provides a transparent, comprehensive training deployment calendar for initial WV IES deployment and ongoing training. This includes direct training and train-the-trainer approaches	The Training Schedule documents all of the training activities that Optum will provide during the training phase.	DHHR agrees that the training schedule reasonably aligns with user needs, availability and job functions for initial solution deployment and ongoing training.
D072	Deliverable	Training Materials	Provides job and role-based training materials for the WV IES to promote user understanding and use of system features and functionality from a business use perspective. Multiple delivery methods are offered based on the method that is most effective for the content. Training methods include instructor-led and self-guided learning in the form of computer-based training (CBT) and training reference materials.	Includes all materials that we will use to support training, including slide decks, lesson plans/curriculums, agendas, and any other materials that we will us to support training.	DHHR agrees that the materials Optum will use to support training are reasonable and appropriate to support effective trainer facilitation and user learning of the solution.
D073	Deliverable	Training Report	Provides standardized reporting of trainee feedback of completed training. This reporting will be used to assess continuous improvement opportunities for training activities (materials or delivery).	The Training Report will document the outcome of all training activities including feedback provided by attendees.	DHHR agrees that reporting is effective in measuring the outcome of the training phase of the project.
D074	Deliverable	Implementation Plan	Provides the comprehensive approach Optum will use to transition from the legacy systems to the new WV IES at go-live. It addresses the RFP-stipulated requirements and methodologies described in RFP section 4.3.8.3, Objective: Implementation Readiness.	The Implementation Plan will provide the approach that Optum will use to conduct the transition from the legacy system operations to the new solution.	DHHR agrees via formal signoff that execution of the plan results in cut over from the legacy systems to the new solution at go-live.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D075	Deliverable	Cut Over Play Book	Provides the detailed process and specific activities needed to execute activities identified in the Implementation Plan (D074) for cut over from the legacy systems to the new solution.	The Cut Over Play Book provide a detailed task-by-task schedule of the activities to be completed during the cut over from the legacy systems to the new solution at go-live.	DHHR agrees via formal signoff that execution of the play book results in cut over from the legacy systems to the new solution at go-live.
D076	Deliverable	Report Distribution Schedule	Provides the schedule for the execution and distribution of all regularly scheduled reports in alignment with SLA 006, "Reporting," in Appendix VIII of the RFP.	The Report Distribution Schedule will provide the schedule for the creation of all reports by the WV IES.	DHHR agrees that the report distribution schedule is appropriate and is in alignment with SLA 006, "Reporting" in Appendix II of the RFP.
D077	Deliverable	Operations Project Management Plans	Provides updated versions of applicable management plans (including those previously approved during the DDI phase of the project) for use during the Operations phase of the project.	The Operations Project Management Plans will provide updated versions of all management plans (inclusive of all project management plans approved for the DDI phase of the project) that Optum will use during the Operations phase of the project.	DHHR and Optum collaboratively agree that updated versions of specified management plans are appropriate for use during the Operations phase of the project.
D078	Deliverable	Solution Health Monitoring Plan	Provides Optum's approach to monitor and maintain the health of the solution, per the parameters agreed to by DHHR and Optum. This includes hardware uptime performance, process, task scheduler, file system, applications, software, patch and hardware inventory, event logging. It also includes the process for recommending enhancements to address any identified solution health issues.	The Solution Health Monitoring Plan describes Optum's approach to monitoring and maintaining the solution during the Operations phase of the project.	DHHR agrees that execution of the plan will result in the appropriate monitoring and maintenance of the WV IES.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D079	Milestone	Overall Completion of Implementation Readiness	Signifies formal completion of the WV IES Operational Readiness phase, including submittal and DHHR acceptance of prescribed ORT Deliverables. Successful completion of this milestone is required before deployment to Production can begin.	This milestone is complete when Optum completes ORT, training, and cut-over planning for all releases. The specific deliverables tied to the completion of these tasks are: • Operational Readiness Plan • ORT Scenarios • ORT Results • Training Plan • Training Materials • Implementation Plan • Implementation Play Book	DHHR accepts and signs off on prescribed ORT deliverables.
D080	Deliverable	Federal Certification and Review Management Plan	Describes the methods and activities that Optum will perform to support all Federal Reviews and Certifications required throughout the project lifecycle.	The Federal Certification and Review Management Plan provides the approach that Optum will use to support all federal reviews required throughout the project.	DHHR agrees that execution of the plan will result in support for Federal Reviews required throughout the project.
D081	Deliverable	ACF Certification Documentation	Identifies and describes the preparation of documentation required to support certification of the solution by the Administration for Children and Families (ACF).	This deliverable provides all supporting documentation required for the ACF Certification process.	DHHR agrees that the supporting documentation is appropriate to support the ACF Certification process.
D082	Deliverable	Federal Review Supporting Documentation	Identifies and describes the preparation of documentation required to support Federal Reviews of WV IES system components.	This deliverable provides all supporting documentation required for Federal Reviews of WV IES system components.	DHHR agrees that the supporting documentation is appropriate to support the Federal Reviews of the systems.
D083	Deliverable	Social Security Administration Certification Documentation	Identifies and describes the preparation of documentation required to support certification of the solution by the Social Security Administration (SSA).	This deliverable provides all supporting documentation required to support the SSA Certification process.	DHHR agrees that the supporting documentation is appropriate to support the SSA Certification process.

ID	Type	Deliverable/Milestone Title	Purpose	Description	Acceptance Criteria
D084	Deliverable	Implementation Certification Letter	Provides official written attestation from Optum that all WV IES functionality has been delivered and is ready for Production.	The Implementation Certification Letter provides attestation that all solution functionality has been delivered and is ready for full solution acceptance.	DHHR agrees via formal signoff that the solution functionality has been delivered and accepted by the State.
D085	Milestone	Overall Completion of Deployment to Production	Signifies formal completion of WV IES Deployment to Production, including submittal and State acceptance of required deliverables. Successful completion of this milestone is required before operations can begin.	This milestone is complete when Optum has successfully deployed all functionality to the production environment and resolves all defects that exceed the acceptable impact threshold defined in the Implementation Plan deliverable.	DHHR accepts and signs off on required deployment deliverables and provides written approval to begin operations.
D086	Milestone	Turnover and Closeout	Signifies formal fulfillment and conclusion of Optum contractual duties associated with the WV IES Project, including submittal and DHHR acceptance of required Turnover and Closeout Deliverables. Successful completion of this milestone is required before final invoicing can be initiated.	This milestone is complete when Optum completes planning and execution of all closeout activities when the contract ends.	DHHR accepts and signs off on prescribed turnover and closeout deliverables.

West Virginia Integrated Eligibility Solution (IES)

Draft Stakeholder Management Plan

Authorized for issue by:

xxxxxxxx

Signature **Date**

West Virginia Department of Health and Human Resources

xxxxxxxxx

Signature **Date**

Optum

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Revision History

Version	Date	Author	Summary of Changes
1.1	8/8/2017	Optum	Initial draft release

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Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 1
1.5 Related Documents 2
2. Stakeholder Identification 2
2.1 Stakeholder (Groups) Register 3
2.2 Stakeholder Register Contact List 4
3. Stakeholder Management and Strategy 4
3.1 Stakeholder Communications 5
4. Stakeholder Management Responsibilities 6
4.1 Key Relationship Management Approaches 7
5. Stakeholder Register - Groups 8
6. Stakeholder Register – Contact List 10

List of Figures

Figure 1: Stakeholder Power/Influence Grid 3
Figure 2: Impact Communicator 6

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1. Introduction

The Stakeholder Management Plan describes how Optum identifies, engages, and manages relationships with stakeholders through the appropriate management of their expectations for the West Virginia Integrated Eligibility Solution (WV IES) Project.

1.1 Objective

The objective of the WV IES Stakeholder Management Plan is to identify the project stakeholders, analyze stakeholder expectations, and develop a strategy by which stakeholders can be effectively engaged in decisions and execution throughout the project lifecycle.

1.2 Plan Scope

The WV IES Stakeholder Management Plan defines the approach that Optum will use to manage stakeholder engagement throughout the life of the project.

1.3 Plan Assumptions

Optum made the following assumptions when preparing this plan:

- WV IES stakeholders are clearly identified.
- It is the responsibility of DHHR to control the interactions between Optum, the incumbent contractor and identified stakeholders.
- Identified stakeholders will work in cooperation with DHHR, Optum, and other stakeholders during the course of the project.
- Key stakeholders will review project documentation provided and keep current on key actions and decisions.
- Key stakeholders will actively participate in designated meetings and will provide timely decisions and signoffs.

Constraints that could potentially have a negative impact on the project:

- Lack of availability and engagement of key stakeholders could impact project contracts, budget, decisions and schedule.

1.4 Plan Organization

This Stakeholder Management Plan is organized into the following sections:

- **Introduction (Section 1):** lists the objectives and scope of the Stakeholder Management Plan, assumptions made in developing the plan, plan organization, and identifies related documents.
- **Stakeholder Identification (Section 2):** describes our approach to working with DHHR to identify and classify all relevant project stakeholders.
- **Stakeholder Management and Strategy (Section 3):** provides an overview of our stakeholder management approach.
- **Stakeholder Management Responsibilities (Section 4):** provides details on the responsibilities of the project team related to stakeholder management, and the

approach to relationship management discusses the responsibilities of stakeholder management.

- **Stakeholder Register – Groups (Section 5):** identifies WV IES stakeholders, matrixed to their organizations, groups/project roles, levels of support, levels of influence, and power/influence grid.
- **Stakeholder Register – Contact List (Section 6):** identifies stakeholders and their associated organizations, project roles, and contact information.

1.5 Related Documents

The Stakeholder Management Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, the document is baselined and placed under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

Related documents include:

- Communication Management Plan

2. Stakeholder Identification

The definition of a stakeholder is any person, group or organization that could impact, or be impacted by, a decision, activity or outcome of the WV IES Project.

Identifying stakeholders requires that we think beyond just the immediate project team, and take into account the views of a wider range of interested parties – other project stakeholders. All stakeholders deserve to be recognized as having a 'stake' in the project – they may have an impact on the WV IES project or their lives may be significantly impacted by the outcome of the project.

Stakeholders may be internal or external to the project; they may influence the project in positive or negative ways. Some stakeholders will have limited ability to influence the project; other stakeholders may have significant influence on the project and project outcomes. Some stakeholders may actively exert their influence over the project, its deliverables, and the project team in order to achieve a set of outcomes that satisfy strategic business objectives or other needs, while others participate more passively. Some stakeholders may have competing expectations that might create conflicts within the project. The public, who could be either actively engaged in the project, or whose interests could be positively or negatively impacted by the execution or completion of the project, are also considered project stakeholders.

Effective stakeholder management creates positive relationships with stakeholders through the appropriate management of their expectations and agreed objectives and can mean the difference between project success and failure.

Initial identification of stakeholders can be determined by analyzing a variety of relevant project documents, some of which are noted in the list below:

- Project charter
- Procurement documents
- Third party vendors and suppliers lists
- Organization charts

- Stakeholder registers from previous projects
- Lessons learned from prior, related projects

Once WV IES stakeholders are identified, we conduct an analysis to determine their interests, expectations and influence to the project. Understanding stakeholder relationships with the project or with other stakeholders is also beneficial; those relationships can be leveraged to build potential partnerships that could enhance the project's chance of success.

A common method to facilitate stakeholder analysis is to conduct a profile analysis meeting with key project stakeholders to develop an understanding of the roles, interests, knowledge, and positions of each stakeholder or stakeholder group involved in the project. During this meeting, the team will use the Power/Influence Grid to group stakeholders based on their level or authority and their active involvement in the project. An example of the Power/Influence Grid is shown in Figure 1.

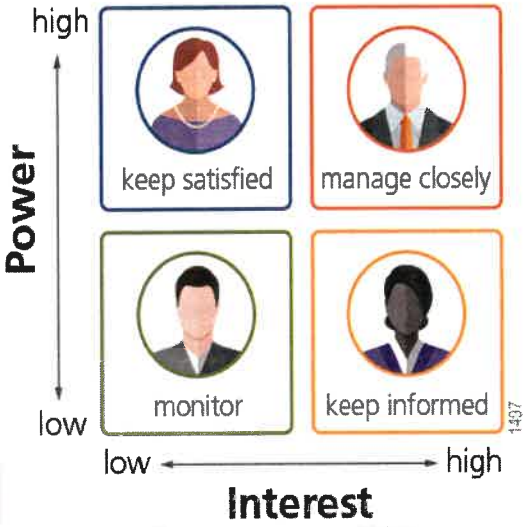


Figure 1: Stakeholder Power/Influence Grid.
We will use the grid to group stakeholders based on their power and interest in the project.

2.1 Stakeholder (Groups) Register

WV IES stakeholders will be engaged in a variety of ways, at different phases in the project life cycle and to different levels of involvement. It is important to understand the role and impact each stakeholder group has on the project.

During the stakeholder identification process, we create a stakeholder register. The stakeholder register includes details related to the identified stakeholder groups, such as:

- **Reviewer:** anyone who will review the project results and output documents
- **Contributor:** anyone who will be directly involved in the project
- **Owner:** the individual who will ultimately own the results of the project
- **Sponsor:** the individual or group who is backing the project
- **Delivery:** any group or people who have a role to deliver or implement a component of the project
- **Impacted by Outcomes:** anyone who is directly impacted by the results of the project
- **Dependent projects:** any stakeholders running other projects that will be impacted by the WV IES project, or whose project will impact the WV IES Project
- **Internal/External:** designates whether the stakeholder is internal or external to the WV IES Project
- **Level of Support:** identifies the expected level of support the stakeholder will provide to the WV IES project (i.e., high support, neutral, or resistor)
- **Level of Influence:** identifies the level of influence the stakeholder has over WV IES Project execution or outcome (i.e., high, medium, low)

The stakeholder register is a project artifact that is consulted and updated regularly throughout the life of the project. It is stored on the WV SharePoint repository, accessible to authorized DHHR and Optum project personnel. A sample of the stakeholder register can be found in Section 5.

2.2 Stakeholder Register Contact List

Another output of the stakeholder identification process is the stakeholder register contact list; it includes details related to individual key stakeholders, such as:

- Identification information: Name, organization, position, location, and project role
- Contact information: Email address, phone number
- Assessment information: Expectations, phase in the project life cycle during which they may have the most interest

The stakeholder register is a project artifact that is consulted and updated regularly throughout the project life cycle. It is stored on the WV SharePoint repository and accessible to authorized DHHR and Optum project personnel. A sample of the stakeholder register contact list can be found in Section 6.

3. Stakeholder Management and Strategy

An effective stakeholder management plan enables the project manager to effectively engage stakeholders, manage their expectations, nurture relationships between the stakeholders and the project team, and ultimately achieve project objectives by satisfying stakeholder needs.

Understanding the interests and expectations of project stakeholders enables the project manager to develop a clear, concise, and actionable plan to communicate and interact with stakeholders at the appropriate times throughout the project life cycle.

Effective stakeholder management can be accomplished by building trust, resolving conflict, and overcoming stakeholder resistance to change. The Optum deputy account/operations manager will collaborate with the DHHR project manager, as needed, to facilitate consensus on project objectives, exert their influence over stakeholders to support the project, negotiate agreements that satisfy project needs, and modify organizational behavior to accept project outcomes.

Activities that help us manage stakeholder engagement include:

- Engaging stakeholders at appropriate phases of the project to obtain or confirm their continued commitment to the success of the WV IES Project, in particular during the initial phases of the project when stakeholder interest and influence is the greatest
- Managing expectations through effective communication and/or negotiation to help ensure project goals are achieved
- Addressing potential concerns and anticipating future problems that have been raised by stakeholders in order to prevent project risks and issues
- Clarifying and resolving issues that have been identified by stakeholders

To facilitate project success, the Optum deputy account/operations manager will establish structured lines of communication with stakeholders/groups to understand their expectations, address issues as they occur, foster stakeholder engagement, and provide an update mechanism to keep them involved and aware of the project's progress.

Stakeholder management is an iterative process that is reviewed and revised throughout the project. The plan will be updated as new stakeholders are identified, when requirements change, when an ineffective communication method has been identified and replaced by another method, or when it has been identified that stakeholders have additional informational needs.

As new impacts to and by stakeholders are identified, management strategies will be adjusted to effectively engage stakeholders at the appropriate times for project decisions. Frequent communication is required with the stakeholders so their needs and expectations are effectively managed. The Optum deputy account/operations manager will work to resolve conflicting interests and involve stakeholders in key project decisions and activities in order to gain and retain project support.

We recognize we cannot control all of the activities or outcomes from stakeholder relationships, but by better understanding them, we are more likely to promote positive results. The more we engage our stakeholders, the better we understand their interests and concerns in order to take appropriate actions:

- **Inform:** communicate with stakeholders
- **Consult:** listen to what stakeholders have to say
- **Partner:** share responsibility for project delivery and project outcomes
- **Empower:** encourage stakeholders to participate and voice their opinions
- **Negotiate/Influence:** discern when such activity should be undertaken with care and consideration so that it is not perceived as manipulation

3.1 Stakeholder Communications

Successful project execution is dependent on effective stakeholder management. Insufficient involvement of stakeholders and infrequent communication with sponsors are leading causes of project failure.

A key component of stakeholder management is the development of an effective strategy to continuously communicate with stakeholders. Stakeholders have varying levels of interest and needs. From a strategic standpoint, they must be managed at different levels and communicated with at different frequencies. Frequent stakeholder communication and active stakeholder involvement will facilitate project success.

There are various methods to communicate with stakeholders based on their levels of interest and project participation. The Communication Management Plan will provide a description of the types of stakeholder communications that will take place. That plan will include:

- Stakeholder communication requirements
- A listing of information to be distributed with stakeholders, including language, format, content and level of detail
- Reason for the information to be distributed and the expected impact to the stakeholder
- Person or groups who will receive the information
- Time frame and frequency for the distribution of information

Optum developed Impact Communicator for keeping key stakeholders informed on the progress of resolution activities. Impact Communicator is a subscription-based portal used as the primary

means for sending notifications to DHHR IT and business partners about high priority incidents with business impact and planned change activity for business and IT services. All correspondence is stored in a single repository and linked to the service management ticket tracking record.

Key features offered by Impact Communicator are illustrated in **Error! Reference source not found.**.

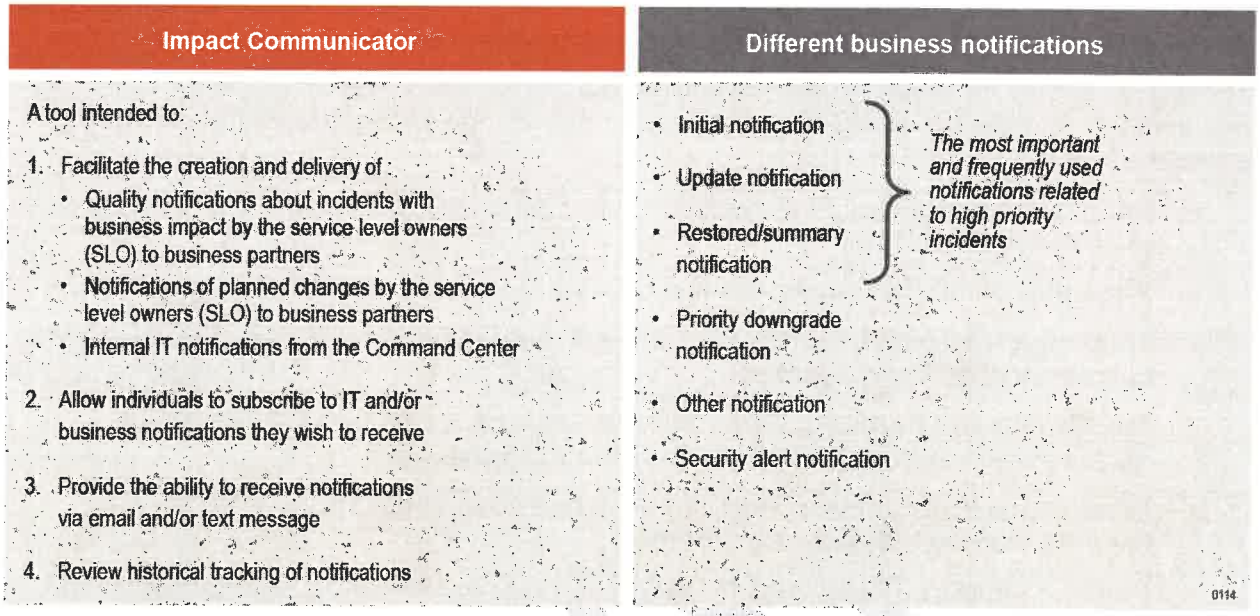


Figure 2: Impact Communicator.
Impact Communicator facilitates notification across the DHHR enterprise during high priority incidents.

4. Stakeholder Management Responsibilities

An important responsibility of the Optum deputy account/operations manager is to monitor stakeholder relationships in order to increase the efficiency and effectiveness of stakeholder engagement as the project evolves.

To achieve positive project results for the WV IES, the Optum deputy account/operations manager will stay informed on stakeholder behaviors, and will reassess the overall approach and communication process on a regular basis to confirm that stakeholders are engaging and being engaged in a positive fashion at appropriate times.

It is imperative that the Optum deputy account/operations manager understands how stakeholder relationships affect project results, and they will adjust the stakeholder management strategy as needed to either take advantage of positive relationships or to mitigate the impact of negative relationships.

Adjustments may need to be made based on unforeseen circumstances such as legislative actions, news articles, or other external occurrences. If necessary, the Optum deputy account/operations manager will recommend corrective actions that reduce the probability of potential future negative project perceptions to both internal and external stakeholders.

The Optum deputy account/operations manager will continuously assess project progress based on a variety of information and data that will include status reports, change requests, the project schedule, and financial data. This information will provide a comprehensive view of

project and work performance, enabling our deputy account/operations manager to adjust work and communication strategies to maintain positive engagement with project stakeholders.

Effective stakeholder management consists of keeping the right stakeholders participating in the right way at the right times throughout the project life cycle. While some stakeholders only need to be kept aware of progress, others will need to actively participate in project activities and decisions.

4.1 Key Relationship Management Approaches

The Optum deputy account/operations manager will utilize several key relationship management approaches to effectively communicate with and engage stakeholders. These strategies include:

- **Building partnerships:** Forge partnerships with key internal and external stakeholders to verify project success
- **Engaging on his/her terms:** Remain conscious of project priorities and goals
- **Thinking creatively:** Embrace solutions that may not be obvious; have the courage to pursue unconventional avenues
- **Developing and nurturing personal relationships:** Understand that personal relationships may enhance immediate or future opportunities
- **Persistence and patience:** Realize that decisions and agreements may take time; remain persistent until they are reached
- **Political support:** Present a convincing business case to key decision makers to gain their backing and validate progression

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5. Stakeholder Register - Groups

The following table provides a draft version of the Stakeholder Groups Register. The Register will be updated during the Project Initiation Phase of the project.

		Stakeholder Groups / Project Roles												Power/Interest Grid			
Stakeholder	Organization	Reviewer	Dependent Projects	Impacted by Outcome	Contributor	Delivery	Supplier	Sponsor	Owner	User	Internal/ External	Level of Support	Level of Influence	Keep Satisfied	Monitor	Manage Closely	Keep Informed
	DHHR																
DHHR Executive Management	DHHR			X	X			X	X		Internal	High	High	X			X
DHHR Program Management	DHHR	X	X	X	X	X		X			Internal	High	High	X			X
DHHR Project Management	DHHR	X		X	X	X	X				Internal	High	High	X	X		X
DHHR UAT	DHHR	X		X	X	X	X			X	Internal	High	Medium	X	X	X	X
DHHR DDI	DHHR	X	X	X	X	X	X	X	X		Internal	Neutral	High	X	X		X
DHHR Business Operations	DHHR	X	X	X	X	X	X			X	Internal	Neutral	High	X	X	X	X
Optum Executive Management	Optum			X	X						Internal	High	High	X	X		X
Optum Program Management	Optum	X		X	X	X	X				Internal	High	High	X	X		X

Stakeholder	Organization	Stakeholder Groups / Project Roles											Power/Interest Grid			
		Reviewer	Dependent Projects	Impacted by Outcome	Contributor	Delivery	Supplier	Sponsor	Owner	User	Internal/ External	Level of Support	Level of Influence	Keep Satisfied	Monitor	Manage Closely	Keep Informed
Optum Project Management	Optum	X		X	X	X	X				Internal	High	High	X	X		X
Optum DDI	Optum	X	X	X	X	X	X				Internal	High	High	X	X		X
Optum M&O	Optum	X	X	X	X	X	X				Internal	High	High	X	X		X
Optum Hosting/ Infrastructure	Optum	X	X	X	X	X	X		X		Internal	High	High	X	X		X
Optum QA Team	Optum	X	X	X	X	X	X		X	X	Internal	High	Medium	X	X		X
	Other Stakeholders																
TBD	Providers	X	X	X	X	X	X				External	Neutral	Medium	X	X	X	X
TBD	3rd Party Vendor		X	X	X	X	X				Internal	Neutral	Medium	X	X		X
TBD	3rd Party Vendor		X	X	X	X	X				Internal	Neutral	Medium	X	X		X
TBD	3rd Party Vendor		X	X	X	X	X			X	Internal	Neutral	Medium	X	X	X	X
TBD	Call Center		X	X	X	X				X	Internal	Neutral	Medium		X	X	X
Citizens, State of West Virginia	Members			X						X	External	Neutral	Medium	X			X
CMS	CMS	X			X	X		X	X		External	High	High	X			X

6. Stakeholder Register – Contact List

The following table provides a draft version of the Stakeholder Register (Contact List). The Register, including all currently blank fields, will be updated during the Project Initiation Phase of the project, and throughout the remainder of the life of the project.

Name	Organization	Role	Location	Email	Phone #	Expectations	Phase or Specific Activities of Interest
	DHHR	DHHR Executive Management					
	DHHR	DHHR Program Management					
	DHHR	DHHR Project Management					
	DHHR	DHHR UAT					
	DHHR	DHHR DDI					
	DHHR	DHHR Business Operations					
	Optum	IES Account Manager					
	Optum	IES Deputy Account Manager/ Operations Manager					
	Optum	IES Project Manager					
	Optum	IES Line of Business Manager					
	Optum	IES Line of Business Manager					
	Optum	IES Line of Business Manager					
	Optum	IES Line of Business Manager					
	Optum	IES System Manager					

Name	Organization	Role	Location	Email	Phone #	Expectations	Phase or Specific Activities of Interest
	Optum	Test Manager					
	Optum	Security Manager/HIPAA Officer					
	Optum	Change Control Manager					
	Optum	Deliverables/Requirements Manager					

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West Virginia Integrated Eligibility Solution (IES)

Draft Staffing Management Plan

Authorized for issue by:

xxxxxxxx **West Virginia Department of Health and Human Resources** **Authorized Project Manager**	**Signature**	**Date**
xxxxxxxxx **Optum** **IES Project Manager**	**Signature**	**Date**

August 8, 2017

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Table of Contents

1. Introduction 1
1.1 Objective and Scope 1
1.2 Plan Organization 1
2. Staffing Approach 2
2.1 Key Staff Qualifications 2
2.2 Support Staff Qualifications 6
2.3 Key and Support Staff Roles and Responsibilities 8
2.4 Other Staff Responsibilities 11
3. Project Organization 17
3.1 Organization Charts 17
3.1.1 DDI Organization Chart 17
3.1.2 M&O Organization Chart 18
3.2 Staff Management 19
3.3 Onboarding New Staff 21
4. Interaction with DHHR Staff and Key State Stakeholders 21
4.1 Optum Governance Model 21
4.2 Cultural Change Management (CCM) 23
4.3 Optum Cultural Values 24
5. Use of Subcontractors 24
6. Optum Human Resource Strategy 25
6.1 Recruitment Strategy 25
6.2 Qualification Verification and Background Checks 27
6.3 Retention Strategy 28
6.4 Employee Training 30

List of Figures

Figure 1: DDI Organization Chart 18
Figure 2: M&O Organization Chart. 19
Figure 4: Governance Model. 22
Figure 5: Cultural Change Management Focus Areas. 23
Figure 6: Subcontractor Management. 25
Figure 7: Recruitment Process. 27
Figure 8: Employee Engagement. 28

1. Introduction

Optum will staff the West Virginia Integrated Eligibility Solution (WV IES) project with a team of professionals who have design, development, implementation, operational, and enhancement experience on IES projects. We will maintain the appropriate staffing levels throughout the life of the project to meet your requirements.

We will only assign experienced staff to this important project. Our business delivery lead, Mark Kurten, is a West Virginia resident and senior director with 15 years of IT senior management experience. He leads a team in West Virginia that supports your legacy integrated eligibility system, giving him an understanding and appreciation for your State's operations, culture and people. Our Account Manager for the WV IES, Brian Cunningham, is a West Virginia native with nearly 17 years of experience working directly with West Virginia leadership and key stakeholders. He has an expert knowledge and understanding of DHHR's culture, values, and programs and how best to help you achieve your goals. Under his leadership, the WV IES Project team will work seamlessly with you. Our incumbent familiarity with WV IES data, people and systems will help us adapt quickly to the project and work productively from day one.

All of our proposed key staff members have excellent qualifications and relevant functional technology experience. As we have demonstrated to you in our work maintaining and operating RAPIDS, our team will be your partner to solve problems and achieve milestones for the performance of the WV IES.

1.1 Objective and Scope

The objective of this plan is to define the process we will use to staff WV IES throughout the course of the project. The Staffing Management Plan addresses RFP requirements regarding personnel, resources, and WV IES requirements for contractor staffing. We will maintain and comply with this plan throughout the life of the project.

1.2 Plan Organization

This Staffing Management Plan is organized into the following sections:

- **Introduction (Section 1)** lists the objectives and scope of the Staffing Management Plan and describes the plan organization.
- **Staffing Approach (Section 2)** describes our employee qualifications and how we will staff the WV IES Project.
- **Project Organization (Section 3)** explains how we will organize our staff to support WV IES operations.
- **Interaction with DHHR Staff and Key State Stakeholders (Section 4)** discusses our governance model, Cultural Change Management approach, and our Optum cultural values we will follow for the project in our cooperative interactions with DHHR staff and key stakeholders.
- **Use of Subcontractors (Section 5)** discusses our use of subcontractors and our subcontractor management approach for the WV IES Project.
- **Optum Human Resource Strategy (Section 6)** describes our human resources process which will enable us to meet your staffing requirements through the duration of this project.

2. Staffing Approach

We will staff the project with experienced, WV IES-knowledgeable technical resources from Optum or from one of our contracting partners. Our contracting partners will provide us with a broad pool of resources to fulfill the specialized position requirements for the WV IES. All key staff will be Optum employees. We will meet all staffing requirements for the WV IES with our highly qualified personnel.

The WV IES Project will have the support of more than 100 resources from our shared services organization, which provides technical resources and subject matter experts that Optum shares across projects and project phases. These resources provide support for areas such as database administration, system administration, data architecture, systems administration, data modeling, and security. For example, our project-based security team is supported by multiple corporate security resources. These individuals work with each dedicated delivery team to drive continuity, integration and performance in security and privacy controls across the enterprise. Additionally, Optum has nearly 132,000 employees, which enables us to draw upon specific expertise when needed and provides staffing flexibility to support the WV IES Project.

2.1 Key Staff Qualifications

We selected the key personnel based on their functional technology expertise, health and human services background and their ability to meet the RFP qualification requirements for their respective positions. Resumes for the key personnel we propose for the WV IES Project are presented in Appendix 4. The following table summarizes how each of our personnel meets the position qualification requirements stated in the RFP through education, certifications, and work experience.

Staff Member & Position	RFP Position Requirements	Qualifications of Proposed Key Staff
Brian Cunningham IES Account Manager	A total of eight years of experience in: • Management of an organizational unit within a Human Services Department in a U.S. State or territory; and/or • Management of an organizational unit within a Human Services Department which is performing operations in a State that are of similar scope to the services that West Virginia has requested; and/or • Experience in other large healthcare integrated eligibility setting or Agency contracted with the State/Territory responsible for the performance of the same.	A native West Virginian, Mr. Cunningham has nearly 17 years of experience with federally funded HHS providers, public health insurance eligibility and enrollment, care coordination, rural health financing strategies, and Medicaid managed care. He has expert knowledge and understanding of DHHR's programs and goals and established relationships with DHHR's key stakeholders. Mr. Cunningham has eight years of experience large integrated eligibility settings through his tenure with the West Virginia Primary Care Association (WVPCA), eligibility related support to the Bureau of Medical Services through the Lewin Group, his service as an AmeriCorps health fellow, and his current role as the Executive Client Manager for the West Virginia M&O project.
Stephen Secrist IES Deputy Account Manager/ Operations Manager	A total of four years of experience in: • Management of an organizational unit within a Human Services Department in a U.S. State or territory; and/or • Management of an organizational unit within a Human Services Department which is performing operations in a State that are of similar scope to the services that West Virginia has	Mr. Secrist has 20 years of leadership experience in operational management and development. This includes six years of experience managing large healthcare organizational units for a MMIS fiscal agent organization serving the state of West Virginia. He serves as a subject matter expert on CMS Medicaid certification, provider management and enrollment, claims processing, financial management,

Staff Member & Position	RFP Position Requirements	Qualifications of Proposed Key Staff
	requested; and/or • Experience in other large healthcare-integrated eligibility setting or Agency contracted with the State/Territory responsible for the performance of the same.	constituent services, and data file management. He has experience with Microsoft SQL Server, QNXT, FileNET, Agile, and Scrum. In his position with Molina, Mr. Secrist served as deputy account manager for West Virginia. His expertise includes collaborating with state government customers and multiple stakeholders and vendors to build positive working relationships. He is skilled at achieving organizational objectives and improving financial performance for complex enterprise projects involving multiple vendors.
Partha Mukhopadhyay IES Project Manager	A total of four years of experience in project management of an IT project(s) that encompassed the full system development life cycle from initiation through post implementation within a human services department or health insurance marketplace in a U.S. state or territory.	Mr. Mukhopadhyay is a PMP with more than 20 years of IT experience that includes 10 years of project management experience. He has 11 years of integrated eligibility experience and extensive knowledge of Medicaid Management Information System (MMIS) and various other interfaces. This includes nine years of experience as a manager of an organizational unit within an integrated eligibility engagement in the United States and 11 years as a manager of an organizational unit within a human services agency in a U.S. state or territory, which included project management of IT project(s) that encompassed the full system development life cycle from initiation through post implementation. He served as one of the two on-site delivery managers for the Illinois integrated Eligibility System (IES) development project. The IES supports several human services programs that include SNAP and TANF. For New Hampshire, Mr. Mukhopadhyay led the implementation of an IE system that coordinates policy, eligibility, and benefits determination for SNAP, Medicaid, and TANF programs. He also worked on the Client Assistance and Re-employment System project for the Wisconsin Department of HHS. He directed the system development and implementation activities. This is a large-scale, online family assistance information system that supports SNAP, TANF, Medicaid, Child Care, and the JOBS programs in the State of Wisconsin. For the Vermont health insurance exchange, he managed all aspects of the project execution activities for multiple teams that numbered 140+ staff. He has extensive experience managing all life cycles of system development projects, from contract initiation to delivery, using various PMBOK processes.
Mike Mikulay IES Line of Business Manager	• Four years of health and human services program management experience.	Mr. Mikulay is an applications development director with 26 years of IT leadership experience, including four years of HHS program management experience. He has

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Staff Member & Position	RFP Position Requirements	Qualifications of Proposed Key Staff
(Integrated Eligibility)	• Knowledgeable in quality assurance/control procedures, strong documentation, and reporting background, demonstrated proactive problem management skills, and experience with change and incident management. • One of the four years of experience should be with implementation experience in the solution and/or functionality being bid.	more than one year of implementation experience with the functionality we are proposing. He oversaw development for the program determination and MMIS interface of the Massachusetts Connector for Optum and is responsible for delivery of the client portal, rules engine, and reporting components of our IE product. He is knowledgeable in quality assurance/control procedures, and has strong documentation, a reporting background, and demonstrated proactive problem management skills, and experience with change and incident management. Master of Business Administration
Joseph Simms IES Line of Business Manager (Child Care)	• Four years of health and human services program management experience. • Knowledgeable in quality assurance/control procedures, strong documentation, and reporting background, demonstrated proactive problem management skills, and experience with change and incident management. • One of the four years of experience should be with implementation experience in the solution and/or functionality being bid.	Mr. Simms is an executive manager and PMP with more 30 years of experience in HHS program management, information technology, and quality assurance and control. He has more than 24 years of Child Care subsidy experience which is the functionality we are bidding for WV. Mr. Simms is knowledgeable in reporting and strong documentation. He takes a proactive approach to problem management, change management, and incident management. He has held leadership positions in state health insurance exchange and integrated eligibility systems for states that include Massachusetts, Rhode Island and Delaware.
Joseph Baile IES Line of Business Manager (Child Welfare)	• Four years of health and human services program management experience. • Knowledgeable in quality assurance/control procedures, strong documentation, and reporting background, demonstrated proactive problem management skills, and experience with change and incident management. • One of the four years of experience should be with implementation experience in the solution and/or functionality being bid.	Mr. Baile is a program manager and PMP with more than 14 years of HHS experience and nine years of experience in the Child Welfare functionality we are bidding for WV. He has nine years of Statewide Automated Child Welfare Information System / Comprehensive Child Welfare Information System (SACWIS/CCWIS) experience. He is knowledgeable in quality assurance and control, strong documentation, and reporting. He is also proactive in problem management and experienced with change and incident management. He has more than one year of implementation experience with functionality we are proposing. Since 2001, Mr. Baile has worked as a project manager/technical lead on engagements in areas that include child welfare systems, CCWIS replacement, early intervention, IT support and services, and TANF Welfare-to-Work. He has in-depth knowledge of HHS programs specific to child welfare.
Erica McGill IES Line of Business Manager (Child Support Enforcement)	• Four years of health and human services program management experience. • Knowledgeable in quality assurance/control procedures, strong documentation, and reporting background, demonstrated proactive	Ms. McGill is a Systems Analysis Program Management Consultant with more than 15 years of experience in systems architecture, process improvement, system integration, business and system analysis, and requirements gathering. She has four years of health and human services (HHS) program

Staff Member & Position	RFP Position Requirements	Qualifications of Proposed Key Staff
	problem management skills, and experience with change and incident management. • One of the four years of experience should be with implementation experience in the solution and/or functionality being bid.	management experience and has over three years of experience with the functionality we are proposing for the WV IES. She has strong experience in quality assurance, control procedures, documentation, reporting, change management, and incident management skills.
Janelle McDonald IES System Manager	A total of eight years of experience that can consist of any combination of the below: • Manager of an organizational unit within a human services agency in a U.S. state or territory; and/or • Manager of an organizational unit within an integrated eligibility engagement performing operations in a U.S. state or territory; and/or • Experience in another large healthcare eligibility determination organization.	Ms. McDonald is a PMP, a director and executive consultant with 15 years of experience delivering large-scale IT and business process model solutions for state health and human services clients. She has more than eight years of experience as manager of an organizational unit within a human services agency and manager of an organizational unit within an integrated eligibility (IE) engagement performing operations in a U.S. state. She specializes in entitlement modernization, strategic business development, operations/management and communications. Ms. McDonald identifies program goals, objectives and resource needs within time, resource and budgetary limitations. She has been consistently recognized for delivering continuous quality service, improved productivity, qualified staff and developing organizational expertise.
Brett Masek Test Manager	A minimum of four years of experience within the last eight years, managing the complete testing lifecycle on an integrated eligibility or related COTS-based solution deployment.	Mr. Masek has 18 years of IT management and quality assurance testing experience. At Optum, Mr. Masek delivers testing solutions to address service oriented architecture (SOA) standards and best practice needs while supporting conversion to and from client solutions. Mr. Masek evaluates technologies against business needs and analyzes the cost and benefit implications with the business drivers. His expertise includes process improvement, strategic testing optimization, mobile testing, internal and external auditing, test operations, and security testing. Mr. Masek has more than four years of experience in the last eight years managing the complete testing lifecycle in an eligibility or related commercial of the shelf (COTS) solution.
Michael Buckley Security Manager/ HIPAA Officer	Minimum of five years IT security work experience including infrastructure/network and multi-platform environments with similar scope to the services that West Virginia has requested. Experience should demonstrate familiarity with technical and risk assessment techniques, tools, and practices, and experience working with federal security and privacy requirements.	Mr. Buckley is a PMP, a computer and information security products architect, a Certified Information Systems Security Professional (CISSP), and senior manager with more than 20 years of IT security experience in infrastructure/network and multi-platform environments for projects of similar scope to West Virginia's. He has familiarity with technical and risk assessment techniques, tools, and practices. He is also experienced working with federal security and privacy requirements. Mr. Buckley is a

Staff Member & Position	RFP Position Requirements	Qualifications of Proposed Key Staff
		Certified Information Systems Security Professional (CISSP), CSA Certificate of Cloud Security Knowledge (CCSK), and U.S. Navy Submarine Qualified veteran. Mr. Buckley has a record of leading cross-functional security product development teams from concept through delivery. He has delivered IAM, VPN, PKI, EPCS and endpoint security solutions to Fortune 500 enterprises; commercial customers; state, federal and local governmental bodies; and health care and pharmaceutical customers.
Senthil Kannimar Change Control Manager	A total of four years of experience as follows: • Experience working as an IT change control lead or manager for a vendor of HHS systems, state HHS agency, and/or large healthcare organization. • Experience in development and maintenance of an ongoing change control function that monitored and ensured the vendor followed agreed-upon change control processes across all vendor functions and teams.	Mr. Kannimar is a PMP, Certified Scrum Master (CSM) and program manager with 22 years of experience leading all phases of technology projects and delivering implementations for multiple industries. He has 15 years of experience managing the change request and approval process as part of his project management responsibilities, including more than five years of experience managing change requests for large-scale health and human services (HHS) projects. Mr. Kannimar's background includes responsibility for project management, change management/control, configuration management, estimating tools, resource management, release management, and risk and issue management for multiple projects.
Kalyan Guntupalli Deliverables/ Requirements Manager	A total of four years of experience in: • Management of deliverable development, submission, review, and acceptance tasks for an enterprise State or territory system implementation.	Mr. Guntupalli has more than 13 years of health care IT experience, including requirements management, architecture, analysis, design, deployment, IT support and process design and implementation in an n-tier system. The last four years he has been managing of deliverable development, submission, review, and acceptance tasks for State eligibility and enrollment systems in Massachusetts and Vermont. He implements ITIL processes, including incident, problem, change, and release management for state government projects. He has strong collaboration skills and builds successful operations through automation, reporting, innovative strategies, technical expertise, and retaining high-performing teams.

2.2 Support Staff Qualifications

The following table describes the relevant experience of the support staff we propose for the WV IES Project.

Staff Member & Position	RFP Position Requirements	Qualifications of Proposed Key Staff
Mark Kurten Business Delivery	• Eight years of experience in enterprise-class application development	Mr. Kurten is a West Virginia resident and senior director with 15 years of IT senior

Staff Member & Position	RFP Position Requirements	Qualifications of Proposed Key Staff
Lead	• At least one year of experience in other large healthcare- integrated eligibility setting or Agency contracted with the State/Territory responsible for the performance of the same	management and enterprise-class application development experience, which includes one year of experience in a large health care integrated eligibility setting. He leads a team in West Virginia that supports its legacy integrated eligibility system, giving him an understanding and appreciation for the State's operations, culture and people. Mr. Kurten is a technically sophisticated management professional with a career combining strong leadership qualifications with hands-on application development experience. He maintains focus on achieving bottom-line results while formulating and implementing advanced technology and business solutions to meet diverse customer needs. His areas of expertise include enterprise-class application development, team building and coaching, strategic and tactical planning, budget management, customer relationship management, implementation, vendor negotiation and management, and staffing.
James Marine Interface Manager	A minimum of four years of experience in the management and/or performance of system integration, messaging modules, and/or interface development.	Mr. Marine is a senior consultant with 24 years of experience in health care IT, specializing in system integration architecture and solutions. He has 20 years of experience managing and performing system integration, messaging modules, and interface development. Mr. Marine's area of expertise includes developing strategies to implement specific vendor product components to support an integrated technical architecture. He provides in-depth knowledge of a specific family of technologies, such as enterprise application integration (EAI), service-oriented architecture (SOA), master data management (MDM), business intelligence (BI), message-oriented middleware (MOM), Big Data/NoSQL solutions, and integration engines. He has experience with EDI; Extract, Transform, Load (ETL); business intelligence; data warehouse and system integration.
Jeff Downes Data Architect	Minimum of six years of experience in the following areas: • Implementing enterprise data architecture infrastructures in a health IT environment(s). • Data modeling and architecture, including expertise data language standards and middleware, data transfer standards, web- based architecture, and entity relationship diagrams. • Data warehouse architecture and building data structures.	Mr. Downes is an IT professional with more than 30 years of experience in data architecture design, database development, and tuning for operational and analytic database systems. He has broad experience with business process modeling and process improvement using case design and object modeling. He uses complex SQL to both query and update databases. Mr. Downes has database design experience on multiple platforms including SQL Server, DB2, Oracle and Teradata. Mr. Downes has more than six years of experience implementing enterprise data

Staff Member & Position	RFP Position Requirements	Qualifications of Proposed Key Staff
		architecture infrastructures in health IT environments, data modeling and architecture, (including expertise data language standards and middleware, data transfer standards, Web-based architecture, and entity relationship diagrams), and data warehouse architecture and building data structures.
Shubi Kamerkar Data Architect	Minimum of six years of experience in the following areas: • Implementing enterprise data architecture infrastructures in a health IT environment(s). • Data modeling and architecture, including expertise data language standards and middleware, data transfer standards, web- based architecture, and entity relationship diagrams. • Data warehouse architecture and building data structures.	Ms. Kamerkar is an IT professional with more than 15 years of experience developing logical and physical data and process models. At Optum, she leads the data architecture team for data modeling in the data management services area. She is responsible for creating and implementing strategies for government and commercial clients' information management. Ms. Kamerkar participates in systems development, new business development, and client-server implementations for Optum. She has extensive experience managing projects involving requirements gathering and analysis, creating standards documentation, and training personnel. Ms. Kamerkar has six years of experience implementing enterprise data architecture infrastructures in a health IT environment(s), data modeling and architecture, (including data language standards and middleware, data transfer standards, Web-based architecture, and entity relationship diagrams), and data warehouse architecture and building data structures

2.3 Key and Support Staff Roles and Responsibilities

The following table describes the responsibilities for our WV IES key staff.

Staff Member & Position	Responsibilities
Brian Cunningham IES Account Manager	• Serves as the senior representative for the contract and the liaison to the WV IES Project Sponsor • Establishes and maintains close relationship with DHHR to build consensus and foster strong communications related to the WV IES • Responsible for the scope of work under the contract • Manages integration across HHS programs and updates DHHR on project status • Attends meetings in person as needed, including government hearings, to stay informed and maintain strong relationships with DHHR and key stakeholders
Stephen Secrist IES Deputy Account Manager/ Operations Manager	• Serves as the point of contact for the WV IES Project Manager • Responsible for day-to-day project activities and managing all issues, concerns and requirements including integration management and solution components • Responsible for M&O activities for the integrated eligibility enterprise • Provides support for all federal reviews, CMS processes, federal certification processes,

Staff Member & Position	Responsibilities
	and other agreed upon critical functions and processes • Maintains M&O-related communications with DHHR including project management, scheduling, and status reporting • Fulfills the account manager's responsibilities in the account manager's absence
Partha Mukhopadhyay IES Project Manager	• Provides overall direction and project management for the WV IES Project team in the implementation, enhancement and operations of the solution and its components • Coordinates the completion of deliverables across functional areas • Provides subject matter expertise in project methodology, resource allocation, and facilitation • Serves as the primary point of contact for DHHR regarding DDI and M&O project management activities • Provides support for all federal reviews, CMS processes, federal certification processes, and other agreed upon critical functions and processes
Mike Mikulay IES Line of Business Manager (Integrated Eligibility)	• Validates that the integrated eligibility solution aligns with the Bureau for Medical Services (BMS) plus WVCHIP line of business • Interacts with the line of business as needed • Manages configuration activities for development, modification and enhancement of solution components or applications managed • Gathers requirements for M&O and modifications to the WV IES
Joe Simms IES Line of Business Manager (Child Care)	• Validates that the integrated eligibility solution aligns with Bureau for Children and Families (BCF) Family Assistance line of business • Interacts with the line of business as needed • Manages configuration activities for development, modification and enhancement of solution components or applications managed • Gathers requirements for M&O and modifications to the WV IES
Joe Baile IES Line of Business Manager (Child Welfare)	• Validates that the integrated eligibility solution aligns with BCF Social Services line of business • Interacts with the line of business as needed • Manages configuration activities for development, modification and enhancement of solution components or applications managed • Gathers requirements for M&O and modifications to the WV IES
Erica McGill IES Line of Business Manager (Child Support Enforcement)	• Validates that the integrated eligibility solution aligns with Bureau for Child Support Enforcement (BCSE) Program, line of business • Interacts with the line of business as needed • Manages configuration activities for development, modification and enhancement of solution components or applications managed • Gathers requirements for M&O and modifications to the WV IES
Janelle McDonald IES System Manager	• Responsible for planning, developing, testing, implementing, and maintaining the WV IES • Oversees systems maintenance and modification activities, job scheduling, reporting maintenance, testing and implementation of system modifications, and maintaining system connectivity • Manages the modernization DDI and required federal reviews • Oversees the conversion of West Virginia eligibility data for import into the modernized solution • Responsible for all aspects of the data conversation, including design, development, testing, and implementation of the data conversation approach throughout DDI and

Staff Member & Position	Responsibilities
	Operations
Brett Masek Test Manager	• Manages WV IES testing activities • Responsible for identifying, categorizing prioritizing, assigning, resolving, verifying and closing defects found during testing • Oversees unit testing, system testing, readiness testing, and other testing as needed for the WV IES • Involves DHHR and key stakeholders in WV IES testing to complete activities with State approval and within agreed upon timeframes • Reports testing results to the State in the agreed upon format (e.g., dashboards) in a timely fashion
Michael Buckley Security Manager/HIPAA Officer	• Manages security of the WV IES architecture, infrastructure and network and its multi-platform environments • Responsible for verifying security is a primary focus during DDI • Responsible for compliance of staff with HIPAA and other state and federal security standards • Communicates any identified security issues or incidents to DHHR and leads security solution development as needed
Senthil Kannimar Change Control Manager	• Manages the change control process for all changes to project scope, schedule, or cost • Validates that changes comply with the change control process • Develops and maintains the Change Management Plan and validates compliance with the plan • Supports the Change Control Board and oversees corrective actions • Verifies that WV DHHR and key stakeholders stay informed on changes as they progress through the change control process
Kalyan Guntupalli Deliverables/ Requirements Manager	• Manages the development, delivery, and approval of project deliverables during DDI through to testing • Validates that deliverables meet DHHR requirements

The following table describes the responsibilities for our WV IES support staff.

Staff Member & Position	Responsibilities
Mark Kurten Business Delivery Lead	• Serves as a bridge for knowledge migration from legacy systems and operations • Supports the account manager and deputy account manager/operations manager in client interactions, stakeholder alignment, and issue management • Acts as an integral component of validating milestones and delivery
James Marine Interface Manager	• Oversees WV IES interface design and development • Validates that required interfaces integrate with external systems and data sources to meet DHHR requirements • Responsible for all aspects the external interfaces to include design, development, testing, and implementation
Jeff Downes Data Architect	• Responsible for identifying data and defining how it will be stored, consumed, integrated and managed • Designs data parameters and components to meet all DHHR specifications throughout the life of the project • Responsible for cleaning, transforming, modeling, and analyzing data

Staff Member & Position	Responsibilities
	• Performs development and testing to meet DHHR requirements • Validates that data is secured in compliance with federal requirements as needed • Communicates and reports findings to DHHR
Shubi Kamerkar Data Architect	• Responsible for identifying data and defining how it will be stored, consumed, integrated and managed • Designs data parameters and components to meet all DHHR specifications throughout the life of the project • Responsible for cleaning, transforming, modeling, and analyzing data • Performs development and testing to meet DHHR requirements • Validates that data is secured in compliance with federal requirements as needed • Communicates and reports findings to DHHR

2.4 Other Staff Responsibilities

Other Design, Development, and Implementation (DDI) Staff: The following FTE staffing chart shows the roles, responsibilities, and FTEs we propose for the DDI other staff for the WV IES Project.

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DDI Org Chart Role	Responsibilities	*Location	FTEs	
			IE Release	**CW & CS Releases
Chief Architect	Responsible for the development of key deliverables and configurations. Reviews key deliverables, configurations, and systems for accuracy	Off-site	1	
Solution Architects/Solution Leads	Provides solution designs, development and support; provides solution leadership as needed	Off-site	9	7
Integration Architects	Designs and develops the integration of solution components and software for the WV IES	Off-site	5	6
Technical Writers	Gathers, analyzes, and translates technical information into documents that technical and nontechnical personnel can use and understand	Off-site	3	3
BA/SA Managers/Leads	Oversees and manages the businesses analyst's and system analyst' work and deliverables; reviews key deliverables for accuracy and suitability	Off-site	2	3
BA/SA Teams: Business Analysts (BA)	Works collaboratively with users to gather business requirements; defines business rules and translates them into software specifications	Off-site	6	5
System Analysts (SA)	Works collaboratively with users to gather system requirements and translate them into software specifications	Off-site	5	5
Development Managers	Manages development of key deliverables and configurations; reviews deliverables, status reports, configurations, and systems for accuracy	Off-site	4	4
Application Development Teams: Java Developers	Designs and configures Java solution components according to industry standards to meet DHHR specifications.	Off-site	10	21
Rules Engine Developers	Designs and configures rules engine components according to industry standards to meet DHHR specifications	Off-site	15	1
UI Developers	Designs and configures user interface components according to industry standards to meet DHHR specifications	Off-site	7	8
Natural and COBOL Developers	Designs and configures solution components using natural language and COBOL programming languages according to meet DHHR specifications	Off-site	2	2
Data Conversion Managers/Leads	Manages the collection, validation, and verification of all data flowing into and out of the system; validates that data converts as expected	Off-site	2	2

DDI Org Chart Role	Responsibilities	*Location	FTEs	
			IE Release	**CW & CS Releases
Data Conversion Team: ETL Developers	Creates the ETL transformations, workflows, and jobs to support the data conversion using Informatica	Off-site	8	5
SQL Developers	Creates the SQL to be used in ETL transformations, workflows, and jobs to support the data conversion	Off-site	4	3
Interface Development Team: ESB (OIL) Developers	Develops enterprise service bus components in MuleSoft according to industry standards to meet DHHR specifications	Off-site	8	8
ETL/SQL Developers	Creates the ETL transformations, workflows, and jobs to support batch interface development	Off-site	2	3
Training Manager	Oversees the training development and delivery and manages the trainers	Off-site	1	1
Trainers	Develops and presents training programs for WV IES end users; develops and maintains training documentation and materials	Off-site	7	7
Reporting Manager	Responsible for the development and delivery of reports defined by the State and the WV IES project team, including ad-hoc reports	Off-site	1	1
Report Development Team: Cognos/Tableau Developers	Generates and delivers reports defined by the State and WV IES project team using Cognos and Tableau	Off-site	2	2
ETL/SQL Developers	Assists in the generation of reports defined by the State and the WV IES project team using ETL and SQL	Off-site	1	1
QA Leads	Responsible for quality assurance activities and testing the proposed solution including unit testing, system testing, readiness testing	Off-site	3	3
QA Analysts - Functional	Performs quality assurance activities and functional testing of the WV IES	Off-site	15	18
QA Analysts - Performance	Performs quality assurance activities and performance testing of the WV IES	Off-site	4	4
QA Analysts - Security	Performs quality assurance activities and security testing of the WV IES	Off-site	1	1
Quality Architect/ Automation Lead	Responsible for the automation quality assurance activities and testing	Off-site	1	1

DDI Org Chart Role	Responsibilities	*Location	FTEs	
			IE Release	**CW & CS Releases
Automation Analysts	Performs quality assurance activities and automation testing of the WV IES	Off-site	2	2
Quality Data/ Environment Manager	Manages the collection, validation, and verification of data flowing into and out of the system; responsible for maintaining the solution environment	Off-site	2	2
Data Center Manager	Oversees WV IES data center operations; manages system administrators, database administrators, and their work	Off-site	1	1
System Administrators	Responsible for the operating systems, virtual environment, and COTS application tools; performs monitoring, performance tuning, and testing of software patches and upgrades	Off-site	3	3
DBAs	Maintains the performance, security, backup, and recovery of the database; responsible for system administration tasks; oversees database management, ETL work, system configurations, and performance monitoring	Off-site	2	2
Technical Project Managers/ Project Managers	Responsible for coordinating the DDI delivery of the solution	Off-site	5	5
Account Manager	Serves as the subcontractor's primary point of contact for Optum and DHHR	Off-site	4	4
Implementation Director	Responsible for the subcontractor's implementation activities and deliverable	Off-site	4	4
TOTALS			152	149

*Off-site resources will travel to the Charleston facility as needed.

**The resources identified here may vary based on information discovered during Implementation.

Other Maintenance and Operations (M&O) Staff: The following FTE staffing chart shows the roles, responsibilities, and FTEs we propose for the M&O other staff for the WV IES Project.

M&O Org Chart Role	Responsibilities	*Location	**FTEs
M&O Leads/Project Management	M&O primary point of contact for DHHR; provides reporting statuses, measurements, system improvements, prioritization, application impacts, and metrics; leads Touch Point meetings, process walkthroughs, process setups and escalation reviews	1 on-site 1 off-site	2
Service Managers	Primary ownership of the individual application maintenance; engages cross-functional teams to validate appropriate staff are engaged to achieve successful service delivery outcomes	1 on-site 3 off-site	4
Service Coordinators (IES Business Leads)	Works with the service manager and takes secondary ownership of the application; includes Line of Business managers; owns functional modules end-to-end; reviews incidents; serves as technical and functional SME for production support.	2 on-site 3 off-site	5
Senior Application Support Analyst	Technical and functional SME to provide Level 1, 2 and 3 support; performs root cause analysis, triages complex issues, automates repetitive tasks, and performs data analysis and data remediation; manages incident restoration.	2 on-site 7 off-site	9
Application Support Analyst	Technical and functional SME to provide Level 1, 2 and 3 support; records incidents/problem tickets, performs first line of triage, and manages input/output feeds and batch processes; debugs codes and manages incident restoration	2 on-site 10 off-site	12
Technical Writer	Gathers, analyzes, and develops technical information to support the solution; translates technical information into documents that technical and nontechnical personnel can use and understand	Off-site	1
ITIL Process Analyst	Serves as primary point of contact for ITIL process compliance; manages M&O process flows and the operating model	Off-site	1
Metrics & Reporting Expert	Generates and distributes reports outlined in the Operational Procedures Manual; performs ad-hoc queries and analysis	Off-site	1
M&O Quality/Testing Analyst	Reproduces issues in non-production environments; helps level 3 support staff validate fixes and data remediation scripts; performs validation for problem ticket fixes and vendor fixes for COTS products before deployment; performs smoke tests and deployment validations and checkouts	Off-site	2
Data Center Resources	Responsible for the operating systems, virtual environment, and COTS application tools; performs monitoring, performance tuning, and testing of operating system and software patches/upgrades	Off-site	2
DBAs	Maintains the performance, security, backup, and recovery of the database; responsible for system administration tasks; oversees database management, ETL work, system configurations, and performance monitoring	Off-site	2
Application Support Manager	Provides day-to-day management of the subcontractor scope of work. Knowledgeable of all issues, concerns, and requirements.	On-site	1
Technical Call Center Representatives	Handles technical calls from providers and system users concerning the provider enrollment application and software; handles initial system issues; processes requests for login IDs and	On-site	6

M&O Org Chart Role	Responsibilities	*Location	**FTEs
	security switch settings for the application		
Trainers	Develops and presents training programs for WV IES end users; develops and maintains training documentation and materials	On-site	1
E-Learning Support	Assists training staff by tracking training requests and evaluations; maintains the Learning Management System (LMS), calendar, and other training tools	On-site	0.5
QA Analyst	Conducts QA reviews for the subcontractor to assess departmental compliance with internal, State, and industry standards	On-site	1
TOTALS			50.5

*The resources identified here and their locations may vary based on information discovered during Implementation.

**M&O headcounts reflect average headcount over the nine years of M&O (base plus option years).

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3. Project Organization

Our organizational structure provides clear lines of authority and responsibilities. Over the course of our IE and HHS projects, we have developed best practices based on lessons learned. These, in turn, have helped shape and refine our processes for effectively coordinating and managing our implementation teams. Our proven organizational approach will provide a sound framework for a low-risk WV IES for West Virginia.

We have aligned our organizational structure and staff to allow for flexibility within the WV IES releases. In preparing our response to the RFP, we reviewed the requirements and designed a solution and approach to successfully deliver the functionalities you have requested. Our WV IES Project approach consists of three separate, yet integrated program-specific projects, to be executed in parallel to support your business objectives. These three programs are for the Child Welfare, Child Support, and Integrated Eligibility (IE) functionality. The Child Care component will be absorbed as part of the IE project, with eligibility and benefits determination functionality being contained within the IE solution and the child care licensing, compliance, and quality functionality contained within the Client Services Module. Each program will consist of several interim releases, which will incrementally build up to the final WV IES. This approach will allow us to minimize delivery risk by dividing the work into smaller, more manageable efforts. It will also provide a phased approach that will allow your staff a longer period of time to adjust to the new system.

3.1 Organization Charts

3.1.1 DDI Organization Chart

A key feature of our organization for DDI is the alignment of the lines of business managers for Child Support Enforcement, Child Welfare, Child Care, and Integrated Eligibility to the major WV IES areas of service as described in Figure 8 of the RFP: Bureau for Children and Families (BCF) Family Assistance, BCF Social Services, Bureau for Child Support Enforcement (BCSE) Program, and the Bureau for Medical Services (BMS) plus WVCHIP. The staff members of these groups will interact as needed with these lines of business. We expect the Office of Management Information Services (OMIS) and West Virginia Office of Technology (WVOT) Technical Staff members will be involved with all lines of business. Our IES account manager will serve as the liaison to the WV IES Project Sponsor who will work with the Optum Advisory Committee. The Optum WV IES deputy project manager/operations manager will serve as the point of contact for the WV IES Project Manager.

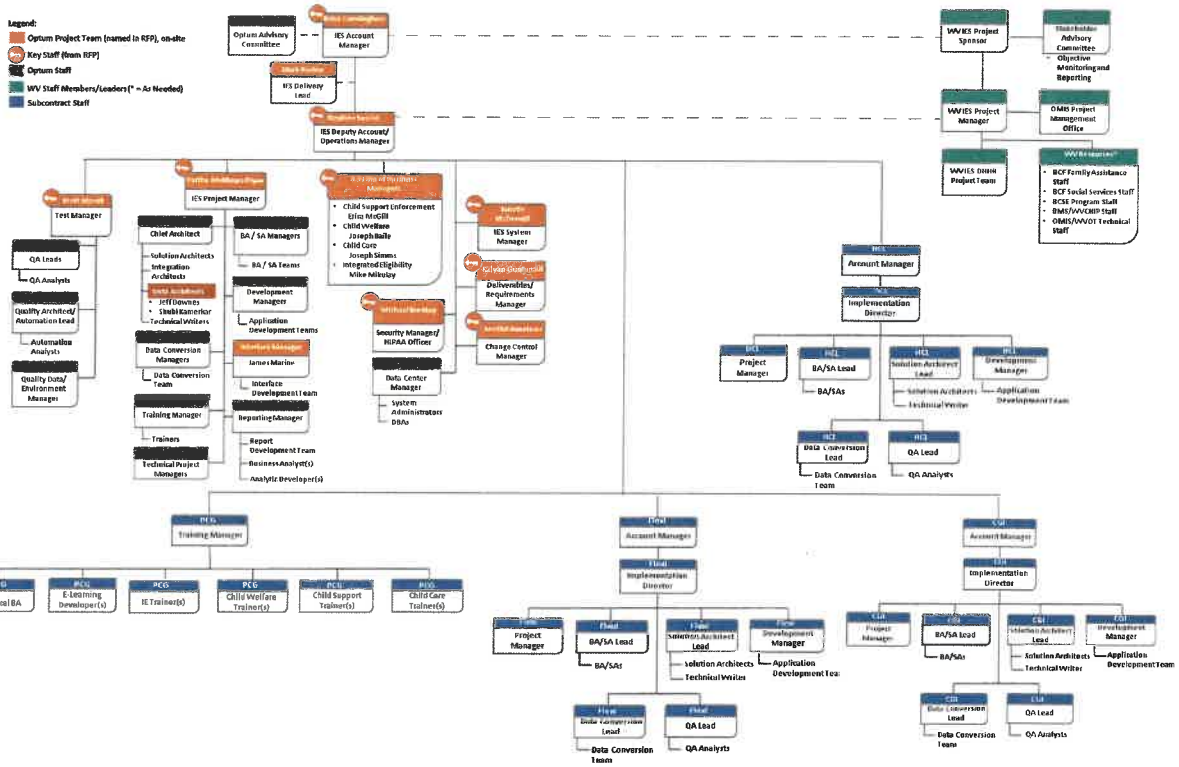


Figure 1: DDI Organization Chart

We have carefully selected a team of experienced and talented professionals to design, develop and implement your WV IES.

3.1.2 M&O Organization Chart

Our operations team will work with you to manage and maintain the WV IES with a focus on customer service, cost-containment, and continuous improvement. We will provide consistent, uninterrupted service to your users as you achieve steady state operations. We will right-size the staff for operational services, while continuing to provide customer service excellence and operational efficiency. As part of our staffing approach for the WV IES, CGI application support analysts will be available to Optum support as needed.

We expect the WV IES Project Sponsor and Manager structure to continue functioning during M&O as it did during DDI, including the Optum Advisory Committee and particularly the Objective Monitoring and Reporting function. If we need to modify this structure during M&O, we will work with you to adjust the points of contact. Figure 2 shows our organization for M&O.

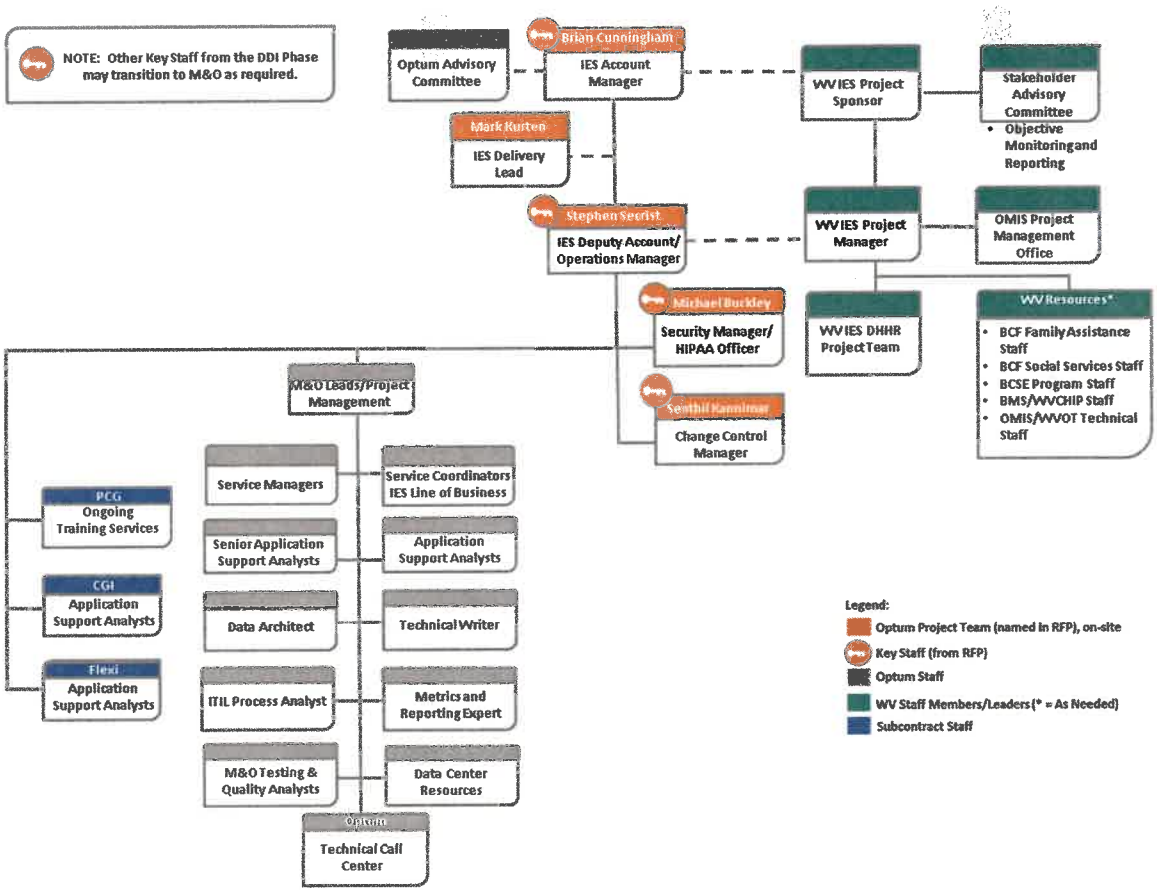


Figure 2: M&O Organization Chart.
Our key staff has prior experience in successful projects similar to the WV IES Project.

3.2 Staff Management

Account Manager Brian Cunningham is the West Virginia native who will lead your WV IES Project. Mr. Cunningham brings more than 16 years of experience with federally qualified health centers (FQHCs) and section 330 grantees, 340b drug programs, public health insurance eligibility and enrollment, care coordination, rural health financing strategies, and Medicaid managed care. Mr. Cunningham currently provides frontline, on-site technical assistance to the West Virginia Bureau for Medical services in support of its Medicaid managed care and transformation efforts. He has experience delivering system solutions using the Optum Delivery Model as the project management framework. Our delivery model provides a disciplined structure for managing project activities, assessing project status, and communicating with you. The model includes an integrated set of project management disciplines adapted to meet your project requirements.

Mr. Cunningham will provide formal management of our project activities, conduct periodic project management meetings, provide status reporting to DHHR, and provide issue and risk management. Throughout the WV IES Project, Mr. Cunningham will be responsible for making sure that staff members with the appropriate skills and experience are working on each phase of the project. He will provide the guidance and oversight required to make sure that staff transitions between phases are seamless. He will accomplish this by maintaining effective

communication within the team and making sure staff have the information, tools, and resources they need to be successful.

We will achieve and retain qualified staffing levels to provide effective project control and support the WV IES Project during all project phases. If our original staffing estimates for the WV IES Project were too low, we will adjust the staffing levels as needed to meet contract requirements with DHHR approval. When resources are required for the WV IES Project, we will follow the recruitment strategy defined in Section 6.1, Recruitment Strategy. If we are unable to recruit sufficient numbers of appropriately qualified staff in a timely manner, we will work with the subcontractors and staffing organizations in the Charleston area with advance approval from DHHR. If Optum and DHHR decide that additional staff is needed to the support the WV IES Project, we will follow our standard staffing procedures to obtain qualified staff and maintain adequate staffing levels.

We will only add or remove staff from the WV IES Project with DHHR advance approval. Key staff for the WV IES contract will remain dedicated to the contract. If we determine that we need a key staff member change for the WV IES Project, we will submit a written request to the State Project Sponsor at least four business weeks before the individual's last day on the project. We will name a temporary replacement you approve within three business days of any key staff vacancy. All requests for substitutions of key personnel will describe the reason we need a substitution. We will include at least one replacement candidate resume with our request. We will also describe our replacement and transition plan and our anticipated timeline.

On occasion, four weeks advance notice of a key staff replacement may not be possible. In the event of a death or an unexpected departure from Optum, we may not be able to give DHHR a four-week notice. In those instances, we will notify DHHR of the departure immediately. We will describe the reason for the departure in the notification. We will submit a transition and replacement plan to DHHR within five business days of the notification. We understand that DHHR reserves the right to reject key staff change requests when there has not been a death or departure from Optum.

We understand that all key staff replacements are subject to DHHR approval. We will make staff replacement candidates available to DHHR for interviews and approval. We understand that DHHR reserves the right to reject replacement candidates. Proposed substitutes of key personnel will have qualifications that are at least equal to those of the individual initially proposed and accepted by DHHR. The qualifications of initial key staff will become the minimum requirements for the qualifications of all subsequent key personnel for the duration of the contract term. We will make sure that replacements begin work on the project at least one week before the staff member's departure. This overlap will facilitate knowledge transfer and continuity for the project. The only exceptions will be in the event of death, departure from Optum, or when otherwise approved by DHHR. We will make sure that no key staff position remains vacant for more than 30 calendar days. In the rare event that occurs, we will submit a written notification to DHHR.

If DHHR or Optum identifies WV IES Project staff member whose work is unacceptable, we will work with you to get the individual back on track. If that is not possible and we need to remove an individual from the project, our account manager will notify you in writing in advance. We understand that removing key staff, assigning replacements, changing staffing levels or skill levels can only happen with your advance written permission.

3.3 Onboarding New Staff

As we add new staff to the WV IES Project, we will provide project orientation and project-specific training on project tools and techniques as needed. As part of our new hire training, employees and contractors must acknowledge their understanding and acceptance of our information security policies and agree to abide by those policies. All Optum employees and contractors, including new hires, are required to take annual training on HIPAA security requirements, protection of personal health information, and Optum ethics policies. Depending on project needs, we might assign new hires experienced "buddies" to help them through their first days of employment and answer questions or concerns they might have. Section 6.4, Employee Training describes our employee training in more detail.

4. Interaction with DHHR Staff and Key State Stakeholders

4.1 Optum Governance Model

Optum will work with DHHR staff, other vendors, and other project stakeholders as required in fulfilling our obligations under the WV IES Project. Communication is often a stumbling block when working with vendors and stakeholders. Our proven project management skills will facilitate open lines of communication that are fundamental to successful outcomes. We will provide a single point of contact on the Optum team so that all project stakeholders know what to expect and where to go when questions arise. Our experienced team knows how to interface with other vendors, external organizations, and diverse teams to bring projects to successful conclusions.

Figure 3 depicts our governance model for the contract. We structure it to provide interaction points at the strategic, managerial, and operational levels.

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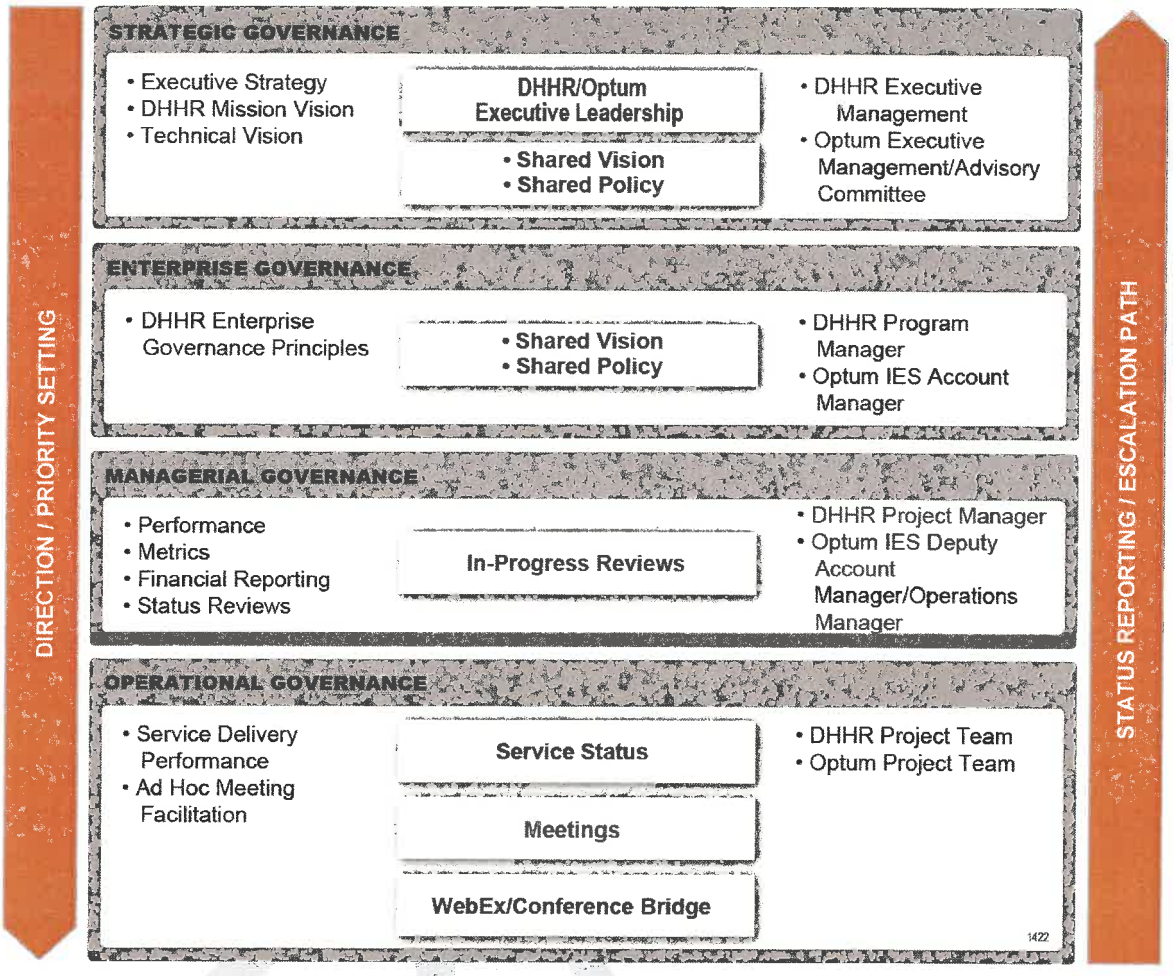


Figure 3: Governance Model.
Our governance model provides clear lines of communication both internally and externally to the project team.

We will follow a partnership approach for WV IES. We believe that a close team partnership is critical to validate that we meet program objectives and deliver a best value solution. Our partnership approach will promote open communications, facilitate close cooperation, and maintain the positive working relationship necessary for project success.

The team's internal weekly meetings and briefings will provide a status update and plan of the week's activities. Weekly or monthly meetings will provide a formal status of activities. Optum managers will schedule these meetings with their WV IES counterparts. The lead systems operations manager lead will meet monthly with appropriate DHHR management to discuss overall project activities and tasks in progress.

Our project organization will enable transparent governance and flexible partnership. Weekly, monthly, and quarterly meetings will provide channels of communication to keep management informed on project progress. Our lead systems operations manager will facilitate ongoing communications between WV IES contacts and our team.

We have worked effectively with West Virginia on existing projects, and we will continue to work cooperatively with DHHR moving forward.

4.2 Cultural Change Management (CCM)

People are the foundation of success for any organization. For the WV IES, system end users will be vital to the success of a change management program. Our goal will be to achieve maximum buy-in with individuals who are fully engaged and invested in the transformation.

In order to improve the implementation and operation of the IES, we will employ cultural change management (CCM). We will use CCM to streamline process changes, minimize disruption, and engage your workforce in the new solution. We will work with you and your stakeholders to address any questions or concerns they may have. Cultural change management will help everyone adapt and adjust to the changes. We view CCM as an important part of any engagement, particularly one the size of the WV IES.

Throughout our many effective HHS implementations over 20 years, we have helped our clients introduce large scale changes to their systems and organization using a structured CCM approach. The transition of your legacy subsystems to a more holistic enterprise will affect many individuals and stakeholders. Optum understands how to help everyone adapt.

Throughout our approach to CCM services, Optum focuses on three crucial change management areas: people, communication, and operations, as illustrated in Figure 4.

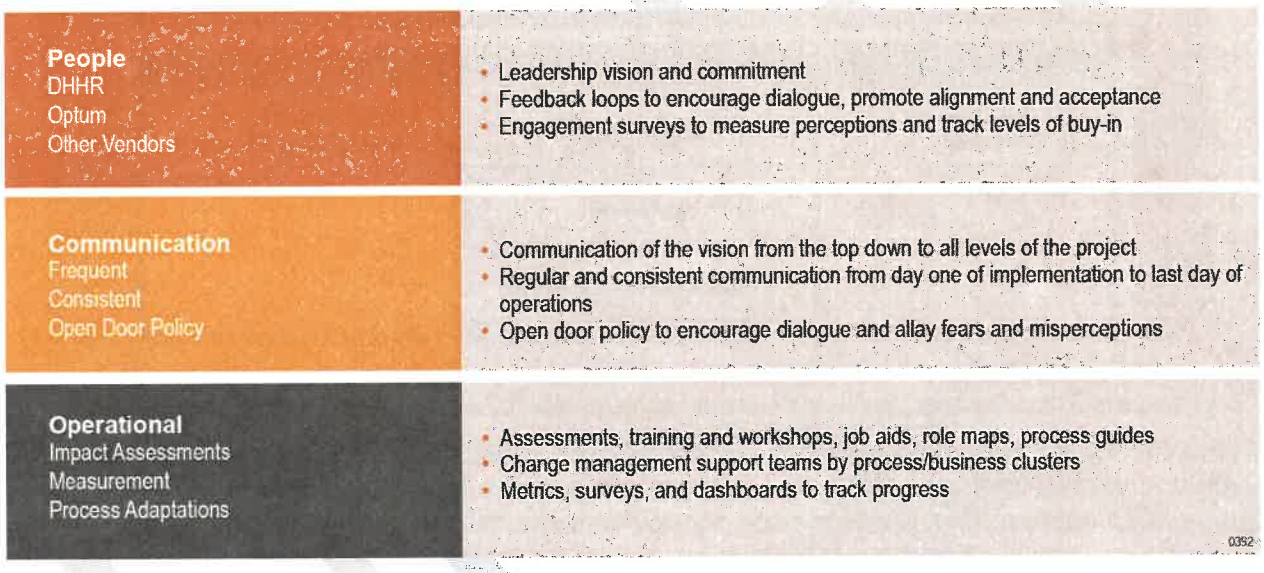


Figure 4: Cultural Change Management Focus Areas.
Our CCM approach works by never losing sight of the people we serve.

A commitment to people, structured and targeted communication, and seamless operations are the foundations for success for large-scale transformations. With our CCM approach:

- Desired business transformation happens faster and more efficiently
- Business results reach higher levels, potentially raising performance levels and reducing learning curves with less disruption and at lower cost
- Communication and training engages users and accelerates the acceptance of change

To accomplish this, we will apply the following best practices:

Early and Frequent Exposure to the Solution: For the WV IES, we will introduce the new solution through demonstrations and working sessions to help people understand the changes. This will facilitate an open dialogue and form positive perceptions of the changes.

Optum Advisory Committee: The committee will help us deliver a smooth roll out of any change. It will foster collaboration, create awareness, and facilitate stakeholder buy-in.

Change Agents: Change agents act on behalf of the change of strategic governance to help propagate the executive vision throughout the organization. Change agents provide day-to-day management and support for the change effort.

4.3 Optum Cultural Values

As an organization, we have a unique culture. Our company values of integrity, compassion, relationships, innovation, and performance guide everything we do. Our values direct our business decisions with our customers and fulfill our mission of helping people live healthier lives. We have implemented many programs and processes that instill these values in our employees and add value to our customer engagements.

Every Optum employee has committed to our cultural values. You will have the benefit of these values as part of the DDI phase, ongoing operations, and for increasing employee engagement and retention.

At Optum, these cultural values are not just words on a page. They drive how we hire people, how we keep them, and how we do business with customers like you. Our staff will bring these values to the WV IES Project

5. Use of Subcontractors

We will use CGI, Flexi, PCG and HCL as subcontractors. We will execute a formal teaming agreement with each that defines the legal relationship. We will also develop a detailed statement of work that outlines WV IES Project roles and responsibilities for Optum and the subcontractors. The agreement will outline the content of the eventual subcontract and the process for concluding it if (and to the extent) that DHHR selects Optum as the prime contractor and consents to our use of the applicable subcontractors. We will include the subcontractor's project manager name and contact information in the subcontract. The subcontractor project manager will be a direct report to the Optum IES deputy account manager/operations manager.

As the prime contractor, we will ultimately be held accountable by DHHR for the success of this project. Through formal subcontractor agreements, we will maintain project leadership and appropriate coordination and oversight of our subcontractors. To demonstrate this understanding and make sure that all parties are invested in the success of the project, we will incorporate necessary flow-down provisions in our subcontractor agreements, as shown in Figure 5.

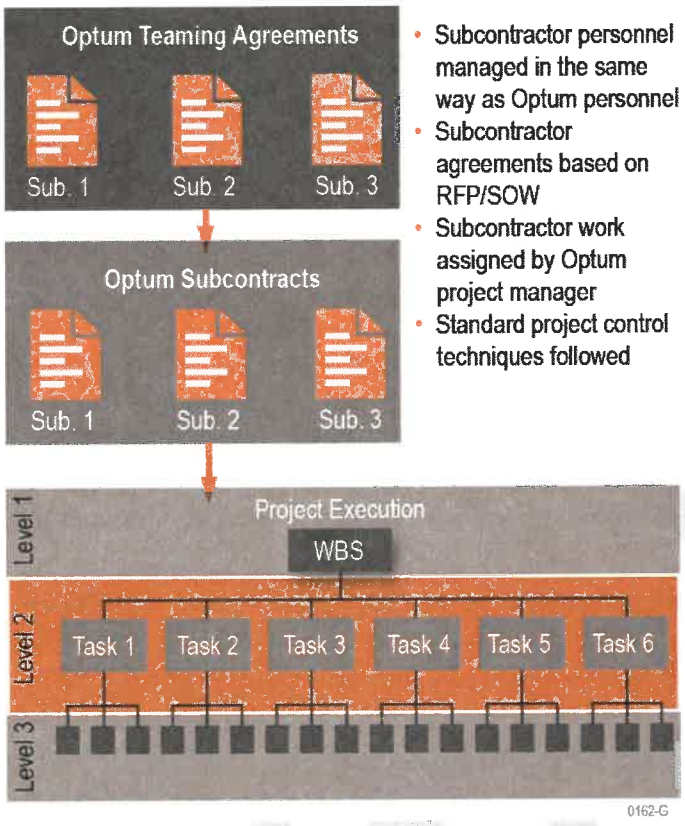


Figure 5: Subcontractor Management.
Optum subcontracting agreements provide clear definition of work and lines of authority. The agreements incorporate flow-down provisions to make certain of compliance with all State requirements.

6. Optum Human Resource Strategy

6.1 Recruitment Strategy

Optum employs thousands of information technology (IT) professionals with relevant technology experience to leverage for the WV IES Project. We have staffed this project for ongoing operations and we designate these personnel for the WV IES Project. This approach means we are already prepared to execute the project as planned within the timelines you have outlined.

To bring the best and brightest talent to our organization, we depend on our professional human resources organization, our current IT leadership, and talented employees. Our human resources organization researches compensation plans, benefits, and other human resources programs extensively to provide the appropriate mix of competitive salaries, fringe benefits, and rewards necessary to attract and retain highly qualified and motivated people.

We hire people who share our core values of integrity, compassion, relationships, innovation, and performance. Our performance management includes a program that builds a business environment to reward employees for achieving goals and helping our clients succeed. It helps us demonstrate and develop skills and behaviors necessary to meet our customer's needs. The following table highlights our approach to employee benefits related to the recruitment and retention of exceptionally qualified and high performing personnel.

Area	Comprehensive Benefits
Pay for Performance	• Market-based salaries • Premium pay for key skills to accommodate market demands • Incentive/bonus pay tied to program performance
Competitive Benefits	• Health and welfare/life insurance • Short- and long-term disability • Income protection for illness, injury, pregnancy • Holiday and vacation pay • 401(k) and Roth 401(k) • Health Savings Account (HSA) contributions • Employee discount program • Employee stock purchase plan
Other	• Recognition programs • 24x7 education and training opportunities

An important part of our employee compensation aligns with our customer Net Promoter Score (NPS)[1] that ties directly to the performance and satisfaction of the customer. Our NPS score for State Government Solutions in 2015 was 81, which indicates outstanding customer loyalty among our state clients. That rating is higher than those of Amazon, Apple, State Farm, and other companies. It also places us much higher than the "best in class" score of 73.

As a leading provider of technology professional services for federal and state departments and agencies, we have a record of accomplishment that demonstrates our ability to recruit, hire, and retain employees with the skills and talent necessary to meet and exceed WV IES requirements. We have human capital professionals dedicated to employee services throughout the United States and including West Virginia. We position our teams strategically to meet the staffing requirements of each customer engagement. Additionally, we have a strong employee referral program; leveraging our more than 100,000 employees provides an ongoing source of high-quality staff.

Our recruiting and staffing process is ongoing and interactive. Working with our project teams, our corporate recruiters first identify qualified candidates from the Optum team resource pool to meet or exceed WV IES requirements. We also actively solicit prospective candidates from a variety of sources, including universities, job fairs and summer intern programs, people leaving the military, advertising media, United States Employment Service offices, community organizations, professional associations, employee referrals, search firms, employment websites and employment agencies. Our external website provides the public information on open positions. We can also contract with qualified subcontractors as the need arises.

The Optum human resources and project teams strive to fill positions proactively with the most qualified candidate rather than reactively to meet requirements. Our technology-enabled recruitment process, depicted in Figure 6, helps us locate qualified industry candidates and fill open positions efficiently, as necessary.

[1] Net Promoter Score is a customer loyalty metric developed by (and a registered trademark of) Fred Reichheld, Bain & Company, and Satmetrix. It was introduced by Reichheld in his 2003 *Harvard Business Review* article "One Number You Need to Grow."[2] NPS can be as low as −100 (everybody is a detractor) or as high as +100 (everybody is a promoter). An NPS that is positive (i.e., higher than zero) is felt to be good, and an NPS of +50 is excellent.

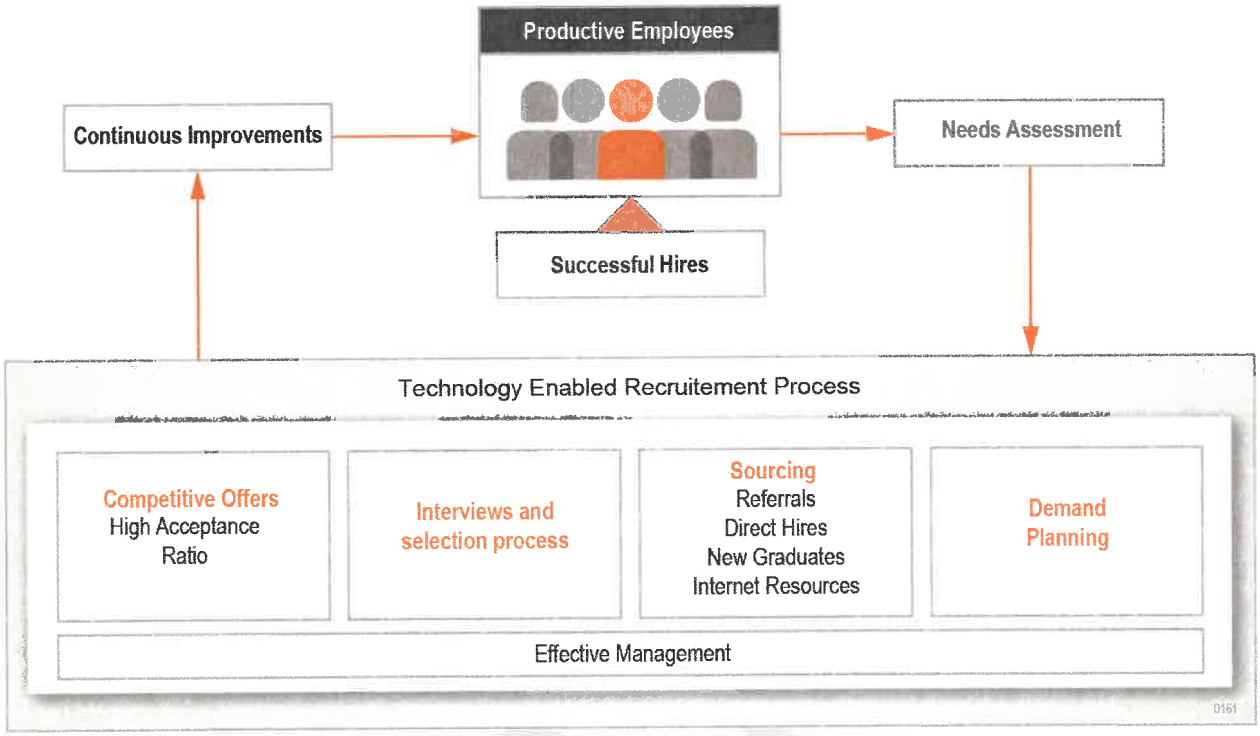


Figure 6: Recruitment Process.
Hiring the right people requires demand planning, sourcing, interviewing, selecting and competitive offers.

Throughout the life of the WV IES Project, the IES deputy account manager/operations manager will review the credentials of proposed personnel against contract requirements to verify that their credentials align with contract commitments and your needs. If we identify a resource need, our IES deputy account manager/operations manager will gather the candidate's information for an internal, independent review that compares the candidate's education and experience background to the contract requirements for the position. Candidates whose education and experience meet or exceed the contract requirements receive further consideration.

6.2 Qualification Verification and Background Checks

We understand West Virginia requires vendor employees to submit to fingerprint-based state and federal background inquiry through the state repository. This is required if they will be in the Capitol complex, on the grounds, or will have access to sensitive or critical information. We will comply with all of the background check requirements stated in the RFP.

One of the standard steps in our recruiting and vetting process is a qualification verification and background check. We verify the approved applicant's qualifications and conduct a management interview to determine the individual's skills, and whether the applicant matches a specific job appropriately. If the applicant is successful during the interview, a group of peers conducts a rigorous technical interview to assess knowledge, skills and abilities. The group prepares questions in advance, seeks to confirm technical or functional skills, and confirms the manner in which the individual will respond to challenging situations. We consider both technical and behavioral responses when we assess the candidate's ability to fit into our project team.

If we proceed with an offer, we will conduct an independent, third-party background investigation that includes confirmation of employment, salary, educational history and reference/financial/credit and criminal records checks. We do not schedule any candidates to

work a customer contract until we complete the background investigation. Our Corporate Security Office maintains a database of new hires subjected to a pre-employment background investigation. This database is checked as part of the prescreening process for our employees scheduled to perform on a customer contract. Additionally, our background check policy requires all employees to complete an annual background check successfully. A consumer-reporting agency performs this check and reports felony level offenses. We will make sure that the qualification verification and background checks we perform for the WV IES comply with your requirements. This policy reassures our customers that the staff members assigned to their projects pass both initial and ongoing background checks.

6.3 Retention Strategy

Hiring the best is only part of the challenge in delivering on your vision of the WV IES. Staff retention is equally important. Optum has been able to retain staff in a challenging IT and health and human services environment by providing extensive opportunities for professional development and responsive and effective management. This effort has historically made us an industry leader in staff retention and responsiveness to staffing needs. As such, we have a comprehensive staff retention program to help keep critical knowledge working on the WV IES Project.

Every fall, Optum asks employees to complete the Vital Signs survey, our employee feedback and satisfaction tool. This year we had a 95 percent participation rate. One of the main measurements we look at within the survey is the employee engagement score. As a follow-up to the survey results, we have an employee action group that works throughout the year to improve areas identified in the survey. The goal is to improve the employee experience and the overall engagement of our employees. Figure 7 shows our employee engagement model.

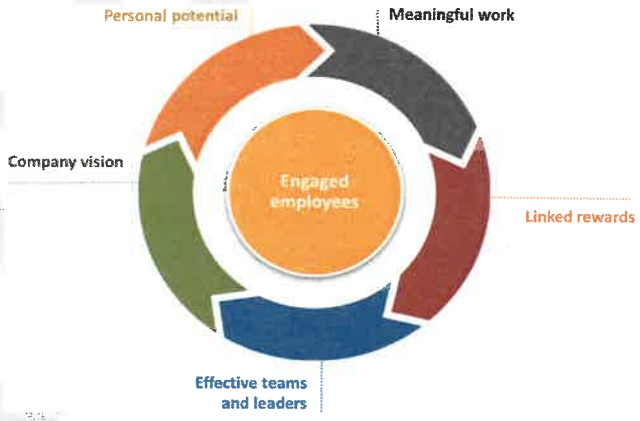


Figure 7: Employee Engagement.

Optum proactively promotes employee engagement as a means to develop personnel and enable them to realize their full potential.

Promoting an environment of employee engagement helps employee retention. Optum goes to great lengths to promote this in job functions and as part of a superior service organization. As a critical component of retaining high-quality personnel, employee engagement focuses on the five areas illustrated in Figure 7.

Meaningful work: All employees want to believe their work is valuable and meaningful. Optum focuses on assigning skilled resources to positions that allow them to use their skills and talents in meaningful ways to support our customers.

Linked rewards: Employees need appropriate compensation for the value they bring to the organization and for their performance. Optum offers competitive salaries and incentive/bonus programs linked to employee performance. Annual performance reviews include input from employee peers and managers, and annual bonus programs link to performance review results.

Effective teams and leaders: In any organization, it is important to have effective teams and leaders to engage employees fully. Optum assesses personnel in leadership roles continuously and provides ongoing leadership training opportunities and programs that promote our culture of

service to our customers. Annually, all employees have the opportunity through the Vital Signs survey to provide feedback on the effectiveness of company leadership, corporate direction and their immediate management. We share the results of these surveys with all employees.

Company vision: Optum operates in a dynamic health care and human services environment. Additionally, as part of our growth strategy, we seek to expand market presence through a growing number of strategic acquisitions. These factors make it critically important that Optum leadership shares the company vision with employees in both the short term and long term, and that Optum leaders bring employees of newly acquired companies into the Optum fold quickly. Optum leadership provides information to all employees periodically through employee town hall and web-based meetings.

Personal potential: Employees need a certain level of challenge and change to remain engaged and have an opportunity to maximize their potential and level of contribution to the company. Optum encourages all employees to maximize their potential through training opportunities and opportunities for advancement.

Other methods through which Optum promotes employee retention include the following:

Training: Optum recognizes that in today's highly technical world, training is a key factor in retaining employees. Consequently, our performance management program challenges our employees to perform at higher levels so that they can continue with project assignments that will lead to more training. Using this approach, employee performance becomes a driver to training, and people who perform the most and continually enhance their skills find that they receive rewards with more opportunities. The link to an employee's performance verifies that the employee accomplished the training objective—using the employee's skills to support customer requirements.

Salary: We monitor our rewards program continually. Each year, we review the programs against surveys and industry benchmark data. We also review compensation programs against surveys and benchmark data as part of our annual salary planning process. We use salary surveys to verify that our compensation stays consistent with local and national market conditions. Optum management also uses employee feedback—obtained through formal surveys and focus groups—to evaluate each element of the compensation program. This approach emphasizes employee involvement and enhances employee morale and motivation.

Benefits: Our benefits program is commensurate with a standing as one of the best employers in the industry. We offer a comprehensive, flexible benefits program that allows employees to select from a variety of options to meet their needs and their family members' needs. The flexible benefits program provides a tax-effective way to share the cost of coverage by taking contributions from each pay period on a before-tax basis. The benefits program applies to all regular FTEs in the United States and to eligible part-time employees. Regular FTEs are eligible immediately to participate in the benefits plans. New employees are required to make their individual benefit elections and, during the annual enrollment period, they can adjust their benefits selections if needed.

Employee focused management practices: We use the following management practices and programs to attract and retain skilled employees with diverse needs:

- Performance management
- Employee communications
- Soliciting employee opinions
- Opportunities for career growth and challenge

- Programs to build and maintain a diverse and respectful work force
- Special programs to bring organizations or individuals back on track when problems exist
- Flexible work arrangements
- Employee assistance program
- Community involvement
- Employee discount program

Career growth and progression: Our pay-for-performance approach focuses on skill growth. We remove the barriers of narrow hierarchy salary grades and promote cross-functional career movement within salary bands. Career growth comes primarily from gaining extensive experience by moving from role to role within or across salary bands. We integrate performance management, skill building and career development with the process of managing pay. Training and development programs focus on the training paths (a core set of courses and skills) necessary for employees' roles at Optum.

Employee recognition: We remain committed to recognizing and rewarding employees whose exceptional behavior and achievement positively affect the company's business success. The Optum recognition program focuses on behavior and results—recognizing and rewarding employees who deliver beyond their normal role expectations and performance. Our managers apply our Recognition Toolkit guidelines to recognize and reward employees who achieve improved employee performance and retention. Guidelines include employee recognition in the areas of goals and values, sincerity, meaningfulness, adaptability, relevancy and timeliness of results. Employees with outstanding performance receive recognition through Instant Recognition eCards, department newsletter or Intranet articles, thank-you notes, cash spot awards and employment-milestone gift cards.

6.4 Employee Training

Developing the skills of our employees helps to attract and retain talented staff and provides high-quality information management services. We offer several training venues that promote career development and job satisfaction. Optum training opportunities include project-specific vendor or product training, project-specific functional training, corporate training programs with instructor-led classes, certification programs for technical and functional disciplines, and LearnSource web-based training where employees can select from a variety of courses to enhance their skills and knowledge, as described below:

Project-specific vendor or product training: This training will develop the skills necessary to meet WV IES Project requirements, expose employees to new technologies and enhance opportunities for new assignments and career advancement. Any new hires for the WV IES Project will receive the necessary project-specific training required for their job function.

Project-specific functional training: Employees working on specific projects need the opportunity to continually hone and advance their functional skills to provide our customers with the best service possible. This training may include:

- **Periodic refresher education and training.** We provide education and training to project staff periodically to serve as refresher courses on all existing program aspects. In addition to these periodic opportunities, we provide training and education to individual employees who need it, as identified through supervision and monitoring activities.

- **Ongoing training:** The observations of leaders as they monitor the performance of individuals and the whole workgroup will trigger ongoing training. When leaders report deficiencies, the Optum training team, in collaboration with workgroup leaders, will define the learning objectives and agree on the format and delivery method. Design and deployment will follow the Instructional Systems Design (ISD) methodology, and staff will participate in customized learning experiences. The leaders will determine and report the effectiveness of training as they continue to monitor the staff's performance. The Optum training team will be available to follow up with more learning activities.

Corporate training programs with instructor-led classes: Optum offers a variety of training classes that are best conducted as instructor-led classes. Generally, we offer these classes in a central location that can last up to a week in duration.

Certification programs for technical and functional disciplines: Attaining certification in a particular discipline enhances many technical, management and health care functional career paths. Examples include receiving PMI certification as a project management professional, or receiving technical certification as a Microsoft security professional. Optum offers employees a variety of certification venues to enhance their job skills.

LearnSource: We provide continuous professional development, and learning is fundamental to a career fit at Optum. We encourage our employees to take advantage of the extensive knowledgebase for professional development and functional skill enhancement offered through Optum LearnSource, our web-based training tool. Through the LearnSource course catalog, Optum staff members can choose from an extensive list of courses, such as building strong working relationships, driving change, communicating with impact, advocating for the customer, and promoting innovation. LearnSource also offers a variety of technical courses and technical certification programs for technical staff. Professional development promotes a culture of learning to challenge individuals to grow; as a result, the organization continually revitalizes.

In addition, we require all staff members to take annual training on protected health information policies and required procedures, Optum security requirements, and the Optum ethics program. We monitor participation in this annual training for all employees that includes:

Privacy training: All Optum employees and contractors must receive training on privacy to include in their responsibilities of safeguarding the confidentiality of private information. We offer training through corporate integrity and compliance training (privacy overview modules) and through their business area's training program. In addition, various resources, including policies and procedures and the Privacy Office, are available to employees to provide guidance and address issues to support ongoing compliance with privacy requirements. We also hold privacy fairs at our different locations to promote awareness.

New hires and security awareness: All users of Optum information assets and information technology systems are made aware of and must fully comply with our information security policies. As part of new hire training, employees and contractors must acknowledge their understanding and acceptance of our information security policies. Annually, employees and contractors must acknowledge a continued obligation to abide by these policies.

Ongoing security-related training: All employees and contractors receive mandatory, ongoing security-related training. We tailor these training programs to the appropriate audiences.

Secure coding practices: The application development team has documented coding standards that all developers must follow. Adherence to coding standards is an aspect that team leads check during code reviews, which they perform for all code. The development team has also received training on secure coding practices. Senior-level developers schedule code reviews with a focus on programming standards during each software release. They schedule

these code reviews early enough in the SDLC so that there is enough time to adjust programming, if necessary.

IT training: Our IT departments tailor and align their teams' training to match current needs and future strategy. Additionally, based on job responsibilities, certain employees obtain technical and security-related professional certifications, such as CISA, CISM, CISSP and CNE. Based on their job function, employees must also take various mandatory training courses each year through our learning management system, LearnSource.

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West Virginia Integrated Eligibility Solution (IES)

Draft Facility Management Plan

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

_____ **Signature**

_____ **Date**

xxxxxxxxx

Optum

_____ **Signature**

_____ **Date**

August 8, 2017
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Version	Date	Author	Summary of Changes
1.1	8/8/2017	Optum	Initial release

Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 1
1.5 Related Documents 1
2. Optum Facility Management Approach 2
2.1 Overview 2
2.2 Identifying and Leasing Facility 2
2.3 Establishing and Maintaining the Facility 6

List of Figures

Figure 1: Location of Optum Office Options 3
Figure 2: Potential Optum Office Locations. 4
Figure 3: Floor Plan Example 1. 5
Figure 4: Floor Plan Example 2. 5

1. Introduction

1.1 Objective

The Facility Management Plan defines our planned approach for establishing the facilities required to effectively implement and support the West Virginia Integrated Eligibility Solution (WV IES).

1.2 Plan Scope

The WV IES Facility Management Plan addresses the approach that Optum plans to use to identify, lease, establish, and maintain project facilities.

1.3 Plan Assumptions

We made the following assumptions when preparing this plan:

- Optum will:
  - Provide the Facility Management Plan for use by the business, operations and project teams
  - Establish a Charleston, West Virginia-based facility that meets all requirements established by DHHR
- DHHR will:
  - Participate as needed in the Facility Management Plan development
  - Review and approve the Facility Management Plan in a timely manner after we submit it for review

1.4 Plan Organization

This Facility Management Plan is organized into the following sections:

- **Introduction (Section 1)** lists the objectives and scope of the Facility Management Plan, assumptions made in developing the plan, describes the plan organization, and identifies related documents.
- **Optum Facility Management Approach (Section 2)** provides an overview of our facility management approach, including office selection criteria, office space options and a general view of how Optum sets up office space.

1.5 Related Documents

The Facility Management Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, we will base-line the document place it under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

2. Optum Facility Management Approach

2.1 Overview

We have proven our ability to rapidly set up facilities to support our client's operations – whether a temporary facility set up within one week or a permanent location established in less than one month. DHHR can be confident that Optum will be ready to support you on day one.

The Optum WV IES Project office will meet all of the facilities and space requirements defined in the RFP. It will be located within one-half mile of the Office of Management Information Services (OMIS) office at One Davis Square in Charleston. The Optum facility will be the primary location where the design, development, and implementation (DDI) and operations activities take place. The key staff members described in Proposal Section 3.2 Project Staffing will work out of this location. We will also perform contract administration and management activities at this site.

Our WV IES project office will be designed to foster productivity and provide standard office features. It will include at least two private offices for DHHR staff and enough space to accommodate the required on-site Optum team. The facility will have a reception area and a security barrier that separates the public entrance and reception area from the rest of the facility. The site will provide security and space for project team meetings and work sessions. It will include a kitchen, storage facilities, network server room, water fountains, system for hot and cold filtered water, and restroom facilities.

We will use the following criteria to narrow a search and select the best options for establishing our project office in Charleston:

- ADA accessible
- Class A/Class B office facility owned by reputable and financially stable landlords
- Maximum flexibility in lease terms to support renewals and expansions, as needed, to meet the needs of the WV IES Project
- Ample available parking
- Easy access to major highways
- Amenities (restaurants, shops, banking) available in the facility or within walking distance

Our approach to facility identification, implementation, and management will make certain that all aspects of the WV IES Project are fully supported by well-planned, secure, scalable facilities. The Optum project office will provide the foundation for initial and future project needs.

2.2 Identifying and Leasing Facility

Optum works with our parent company's real estate team to identify and lease project space. The dedicated UnitedHealth Group real estate team, in tandem with the alliance partner JLL® (Jones Lang LaSalle), specializes in a market-based approach to leasing real estate. We will use the JLL commercial brokerage team to evaluate space availability and options based on your requirements. Our corporate real estate representatives have performed a market study to identify potential locations.

We believe the ideal location for the Optum WV IES Project office may be our existing facility at 700 Washington St. E. in Charleston. This spacious site has ample parking and is conveniently located within walking distance from the OMIS office. We are currently evaluating this location to make sure it meets your requirements.

To give you multiple options, we are also exploring other potential sites for the Optum WV IES Project office. Our market study generated five potential locations in addition to our existing facility.

As shown in Figure 1, all six facilities are located within walking distance of the OMIS office at One Davis Square.

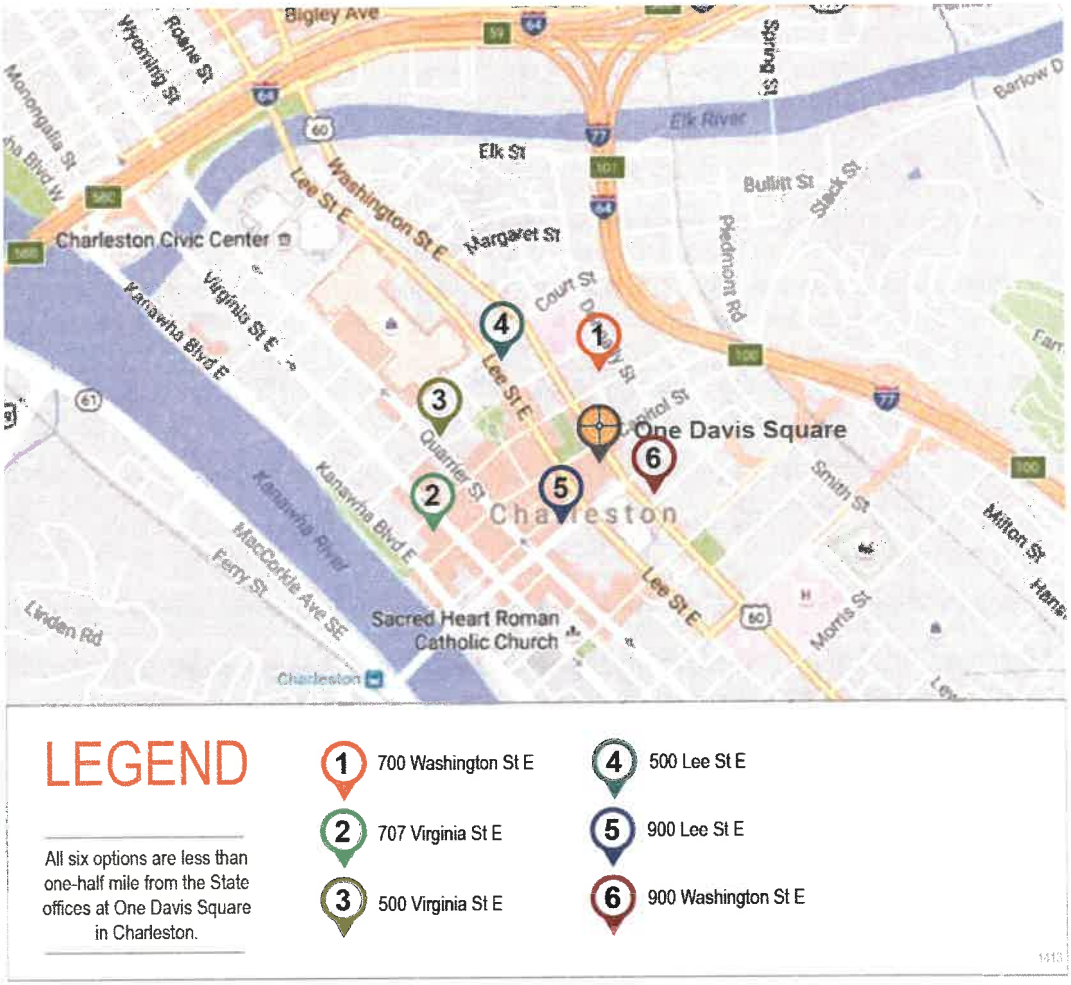


Figure 1: Location of Optum Office Options.
All six options for the Optum IES Project office meet the requirements of the RFP, the Optum standards for corporate facilities, and are within walking distance of the OMIS office at One Davis Square.

Figure 2 provides a building photograph, address, and additional information regarding each potential location.

	Image	Address	Total Sq. Ft.	Available Sq. Ft.
1		Geary Plaza 700 Washington St. E. Charleston, WV 25301	55,100	UHG Leases 11,515 (2nd & 3rd floors) Available 8,000 (lower level) 5,000 (2nd & 4th floors)
2		Chase Tower 707 Virginia St. E. Charleston, WV 25301	271,728	12,670 (10th floor)
3		United Center 500 Virginia St. E. Charleston, WV 25301	151,012	2,174 (10th floor) 9,154 (11th floor)
4		Laidley Tower 500 Lee St. E. Charleston, WV 25301	214,426	12,317 (5th, 6th, 13th & 14th floors, each)
5		Huntington Square 900 Lee St. E. Charleston, WV 25301	132,000	6,545 (5th floor) 3,971 (10th floor) 6,545 (14th floor)
6		MVB Building 900 Washington St. E. Charleston, WV 25301	28,000	7,000 (4th floor) 3,000 (2nd floor)

Figure 2: Potential Optum Office Locations.
We have identified six potential locations for the Optum WV IES Project office that meet your requirements.

We will set up our office space to meet the RFP and project requirements. The Optum WV IES Project office will reflect our understanding of your facility requirements and our ability to configure the space accordingly.

Figures 3 and 4 provide floor plan examples of how Optum approaches setting up office spaces. These are representative examples only.



Figure 3: Floor Plan Example 1.
Our WV IES Project office will reflect our understanding of your facility requirements.



Figure 4: Floor Plan Example 2.
Optum has proven experience in rapidly setting up facilities to support client projects.

Prior to contract award, our project management team and corporate real estate representatives will perform site visits to each location identified in the market survey. Following the site visits, we will identify the option that best meets the requirements of the project. We will present details of the selected site to you for review and approval following contract award.

2.3 Establishing and Maintaining the Facility

After we finalize the project site, we will work with the general contractor to design space plans. We will also assign a project manager to work with the general contractor and drive the build-out of the site. This will help us make sure we receive the build-out in a timely manner.

An Optum facilities manager will provide ongoing maintenance of the project site. The manager will work directly with vendors on any maintenance issues that may arise. Optum also has a 24x7 hotline for facilities maintenance and defined work order processes to resolve any issues.

West Virginia Integrated Eligibility Solution (IES)

Draft Documentation Management Plan

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

_____ _____

Signature **Date**

xxxxxxxxx

Optum

_____ _____

Signature **Date**

August 8, 2017

Contract Name: <nnnn>

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Revision History

Version	Date	Author	Summary of Changes
1.1	8/8/2017	Optum	Initial draft release

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Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 1
1.5 Related Documents 2
2. Documentation Development Approach 2
3. Documentation Types 2
4. Documentation Management 3
4.1 Organize 3
4.1.1 Document Naming Conventions 3
4.1.2 Cover Page 3
4.1.3 Reference Documents 3
4.1.4 Deliverable Tracker 3
4.2 Store 4
4.2.1 SharePoint Repositories 4
4.2.2 Workflow Process 4
4.2.3 Document Retention 4
4.3 Protect 5
4.3.1 Security 5
4.3.2 Recovery and Backup 5
4.4 Share 5
4.4.1 Sign Off and Sharing 5
5. Version Control 6
5.1 Document Version Control 6
5.1.1 Track Changes 6
5.1.2 Revision History 6
5.2 SharePoint Version Control 6
5.2.1 Check-Out and Check-In 7

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1. Introduction

1.1 Objective

The objective of the Documentation Management Plan is to define the process by which documentation and other key project artifacts will be developed, maintained and made readily available to authorized users for the West Virginia Integrated Eligibility Solution (WV IES) project.

1.2 Plan Scope

The scope of the Documentation Management Plan encompasses the approach Optum will use to manage project documentation, including:

- Documentation types including deliverables, meeting materials, and artifacts
- Use, access, and management of document repositories
- Approach to version control on all project documentation

Documentation requirements and management practices will be reviewed as required throughout the project life cycle, revising as appropriate to address evolving needs.

1.3 Plan Assumptions

We made the following assumptions when preparing this Plan:

- All required project deliverables will, once approved by DHHR, be placed under configuration management control. Subsequent updates to these documents will require appropriate DHHR and Optum management approval prior to being executed.
- Once the DHHR has signed off on a deliverable document, changes to the document will follow the approved change request process as described in the Change Management Plan.
- The DHHR SharePoint repository will be used to share documents with all authorized project stakeholders. Optum resources responsible for WV IES documents will have access to the DHHR SharePoint repository.
- The Optum SharePoint repository will be accessible to authorized Optum resources only.

1.4 Plan Organization

This Documentation Management Plan is organized into the following sections:

- **Introduction (Section 1)** lists the objectives and scope of the Documentation Management Plan, outlines assumptions made in developing the plan, describes the plan organization, and identifies related documents.
- **Documentation Development Approach (Section 2)** gives an overview of our approach to documentation management.
- **Documentation Types (Section 3)** describes the types of documentation we will develop.

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- **Documentation Management (Section 4)** explains how we will organize, store, protect, and share documentation.
- **Version Control (Section 5)** describes how we will control documentation, including tracking revision history and utilizing SharePoint versioning.

1.5 Related Documents

The Documentation Management Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, the document will be base-lined and placed under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes as described in the Change Management Plan.

Related plans include:

- Change Management Plan

2. Documentation Development Approach

Our team will begin the process of creating a deliverable by developing an initial draft of the document using the established template. We adhere to industry best practices when developing our templates so that important information is captured.

We will work jointly with you to co-create a deliverable expectation document (DED) and deliverable that satisfies DHHR needs. This method makes certain that you have significant input into deliverables and minimizes the time needed for review and approval.

In the planning and start-up phase of the project, we will identify the required deliverables and develop a spreadsheet to appropriately track each one. We will use identification numbers consistent with those provided by DHHR. The deliverable tracker also includes descriptions of the deliverables, identifies owners, and tracks informal and formal review processes.

While we work on the draft deliverables, we will use an internal SharePoint site to manage and store the document. Once we are ready for DHHR to view the document and begin providing input, we will post the document in the DHHR SharePoint repository. Throughout the entire process, we will use version control mechanisms to capture and track revisions.

3. Documentation Types

Throughout the contract life cycle, we will create numerous types of documents in support of the project. Some documents will be contract deliverables or supporting reference documents that help to satisfy contract deliverable requirements. Other documents will include normal project artifacts, such as meeting minutes, templates, or tracking logs.

At a high level, we have initially identified the following document types:

- **Templates:** Baseline documents that outline the key content and format required for a specific deliverable or other project artifact.
- **Deliverables:** The actual document deliverable that satisfies contract deliverable requirements. The Deliverable and Milestone Dictionary provided in RFP Appendix III contains a list of potential contract deliverables.
- **DED:** A DED describes the acceptance criteria for each contract deliverable. The DED will be approved by DHHR prior to the development of the associated deliverable.

- **Tracking logs:** Tools to support project management activities (e.g. IRAAD Tool, Change Request Log).
- **Meeting minutes:** Standard project artifact; minutes will be documented for key project meetings.
- **Reference documents:** Documents that provide additional reference information and may be required to support a deliverable.
- **Legal documents:** Documents that have contractual or other legal implications, including contracts, task orders, and contract amendments.
- **Other project artifacts:** Any miscellaneous work product that is created to support the project.

4. Documentation Management

This plan describes our approach, tools, and controls to effectively perform documentation management for the WV IES. We follow industry best practices for organizing, storing, protecting and sharing documentation.

4.1 Organize

4.1.1 Document Naming Conventions

We will begin organizing documents by assigning a unique document identification number (ID) to each document. To provide clarity, these IDs will be consistent with the ID numbers the DHHR provided in the Deliverable Dictionary. The document ID number will be included in the file name. The standard format for a document name is as follows:

<Document ID_Document Name>

Document names will be concise so that they are easily identifiable.

4.1.2 Cover Page

To maintain proper documentation organization, each document will have a cover page containing the contract name, contract number and document ID.

4.1.3 Reference Documents

Any related documents tied to a deliverable will be listed in a Referenced Document table and placed in a reference folder with a link in the deliverable to that reference folder. Those documents will be updated and maintained as necessary.

4.1.4 Deliverable Tracker

In the planning and start-up phase, we will identify deliverables and develop a spreadsheet for tracking purposes. The Deliverable Tracker will identify a document by title and document ID and include a description of the deliverable, identify an owner, and track informal and formal review processes. The Deliverable Tracker is also a good tool to support project audits.

4.2 Store

4.2.1 SharePoint Repositories

In order to best meet WV IES needs, we will use two Web-accessible project SharePoint repositories. These include one that Optum will maintain for internal development use and one that DHHR maintains to share information/documents with WV IES stakeholders.

When our team develops an initial deliverable draft, we will store it on the Optum internal SharePoint site. Only Optum resources will have access to this site.

Once the document is ready for your review, we will upload it to the DHHR SharePoint site where it will remain throughout the co-creation process. Authorized DHHR and Optum resources engaged on the project will be able to access the document from the DHHR SharePoint repository.

Any supporting artifacts (i.e., non-deliverables, such as Visio diagrams or PDFs) will also be stored on the Optum SharePoint site during development. They will be listed in the Referenced Documents table at the end of each document and uploaded to the DHHR SharePoint site along with the deliverable.

4.2.2 Workflow Process

At a high level, the workflow process is as follows:

1. We will store initial draft document deliverables in the "Work in Progress" folder on the Optum SharePoint site.
2. During internal Optum review, we will move the document to the "PMO Review" folder on the Optum SharePoint site.
3. After we assess the document against the DED and PMO quality criteria, and approve it internally, we will upload the document to the "DHHR Review" folder on the Optum SharePoint site.
4. We will then upload the document to the DHHR SharePoint site for your review and feedback.
5. After revising the document to address DHHR feedback, we will re-submit it to you for approval.
6. The final accepted version will be stored in the "Contract" folder on both the DHHR and Optum SharePoint sites.

We will use both automated SharePoint workflows and manual workflows to develop deliverables and documentation.

4.2.3 Document Retention

During the project planning phase, we will review proposed document retention policies with you and resolve any concerns up front.

We will maintain an Optum SharePoint repository for the duration of the project or as specified by DHHR.

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4.3 Protect

4.3.1 Security

Clear Desk Policy

We maintain a clear desk policy for confidential and sensitive documents. To reduce the risk of unauthorized access, theft, or damage, we follow the protocols described below:

- Confidential or sensitive document hard copies will be locked in cabinets when not in use.
- Electronic storage media, including laptops, mobile phones, personal digital assistants, and others that contain confidential or sensitive information will be locked away when not in use and access will be password protected.
- All documents will be stored on a central storage device (SharePoint site) accessible only to authorized users.

Certain documents that contain particularly sensitive information will be subject to additional protocols. For example, documents that contain personal health information (PHI) or personally identifiable information (PII), System Security Plan findings, or disaster recovery findings will be stored in a highly secure SharePoint location.

Encrypted Emails

During the WV IES project planning phase, we will review email encryption requirements with you and implement DHHR-approved email encryption practices.

Virus Controls

Optum will follow industry standard and DHHR-prescribed virus detection and prevention measures, including proper user awareness procedures. We emphasize to users that preventing viruses is the best possible way to protect against them.

4.3.2 Recovery and Backup

SharePoint version control allows us to recover older document versions. This provides us with the option of reverting to a previous version of a document and recovering the content within that version.

The Optum SharePoint repository will be backed up daily. Optum also maintains a mirrored backup site, which provides an additional mirrored environment for disaster recovery and business continuity purposes.

Our processes, combined with DHHR standard backup processes, will create redundancy so that we can recover important documentation. The two SharePoint repositories will also provide redundancy, since final DHHR-approved documents will be stored on both the Optum and DHHR SharePoint sites.

4.4 Share

4.4.1 Sign Off and Sharing

As described earlier in the plan, we will use the DHHR SharePoint site as the WV IES shared document repository.

When all required revisions are complete, we will upload the final-draft document to the DHHR SharePoint for approval and notify you that the document is ready for review, or a joint final review walkthrough.

Once we have mutually agreed on the final version of a document, Optum will send a sign-off request for electronic approval. After receiving approval, the final, electronically-signed deliverable will be uploaded to both the DHHR and Optum SharePoint sites. We will also update the Deliverable Tracker and record the date in the approved column.

5. Version Control

5.1 Document Version Control

Once a document is finalized, we will place it under configuration management control. Subsequent updates and changes to the document must be approved by appropriate DHHR and Optum management prior to being made effective.

5.1.1 Track Changes

While revising a deliverable, we will track changes so that updates are clearly marked within the document. These changes will be accepted or rejected as a part of the deliverable review and approval process.

5.1.2 Revision History

We will maintain a revision history for each appropriate project artifact. The revision history will provide an audit trail of documentation changes. It will show the version of the document, the date it was last updated, who made the update, and a summary of the changes made. Each time we change a document, we will update its version number. To view an example of a revision history table, please see page 1 of this document. Once the draft document has been created, changes noted in the revision history table will be specific to that version.

5.2 SharePoint Version Control

We take advantage of standard SharePoint version control functionality. Version control for a document library in SharePoint can be configured depending on the particular requirements.

We use the following two SharePoint versioning options:

- **Create major versions:** This option specifies that numbered versions of documents are retained by using a simple numbering scheme, such as 1, 2, and 3. In major versioning, each time a new version of a document is saved all users who have permissions to the document library will be able to view the content. This option can be used when differentiation between draft document and published versions is not necessary.
- **Create major and minor versions:** This option specifies that numbered versions of documents are retained by using a major and minor numbering scheme, such as 1.0, 1.1, 1.2, 2.0, 2.1 and so forth. Versions ending in .0 are major versions and versions ending with non-zero extensions are minor versions. In major and minor versioning, any user who has read permission can view major versions of documents. Users who can also view minor versions will be specified as agree upon with DHHR. Major and minor versioning is typically used to differentiate between draft content, which has not been approved, and published content that can be viewed by a broader stakeholder audience.

5.2.1 Check-Out and Check-In

Within SharePoint, as prescribed by industry best practices or DHHR, we require that users check out a document from the library prior to editing and check in the document when they are finished. The benefits of the check-out and check-in features include:

- **Control over when document versions are created:** When a document is checked out, the author can save the document without checking it back in. Only the author will be able to view these drafts and changes. A new version that is visible to other users will only be created when the author checks in the document.
- **Control over and accurate retention of changes made by more than one author:** When a document is checked out, only one person at a time can edit that document. This prevents multiple contributing authors from making simultaneous document changes that might be unknowingly overwritten and lost when the documents are saved on top of each other.
- **Capture of historical revision information:** When checking in a document, the author can add comments describing the changes made to the document, creating a historical record of revisions that can be maintained on an ongoing basis.

DRAFT

West Virginia Integrated Eligibility Solution (IES)

Draft Training Management Plan

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

_____ **Signature**

_____ **Date**

xxxxxxxxx

Optum

_____ **Signature**

_____ **Date**

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0.1	8/8/17	Optum	Initial Draft Submission

Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 2
2. Training Approach and Methodology 2
3. Training Schedule 3
4. Target Audiences for Training 4
5. Types of Training 4
6. Training Curricula and Materials 5
7. Learning Management System 6
7.1 Scheduling Training 7
7.2 Maintaining Training Curriculum and Class Materials 8
8. Evaluation of Training 8
8.1 Tracking Evaluation Data 8
8.2 Interpreting Evaluation Data 9

List of Figures

Figure 1: Continuous Quality Improvement Approach. *We continuously analyze training needs and update training materials based on observations, feedback, changes and best practices.* 3
Figure 2: Example Learning Management System Screen. *We will tailor applicable LMS screens to align with the look and feel of current West Virginia design standards.* 7
Figure 3: Sample Training Course Survey. *We will work with you to determine the evaluative information to gather for the WV IES training course surveys.* 9
Figure 4: Sample Survey Report. *We provide surveys to State users, providers and other stakeholders after they complete training sessions.* 10

1. Introduction

The Training Management Plan outlines the approach the Optum team will use to deliver West Virginia Integrated Eligibility Solution (WV IES) training to West Virginia state users, the 25 State operational trainers, and vendor staff. The Training Management Plan identifies the following:

- Training objectives and activities
- Targeted audiences and training methods
- Managing and evaluating training materials

1.1 Objective

The primary objective of this plan is to accomplish the following:

- Develop the appropriate curricula, training approach and training reporting for the WV IES training
- Describe development of the training program and materials
- Describe State and Optum responsibilities
- Describe training for State users on WV IES applications, procedures and operations
- Describe training in which the Optum team demonstrates features of the WV IES portals and Learning Management System (LMS)

1.2 Plan Scope

This plan will identify and define the WV IES training designed for State staff users, the 25 State operational trainers, and vendor staff to include eligibility, child welfare and child support functionality.

Baseline course outlines will be available that describe training for each system component. The Optum team will work with the DHHR to review and enhance outlines to provide effective training. WV IES training incorporates several training methods, including live trainings, Web conferences, self-paced video-based training.

1.3 Plan Assumptions

The State will work with Optum to determine the mix of staff for training at designated State and Optum offices. This will allow for targeted training for the applicable portion of the IES.

The State will identify the 25 State trainers who will assume the ongoing operational training and be available early for training.

The State will provide early access to the State offices for the training staff to confirm accessibility and access to the training environment.

The Optum team will provide hands-on training to system users across the state

The Optum team has access, at a minimum, to the State's six largest county offices to utilize for training. The county offices are located in:

- Martinsburg
- Clarksburg
- Beckley
- Charleston
- Huntington
- Parkersburg

The State estimates that the number of State users that will require training will be approximately 3,500

1.4 Plan Organization

This Training Management Plan is organized into the following sections:

- **Introduction (Section 1):** lists the objectives and scope of the Training Management Plan and describes the plan organization.
- **Training Approach and Methodology (Section 2):** provides the training approach and methodology we have established for the WV IES.
- **Training Schedule (Section 3):** provides a summary of the trainings planned for the WV IES.
- **Target Audiences for Training (Section 4):** describes the audiences we have identified to receive WV IES training.
- **Types of Training (Section 5):** describes the different types of training we will provide to train your users and the 25 State trainers assigned for operational support.
- **Training Curricula and Materials (Section 6):** discusses the training curricula and materials we will use to train WV IES users.
- **Learning Management System (LMS) (Section 7):** describes the eLearning videos and written materials the LMS houses such as procedures, user manuals or other reference materials.
- **Evaluation of Training (Section 8):** describes how we will evaluate and monitor the effectiveness of our training throughout the training program.

2. Training Approach and Methodology

The Optum team will use our established and consistent training methodology for the WV IES. This Training Management Plan and training tools support the modular implementation methodology. Training tools include the LMS and evaluation templates that we customize during the Implementation Phase and maintain during the Operations Phase.

We incorporate continuous quality improvement (CQI) into the training program following our approach to professional development. It provides a structured mechanism for us to continually evaluate training needs during DDI, update training strategies and materials, conduct and assess training activities throughout DDI and support the State trainers during the operational portion of the contract. We will work with the State, and then the State trainers, to perform quality assurance reviews of training. The reviews will occur more frequently as the DDI begins, and then more sporadically as staff members become proficient. Figure 1 shows our CQI approach for professional development and delivery.

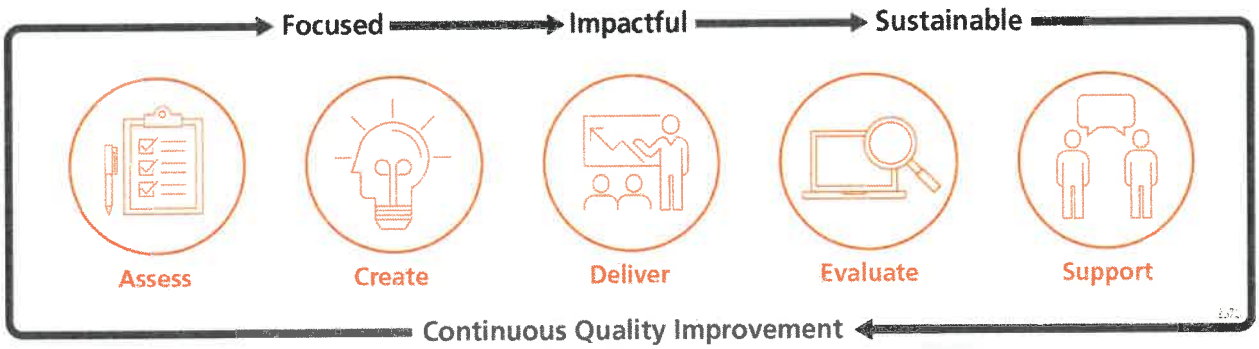


Figure 1: Continuous Quality Improvement Approach. *We continuously analyze training needs and update training materials based on observations, feedback, changes and best practices.*

In order to provide meaningful training materials for the WV IES, our training staff will collaborate with the developers to understand fully our solution's user interface, reports and other solution components. They will also collaborate with staff preparing system documentation and online help. We will work with you and your key stakeholders to identify gaps in knowledge or skills and determine where an additional training need exists.

3. Training Schedule

The following table shows the training planned to support the implementation and operations of functions.

Cohort	Process
Implementation Phase	
Train the Trainer	• The 25 State trainers start learning their appropriate system with UAT training, and then continue through pilot. • Prior to go live, the State trainers will complete an intensive, two-week hands-on training session to prepare them for delivering the training during operations.
UAT Participants	• There is a UAT training session prior to each pilot. • The UAT testers will consist of a subset of the 25 State trainers as well as other pertinent state users. • UAT training will consist of hands-on training in Charleston.
Pilot Participants	• Instructional and hands-on training will be conducted prior to each pilot. • Each pilot will require up to one-week duration of training (based on the install). These training sessions will be completed at three of the State's regional locations or the Charleston training area. • For those unable to attend the training sessions, alternative training methods, including Web conferences as well as eLearning videos with user hands-on exercises, will be created to cover the material in the pilots. • The pilot testers will consist of a subset of the 25 State trainers as well as other pertinent State users.
End-User Training Participants (Go-Live Training)	• End-user training sessions will be segmented in two-week increments, based on the functionality, to reach the necessary user community. These training sessions will run concurrently at up to six of the State's regional locations. We anticipate one-day sessions for each individual user for each phase of the roll out. • The end user will be trained on system usage/functionality. • Up to four eLearning videos per program (eligibility, child welfare, child support) will be created for trainee review post-hands-on training or for those attendees unable to attend the regional training sessions. Additional Web conferences are included

Cohort	Process
Implementation Phase	
	for those users unable to attend hands-on training or use the e-learning videos. • The trainees will register via the LMS so that appropriate class preparation and follow-up surveys can be completed. • Users must complete training prior to gaining access to the application.
Operations Phase	
Operational Train the Trainer	• Optum will work with the 25 State trainers to prepare an annual training refresher. • New-hire training as State training staff are hired: The trainees will be required to register for training through the LMS. The training will be conducted at the Charleston Optum site. • Optum will work with the State trainers for LMS updates required due to Change Request (CR) activity or system defect corrections. • State trainers can access the LMS for scheduling and tracking their training activities for other stakeholders.

4. Target Audiences for Training

The target audiences for training are:

- The UAT participants
- The pilot participants
- The 3,500 State end users
- The 25 State trainers
- Vendor participants

We will train State UAT and Pilot user groups before they participate in testing activities. We will coordinate and deliver instructor-led and hands-on training so designated State staff and a select group of providers for the Pilot can test the Optum WV IES components.

We understand that DHHR has 3,500 State employees across 55 county offices that will support the WV IES. The state staff will be offered instructor-led and hands-on training at three of the states designated regional offices. The State staff will be required to register through the LMS to attend the training sessions. These DHHR-designated users, along with State trainers and our training staff, will receive focused training on the features and functions of the replacement eligibility solution. They will learn how to use the tools to access the information they need to make effective business decisions. For those system users able to attend training in person, Optum will offer hands-on exercises that use data or business examples relevant to business units, as well as training that corresponds to their daily functions.

The Optum team will also provide eLearning videos and other electronic reference materials available on the LMS.

5. Types of Training

We have many years of experience providing targeted training for our customers. We recognize that various training mediums and options needed to effectively train the WV IES State users and program providers. We will use the following types of training for the WV IES.

Type of Training	Process

Type of Training	Process
Live Training	Live training includes conventional, instructor-led training for DHHR users to understand the WV IES operations and tools. This may include the following types of training: **Procedural:** Task of job-specific, end-user functionality **Informational:** Informative session for providing clarity on Optum or DHHR-specific operational processes. We develop the training agendas and course outlines, provide additional support material, and reference guides, as needed. SMEs from the DHHR or our team will attend these instructor-led courses to answer questions related to the technical solution or to address State policy and procedures. Trainings that take place at our Charleston training facility or the State's training facilities will incorporate hands-on exercises where applicable. This will make sure that testers, trainers, and operational users can perform their day-to-day jobs operating the WV IES.
Web Conference	We can conduct training as Web conferences to demonstrate the solution for participants. The Web conferences provide presentation training for State users who are unable to attend in person.
Video-based Training	Self-paced training videos will be available for system users through our secure LMS. The eLearning videos can provide refreshers or supplemental training for State users who are unable to attend trainings in person.

We develop the training agendas and course outlines, provide additional support material, and reference guides, as needed. SMEs from the DHHR or our team will attend these instructor-led courses to answer questions related to the technical solution or to address State policy and procedures. Trainings that take place at our Charleston training facility or the State's training facilities will incorporate hands-on exercises where applicable. This will make sure that testers, trainers, and operational users can perform their day-to-day jobs operating the WV IES.

6. Training Curricula and Materials

Our trainers will work collaboratively with DHHR to develop training curricula and materials. The following table provides an example of a course description.

Course ID	Course Duration	Short Description	Expectation	Audience
TANF-XXX	3 hours	This course teaches participants operational processes and procedures relating to TANF. It includes training on the Portal and other processes related to TANF applications within the WV IES. Participants learn how to navigate through the WV IES and locate information using resources and reference materials that we developed for training purposes.	Participants receive comprehensive instruction with details and applicable information related to TANF.	The intended audience is State staff who will use the TANF enrollment and maintenance solution.

The WV IES training curricula and materials we will provide include the following.

User Manuals and Other Reference Materials: We will develop step-by-step guides describing the functionality of the WV IES, as well as other reference materials. We will post them to the LMS or SharePoint Portal to make them available electronically. Users and providers can download and review the information at their convenience and even print a hard copy, if needed.

eLearning Video Training: eLearning videos are step-by-step simulation videos demonstrating the features of the IES. We will develop eLearning videos and post them to the LMS for authorized State staff users, and other stakeholders to view at their convenience. The eLearning videos enable self-paced training, and are available 24 hours a day, seven days a week except for agreed to maintenance downtime.

Review of Training Materials: We will deliver training materials, including user manuals and course outlines, to you for review and formal approval. DHHR and Optum will use the State-approved shared file to deliver the documents to DHHR. Once submitted to the State for their review and approval, Optum will meet with the State to review and update training material based on the State's feedback. DHHR and Optum will also use these methods to inform team members of updates and changes to training materials, documentation, and upcoming training schedules.

7. Learning Management System

Our LMS platform currently supports more than 60,000 users. With the core LMS already installed, the Optum team will tailor the solution to support different WV IES State and vendor groups. We design our training approach and materials for maximum effectiveness and conformance with Medicaid Information Technology Architecture (MITA) concepts and principles of reusability, electronic information capabilities, industry standards and best practices, interoperability, personalized West Virginia user experiences, privacy and security.

The LMS houses eLearning videos and written materials such as LMS procedures, user manuals, or other reference materials. Authorized DHHR staff users can access the LMS to accomplish the following:

- View eLearning training video courses
- Self-register for instructor-led courses and Web conference presentations
- Review course outlines
- Complete eLearning assessments to gauge the level of understanding of the participant

LMS users will first create unique user accounts to log in securely and see course offerings specific to their association. After registering in the LMS, users can select the course they wish to attend based on their availability. Staff members will access the LMS to self-register for instructor-led courses, Web conferences, and eLearning videos.



Figure 2: Example Learning Management System Screen. *We will tailor applicable LMS screens to align with the look and feel of current West Virginia design standards.*

7.1 Scheduling Training

The training schedule will list available trainings and the date, time and location of each class. We generally plan training sessions during the State's regular operational days and hours. Courses offered for a specific date or time may also be available on the LMS training calendar.

After contract award, we will develop an initial schedule for DHHR training. We will tailor course outlines, training materials, and user manuals to the target audiences. We will meet with the State to determine dates and times for the training schedule. As we finalize materials and identify attendees, we will finalize dates and locations and submit them to DHHR.

If training sessions or dates change, we will post these changes to the LMS and users registered for the training will receive email notification of the change. After implementation, we will develop continued training for Operations and work with the State trainers for their review and any scheduled training.

The following table shows a sample schedule of IES end-user training. Our training staff will work with DHHR to determine the training schedule and post it to the LMS. Training sessions are listed on a calendar within the LMS for easy registration.

Course Title	Location	Time	Date
Fall 2017 Regional IES Workshop	Beckley, WV	9:00 a.m. – 12:30 p.m.	10/19/2017
Fall 2017 Regional IES Workshop	Huntington, WV	9:00 a.m. – 12:30 p.m.	10/20/2017

Course Title	Location	Time	Date
Fall 2017 Regional IES Workshop	Charleston, WV	9:00 a.m. – 12:30 p.m.	10/21/2017
SNAP Functionality	WebEx	1:00 p.m. – 3:00 p.m.	11/06/2017
TANF Functionality	WebEx	1:00 p.m. – 3:00 p.m.	12/04/2017
Medicaid Functionality	WebEx	1:00 p.m. – 3:00 p.m.	12/23/2017

7.2 Maintaining Training Curriculum and Class Materials

As business rules or policies are revised, Optum will incorporate updates into the training curriculum, if applicable, and work with the State trainers to determine if other State users require training, and what type of training. To incorporate feedback received on class surveys into the training curriculum, we follow the change control process established for the WV IES.

Events that may trigger a training program enhancement include the following:

- System releases
- Software upgrades
- Screen changes
- Policy changes
- New entry fields
- New functionality
- Changes identified during testing

As changes to the system are completed, DHHR and the Optum team will determine jointly if the change warrants an update to the training materials. We will follow the established review process to update the materials and reflect the final changes in each document's revision history. We will impose consistent version control on training materials. DHHR will maintain final approval on changes to training materials.

8. Evaluation of Training

We will monitor training effectiveness throughout the training program.

8.1 Tracking Evaluation Data

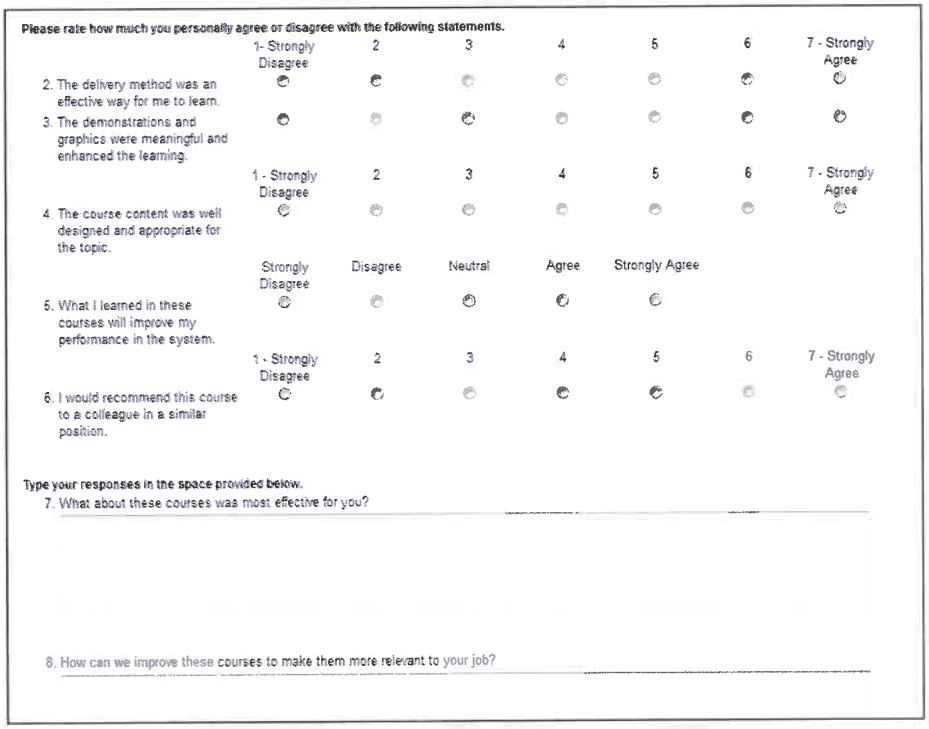
We use the LMS to track and report on the participation and overall satisfaction of the user community with the training available to them. We will provide training surveys to attendees for instructor-led (classroom), instructor-led, and eLearning training. At the conclusion of training, the LMS automatically sends LMS registered attendees a survey to provide feedback regarding the course. The survey includes information such as the following:

- Effectiveness of the instructional materials
- Effectiveness of the exercises
- Appropriateness of reference materials
- Effectiveness of the trainer

The completed surveys provide feedback to determine the success of the training program and to identify areas for improvement. We compile results and forward them to you for review on a timeline determined by the State and Optum. The State determines material enhancements

necessary to validate acceptable training. We incorporate agreed-upon changes into training materials and methodology, as needed.

Figure 3 shows an example of a training survey. We will work with the DHHR to determine the exact evaluative information to gather.



Please rate how much you personally agree or disagree with the following statements.

	1- Strongly Disagree	2	3	4	5	6	7 - Strongly Agree
2. The delivery method was an effective way for me to learn.	○	○	○	○	○	○	○
3. The demonstrations and graphics were meaningful and enhanced the learning.	○	○	○	○	○	○	○

	1 - Strongly Disagree	2	3	4	5	6	7 - Strongly Agree
4. The course content was well designed and appropriate for the topic.	○	○	○	○	○	○	○

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
5. What I learned in these courses will improve my performance in the system.	○	○	○	○	○

	1 - Strongly Disagree	2	3	4	5	6	7 - Strongly Agree
6. I would recommend this course to a colleague in a similar position.	○	○	○	○	○	○	○

Type your responses in the space provided below.

7. What about these courses was most effective for you?

8. How can we improve these courses to make them more relevant to your job?

Figure 3: Sample Training Course Survey. *We will work with you to determine the evaluative information to gather for the WV IES training course surveys.*

8.2 Interpreting Evaluation Data

The Optum team will store, track and report on class surveys to determine the level of understanding and the trainee's evaluation of the effectiveness of the training material.

Figure 4 shows an example of a survey results report.

Assignment - Name	User - LFM	Status Date	Question - Text	Answer
OECAC 101: Optum Enterprise Computer-Assisted Coding: Overview	[redacted]	10/13/2016	What about this course was most useful for you?	how to use oec
			Do you have any suggestions for improving this course?	no
			How likely are you to recommend this course to a colleague?	10 - Extremely likely
	[redacted]	4/26/2017	What about this course was most useful for you?	The audio
			Do you have any suggestions for improving this course?	No
			How likely are you to recommend this course to a colleague?	6
	[redacted]	6/19/2017	What about this course was most useful for you?	I thought it was very self explanatory and walked you through the basic functionality of how to manipulate around in the system.
			Do you have any suggestions for improving this course?	No it was pretty well defined.
			How likely are you to recommend this course to a colleague?	10 - Extremely likely
OECAC 102: Natural Language Processing Overview	[redacted]	2/22/2017	What about this course was most useful for you?	
			Do you have any suggestions for improving this course?	
			How likely are you to recommend this course to a colleague?	9
	[redacted]	4/12/2017	What about this course was most useful for you?	
			Do you have any suggestions for improving this course?	
			How likely are you to recommend this course to a colleague?	

Figure 4: Sample Survey Report. *We provide surveys to State users, providers and other stakeholders after they complete training sessions.*

We will review the evaluative information and, if needed, work with DHHR to make sure we make enhancements to the training based on the survey feedback.

West Virginia Integrated Eligibility Solution (IES)

Draft Testing Management Plan

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

Signature _____ **Date** _____

xxxxxxxxx

Optum

IES Project Manager

Signature _____ **Date** _____

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Revision History

Version	Date	Author	Summary of Changes
1.1	8/8/2017	Optum	Initial draft release

Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 1
1.5 Related Documents 2
2. Testing Approach 2
2.1 Test Environments & Code Management 2
2.2 Testing Methodology 3
2.3 System and Integration Test Steps 9
2.4 UAT 10
3. Testing Tools 11
3.1 Requirements 11
3.2 Testing 12
3.3 Defect Tracking 13
3.4 Reporting 13

List of Figures

Figure 1: Sample Quality Testing Process 9
Figure 2: System Integration Testing Steps 10
Figure 3: Requirements Traceability 11
Figure 4: Sample Testing Work Project Page 12
Figure 5: HP ALM Reports 13
Figure 6: Testing Progress Report 13

1. Introduction

The Testing Management Plan for the West Virginia Integrated Eligibility Solution (WV IES) details our approach, defines responsibilities, defines test deliverables and describes status reporting procedures to be employed for the project testing phases. The Testing Management Plan provides the framework used to plan and manage the testing effort for the Department of Health and Human Resources (DHHR). Within this plan we outline the scope, schedules, responsibilities, resources, issues, risks and environment needs required to complete project testing.

1.1 Objective

The objective of testing the WV IES is to identify and expose issues and associated risks, communicate known issues to the project team, and make certain that these issues are addressed in an appropriate manner. This requires careful and methodical testing of the application to make certain that system components are carefully scrutinized, and that any identified issues are dealt with appropriately. Additional testing objectives include confirming that the system meets the full business and functional requirements of DHHR and maintaining product quality and performance per your expectations. As appropriate, we will document each requirement by one or more test cases to demonstrate compliance to the contract and satisfaction of the requirements. Documentation of the Testing Management Plan prior to execution validates that the test is organized, thorough and accurate.

As with many project-level documents, this Testing Management Plan document may change over time to meet evolving project needs. Effective and timely communication is critical to the success of the test process. To facilitate this, communication protocols will be implemented primarily through HP Application Lifecycle Management (ALM), but occasionally with emails, project reports and other mechanisms, with results posted.

1.2 Plan Scope

Testing will be conducted during the life of the contract. This Testing Management Plan explains the testing to be completed during the implementation phase of the project. Optum will continue to test new data that is added and reports, as they are developed, after implementation, in a test environment. Optum will collaborate with DHHR during User Acceptance Testing (UAT) to facilitate the building of "what if scenarios" as required. On an ongoing basis, Optum will also share test results before new data is promoted to the production environment or new reports are added to the library of reports.

1.3 Plan Assumptions

Not applicable

1.4 Plan Organization

This Testing Management Plan is organized into the following sections:

- **Introduction (Section 1)** lists the objectives and scope of the Testing Management Plan and describes the plan organization.
- **Testing Approach (Section 2)** provides an overview of our testing approach, including test cycles, test environments, testing methodology, testing steps and testing selection methodology.

- **Testing Tools (Section 3)** identifies the integrated toolset we use to manage testing activities, the features of the HP ALM tools, and test reporting.

1.5 Related Documents

The Testing Management Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, the document is baselined and placed under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

2. Testing Approach

Testing is the only way to make certain that the WV IES functions correctly and produces the outputs desired by DHHR. Confidence in the data and analytics is the premise for WV IES applications and associated outputs, such as reports and extracts. Testing that finds and corrects functionality issues is essential both during implementation and ongoing throughout the life of the contract. Testing is an iterative process that is not complete until expected, accurate and verified results are obtained.

2.1 Test Environments & Code Management

Optum will use different non-production test environments depending on the purpose of the test or test phase. However, the production environment may be leveraged for pre-production testing such as performance testing, security testing or implementation/operational readiness testing. Otherwise, non-production environments are preferred for testing.

We will leverage an environment dedicated to development and unit testing. The number of subsequent test environments is dependent on a number of key factors. These include the complexity of the solution, mix of technologies, required testing, and velocity of delivery, number of overlapping releases. Optum leverages a separate test environment for system, system integration (includes any black box or white box testing), regression, and some component-based performance testing. Typically this environment contains a subset of production data, but it will contain what is required for the prescribed test cycles.

User acceptance, parallel, operational readiness, usability/accessibility, and security testing are typically performed in a separate environment reserved for more business functional testing and typically contain more robust and production-like data. This environment can even contain a copy of production depending on the size, capacity, and so forth. This environment is also where more robust performance testing will be accomplished.

Data conversion testing occurs throughout the test cycles in the applicable environments. At times, depending on the solution, Optum will leverage automated testing tools that may engage additional test environments. Tested code is typically moved into a final "stage" environment or pre-production environment. Final performance or regression testing will be completed in this environment; however, the intent is that this environment contains code that is production ready. It is from this environment that the code is moved into production.

Optum employs source code tools to manage code in each of our environments. The code is maintained in a source control repository with the necessary attributes applied to version the code. This control provides visibility into the evolution of the code. This versioning or tagging of the code allows for build packages to be defined pulling in the necessary tagged code. Ultimately, we work these measures together, giving us the ability to clearly specify the version against which assessments have been performed and allow packages to be repeatable. Our

source control system also gives us the ability to revert to previous code versions, if necessary to troubleshoot or roll back a system.

2.2 Testing Methodology

Our testing methodology consists of four broad activities. All are equally critical to the success of a testing effort and are summarized as follows:

- **Planning:** We verify that the proposed types of testing to be conducted, along with their focus and approach, are appropriate, comprehensive and integrated with the planned activities across the solution.
- **Preparation:** The detailed test scripts identified during planning are developed. Expected results are documented. This also includes the identification and preparation of supporting test data which entails writing the test scripts, documenting the testing methodology and establishing the system test environment.
- **Execution:** Upon completion, review and approval of the outputs of the preparation activity, test teams begin executing the tests in an iterative and parallel process. Test results are compared with the expected results and discrepancies are researched, resolved, and the test is executed again. When problems are encountered in one area, multiple tests are executed, verified and corrected concurrently to allow for the most efficient testing with the least impact to the whole process. Optum will use HP ALM, a web-based COTS software tool, to track test cases.
- **Review and Verification:** Verification of results begins after executing the first test and continues until all test scripts execute successfully. We record and review the results of all tests, both successful and unsuccessful.

Each test cycle has a different scope and purpose and all cycles function with the same emphasis on quality, repeatability and documentation. Some of the differences for each phase of testing are as follows.

Unit Testing

Unit testing is a component-based testing completed by developers prior to the delivery of code. The focus of this effort is to make certain that the code being delivered is stable and provides the expected results based on the requirements in scope at a component level. Unit testing also includes application scans from an application security perspective. Unit testing is completed and managed by the Optum development team. Complete unit testing results are provided with the build package along with any known defects that are then captured in the Test Management tool as well. Until that point all testing and defects are managed by the development team in their own systems. Each defined code build is reviewed, and if rejected will not be propagated into the next environments. This phase will have entry and exit criteria.

System Testing

System Integration Testing has the primary goal of assessing the new functionality in scope for a release as defined by the functional requirements. It includes exercising the system functionality, system integration points, data conversion testing, and system compatibility testing, where applicable and defined as part of the scope of effort. This phase will have entry and exit criteria.

Integration Testing

Integration testing will exercise the complete system as indicated in the approved designs. It will help verify end-to-end testing across multiple application interfaces and platforms. The testing is conducted on a complete, integrated system to evaluate the WV IES compliance with its specified requirements. It also confirms the WV IES is integrated to any external or third party systems defined in the system requirements

This testing includes functional and non-functional requirements along with positive and negative tests. It makes sure the interaction between individual software modules for a given system. Depending on how a feature is spread across technologies components, the integration testing could be part of other testing activities (UAT, system integration testing). For DHHR, the integration testing will occur as each component of the architecture is completed.

Regression (Baseline) Testing

Regression testing has the primary focus to assess the existing system functionality based on the impact analysis of the new functionality on the system and data conversion testing. This phase will have entry and exit criteria.

End-to-End Testing

End-to-End (E2E) testing simulates real-world scenarios by identifying system dependencies and verifying data integrity is maintained across the entire system. QA verifies the system is integrated to all external or third party systems defined in the requirements including functional and non-functional requirements. QA executes scenarios, both positive and negative, that test the flow of the system from beginning to the end.

E2E testing includes full workflow execution of all cycles (e.g., daily, weekly, monthly). Using converted and interface data as much as possible.

E2E scenarios are developed using real-world business scenarios that mimic real-world use at the component, application and system level. Scenarios usually start with daily system and manual tasks, followed by additional cycles, such as weekly and monthly. Test scenarios may also be grouped into cycles to leverage commonality and optimize the critical path.

The satisfactory completion of every test case and DHHR sign off on the test results will indicate the successful completion of E2E testing. Where possible, E2E scenarios may be executed in earlier testing stages to allow for earlier validation of scenarios and/or identification of defects and will be added to the regression testing suite.

Performance/Load/Stress Testing

The performance test will be conducted on a production ready version of the system, that is, a version that has passed all requirements validation, system, and security testing. The performance test environment will mirror the final production system specifications in order to accurately predict how the system will behave in the production environment.

Optum Enterprise Performance Testing confirms performance, availability and stability objectives are met for systems and applications. Performance testing is typically conducted for new applications, application or infrastructure changes, troubleshooting, or hardware/software comparison and evaluation. The Optum automated tools simulate high user volumes within a dedicated and robust load farm. Support for application protocols includes HTTP/HTML, Web Services, Mobile, Database/ODBC, Citrix, RTE and Video Streaming. Optum has a dedicated internet connection with 400 MB/ 1GB burst for testing internet applications. Our performance management tools are fully integrated to facilitate comprehensive reporting and analysis.

During preparation activities for Enterprise Performance Testing, we will work with DHHR to identify goals, script requirements and scenarios. Test scripts will be developed based on documented workflows that are either critical to the business or are used most frequently by end users. Performance test engineers will execute tests based on test scenarios designed with DHHR's subject matter experts. Additionally, reports will be provided after each test to assist with in-depth analysis and comparison between tests. Performance test benefits include:

- Reduced infrastructure costs by sizing components correctly
- Increased application stability by:
  - Baselining infrastructure and application performance prior to releases, upgrades or changes
  - Determining if applications and infrastructure will support the expected level of users and transaction volumes
  - Testing application performance to plan for unexpected increases in usage volume
  - Identifying failover issues and application resiliency under load
- Improved user experience by:
  - Confirming the user experience remains unchanged and stable under stressful conditions, such as failures with architecture or dependent services
  - Identifying bottlenecks, performance issues and opportunities for tuning

Multiple test types are supported including load, stress, stability and resiliency testing. Load testing will allow DHHR to determine how the application will behave under peak user volumes. Stress testing pushes the application to above expected user volume and helping us to identify a break point. Resiliency testing determines application behavior in failover conditions and stability tests run for extended durations to identify underlying issues, such as memory leaks that may not be noticeable until the application has been under load for several hours.

Parallel Testing

We will use parallel testing to test functionality being replaced. This is achieved by running scenarios through the existing system and through the replacing system to confirm consistent results. This technique will be leveraged where appropriate in the various core test phases. Typically, system, integration and UAT are testing cycles that will be conducted leveraging this environment.

UAT

UAT has the primary goal of building the user acceptance of and confidence in the functionality of the system. This is driven more from a business use case perspective instead of a functional perspective as with system integration testing The main driver for building business use cases is ultimately the scope of the effort, but some regression aspects will be built into this as UAT drives the system from a complete flow perspective. Optum will tailor the UAT activities to DHHR's needs. In efforts where full engagement is requested, we use a collaborative approach to promote clear definition for acceptance. This is primarily done by detailing out the scenarios and entry/exit criteria with appropriate stakeholders, obtaining agreement on the acceptance measures. Once there is complete stakeholder agreement, the assessment becomes a matter of execution to the defined criteria, which will then be measured and reported through our various reporting and communication activities.

UAT, including support of activities for DHHR-defined users, has a primary focus around the business assessment of the system and may include data conversion testing. This is more of a scenario based testing approach and is not scoped solely upon the in-scope requirements, such as with system integration testing. This phase will have entry and exit criteria.

Implementation/Operational Readiness Testing

Operational readiness testing (ORT) begins at the requirements phase of development. To be effective, it must be part of deployment readiness for each release of functionality. ORT is a key input into our overall operational readiness activities. As part of ORT, we will exercise the deployment and operations functionality of the systems. This includes deployment dry runs, data migrations, disaster recovery testing, and workaround validation. We will plan this testing based on an impact analysis of changes to the overall system. This will help us with the transition and build confidence as the development team hands off the release to the operations team. The disaster recovery testing will demonstrate how the system reacts during an emergency.

This phase includes testing system components that affect external system users. These include Web portals, Web-based software, and data entry by other vendors. We leverage pilot testing as part of ORT. For each capability, feature and function you define, we will work with you to identify the essential business processes, requirements and associated key operational readiness requirements. We will meet all of the requirements defined in the RFP Appendix VII: Operations Specifications and BA06 Operations Management requirements. We will define the test cases and actions to complete for each of the key readiness requirements. In addition, we will build actions into the appropriate phases of the project plan with accountable and responsible resources assigned. Our testing activities will align with our testing cycles, test case development, test case execution and defect management. We will produce our standard set of test management results and reports for DHHR.

Interface Testing

Carrier interface testing will be an extension of system integration testing. Instead of stubbing out the carrier integration in system integration testing, this will exercise the application through that integration point. The scope of this effort will be defined in the Release Test Plan and will be based on the in-scope functional requirements. As applicable, there will be some regression aspects driving through this testing effort. This phase will have entry and exit criteria.

Security Testing

Security testing of system components will be performed to validate that application components are not vulnerable to malicious attack. This testing will be performed by Optum personnel using a variety of tools and techniques.

Security is integrated in our maintenance services and system development life cycle (SDLC) to enable identification and verification of regulatory requirements and the controls required to meet compliance. Security requirements are met by:

- Identification of applicable security and compliance requirements, system components, functional requirements, and internal administrative controls during the requirements gathering phase
- Identification of existing patterns, use cases and gaps analysis during the Design Phase
- Identification of recommended solution; includes recommendation of acquisition of solutions required to address gaps during the Development Phase

- Threat and vulnerability management through source code review, and infrastructure and application penetration testing during the QA Phase
- Continuous vulnerability scans, flaw remediation and compliance verification during the production phase

Optum will create and maintain a Security Test Plan for the application components we support. The intended use of the Security Test Plan is to facilitate DHHR and stakeholder understanding of the security testing life cycle phases.

The Security Test Plan will cover:

- Definition of security testing phases
- Static code analysis
- Non-static code review
- Dynamic Web scanning
- Penetration testing
- Baseline scanning
- Functional security testing
- Purpose of each security testing phase
- Time frames in which each security testing phase will occur
- Roles and responsibilities for performing the security testing
- Testing practices, processes and procedures used during the security testing life cycle

Pilot Testing

Pilot testing includes testing of system components that affect external system users, such as Web portals, Web-based software, and data entry by other vendors. It is a part of the operational readiness testing activity. Examples of pilot testing include testing of system components that affect external system users, such as Web portals, Web-based software, and data entry by other vendors.

Pilot testing is focused on the users and their total interaction with the complete system including external partners, vendors and applications. It is usually a small scale implementation to evaluate functional, usability, performance and accessibility in an attempt to predict how the system will function with a full implementation.

Data Conversion Testing

We will use context diagrams, business process flows and data flows to support conversion activities. This will help us determine file, field, data and information requirements. We will assess the environment needs and the data necessary for each environment to complete its designated level of validation. This level of planning is necessary for us to make sure we have evaluated all aspects of the environment: data, integration and configuration. Additional data-focused areas will include:

- **Data mapping:** Validates that data entered into form fields on the front end of the application (user interface) save and map correctly to the corresponding database table and database fields. It validates that actions performed in the front end of the application

invoke a corresponding CRUD (create, retrieve, update and delete) action on the back end.

- **Data integrity:** Validates that the updated and most recent values or status of data appear on forms and screens following a CRUD action.
- **Business rule conformity:** Validates that values produced by a process meet business rule requirements such as the calculation and the data flow. This deliverable aligns with the deliverable management strategy to gain stakeholder acceptance prior to execution.

We will use our configuration management process to identify what is in an environment and what has changed from one point in time to another. We can accomplish this when items are in use or at any point in time. This capability helps us identify and address false negative results because of environment-related, data-related or other issues.

Usability Testing

Usability stands as a cornerstone of Optum Web interface design. Starting, with the design phase, we use the US Health and Human Services Department Research-Based Web Design and Usability Guide as a blueprint to promote the intuitive and ease of use for all interfaces. Subsequent to design, we also use automated and hands-on testing for our user interface (UI) to evaluate aspects of usability, including ease of finding key information, page flow, print layouts, response time, ability to complete tasks, and desktop browser / mobile usability.

During this testing phase, hands-on testing is performed with the guidance of a Usability Testing Protocol. This consists of the identification of personas, which are fictional representative users who share the attributes of your typical users. These personas are used for multiple test scenarios throughout testing. Then, we enumerate critical tasks, both for the user and stakeholder. From the task list, we create a Usability Testing Protocol containing the non-biased moderator script and testing criteria. Testing is performed, usually as a 1-on-1 experience between a tester and moderator. Results are then recorded, analyzed, and shared with the development team.

This methodology promotes delivery of an interface that satisfactorily meets our stakeholders' needs. Furthermore, Optum runs a dedicated User Interface Experience (UIX) lab to assist projects in meeting interface requirements. Figure 1 illustrates the type of quality testing we will perform on the WV IES user interfaces.

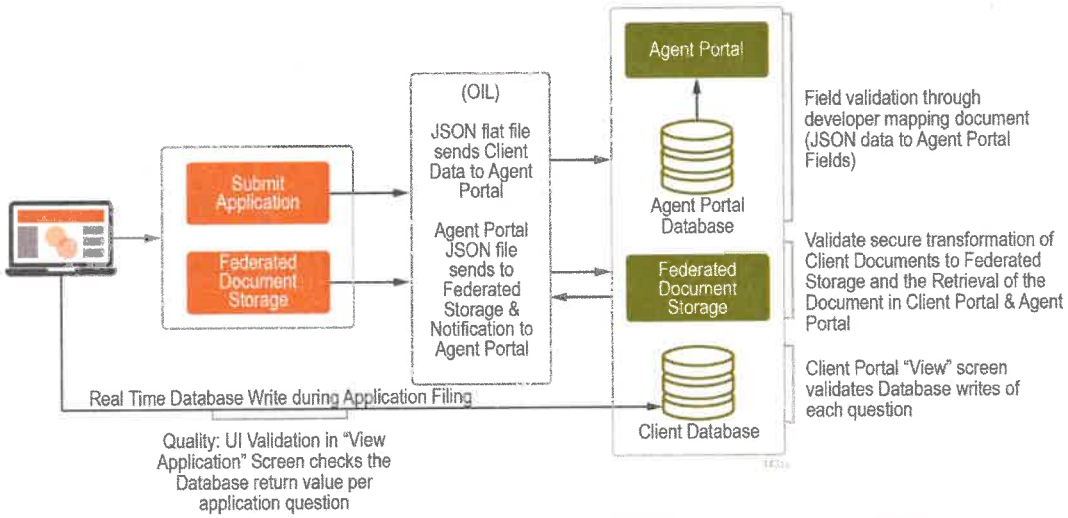


Figure 1: Sample Quality Testing Process

Our testing methodology will help us verify that each interface we deliver for the WV IES meets the needs of your users and stakeholders.

Accessibility Testing

The Optum accessibility testing provides validation that the system being delivered is accessible to individuals with disabilities and they have the ability to interact as necessary with the system. All user interfaces undergo Section 508 compliance review beginning with the Design Phase. Our graphic designers understand the needs of users with visual disabilities and create a wide variety of accommodations. After the Design Phase, we execute both automated and manual testing of web tools to further verify full compliance.

2.3 System and Integration Test Steps

The objective of system integration testing is to validate that the system as a whole functions as designed. Testing during this phase verifies that the various WV IES components communicate effectively within the integrated system, and that the solution meets the functional requirements established for the system. The detailed test cases include specifics such as navigation, the required input for each report/query/process, and the expected result of each transaction. This approach is more formal than a unit test.

Optum will execute all test cases during system integration testing to verify the functionality and reports are correct and complete in the WV IES. Successful execution of the Testing Management Plan will confirm a robust and complete WV IES capability. Our testing team will direct system testing activities and operate the IES as defined by the Testing Management Plan. We will provide for error resolution and technical support throughout system testing activities to facilitate the successful execution of the system Testing Management Plan.

System testing will be predicated on the requirements of the RFP, the Optum proposal and the approved Requirements Specification Document (RSD). Successful completion will be marked by satisfactory completion of every test case, and WV DHHR sign-off on the test results. Figure 2 provides a summary diagram of the steps involved in system integration testing.

The Optum testing methodology consists of the following points. Each number on the diagram relates to a step in the process. The testing steps are listed below.

1. The WV IES Test Plan is completed based on requirements documented in the RFP, our proposal, and the RSD.
2. Requirements are loaded into HP ALM and linked to test case scenario templates.
3. Test case scenario templates are selected based on the functionality required in the RFP, proposal and RSD.
4. Test case scenarios are executed and results are documented.
5. If the test case scenarios are executed without errors, then the status is updated to "pass". If the test case scenarios are executed with errors, the status is updated to "fail." All defects are entered into HP ALM and are linked to the failed test case scenario.
6. Quality Assurance (QA) checks are made periodically to ascertain the accuracy of the test and test result. Depending on the test, the test may be rerun, or partially rerun. Documentation is reviewed for correctness, and reports reviewed for formatting, correct interpretation of the specifications, and correct and verified results.

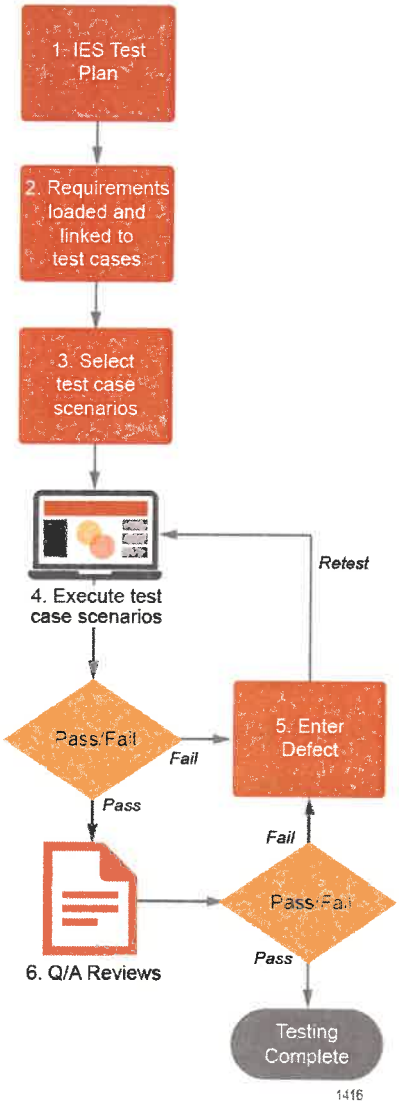


Figure 2: System Integration Testing Steps.
Optum follows a clearly defined testing process.

Not every requirement is suitable for a system test; therefore, not every requirement will have a test case scenario. Also, testing may be repeated in separate testing cycles for consistency. There may be many tests associated with one requirement. If a test case number is not listed with an associated requirement, it means that it was not deemed applicable for testing.

As noted in the diagram above, testing is an iterative process as each test scenario will be repeated until the test passes. Test Plan progress reports will be generated weekly.

2.4 UAT

UAT combines acceptance tests with user training. It will be conducted on the DHHR site, supported by experienced Optum system and business analysts. UAT will be executed on production-like data, using various training aids designed by our staff. These training aids will address the three basic learning styles: audio, visual and kinesthetic, so that by the end of training all participants will understand how to use the system.

The training guide contains comprehensive instructions for user functionality, from logging onto the WV IES to Frequently Asked Questions (FAQs). Each WV IES component will be discussed

in terms of purpose and practical usage. It contains exercises, helpful hints, reminders and bonus questions designed to make the user take the information presented and apply it to a new situation, thereby helping users to be comfortable with the various concepts and use.

Once the DHHR has executed test scenarios, completed the exercises in the training guide, and verified that the application meets the RSD specifications, DHHR sign-off on the acceptance testing will occur.

Test scenarios used during UAT remain available upon go live so the DHHR can test subsequent changes to the WV IES.

3. Testing Tools

Optum will effectively manage the WV IES Project requirements, test cycles (including cases and results), and defects using HP ALM. All modular products within HP ALM are Web-based and allow complete traceability of requirements as they move though development, testing, and final deployment within the WV IES. Each of these tools affords Optum project management staff the ability to enforce our development and QA methodology to be certain all requirements are captured, addressed, tested and deployed according to approved design specifications.

After our solution is implemented, Optum will continue to use HP ALM for tracking any new requirements or needs of DHHR that arise during operations.

3.1 Requirements

HP ALM provides the organization of requirements linked to the associated solution development/testing activities, as shown in Figure 3.

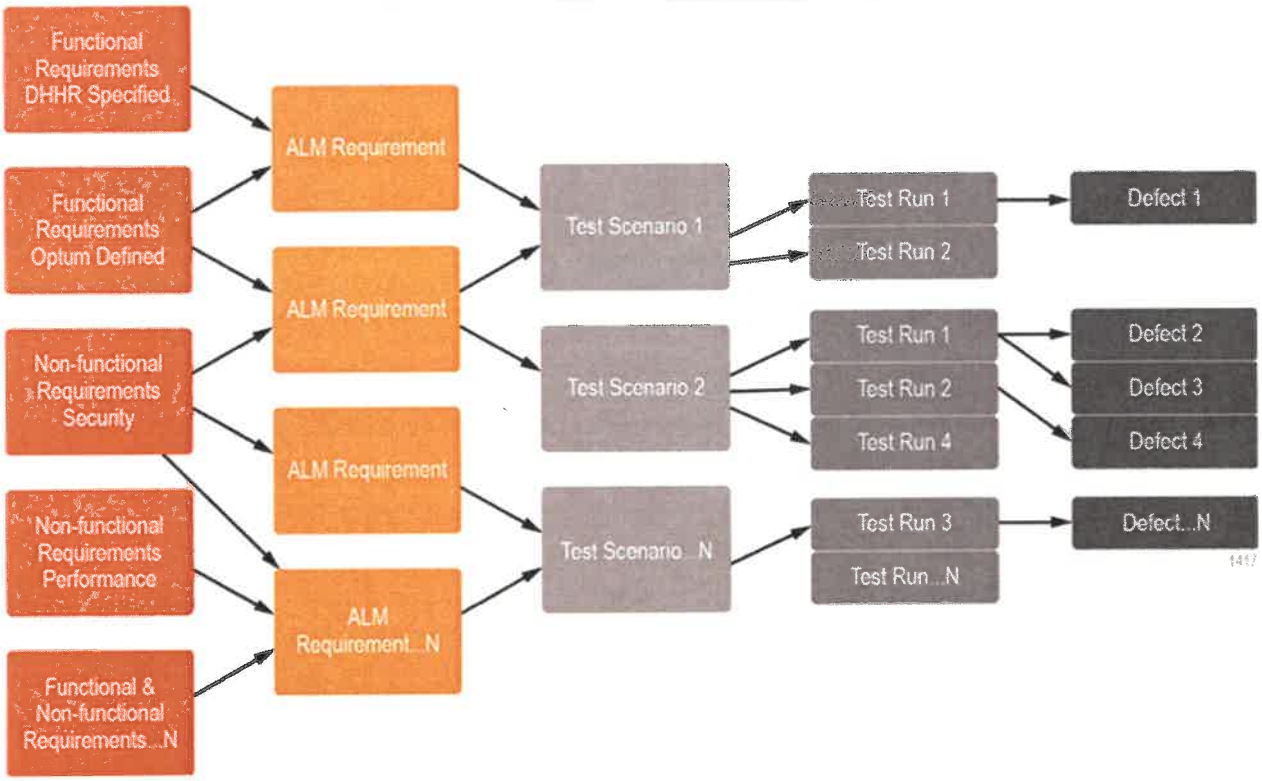


Figure 3: Requirements Traceability.
HP ALM will provide full traceability of requirements throughout the project.

Requirements will be loaded into the requirements section of HP ALM and linked to applicable test scenarios. DHHR staff will have access to reports to obtain the status of each requirement in the development process. HP ALM includes a change management system which verifies that changes to requirements and specifications are accomplished in a controlled manner. HP ALM users view the changed items, who changed them and when, and the various versions of requirements and specifications.

3.2 Testing

Test cases are designed working through each requirement with the impacted stakeholders. They include negative and positive tests. Those tests are then entered into HP ALM. HP ALM enables day-over-day management of test execution, and reporting and management of defects associated with those tests.

Key features of our HP ALM test management tool include:

- **Create, plan, execute, and track:** Reusable test cases and all testing assets are created within a central repository. Releases and test cycles can be scheduled using a wizard-driven interface; test assignments are then executed and results tracked in real-time dashboards and reports.
- **Intuitive user interface:** Provides a responsive, interactive user interface that presents all the relevant information in context, allows easy access to most-used functions and minimizes the number of clicks, refreshes and navigations. This allows the team to get their jobs done faster.

An example of the testing work project page is shown in Figure 4. An extensive list of all test case scenarios is displayed on the left. The tasks for a specific test case scenario are listed on the right, along with the task ID, title, Task state/status and the task owner. For each task, detailed verification points or steps are listed at the bottom of the page.

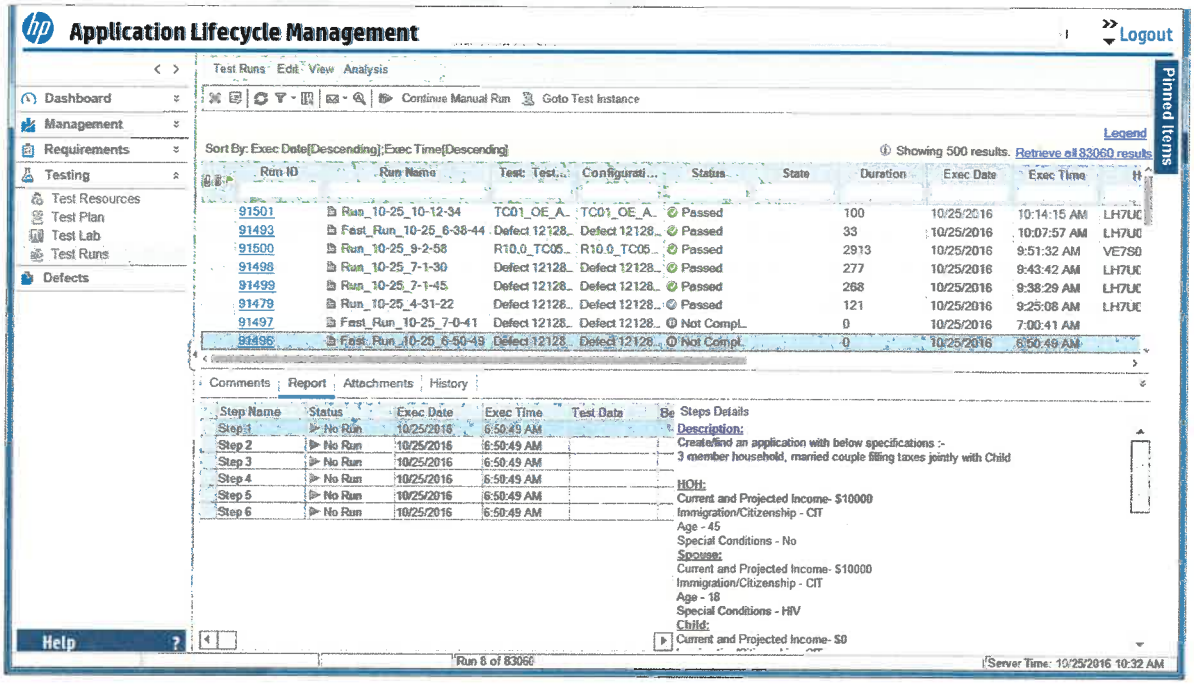


Figure 4: Sample Testing Work Project Page.
The interactive user interface presents all the relevant information in context and allows easy access to most used functions.

HP ALM provides complete test lifecycle management capabilities from creating test cases, logging bugs and managing them, to closure in a user-friendly manner. HP ALM reports are leveraged in daily calls, weekly reports and other assessments of trends and analytics. The test execution reports are leveraged daily to identify blocking issues, identify issues with test cases, environments, data, or even with requirements.

3.3 Defect Tracking

HP ALM, as shown in Figure 5, tracks product defects and development issues. HP ALM provides a flexible GUI-based workflow engine and offers visibility into the testing process.

After implementing the WV IES, we will continue to use HP ALM to track new DHHR requirements that arise during ongoing operations. This includes implementing changes to any of the WV IES components stemming from change requests or new component releases. We will also use the tool to track changes in West Virginia or federal policy and law. We will work with you to configure the tools to conform to stated requirements for your IES. We will help you identify DHHR staff that will need access to the HP ALM tools during the course of the WV IES Project.

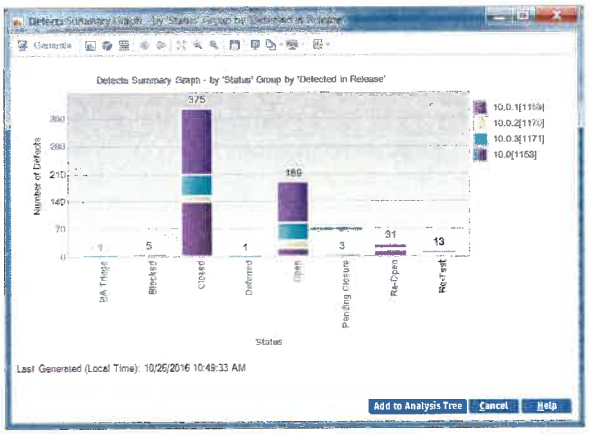


Figure 5: HP ALM Reports.
HP ALM provides high-resolution reports and graphs that export to a variety of formats.

3.4 Reporting

HP ALM also features reporting functionality that provides an accurate window into testing progress. This provides our project management and DHHR staff have an accurate, up-to-the minute perspective on the progress of testing tasks.

We perform regression testing as needed to address issues that arise from the testing phases. Any test case with a failed status must be re-tested in order to pass. The link between test cases and defects, the defect tracking workflow and the quality assurance test case makes certain that regression testing is performed and documented. Reports are generated to supplement the on-line tracking of each test case.

We will report on all system integration testing activities. In addition, we will produce run sheets for each test cycle to provide completeness of coverage. These run sheets will provide the detail of the cycle's progress as illustrated in Figure 6.

Day Over Day Plan by Functionality Groups																					
Functional Areas	Total Test Cases	Total Completed	Passed	Failed	Blocked	In Progress	No Run	Total N/A	7-Oct P	8-Oct P	9-Oct P	10-Oct P	11-Oct P	12-Oct P	13-Oct P	14-Oct P	15-Oct P	16-Oct P	17-Oct P
Function 1	36	33	29	4	2	0	1	0	7	7	7	7	8	0	0	0	0	0	0
Function 2	18	17	14	3	0	0	1	0	4	4	4	3	3	0	0	0	0	0	0
Function 3	40	30	29	1	3	4	3	0	1	1	0	4	4	6	6	6	6	6	0

Figure 6: Testing Progress Report.
Reports are easily produced to monitor the testing progress and report issues to DHHR.

The Summary Testing Results Report provides details of performed test cases and scenarios; describes what defects have been resolved in each release; and identifies defects that are not resolved. The summary includes the scope, test scenarios, test case description, metrics, and overview of test results for each test case, test logs and notes.

At the end of system integration testing detailed testing documents will be delivered to the DHHR. This will include a summary of all test cases with their completed status and an exported copy of each test task, along with supporting documentation.

West Virginia Integrated Eligibility Solution (IES)

Draft Scope Management Plan

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

_____ **Signature**

_____ **Date**

xxxxxxxxx

Optum

_____ **Signature**

_____ **Date**

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Revision History

Version	Date	Author	Summary of Changes
1.1	8/8/2017	Optum	Initial draft release

Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 2
1.4 Plan Organization 2
1.5 Related Documents 2
2. Approach to Developing the Project Scope Statement 3
3. Approach to Creating the Work Breakdown Structure 4
4. Approach to WBS Maintenance 4
5. WBS Decomposition 5

1. Introduction

The Scope Management Plan describes how Optum identifies and resolves issues for the West Virginia Integrated Eligibility Solution (WV IES) Project.

1.1 Objective

The WV IES Scope Management Plan, using guidelines in the PMBOK Fifth Edition, is a key component of the Optum overall project management approach. It describes how the WV IES Project scope of work will be defined, developed, monitored, controlled, and verified throughout the life of the project. The Scope Management Plan describes the processes to help us verify that the scope defined in the contract and detailed in the project charter is delivered as planned. Effective scope management is key to establishing and satisfying stakeholder expectations. This involves defining project success criteria, monitoring the execution of project activities and reviewing deliverables against approved plans and requirements to verify accountability for actual versus planned outcomes.

1.2 Plan Scope

The WV IES Scope Management Plan addresses the approach that Optum will use to define, control and verify scope throughout the project life cycle.

The Optum WV IES Project team will define and verify the scope of the project/work based on the terms agreed to in the RFP. DHHR and Optum teams will review the scope, objectives and requirements for each project phase and major deliverable prior to commencing work. If the scope is not contained within the WV IES contract, a separate Statement of Work (SOW) will be generated to identify the work to be performed, the time frame during which the work is to be performed, and the cost of the work.

The following sections describe how scope will be defined, controlled and verified. WV IES project scope management follows a five-step process:

- **Collect Requirements**: This first step is the process by which the requirements needed to meet all WV IES Project objectives are defined and documented. The foundation of this process is the project charter and stakeholder register. From these, the team is able to identify key business drivers and high-level solution vision requirements, collectively discuss details associated with meeting each requirement, conduct interviews and engage in follow-up discussions to clarify and document project requirements in sufficient detail to confirm consistent expectations and measure them once the project enters the execution phase. This documentation also serves as an input for the next step in the process, scope definition.
- **Scope Definition**: Optum will develop a detailed WV IES Project/product description, including deliverables, assumptions and constraints, and establish the framework within which project work must be performed.
- **Create Work Breakdown Structure (WBS)**: This process breaks project deliverables down into progressively smaller and more manageable components which, at the lowest level, are called work packages. This hierarchical structure facilitates more simplicity and clarity in scheduling, costing, monitoring and controlling of the project.
- **Scope Verification**: This is the process by which the Optum project team receives a formalized acceptance of all baselined deliverables from DHHR.

- **Control Scope**: This is the process of monitoring/controlling the project/product scope, as well as managing any changes in the scope baseline. Changes may be necessary to the project scope, but it is imperative they are controlled and integrated in order to prevent scope creep.

1.3 Plan Assumptions

We made the following assumptions when preparing this plan:

- The Optum proposal includes the initial scope of work that has been defined consistent with the WV IES vision and goals, business requirements as defined in the Business Analysis Report of Use Cases and Workflows, Functional and Non-Functional requirements, and definitions of in-scope and out-of-scope capabilities defined in the RFP.
- Optum will assess the impact of scope changes, including evaluating dependencies and maintain in the Requirements Traceability Matrix, Work Plan, and WBS. The updated documents will reflect agreed upon changes in project scope.
- During the Project Initiation Phase, DHHR will meet with Optum to validate, refine and elaborate on requirements, including identifying key dependencies between requirements that would be impacted by a change in the scope of work.
- DHHR will communicate requirement changes timely to minimize the impacts to the scope of the project and to collaborate with Optum to define risk mitigation strategies and to identify changes in the planned release of WV IES capabilities.

1.4 Plan Organization

This WV IES Scope Management Plan is organized into the following sections:

- **Introduction (Section 1):** lists the objectives and scope of the Scope Management Plan, assumptions made in developing the plan, describes the plan organization, and identifies related documents.
- **Approach to Developing the Project Scope Statement (Section 2):** discusses our approach to developing the project scope statement.
- **Approach to Creating the Work Breakdown Structure (Section 3):** provides our approach to creating the WBS based on the scope statement.
- **Approach to WBS Maintenance (Section 4):** discusses how we will maintain the WBS.
- **WBS Decomposition (Section 5):** discusses decomposing project tasks down to the work package level.

1.5 Related Documents

The Scope Management Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, the document is base-lined and placed under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

Related documents include:

- All PMP sub-plans (see Section 5 – WBS Decomposition)

2. Approach to Developing the Project Scope Statement

The Scope Management Plan is intended to address how scope will be defined, validated and controlled. The WV IES Project scope statement will ultimately provide a detailed description of the project, system requirements, deliverables, constraints, assumptions, risks, exclusions and acceptance criteria. Equally important, the scope statement will document excluded work that will not be performed in order to eliminate any implied work which falls outside the project's contractually-specified scope.

The main objective the Project Scope Statement is to clarify and bring into alignment a mutual understanding of project scope and project objectives. Definition of the scope statement is iterative in nature; it will initially be developed at a higher level based on known information, and become more detailed as the project progresses and requirements are clarified and refined. The DHHR and Optum project management teams are responsible for refinement of the preliminary scope statement. Input will be obtained by interviewing the stakeholders and translating their expectations and objectives into specific deliverables. During this process, priorities will be assigned to the project requirements which can then be used as inputs into the decision-making process.

Final output in the scope statement will describe project deliverables and the deliverable acceptance criteria process that will be used to evaluate deliverables. Based on industry standards and best practices, Optum will develop a Deliverable Expectation Document (DED) for each contract deliverable. The DED will clearly and concisely identify the acceptance criteria, and we will obtain formal DED approval from DHHR prior to development of the associated deliverable.

For the WV IES Project, scope management will be the joint responsibility of DHHR and Optum project management teams. The scope for this project is defined by the scope statement and WBS. The Optum and DHHR project managers and project stakeholders will establish and approve documentation for measuring project scope through SDLC deliverables. Proposed scope changes may be initiated by the project directors (Optum and DHHR), stakeholders, or any member of the project team and submitted for consideration via the Change Request mechanism. Change Requests will document estimates and impacts to schedule and costs, if any, and will be submitted to the change control manager who will then evaluate the requested scope change. Upon acceptance of the scope change request, the Optum change control manager will submit the scope change request to the WV IES Change Control Board for review and approval. Upon approval of scope changes by the Change Control Board, the change control manager will update impacted project documents and communicate the scope change to project stakeholders. Based on feedback and input from the change control manager and stakeholders, the DHHR project manager is responsible for the acceptance of the revised project scope and related deliverables.

In order to successfully manage a project's scope, it is important to clearly define all roles and responsibilities for scope management. The DHHR and Optum project managers, supported by the project team, will all play key roles in managing the scope of this project working together to make sure that work performed on the WV IES is within the established scope throughout all phases of the project life cycle.

The objectives of scope management are to:

- Define system and operational readiness requirements that encompass stakeholder needs and supports the design and development of the WV IES

- Define system requirements that trace backward to contract requirements, which will be used in design, coding, testing and training
- Define DHHR business processes and operational readiness requirements
- Prevent features from being implemented unless they are derived from approved requirements and receive the appropriate level of review and control
- Verify that changes to requirements are evaluated for their effect on schedule, budget, resources, and risk through a change management process

In general, our approach to scope management includes the following components:

- Scope verification, which is the process of identifying, documenting, and verifying scope
- The establishment of change management procedures for identifying, documenting, controlling and accepting changes in scope
- The implementation of defined processes to support requirements definitions, the use of a repository for requirements management, traceability and reporting; as well as defined roles and responsibilities for team members and management
- The maintenance of a work breakdown structure and project schedule that describes the defined scope (see the Schedule Management Plan)

DHHR leadership, State and Optum project management, and other project team members will review and discuss scope concerns as necessary throughout the project life cycle. These discussions will provide an opportunity to review scope concerns more comprehensively with a larger project team audience.

3. Approach to Creating the Work Breakdown Structure

Schedule planning involves identifying the specific tasks that must be performed to achieve the stated milestones and objectives of the WV IES Project. A waterfall scheduling method will be used that tracks tasks and resource assignments, but not costs.

Inputs to the WBS include, the contract, which identifies the agreed upon scope of work, and the Deliverables Dictionary which defines all contract deliverables.

Next, the duration of the task will be estimated based on how long it will take with the estimated resources. The task dependencies are then defined using predecessor and successor tasks. The project schedule will also consider what tasks outside of the project will feed into the project. Resources are assigned to the tasks to complete the schedule. Deliverables and key milestones will be documented in the schedule as well. As the project proceeds, updates to the project schedule will include the percent of completion for each task.

4. Approach to WBS Maintenance

The project schedule will be maintained in Microsoft Project. There will be two schedules that evolve as the project progresses: baseline and actual.

Baseline Schedule: Once all inputs have been received and approved by DHHR, Optum will baseline the project schedule. The baseline represents the plan of record and is the reference point against which progress and deviations will be measured. The baseline is a snapshot of all time-phased entries into the plan, and includes tasks, start finish dates, actual start and finish dates, resources, and calendars. The baseline is established at the start of the project and then revised as necessary by management action through the change management process. When

project factors necessitate that the original project schedule be revised, and the proper change requests have been prepared, reviewed and approved, the project schedule will be updated and re-baselined. This will be the new reference point against which project progress and deviations are measured. Previous baselines will be retained in the historical record to allow comparisons between various versions of the project schedule.

Actual Schedule: As the name implies, the actual schedule captures the dates on which tasks or milestones actually occur. As work is done, the schedule is updated. The schedule will then be modified with the actual dates and amount of work expended. Actual data is updated and maintained by the Optum deputy account/operations manager or their designee.

For the initial version of the PMP, a high-level project schedule has been created using available data and desired DHHR timelines. As required, the project schedule will be more fully elaborated or updated during the project life cycle:

- Detailed procurement steps will be added once the planning for these activities has been completed.
- Detailed implementation and transition steps will be added after collaborative scheduling efforts.

5. WBS Decomposition

Identified below is an initial WBS decomposition of key deliverables, as identified in the RFP. It should be noted that each deliverable work package includes the development and approval of a DED prior to the initiation of Optum work efforts.

- Project Start Up and Planning
  - **(DED001,D001) Establish of Facility (Milestone)**: Complete when the State accepts Optum's facility.
  - **(DED002,D002) Project Kickoff Meeting within 10 Calendar Days of Contract Execution**: The initial meeting to begin the project, conducts initial introductions, and signals the formal start of project work. Optum and DHHR will work together to identify the topics for discussion in this meeting. Optum will prepare the agenda for this meeting and will be responsible for the meeting notes.
  - **(DED003,D003) Project Charter**: Will provide the business need, assumptions, constraints, understanding of the project, and the services that will be provided. It authorizes the project.
  - **(DED004,D004) Stakeholder Analysis**: Will provide the stakeholder register, and background information on each stakeholder.
  - **(DED005,D005) Stakeholder Management Plan**: Will provide the approach that Optum plans to use to manage stakeholder engagement during the project.
  - **(DED006,D006) Facility Management Plan**: Will provide the approach that Optum plans to use to identify, lease, establish, and maintain project facilities.
  - **(DED007,D007) Staffing Management Plan**: Will provide the approach that Optum will use to staff the project and maintain compliance with all staffing requirements set forth in RFP Appendices VI, Table 26: Business and Technical Requirements and VII, Table 27: Operations Requirements of this RFP.
  - **(DED008,D008) Documentation Management Plan**: Will provide the approach that Optum will use to manage project documentation, including:

- Documentation types include deliverables, meeting materials, and artifacts
- Use, access, and management of document repositories
- Approach to version control on all project documentation

- **(DED009,D009) Training Management Plan**: Will provide the approach Optum will use to train system users of the WV IES. The training plan will contain Optum's approach to providing training, as described throughout RFP Section Four, Subsection 4.3.7of this RFP.
- **(DED010,D010) Testing Management Plan**: Will provide Optum's approach to conducting and supporting each phase of testing as described throughout RFP Section Four, Subsection 4.3.5 of this RFP.
- **(DED011,D011) Scope Management Plan**: Will provide the approach Optum will use to define, control, and verify scope during the project, and will include the following elements:
  - Approach for developing project scope statement
  - Approach to creating the WBS based on the scope statement
  - Approach to maintenance of the WBS
  - WBS that decomposes project tasks down to the work package level
- **(DED012,D012) Deliverables Dictionary**: Will provide a list of project deliverables and will include the following elements for each deliverable:
  - Deliverable Number
  - Deliverable Title
  - Purpose
  - Description
  - Initial acceptance criteria based on requested content in RFP
- **(DED013,D013) Schedule Management Plan**: Will provide the approach Optum will use to manage the project schedule, including the following elements:
  - Scheduling tool
  - Standing schedule review meetings
  - Project schedule delivery interval
  - Assumptions used to develop draft project schedule
  - Constraints that impact draft project schedule
  - Project schedule reporting
  - Approach to base-lining the project schedule
- **(DED014,D014) Project Schedule**: Will provide a detailed task-by-task schedule of the activities to be completed during the DDI phase of the project, tying back to the WBS. The project schedule provides start and end dates, durations, work estimates, resources, and predecessors for each tasks, deliverables, and milestones. Optum will deliver and maintain the schedule in Microsoft Project format, and baseline the schedule upon initial approval by DHHR.

- **(DED015,D015) Cost Management Plan**: Will provide the approach Optum will use to manage the project budget so that the project is delivered within budget.
- **(DED016,D016) Quality Management Plan**: Will provide the approach Optum will use to manage the quality of the work that is provided on the project. The Quality Management Plan will establish the deliverable review process and quality assurance approach for the project, as described throughout the project goals in RFP Section Four, Subsection 4.3.2 of this RFP.
- **(DED017,D017) Human Resources Management Plan**: Will provide the approach Optum will use to manage the human resources that support the project.
- **(DED018,D018) Communication Management Plan**: Will provide the approach Optum will use to manage communications during the project, including the following elements:
  - Audience
  - Tools
  - Standing Project Meetings including definition of purpose, audience, and frequency
  - Reporting
  - Maintenance of contact list
  - Time frame and frequency of communications
  - Required project communications
- **(DED019,D019) Risk Management Plan**: Will provide the approach Optum will use to manage risk on the project, including the following elements:
  - Risk management tools
  - Data sources that support risk management
  - Roles and responsibilities
  - Criticality and probability measures
  - Escalation measures
  - Mitigation techniques
- **(DED020,D020) Issue Management Plan**: Will provide the approach Optum will use to manage project issues, including the following elements:
  - Issue management tools
  - Data sources that support issue management
  - Roles and responsibilities
  - Criticality measures
  - Escalation measures
  - Corrective action plan methodology
- **(DED021,D021) Change Management Plan**: Will provide the approach Optum will use to conduct change management on the project, and will include:
  - Change management tools

- Establishment of a change control board
- Regularly scheduled change control meetings
- Process used to document change requests on the project
- Align with the change management requirements contained in the project goals in Section 4.3: Common Governance Structure, of this RFP

- **(DED022,D022) Security, Privacy, and Confidentiality Management Plan**: Will provide the approach Optum will use to manage security, privacy, and confidentiality during the project. This plan will establish the approach for complying with all federal and State security mandates. This plan will include the following elements:
  - Optum's approach to conducting penetration testing
  - Account management
  - Role-based security including a complete solution role matrix
  - Audit controls and logging
  - Incident response plan
  - A description of how the Optum will use IDS, IPS, Security Information Event Management (SIEM), and malicious software detection
  - Annual update process
  - Data breach reporting processes
  - Align with the related procedures in State plans provided in Procurement Library
  - Approach to completing SSP, SPR, POA&M, and other artifacts tied to federal reviews
- **(DED023,D023) Configuration Management Plan**: Will provide the approach Optum will use to managing solution configuration during the project.
- **(DED024,D024) Data Conversion Management Plan**: Will provide the approach Optum will use to conduct the data conversion supporting the transition from the legacy solutions to the integrated solution. The plan will include the following elements:
  - Development and/or use of conversion programs, tools, or existing extract routines to extract data from the current system
  - Validation of the data conversion software, including description of a system test of all conversion software to demonstrate its functionality and performance before conversion
  - Parallel system and subcomponent runs conducted to validate data conversion results
  - Data cleansing, including development of a data conversion specifications document containing the specific data cleansing and conversion criteria for all data elements
  - Development and use of data conversion test scripts
  - Support for UAT of converted data, and approach to data conversion reconciliation, including methodologies for:

  - Trial conversions
  - Results reporting and analysis, including reports to determine that there are adequate checks and balances in the data conversion process
  - Verification of pilot implementation data
  - Verification of system-wide implementation data
  - Strategy for any data that does not convert
  - Approach to development and use of data conversion test scripts

- **(DED025,D025) Disaster Recovery and Business Continuity Plan**: Will provide the approach Optum will use to maintain continuous operations of the WV IES, and to restore operations following a disaster event. The plan will include the following elements:
  - Back-up and protection plans and procedures, to include files, software, hardware, and network connectivity
  - Description of any proposed alternate hot sites, including proposed plans and procedures for failover testing
  - Description of off-site storage procedures, including a detailed schedule for back-up operations and any proposed clustering methodology for high availability
  - Proposed recovery time and recovery point objectives
  - Risk analysis and risk mitigation for each core business process
  - Processes and procedures for testing and reporting of the Disaster Recovery and Business Continuity Plan to include:
    - Failover/fallback functionality
    - Back-up/recovery functionality, including Recovery Point Objective and Recovery Time Objective.
    - Business continuity
    - Process for updating the plan (as necessary) throughout the life of the contract
- **(DED026,D026) Integration Management Plan**: Will provide the approach Optum will use to manage the modules that make up the complete solution and how these modules support the CMS Seven Conditions and Standards.
- **(DED027,D027) Data Quality and Governance Plan**: Will provide the approach Optum will use to manage program data and records in the system. The plan will include:
  - Executive Summary
  - Functional and Organizational Infrastructure
  - Technical Infrastructure
  - Policies and Procedures
  - Data Quality Management
- **(DED028,D028) System Back-Up and Record Retention Plan**: Will provide the approach Optum will use to conduct system back-ups and verify that all records are

retained on a schedule that aligns with State and federal regulations. The plan will include the following elements:

- Detailed schedules, to provide visibility that data maintained in the WV IES or in other system/manual files is properly and routinely purged, archived, and protected from loss, unauthorized access, or destruction, in accordance with all relevant State policies and procedures
- Retention methodology for all data and records associated with each of the project phases described herein

- **(DED029,D029) Turnover and Closeout Management Plan**: Will provide the approach Optum will use to transition the operations and maintenance of the system to the new vendor or DHHR when the contract ends. The plan will include the following elements:
  - Knowledge transfer to new vendor and/or DHHR staff
  - Delivery of project documentation
  - Job shadowing
  - Transfer of assets (e.g., software, hardware, furniture)
  - Escrow
  - All data
  - Certificates of destruction
  - Project Closeout Report
- **(DED030,D030) Weekly Project Status Report Template**: Will establish the template that will be used to create the Weekly Project Status Report.
- **(DED031,D031) Monthly Project Status Report Template**: Will establish the template that will be used to create the Monthly Project Status Report.
- **(DED032,D032) Weekly Project Status Report**: Each Weekly Status Report submitted by Optum ties to this deliverable.
- **(DED033,D033) Monthly Project Status Report**: Each Monthly Status Report submitted by Optum ties to this deliverable.
- ***(DED034,D034) Completion of Project Management Plan (Milestone)**: Complete when all component project management plan deliverables for the DDI phase of the project have been approved by DHHR.*

- Requirements Validation
  - **(DED035,D035) Requirements Traceability Matrix (RTM)**: Will establish traceability for the WV IES requirements from the beginning of the project. An initial version of the RTM will be approved following the completion of the requirements validation sessions. The RTM continues to be updated and maintained over the duration of the project.
  - **(DED036,D036) Requirements Specification Document (RSD)**: The primary output of the requirements validation sessions. The RSD will establish Optum ownership of system requirements by documenting the shared understanding of the expectations for each requirement between DHHR and Optum.

- ***(DED037,D037) Overall Completion of Requirements Validation (Milestone)**: Complete when Optum completes all requirements validation sessions with the State and the State approves the Requirements Specification Document Deliverable.*

- Design
  - **(DED038,D038) Requirements Gap Analysis Document**: Will identify and document the approach for resolving any gaps between system requirements and the capabilities of Optum's solution.
  - **(DED039,D039) Business Process Models**: Will provide step-by-step workflow for each business process supported by the WV IES.
  - **(DED040,D040) Detailed System Design (DSD) Document**: Will provide the WV IES design specifics that Optum will use to satisfy the requirements of the contract. The DSD is the primary output of the design sessions.
  - **(DED041,D041) Data Dictionary**: Will provide a complete inventory of all data elements that exist in the WV IES, a definition, data type, and table location for each element.
  - **(DED042,D042) Data Models**: Will provide the conceptual, logical, and physical data models that determine the structure of the WV IES data.
  - **(DED043,D043) Reports Inventory**: Will provide a complete inventory of WV IES reports. The inventory will include a unique ID, title, description, frequency, retention, and audience for each report.
  - **(DED044,D044) Correspondence Inventory**: Will provide a complete inventory of correspondence generated by the WV IES. Correspondence includes both letters and notices. The inventory will include a unique ID, title, description, related program.
  - **(DED045,D045) Forms Inventory**: Will provide a complete inventory of forms generated by the WV IES. The inventory will include a unique ID, title, description, related program.
  - **(DED046,D046) Interface Inventory**: Will provide a complete inventory of external interfaces in the WV IES. The inventory will include a unique ID, title, description, source/destination, inbound/outbound, data classification, format, transmission method/medium, frequency, and format/standard.
  - **(DED047,D047) Data Cleansing and Conversion Requirements Document**: Will provide the business rules that will be used to support the conversion of data from the legacy to the modernized WV IES.
  - **(DED048,D048) Data Cleansing and Conversion Specification Document**: Will provide the mapping of fields and all other information required to support the conversion from the legacy to the modernized WV IES.
  - ***(DED049,D049) Overall Completion of Design Phase (Milestone)**: Complete when Optum completes all design sessions with DHHR and DHHR approves the Detailed System Design (DSD) deliverable.*

- Development and Testing
  - **(DED050,D050) System Documentation**: Consists of all artifacts that document the design and structure of the WV IES.

- **(DED051,D051) System Security Plan (SSP)**: The CMS-mandated mapping for how the WV IES meets prescribed security controls that are applicable to the solution. The SSP is based on the template provided by CMS.
- **(DED052,D052) Safeguard Procedures Report (SPR)**: The IRS-mandated mapping for how Optum meets all IRS Publication 1075 Security Requirements that are applicable to the WV IES. The SPR is based on the template provided by the IRS.
- **(DED053,D053) User Documentation**: This consists of all supporting documentation that Optum makes available to system users to support specific business processes. This may include desk level procedures, user guides, and other job aides.
- **(DED054,D054) Data Conversion System Integration Test Cases**: The test cases that Optum will use to verify that the data conversion was successful at the system-test level.
- **(DED055,D055) Data Conversion System Integration Test Results**: The test results verifying that the data conversion was successful at the system-test level.
- **(DED056,D056) System Integration Test Cases**: The test cases that Optum will use to verify solution functionality at the system-test level.
- **(DED057,D057) System Integration Test Results**: The test results verifying solution functionality at the system-test level.
- **(DED058,D058) Regression Test Cases**: The test cases that Optum will use to verify solution functionality during regression testing.
- **(DED059,D059) Regression Test Results**: The results verifying WV IES functionality during regression testing.
- **(DED060,D060) Load/Stress Test Cases**: The test cases that Optum will use to verify solution functionality during load/stress testing.
- **(DED061,D061) Load/Stress Test Results**: The test results verifying WV IES performance during load/stress testing.
- **(DED062,D062) Capacity Analysis Report**: This report analyzes the workload that the WV IES can handle in its designed configuration. This enables DHHR planning for WV IES infrastructure changes that may be required to support the addition of new programs in the future, and future expansion of the client base.
- ***(DED063,D063) Overall Completion of System Testing (Milestone)***: *Complete when Optum completes all system testing and DHHR approves the System Integration Test Cases and Results.*
- **(DED064,D064) User Acceptance Test Cases**: The test cases that DHHR will use to verify solution functionality during UAT.
- **(DED065,D065) User Acceptance Test Results**: The test results verifying solution functionality during UAT.
- ***(DED066,D066) Overall Completion of User Acceptance Testing (Milestone)***: *Complete when user acceptance test execution is complete for all releases, Optum delivers final UAT results, and Optum has resolved all defects identified by the State as impacting readiness for the final release.*

- Implementation Readiness
  - **(DED067,D067) Operational Readiness Plan**: Will provide the approach that Optum will use to confirm organization readiness to make the transition from the legacy systems to the new WV IES.
  - **(DED068,D068) Operational Readiness Test Scripts**: The test scripts that Optum will use to test readiness for solution transition during ORT.
  - **(DED069,D069) Operational Readiness Test Results**: The results that verify operational readiness for the transition.
  - **(DED070,D070) Updated Training Management Plan**: Will provide an update to the Training Management Plan prior to initiating training.
  - **(DED071,D071) Training Schedule**: Will provide the schedule for training to be conducted during the training phase.
  - **(DED072,D072) Training Materials**: Includes materials that Optum will use to support training, including slide decks, lesson plans/curriculums, agendas, and any other materials that Optum will present to trainees.
  - **(DED073,D073) Training Report**: Will provide the outcomes of the training phase of the project.
  - **(DED074,D074) Implementation Plan**: Will provide the approach Optum will use to perform the cut over from the legacy systems to the new WV IES at go-live.
  - **(DED075,D075) Cut-Over Play Book**: Will provide a detailed task-by-task schedule of the activities to be completed during the cut over from legacy systems to the new WV IES at go-live.
  - **(DED076,D076) Report Distribution Schedule**: Will provide the schedule for executing all reports.
  - **(DED077,D077) Operations Project Management Plans**: Will provide updated versions of management plans (inclusive of all project management plans approved for the DDI phase of the project) that Optum will use during the Operations phase of the project.
  - **(DED078,D078) Solution Health Monitoring Plan**: Describes the Optum approach to monitoring, maintaining, and enhancing the WV IES during the Operations phase of the project.
  - ***(DED079,D079) Overall Completion of Implementation Readiness (Milestone)***: *Complete when Optum completes ORT, training, and cut-over planning for all releases. The specific deliverables tied to the completion of these tasks are:*
    - *Operational Readiness Plan*
    - *ORT Scenarios*
    - *ORT Results*
    - *Training Plan*
    - *Training Materials*
    - *Implementation Plan*
    - *Implementation Play Book*

- **(DED080,D080) Federal Certification and Review Management Plan**: Provides the approach that Optum will use to support federal reviews required throughout the project.
- **(DED081,D081) ACF Certification Documentation**: Includes all documentation required to support the ACF Certification process.
- **(DED082,D082) Federal Review Supporting Documentation**: Includes documentation required to support federal reviews of the WV IES.
- **(DED083,D083) Social Security Administration Certification Documentation**: Includes all documentation required to support the SSA Certification process.
- **(DED084,D084) Implementation Certification Letter**: Will provide attestation that WV IES solution functionality has been delivered and is ready for full solution acceptance by DHHR.
- ***(DED085,D085) Overall Completion of Deployment to Production (Milestone)**: Complete when Optum successfully deploys all functionality to the production environment and resolves all critical defects as defined in the Implementation Plan deliverable.*

- **Project Closeout**
  - ***(DED086,D086) Turnover and Closeout (Milestone)**: Complete when Optum completes planning and execution of all closeout activities when the contract ends.*

DRAFT

West Virginia Integrated Eligibility Solution (IES)

Draft Schedule Management Plan

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

_____ **Signature**

_____ **Date**

xxxxxxxxx

Optum

_____ **Signature**

_____ **Date**

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Revision History

11/	Date	Author	Summary of Changes
1.1	8/8/2017	Optum	Initial draft release

Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 1
1.5 Related Documents 2
2. Schedule Management Approach 2
2.1 Scheduling Tool 2
2.2 Project Schedule Estimates 3
2.3 Controlling the Schedule 3
2.3.1 Baseline Schedule 3
2.3.2 Actual Schedule 4
2.4 Schedule Review Meetings 4
2.5 Schedule Delivery Interval 5
2.6 Schedule Assumptions and Constraints 5
2.6.1 Schedule Assumptions 5
2.6.2 Schedule Constraints 5
3. Project Schedule Reporting 6
4. Schedule Baseline 6

1. Introduction

1.1 Objective

The Schedule Management Plan describes how Optum develops, baselines, updates, and reports against the project schedule for the West Virginia Integrated Eligibility Solution (WV IES) Project. It also defines the processes for modifying the schedule and Work Breakdown Structure (WBS) to reflect actual progress against planned efforts. This involves applying updates resulting from DHHR approved changes in requirements and resource allocations. The plan defines the process required to maintain clear lines of accountability. It specifies the format and content requirements for variance reports that highlight major differences between the previously approved baseline version and a recalculated forecast.

1.2 Plan Scope

The West Virginia Schedule Management Plan addresses the approach that Optum will use to manage the project schedule.

1.3 Plan Assumptions

We made the following assumptions when preparing this plan:

- Optum will:
  - Produce a Deliverables Expectation Document (DED) for DHHR review and approval.
  - Collaborate with DHHR to define the processes and procedures for managing the work plan and WBS.
  - Provide timely updates to the WBS in accordance with defined procedures.
  - Monitor and report to project management the status of key critical path or near-critical path activities.
- DHHR will:
  - Provide guidance and expectations on how the project schedule will be monitored for variances.
  - Collaborate with Optum to determine the types of corrective actions for addressing schedule variances during the life of the project.

1.4 Plan Organization

This Schedule Management Plan is organized into the following sections:

- **Introduction (Section 1)** lists the objectives and scope of the Schedule Management Plan, assumptions made in developing the plan, describes the plan organization, and identifies related documents.
- **Schedule Management Approach (Section 2)** discusses our scheduling tool, standing schedule review meetings and the planned project schedule delivery interval.
- **Project Schedule Reporting (Section 3)** discusses our ongoing reporting on the status of activities in the project schedule.
- **Schedule Baseline (Section 4)** discusses the baselining of the schedule once approved by DHHR, and the requirements for re-baselining the schedule if needed.

1.5 Related Documents

The Schedule Management Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, the document is base-lined and placed under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

Related plans include:

- Scope Management Plan
- Change Management Plan

2. Schedule Management Approach

A viable project schedule provides a step-by-step work plan, which is the blueprint to accomplish individual tasks. It integrates those tasks and enables understanding of critical path and key interrelationships to promote overall project success. The WV IES work plan incorporates our long-term domain knowledge, a detailed technical solution, and common-sense management approaches.

Our detailed WV IES Project work plan is included in proposal Appendix 6. It denotes the tasks, deliverables, schedules, task dependencies and identification of resource requirements for the scope of work identified in the contract. We used the Deliverable Dictionary as input to the project work plan to make certain that all deliverables are clearly identified and addressed. Each required deliverable required is contained in the work plan, which reflects the tasks associated with preparing and submitting the deliverable to DHHR. This includes the start and completion dates for each deliverable-related task. We have integrated all tasks in the project work plan, defining predecessor and successor relationships with one another, as applicable.

As reflected in the project work plan, deliverables will be submitted to DHHR for review and approval. The work plan allows DHHR ten business days to review first drafts and five business days to review revised drafts. Establishing a disciplined deliverable review process will facilitate timely feedback and finalization of submitted deliverables.

The WV IES Project schedule (work plan and WBS) will be a living document across the project lifecycle. We will update it as required to reflect any change driven by legislative dynamics, your requirements, technology evolution, or lessons learned and applied as continuous improvement.

2.1 Scheduling Tool

Optum will use an industry-standard project management tool, Microsoft Project, to develop and maintain the WV IES Project schedule. This tool allows us to track the progress of the project, monitor and evaluate resource allocation, and produce reports including:

- Project work plan (Gantt chart)
- Critical path (Gantt chart)
- Milestone dates (Gantt chart/Excel table)
- Deliverable dates (Gantt chart/Excel table)

2.2 Project Schedule Estimates

The WV IES Project schedule includes estimates of effort. We derive estimates for project tasks based on our experience in implementing, operating, and maintaining a variety of information technology solutions for our clients. We also leverage historical data from our state customer engagements. We use a bottom-up methodology based on historical averages to estimate work effort for the WV IES Project.

The schedule development process begins with defining the project work packages. This involves creating a concise, inclusive description of the activities involved. The duration of the task will then be estimated based on how long it will take with the proposed mix of resources. The project schedule will contain tasks identified at a logical level. Task duration determines the granularity of the schedule. For example, if our task breakdown is too granular, the schedule becomes unwieldy; too coarse and the schedule will be meaningless as a management tool.

Our estimation approach for the WV IES provides task durations that are both manageable and meaningful. During the project, the Optum deputy account/operations manager will maintain and update the project schedule at regular monthly intervals. We will identify and document discrepancies, and perform a root cause analysis when actual work reported varies substantially from estimates. We will work with DHHR to jointly determine the threshold for triggering a root cause analysis.

We have estimated the types and quantities of human resources required to perform each activity. For each project task, the project work plan indicates if the task is a responsibility of Optum, DHHR, or both. In this manner we are able to identify and summarize all tasks requiring DHHR resources. Where needed, we will summarize the proposed use of DHHR resources and indicate any assumptions regarding anticipated involvement of these resources.

Additionally, the Optum project scheduler will estimate the number of work periods needed to complete each individual activity based on the estimated resources.

2.3 Controlling the Schedule

Controlling the WV IES Project schedule is the process of monitoring the status of project activities to update project progress and manage changes to the schedule baseline in order to achieve the baseline work plan.

We will make weekly updates to the project schedule. These will include the percentage complete for each active task. There will be two schedules that evolve as the project progresses: the baseline schedule and the actual schedule.

2.3.1 Baseline Schedule

Once all inputs have been received and approved by DHHR, Optum will baseline the project schedule. The baseline represents the plan of record and is the reference point against which progress and deviations are measured. The baseline is a snapshot of all time-phased entries into the work plan. This includes tasks, start and finish dates, resources, calendars, and so forth. The baseline is established at the start of the WV IES Project and then revised as necessary by management action through the change management process. When project factors require that the original project schedule be revised and the proper change requests have been approved, the project schedule will be updated and re-baselined. This will be the new reference point against which project progress and deviations are measured. Previous baselines will be retained in the file to allow comparisons between various versions of the project schedule.

The Optum project scheduler will be responsible for schedule baselines and rebase-lining. The project scheduler will also be responsible for retention of all versions of the schedule, including previous baselines. Schedule versions will be retained in the DHHR SharePoint document repository throughout the project lifecycle to allow for comparisons between the various versions.

2.3.2 Actual Schedule

The actual schedule captures the dates on which tasks or milestones actually occur. As work is done, the percentage complete for a task is updated. The schedule is modified with the actual dates and the amount of work expended. For the initial version provided in the proposal, the schedule has been created using available data and desired DHHR timelines.

2.4 Schedule Review Meetings

Optum will review the project schedule with the DHHR project management team monthly or on an agreed-upon alternate cadence. Objectives of the meeting will include:

- Improving schedule predictability
- Reviewing and compare the baseline schedule to the actual schedule
- Assessing whether milestones will likely be achieved or have been missed
- Discussing and understanding downstream impacts to changes or slippages
- Identifying new approaches to getting back on schedule, such as parallel work efforts, phased activities or releases
- Assessing risk

Items for review and discussion include:

- **Critical path analysis:** Review all activities that must be completed and the critical path (best path) to completing in the minimum amount of time. Review and validate dependencies.
- **Schedule compression:** Assess whether there is a need to decrease allocated timelines for some activities. Discuss adding more resources to accelerate the schedule; assess rearranging activities by fast-tracking to allow for more parallel work streams. Assess risk related to these approaches.
- **WBS and scope:** Discuss the chances for surprises or big changes.
- **Estimates:** Discuss how reliable estimates are, or if they may need to change based on recent developments.
- **Resource availability:** Assess whether assumptions on resource availability have changed and what impacts they will have on the timely completion of tasks and milestones.
- **Resource assignments:** Determine new skillsets required based on scope changes; assess how best to allocate/re-allocate resources to achieve project goals.
- **External dependencies:** Discuss external dependencies over which we have limited control; determine alternate actions or approaches.
- **Risk and mitigation plans:** Discuss planned and unplanned risks and contingency actions that may be taken to mitigate potential risk.

2.5 Schedule Delivery Interval

Optum will provide regular weekly updates to the project schedule. We will provide off-cycle updates if necessary based on urgent adjustments or critical revisions to planned activities.

A weekly cadence will afford the ability to proactively manage schedule variances by providing a view of the current state of work that is completed and in-progress. Remaining work can be evaluated to see if the project milestones will be met; if not, corrective actions can be implemented immediately.

2.6 Schedule Assumptions and Constraints

2.6.1 Schedule Assumptions

- Optum will collaborate with DHHR to define the processes and procedures for managing the work plan and WBS.
- Optum assumes a project baseline at approval of the initial project schedule.
- Optum assumes at least one project schedule re-baseline before completion of DDI.
- The schedule will be base-lined and compared to actuals to determine schedule variance.
- Optum will provide timely updates to the project schedule in accordance with defined procedures.
- Optum will monitor and report to project management status of key critical path or near-critical path activities.
- It is recognized that the schedule is a dynamic, living document; changes to the schedule will drive a re-baseline.
- Change Requests will contain scope, time, resource, and cost information so that timely decisions/approvals can be made.
- Optum assumes DHHR will complete review of all deliverables submitted for signature approval within ten business days. We will revisit this parameter with DHHR upon contract award.
- DEDs will be approved by DHHR prior to development of the associated deliverable.

2.6.2 Schedule Constraints

- Imposed dates due to changing federal regulations will impact the schedule.
- Resource constraints can impact the performance of the scheduled work.
- Dependencies on external work or projects can cause a constraint within the schedule.
- Changes to budget and resources can drive changes to the schedule.
- Changes in the priority of work within approved scope of work may drive changes to the schedule.

3. Project Schedule Reporting

Optum will provide regular updates related to key project tasks and milestones in the weekly project status reports. This helps confirm that you receive timely updates on the overall progress of the project and enables prompt awareness of any areas where schedule slippage may occur.

The Optum team will develop project dashboard reports to provide at-a-glance views of progress. Additionally, we will produce and provide ongoing WV IES Project schedule reports to team members to highlight upcoming, variant, and overdue activities that need prompt attention.

4. Schedule Baseline

Optum has developed a draft project schedule, including work plan and WBS, that addresses the requirements of the WV IES Project based on currently available information; it reflects our overall development and implementation approach. The draft project schedule is provided in Appendix 6. The draft WBS is provided in the Scope Management Plan.

Optum will update the project schedule after contract award to reflect the actual contract award date and the start of project activities, as well as any adjustments required by contract negotiations. The updated plan will be submitted to DHHR for review and approval. Once approved, the schedule is base-lined and placed under configuration management control. Any subsequent changes to the base-lined plan must be reviewed and approved by appropriate DHHR and Optum management. Optum will maintain the current version of the project in the SharePoint repository to provide easy access to authorized DHHR and Optum personnel.

DRAFT

West Virginia Integrated Eligibility Solution (IES)

Draft Cost Management Plan

Authorized for issue by:

xxxxxxxx

Signature **Date**

West Virginia Department of Health and Human Resources

xxxxxxxxx

Signature **Date**

Optum

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1.1	8/8/2017	Optum	Initial draft template

Table of Contents

1 Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 1
1.5 Related Documents 2
2 Cost Management Approach 2
3 Cost Estimating 2
3.1 Resource roles 3
3.2 Rate cards 3
4 Cost Budgeting 3
5 Cost Control 3
5.1 Cost Tracking 3
5.2 Reporting and Metrics 3
5.3 Budget Analysis 4
5.4 Invoice Review Process 4
6 Changes to Budget 4

1 Introduction

1.1 Objective

The Cost Management Plan is a component of the Optum project management strategy and approach that describes how project costs will be planned, incurred, structured, controlled and reported. The Cost Management Plan defines the processes by which the policies, procedures, and documentation for planning, managing, expending, and controlling the project costs will be established. We calculated our proposed project budget based on the requirements defined in the RFP, including an approximation of the financial resources needed to complete project activities.

This plan also provides information on the format and frequency of cost reporting, including cost variances outside the threshold, triggers of cost overrun, and options for preventive action. Processes and procedures are also defined to manage how changes to the cost baseline will be controlled and approved.

1.2 Plan Scope

The WV IES Cost Management Plan addresses the approach that Optum plans to use to manage the project budget to verify the project stays within budget. As a fixed price agreement, it is our responsibility to manage project costs and to operate within budget for the contract.

1.3 Plan Assumptions

We made the following assumptions when preparing this plan:

- Project costs will be driven by the approved contract and approved Change Requests
- Project change management is addressed in the Change Management Plan
- The Cost Management Plan is based on known project scope
- The Cost Management Plan takes into consideration contracts Optum may have with other sub-contractors who will play a role on this project

1.4 Plan Organization

This Cost Management Plan is organized into the following sections:

- **Introduction (Section 1)** lists the objectives and scope of the Cost Management Plan, assumptions made in developing the plan, describes the plan organization, and identifies related documents
- **Cost Management Approach (Section 2)** describes our approach to tracking and controlling costs during the course of the project
- **Cost Estimating (Section 3)** outlines the methodology used to establish the cost of project execution
- **Cost Budgeting (Section 4)** discusses the process for budgeting costs related to change requests
- **Cost Control (Section 5)** defines the tracking, reporting, analysis methods used to ensure budget performance
- **Changes to Budget (Section 6)** describes triggers that may cause changes to the baseline budget

1.5 Related Documents

The Cost Management Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, the document is base-lined and placed under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

2 Cost Management Approach

We utilize major PMBOK processes (e.g., Cost Estimating, Cost Budgeting, and Cost Control) in the development and execution of our cost management approach. Additionally, we incorporate into our cost estimation model specific requirements contained in our contractual agreements with DHHR. Elements of our approach include:

- **Cost Estimating:** We estimate costs considering the following factors: scope of work, work effort, skill set requirements, risk, and our standard cost rate structure as well as procurement estimates for facilities, hardware, and software.
- **Cost Budgeting:** The overall project costs are attributed to specific project components (i.e., tasks, software, hardware) for the purposes of budgeting and for reporting planned and actual costs.
- **Cost Control:** Our cost control practices include cost tracking, cost reporting and metrics, budget analyses, and invoice reviews.
  - **Cost Tracking:** Determines how the project actual costs will be tracked versus budget project control costs.
  - **Reporting and Metrics:** Project budget reports will be generated monthly, outlining planned versus actual expenses for the period, year-to-date, and contract-to-date as well as Estimate to Complete (ETC) and Estimate at Completion (EAC).
  - **Budget Analysis:** An Optum project financial analyst will prepare a monthly financial assessment, and review it with the Optum Finance team. This assessment will include both financial status and actions taken, if necessary.
  - **Invoice Review Process:** We will prepare draft invoices and review them with DHHR ahead of formal submission to receive preliminary approval of relevant charges for the current period.
- **Budget Changes:** Budget changes may result due to changes that are outside of the project's agreed upon scope (e.g., changes in requirements) and/or control. Cost Management Change Control is a component of the Project Change Control process described in the Change Management Plan.

3 Cost Estimating

Costs defined in the Cost Management Plan reflect the cost for project resources based on the professional services Optum will provide to deliver and support the scope of services and deliverables identified in the final contract. Also taken into consideration are costs related to travel, facilities, hardware, software and miscellaneous business supplies required to support the project. Optum uses internal, proprietary tools to model project costs and resource needs. These tools incorporate information from project leads and subject matter experts based on scope identified in the RFP. The tools rely on standard Optum government project resource roles and associated rate card.

3.1 Resource roles

Internally, we use a standard catalog of project roles comprised of relevant and necessary job functions based experience in the market. Individual staff resources are categorized into predetermined roles based on skillset, experience, and job function on the engagement. All project labor is provided based on these identified roles.

3.2 Rate cards

For services beyond the original scope, Optum utilizes a standard rate card for government project resource labor and hardware/software. This rate card lists all relevant resource roles available for the engagement and identifies the associated hourly fee for service. This fee will be used for any services contracted on a time and materials basis; the fee is inclusive of all travel, expenses, and overhead. When applicable, additional hardware/software rates are defined in a separate rate card. Hardware/software rate card items include additional virtual machines, vCPU and/or memory, and disk space.

4 Cost Budgeting

Upon completion of the estimating process, we use the approved estimate as the revised project budget and baseline for all future cost reporting. The baseline budget will take into account the same considerations and assumptions outlined in the estimate, including:

- Travel
- Facilities
- Hardware
- Software
- Miscellaneous business supplies and services

Any changes to the baseline budget resulting from the Project Change Control process will require a new baseline budget to be estimated.

5 Cost Control

5.1 Cost Tracking

We have an established process for tracking internal project costs at the resource level. We begin this process by developing a worksheet listing all project resources and their estimated weekly hours over the course of the engagement (based on the baseline budget). New weekly actual labor hours are added to the worksheet on a weekly basis. We compare these hours against the baseline budget estimate and review them regularly to confirm performance against the baseline budget.

Optum also tracks external client costs via the invoice review process. Fixed fee charges are tracked against the contract value. Change Request fees are tracked against the Change Request value total and are reported at the time of Change Request approval.

5.2 Reporting and Metrics

Optum maintains regular weekly and monthly reports of project costs internally to verify proper performance and delivery for the client. Optum also reports overall project cost to DHHR on a

monthly basis as part of the invoice review process. Charges for the current period are shown against the total contract value.

Client reporting cadence and metrics for delivery to DHHR will be determined by the contract.

5.3 Budget Analysis

Optum performs both engagement and corporate level budget analysis for all projects. Engagement management reviews the cost tracking worksheet to verify that resources are providing the appropriate level of service and are staying within the allowable threshold for delivery.

Optum takes preventive action to achieve consistent performance against budget through regular review and adjustment of staffing. Optum reviews project labor against the baseline budget and identifies variances at the resource level. We conduct additional analyses when actual costs exceed forecast. During analysis of costs outside the baseline budget threshold, Optum reviews the justification for additional expenditures and compares against current project needs.

In times of additional need, such as open enrollment or other high demand timeframes, Optum will authorize additional staffing to provide consistent on-time delivery for DHHR while operating within the fixed fee.

We review the budget analysis during the weekly internal financial status meeting with the Optum Finance team.

5.4 Invoice Review Process

Optum prepares monthly invoices based on the standard billing schedule per the contract. Charges in the invoice include the fixed monthly fee, Change Request fees, SLA credits, and approved deliverable fees. Invoices are drafted by the Optum project financial analyst based on project, deliverable, Change Request, and SLA status, with input from related documents and approvals. Invoices are reviewed internally by the account manager, Project Management Office, and Optum Finance team. Current charges are reviewed and approved by the team, and adjustments are made if necessary.

After internal approval, the invoice is reviewed with DHHR as part of a recurring meeting with the project director. Current charges and cumulative totals, as invoiced against the total contract value, are explained based on current project status. Once we reach collaborative agreement, the invoice is submitted officially to the client finance point of contact. Supporting detail, including electronic signoffs, will be provided to support Change Requests (when applicable) and payments for milestones and deliverables.

6 Changes to Budget

Changes to the baseline budget will be driven by approved Change Requests, contract amendments, new Task Orders, or any other approved change to the original scope or assumptions for the project. Any changes resulting from one of the above will require a new baseline budget to be estimated. Once the new estimate has been completed, the baseline budget will be updated accordingly to reflect the additional costs.

West Virginia Integrated Eligibility Solution (IES)

Draft Quality Management Plan

Authorized for issue by:

xxxxxxxx

Signature _____ **Date** _____

West Virginia Department of Health and Human Resources

xxxxxxxxx

Signature _____ **Date** _____

Optum

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Table of Contents

1. Introduction 1
1.1. Objective 1
1.2. Plan Scope 1
1.3. Plan Assumptions 1
1.4. Plan Organization 2
1.5. Related Documents 2
2. Quality Management Approach 3
2.1. Quality and Continuous Improvement 4
3. Project Management Quality Process 5
3.1. Project Deliverables 5
3.2. Work Products 8
3.3. Documentation Quality Process 8
4. Test Management Quality Process 8
4.1. Test Case Design 8
4.2. Test Case Execution 9
4.3. Defect Management 10
4.4. Test Environments 11
5. Design and Traceability 11
5.1. Design 11
5.2. Traceability 11
6. Other Quality Factors 12
6.1. Issue and Risk Management 12
6.2. Change Control Management 12
6.3. Configuration, Code Management and Data Conversion Management 13
7. Communication and Reporting 13

1. Introduction

1.1. Objective

The Quality Management Plan for the West Virginia Integrated Eligibility Solution (WV IES) project outlines the process for continually monitoring and verifying established quality standards are met throughout the duration of the engagement. The purpose of managing quality is to validate that project deliverables are completed with an acceptable level of quality. The Quality Management plan documents the processes, evaluation steps, procedures and tools that will be used to guarantee that project deliverables meet their stated requirements and that project management processes are consistently followed to maintain project quality overall.

Optum recognizes a successful quality management process will help us achieve our goal of meeting or exceeding WV DHHR and stakeholder expectations.

1.2. Plan Scope

The WV IES Quality Management Plan addresses the approach that Optum plans to use to manage the quality of the work that is provided on the project. The plan establishes the deliverable review process and quality assurance approach for the project, as described throughout the project goals.

1.3. Plan Assumptions

The following assumptions were made when preparing this plan:

- Optum will:
  - Develop Deliverable Expectation Documents (DEDs) for deliverables defining the scope, content and acceptance criteria for each deliverable to establish an agreement on the body of the work to be completed and the criteria that the deliverable will be measured against
  - Use best practices to promote quality (e.g., templates, similar prior deliverables, proven tools and techniques)
  - Deploy a consistent approach to controlling and improving the quality of deliverables
  - Conduct internal reviews of draft project deliverables to assess quality prior to submission to DHHR
  - Provide visibility into quality concerns through communication and reporting as well as issue and risk management
- DHHR will:
  - Meet with the Optum team to validate the Quality Management Plan and confirm quality expectations
  - Actively engage in joint work sessions to enhance the quality of content contained in DEDs and Deliverables
  - Participate in standard governance meetings where quality-related risks or issues may be discussed

1.4. Plan Organization

This Quality Management Plan is organized into the following sections:

- **Introduction (Section 1)** lists the objectives and scope of the Quality Management Plan, assumptions made in developing the plan, describes the plan organization, and identifies related documents.
- **Quality Management Approach (Section 2)** describes the overall approach to quality management, quality control and continuous quality improvement.
- **Project Management Quality Process (Section 3)** discusses our approach to deliverables management, including maintenance of the Deliverable Dictionary, deliverable review and approval process, and document retention and control.
- **Test Management Quality Process (Section 4)** discusses the quality processes built into our test management framework, including test case design and execution, defect management, and management of test environments.
- **Design and Traceability (Section 5)** discusses the quality processes associated with solutioning, requirements management, and requirements traceability.
- **Other Quality Factors (Section 6)** discusses the quality processes built into our WV IES issue and risk management, change control management, and configuration and code management frameworks.
- **Communication and Reporting (Section 7)** discusses the quality processes that help us to maintain effective project communications, including meetings, and reporting.

1.5. Related Documents

The Quality Management Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, we will base-line the document and place it under configuration management control. All subsequent updates will require the plan to be reassessed through the change management process to gain required stakeholder approvals.

Related plans include:

- Change Management Plan
- Communication Management Plan
- Configuration Management Plan
- Data Management Plan
- Documentation Management Plan
- Issue Management Plan
- Risk Management Plan
- Testing Management Plan

2. Quality Management Approach

Through Project Management Office (PMO) maturity, we have established procedures and best practices that promote quality throughout the project life cycle. Our PMO team actively oversees the activities and tasks needed to maintain a desired level of excellence. This includes the creation of a quality policy, implementation of quality planning and assurance, and quality control and improvement processes, procedures and activities designed to minimize the risk of issues occurring later in the process (at key milestone dates or quality gates.) Please refer to the Project Management Plan also submitted with this proposal for additional information on roles and responsibilities of the PMO team and team members supporting the quality process.

Our approach to quality management is to follow industry-accepted methodologies, frameworks and best practices to help us achieve quality, consistent and predictable results, and efficiencies driven by the re-use of processes, procedures and templates. Methodologies and frameworks include the International Organization for Standards (ISO) 25010, IEEE, as well as those documented in the Project Management Plan.

Quality management is an integral component of our management approach. It is interwoven with all aspects of the project lifecycle and the methods used to deliver services and produce deliverables. It contributes to the transparency of the development and operations methodologies by providing stakeholder insight into the quality of the solution.

The Quality Management Plan aims to provide repeatable and consistent results. A quality process imposes discipline on the work of the project team, improving the ability of each team member to produce high quality work products and deliverables. Quality management is a key component to a successful implementation.

The purpose of the Quality Management Plan is to function as a guide to facilitate the establishment of quality management activities within processes and procedures used to deliver products and services in support the project. It will provide a planned systematic method to provide confidence that product deliverables will be configured and deployed according to highest degree of quality. The plan defines the policy for quality management activities, the organizational structure of the quality management group, responsibilities of the quality management group, and responsibilities of other affected groups. It identifies necessary reviews and audits. In order to provide the highest quality products and services, each support team must adhere to processes, procedures and standards.

Quality management is our process used to monitor and evaluate the adherence to processes, procedures, and standards to determine potential product and service quality. It involves reviewing and auditing the products and activities to verify that they comply with the applicable procedures and standards, and assuring the appropriate visibility for the results of the reviews and audits.

In general, we will use the following techniques and concepts in our approach to WV IES quality management:

- **Peer reviews:** These reviews enable deliverable and work product deficiencies to be identified and corrected early in the project.
- **Deliverable reviews:** These reviews focus on formal project deliverables defined in the project schedule.
- **Periodic assessments:** These assessments focus on trends or changes in project processes and are a routine part of project meetings, project status reports, quality gates, and many other project communication events.

- **Performance measurement:** The overall goal of performance measurement is to provide feedback to the WV IES Project team and to rate the project's performance against the chosen targets and applicable standards.
- **Continuous improvement:** Quality assurance activities provide the opportunity to identify, evaluate, and implement improvements to project processes on a continuous basis. The goal is to achieve solutions and services that meet or exceed WV IES requirements and satisfy the project goals.

The goal of quality management is to confirm that the products and services Optum delivers in support of the WV IES project are of best quality and value to meet the needs of DHHR. Quality is therefore defined by the degree to which your requirements are met.

The Quality Management Plan describes the standards, processes and procedures used to support the consistent delivery of high-quality, professional products and services provided in the support of the WV IES. Our process includes establishing the authority of the quality management function, quality management tools, and monitoring and evaluation processes to measure quality against these established standards. Our quality management activities are designed to promote continuous process improvement. Our teams strive to continually recognize, communicate, and implement processes and activities that work effectively and efficiently as well as identify areas where improvement is necessary.

2.1. Quality and Continuous Improvement

As an organization, Optum subscribes to Total Quality Management (TQM); embracing a continuous journey to improve our processes, procedures, and work products, both internally and externally. We use strategy, data and effective communications to integrate quality discipline into everything we do. Our commitment to quality is reflected in our corporate core values:

- **Integrity:** Honor commitments. Never compromise ethics.
- **Compassion:** Walk in the shoes of people we serve, and those with whom we work.
- **Relationships:** Build trust through collaboration.
- **Innovation:** Invent the future and learn from the past.
- **Performance:** Demonstrate excellence in everything we do.

Our named process (DURAM) helps us to remember how to shape our culture. It is equally applicable to our continuous improvement initiatives:

- **D**iagnose and Define: Current and desired state
- **U**nfreeze: Shift thinking and behaviors
- **R**einforce: Verify sustainable change
- **A**pply: Achieve business results
- **M**easure: Baseline and monitor progress

To facilitate the success of the WV IES Project, we will implement and reuse many of the best-practices, tools and techniques we have identified from our prior project experience and continuous improvement initiatives. These include templates, tracking logs, forms, software tools, policies and procedures.

As part of our quality process for the WV IES Project, we will create a tracking log on the Optum SharePoint site to capture ideas and implemented changes that support the project's continuous improvement initiative. We will periodically review the log and communicate to DHHR the continuous improvement activities and accomplishments we implement throughout the project life cycle. Where possible, we will define and document baseline metrics in order to help quantify improvements.

3. Project Management Quality Process

3.1. Project Deliverables

Project documents and deliverables are natural outputs throughout the WV IES Project life cycle. These include plans, reports, reference documents, and a variety of project artifacts, most of which will in some way be integrated into the established Optum quality management process.

Once the Deliverable Review Process for the project is finalized and approved, we will update the Quality Management Plan to reflect the finalized process. The WV IES Project schedule will reflect the deliverable review timeline for each deliverable work package. The Deliverable Tracker will be revised to reflect the DHHR process.

Using the Deliverable Dictionary identified in the final contract as input, we will track all contract deliverables to completion for full audit transparency. The Optum established quality management processes align closely with the DHHR Deliverable Review Process outlined in the RFP and include the following.

Develop a DED: Optum will work with the DHHR team to develop a DED for each deliverable. The DED will provide a description of the deliverable and the acceptance criteria against which the deliverable will be assessed. DHHR will provide a formal signoff on each DED prior to deliverable development.

The Optum DED supports DHHR Deliverable Review Process step noted below:

- *Prior to drafting the deliverable, the Vendor meets with the DHHR to establish an approved set of deliverable acceptance criteria. Clearly defined acceptance criteria (in the DED) result in clarity and agreement on deliverable content.*
  - **Develop deliverables:** Optum will work with the DHHR team to develop deliverables that satisfy the requirements and criteria set forth in the associated DED. Multiple requirements sessions and deliverable work sessions may take place in order to collaboratively agree on content for a deliverable.

    Working jointly on deliverables is a result of previous continuous improvement initiatives and is built into the Optum SDLC quality process. Collaboration, communication and clearly defined acceptance criteria (in the DED) result in clarity and agreement on deliverable content.

This supports the DHHR Deliverable Review Process step noted below:

- *Prior to drafting the deliverable, the Vendor meets with the DHHR to establish an approved set of deliverable acceptance criteria. Clearly defined acceptance criteria (in the DED) result in clarity and agreement on deliverable content.*
  - **PMO review:** The Optum PMO will review all deliverables and key project artifacts prior to submission to DHHR. They will be assessed internally against a quality

checklist to validate alignment to formatting standards as well as the DED acceptance criteria.

Internal quality management review is a result of previous continuous improvement initiatives and is an Optum quality gate. We review all deliverables against our quality checklist and validate that DED acceptance criteria has been met.

This supports the DHHR Deliverable Review Process step noted below:

- *Prior to drafting the deliverable, the Vendor meets with the DHHR to establish an approved set of deliverable acceptance criteria. Clearly defined acceptance criteria (in the DED) result in clarity and agreement on deliverable content.*
  - **Deliverable walkthrough:** For each deliverable, we will set up a review meeting to walk through the deliverable with DHHR. During this meeting we will review content of the deliverable against the DED criteria and obtain any feedback so that final revisions can be made prior to formal deliverable submission. Walkthroughs are typically in-person meetings for key participants. Other stakeholders can participate via WebEx. When possible, document updates are made real-time during the meeting. There will also be a scribe to capture feedback for revisions that will be addressed after the meeting. Meeting facilitators will restate changes requested to confirm understanding. In some cases we may request that DHHR team members forward written requests to the Optum team to clarify the revision request.

    Working jointly on deliverables is a result of previous continuous improvement initiatives and is built into the Optum SDLC quality process.

The Optum informal review process includes a deliverable walk through that supports DHHR Deliverable Review Process step noted below:

- *Prior to deliverable submission, the Vendor schedules a deliverable walkthrough with the DHHR to provide a high-level review of the deliverable to be submitted.*

  Walk-through meetings give Optum the opportunity to capture stakeholder feedback first-hand and collaborate with DHHR to make real-time changes prior to formal deliverable submission.
  - **Formal review process:** The formal, approved deliverable review process will be initiated after the deliverable walk through is complete. Optum will move the draft deliverable to a designated folder on the DHHR SharePoint site. Once formally submitted, DHHR will review the deliverable, provide written feedback, or schedule another in-person review meeting to review together and explain final feedback.

The Optum formal submission process supports the DHHR Deliverable Review Process step noted below:

- *The review process begins with submission of the deliverable.*

  Optum will capture the actual submission date in the Deliverable Tracker and in the WV IES Project Schedule.
  - **Deliverable Tracker:** Using the Deliverable Dictionary identified in the final contract as input, Optum will create a Deliverable Tracker to document and track all deliverables from inception through completion. The tracker will include the capture of deliverable dates of: submission, feedback, resubmission, verbal acceptance, and signoff. the Deliverable Tracker has been proven to be a great tool for audit support.

The Optum Deliverable Tracker supports WV DHHR Deliverable Review Process steps noted below:

- *The review process begins with submission of the deliverable.*
  - Optum will capture the actual submission date in the Deliverable Tracker and in the WV IES Project Schedule.
- *The DHHR should provide the Vendor with a notice of deliverable approval, a notice of conditional approval, a notice of return, or a request for additional time to complete its review within 10 business days from the date of receipt of each deliverable.*
  - Optum will capture the dates of approval, conditional approval, and returns in the Deliverable Tracker.
- *The State intends to provide the vendor with five (5) business days from the date of return by the DHHR to correct any deficiencies and resubmit the deliverable.*
  - Optum will capture the dates of feedback provided and re-submission in the Deliverable Tracker.
- *The DHHR has an additional five (5) business days from the date the vendor resubmits the deliverable to review it.*
  - Optum will capture the dates of approval, conditional approval, and returns in the Deliverable Tracker.
- *If the DHHR finds the deliverable acceptable, the DHHR should provide the vendor with written approval of the deliverable.*
  - Optum will capture the date of verbal approval and final electronic approval in the Deliverable Tracker.
- *If the DHHR finds the deliverable or any portion thereof unacceptable, the State intends to reject the deliverable and escalates the issue using the approach defined in the approved Issue Management Plan.*
  - Optum will capture the date a deliverable has been escalated through the Issue Management process in the Deliverable Tracker. We will capture the associated issue number for cross-reference.
  - **DHHR approval:** Upon approval of a deliverable by DHHR, Optum will distribute a request for an electronic signoff.

The Optum electronic sign-off process supports the DHHR Deliverable Review Process step noted below:

- *If the DHHR finds the deliverable acceptable, the DHHR should provide the vendor with written approval of the deliverable.*
  - Optum will use electronic signature tool to capture all approval signoffs.

All deliverables and work products that Optum delivers to DHHR will have a similar look and feel. Although the templates and document design formats we use will be finalized during the planning phase of the project, this document provides a representation of the standard cover pages, headers, footers, tables, headings and fonts that we plan to use for project deliverables. The use of standardized templates is a result of previous continuous improvement initiatives and is an Optum quality gate. We review all deliverables against our quality checklist.

All DEDs and Deliverables will be listed in the Deliverable Tracker, and will be identified by a unique deliverable identification number to provide traceability back to the contract. The unique deliverable IDs will tie back to the IDs in the RFP, Contract and Deliverable Dictionary. We will store all signed-off deliverables on the DHHR SharePoint document repository in a sub-folder under the Contract Folder.

Standard Optum best practices promote the use of pre-established templates whenever possible when developing DEDs and deliverables. This includes templates for items such as requirements documents, system or functional design specifications, and architecture documents. Templates contain a pre-defined outline for content that serves as a reminder that specific pieces of information should be provided for the particular deliverable. Section heading may not be deleted from the final deliverable document although the writer may indicate that the requested information is not applicable. We will review templates with DHHR during the planning process to identify any required changes or additions. The use of standardized templates is a result of previous continuous improvement initiatives and is an Optum quality gate.

3.2. Work Products

Although signoffs and approvals are not required for all project artifacts, we use templates that meet quality criteria for key work products such as status reports, meeting minutes, and various tracking logs. This practice enables us to deliver consistent, repeatable, professional project artifacts to DHHR throughout the project life cycle. We perform internal quality checks on work products prior to presentation to DHHR. The Optum team works diligently to establish best practices and process improvements stemming from real project experiences and lessons learned.

3.3. Documentation Quality Process

To promote document quality controls, Optum has defined a documentation strategy and approach in the Documentation Management Plan. This is the Project Management sub-plan that defines the process by which documentation and other key project artifacts will be developed, maintained and made readily available to authorized users for the WV IES Project. As noted previously, the Optum PMO will review all project deliverables as an internal quality gate check.

As noted in Document Management Plan submitted with this proposal, Optum will use our own internal SharePoint site when developing initial draft documentation. Once the documentation is in an acceptable format, it will be posted to the DHHR SharePoint site, which will be used as the shared document repository for WV IES Project documentation.

4. Test Management Quality Process

4.1. Test Case Design

Test case design is based on the approved, in-scope requirements. They are designed to support the various, identified test scenarios relevant to a particular functional or technical requirement defined as in-scope for the testing phase. To best meet DHHR expectations, test cases are designed in a manner that provides testable measures and clear acceptance criteria. This practice supports our ability to measure the quality of the solution we have developed against the requirement criteria. It enables us to validate that we have met the business expectation as defined and designed.

As test cases are developed, they will go through a thorough internal review and approval process. In some instances, Optum will seek out or require test case approval from DHHR.

Our best practice is to assign each test case the following standard values:

- **Test ID:** The unique identifier of the test case that enables it to be specifically identified; this value should never be changed.
- **Name:** The test name using a standard naming convention of function, test type (i.e., Positive or Negative), and a high level view into the scenario being tested.
- **Description:** The description identifying the scenario the test case is exercising, data needs, dependencies, and requirements being covered.
- **Step ID:** The unique identifier of the test step, similar to the Test ID.
- **Step Name:** The name of the step, which typically includes a number or is called out as "step #" to visually display the order of the steps to be run.
- **Step Description:** The description of the activities that the user will perform to complete the test step specified. The description must be detailed enough so the defined action that can be measured.
- **Step Expected:** The detailed measure that is expected upon execution of the test step, based on the step description. The measure must be quantifiable and not vague; otherwise it does not enable a valuable assessment.
- **Step Actual:** The documentation of the test result based on execution of the test step. The actual test result that will either align with the expected result, or not. If results align with expected values, then the step will pass; if alignment is not achieved, the step will fail.

4.2. Test Case Execution

To promote testing quality, the Optum testing team follows the standardized test case execution process identified below:

- The Optum quality assurance test team executes test cases based on the instructions and criteria identified in each individual test case.
- The tester will execute the sequence of steps within the test case and, for each step, will compare the expected results to the actual results to determine whether the step has executed successfully or not.
- When a test case step fails, the tester will mark the step as "failed" and continue to complete the remaining steps within the test case. Completing execution of subsequent test steps helps to identify potential defects that might not otherwise be identified until a later date. Early detection of defects is preferable.
- If execution of a test step results in a failed determination, Optum will investigate to determine whether any existing known defects are causing the failure. If a known defect does not exist, the testing team will conduct a peer review of the test step with DHHR subject matter experts to validate their understanding of the test and expected results.
- If the failure is determined to be a new defect, it will be logged as a new defect and the failed test case will be associated to the defect.
- At this point the defect will follow the established defect management process. Once remediated, the test case will be re-executed to determine whether the fix satisfactorily

addressed the issue. The tester will fully validate the test step to determine if the expected result was achieved. If so, the step will be marked as "passed."

4.3. Defect Management

Defect management is the process of identifying, categorizing prioritizing, assigning, resolving, verifying and closing defects found during the software development and testing process. It defines the manner in which defects are handled. Our high-level defect management process is described below:

- **Identification:** The process of identifying a defect (discovery).
- **Categorization:** The process of analyzing the defect to determine whether it is a defect as opposed to an enhancement.
- **Prioritization:** Once identified and categorized, the defect is analyzed based on a combination of severity and impact to the user, relative to the effort to fix the defect when compared with other open defects. Depending on the size of the work effort and impact, the defect is prioritized (this is typically a joint Optum/WV DHHR activity).
- **Assignment:** Based on the priority, the defect is assigned to a developer for resolution.
- **Resolution:** The developer resolves the defect, and follows the defect remediation process to move the defect forward through the testing process.
- **Verification:** The testing team re-tests the functionality that initially identified the defect (and any other test cases associated to the defect), and verifies that the defect has been resolved.
- **Closure:** The defect is marked as closed once it has been resolved and verified.

Optum uses various tools to drive the defect management effort such as Rally and HP Application Lifecycle Management (ALM). The following attributes are necessary to track defects found during the testing process.

- **ID:** Non-modifiable unique identifier assigned to the defect.
- **Summary:** High level description of the defect.
- **Description:** Detailed description of the defect along with the steps, data, logs, and other related details to allow that enable the defect to be recreated.
- **Status:** Status (open, fixed, retest, closed, reviewed) that defines which state in the remediation process the defect resides at any point in time.
- **Priority:** Priority of the defect based on the business implications.
- **Severity:** Severity of the defect based on a functional/system perspective.
- **Found By:** Name of the user that identified the defect.
- **Assigned:** Name of the user to which the defect is currently assigned to complete some level of activity.
- **Detected In Version:** The version or solution build package in which the defect was found.
- **Detected on Date:** The date the defect was detected.
- **Comments:** Comments documented throughout the remediation process to build additional understanding or answers to questions.

- **Root Cause:** Root cause of the defect based on detailed analysis and the remediation effort.

4.4. Test Environments

The Testing Management Plan, which we are also submitting with this proposal, will provide details related to the environments necessary to effectively support the various testing efforts in a quality manner.

Different test environments will be necessary for different testing needs (e.g., integration testing, performance testing, and user acceptance testing). The recommended test environments will support testing activities required for phased development approaches. Multiple test environments may be required to support parallel testing efforts. Those decisions will be based on finalization of WV IES development and implementation strategies and will be defined in the Testing Management Plan.

5. Design and Traceability

5.1. Design

Design is the activity associated with building out the overall design of the WV IES. It is through this exercise that the agreed upon detailed design of this system is approved and scoped. Design is a collaborative effort initiated through work sessions with necessary stakeholders throughout the SDLC and is formalized by approved artifacts driven through the document management process. For example, solutioning incorporates documentation such as architecture diagrams, system diagrams, or process flows and requirements. These define the functionality and or non-functional capabilities of the solution where each has clearly articulated acceptance criteria. Clearly defined, testable and traceable design is a necessary outcome of design in order for development and validation to be successful. Without this clearly defined design, it is nearly impossible to measure acceptance.

5.2. Traceability

Because the WV IES design is comprised of various deliverables, traceability is a necessary quality assessment activity. Without proper traceability, WV IES stakeholders will not be able to understand the dependencies and ties between the various design levels. Traceability is communicated at many points in the project, starting with design and continuing through deployment. A traceability matrix is the report by which traceability inspection is measured. The traceability matrix allows DHHR to see how the different design aspects are connected, as well as how they impact each other especially through the change management process. Full traceability cannot be determined unless this effort is performed throughout all implementation phases, from design through execution. Anything less than full traceability provides diminished value for the evaluation of quality delivery. The requirements traceability matrix (RTM) is an element of the Deliverable Dictionary and helps to give WV IES stakeholders a clear understanding of the level of traceability as well as reporting.

6. Other Quality Factors

Several other factors can impact quality within a deliverable. These factors include key processes such as:

- Issue management
- Risk management
- Change control management
- Configuration management
- Data conversion management
- Data quality and governance management

These processes are critical in the management of impacts to the overall effort and can identify potential impacts to test management efforts. For each of these, we provide management plans as part of our proposal. These plans define a greater level of details with each of these topics. Please refer to those plans for additional information.

6.1. Issue and Risk Management

Throughout the WV IES Project, including during quality assurance gate checks, we will remain focused on identifying any issues or risks that could impact the quality of deliverables, system functionality or downstream project activities. All project team members are aware of the importance of quality. They do not hesitate to raise concerns that should be investigated and discussed further. The Issue Management and Risk Management Plans document the processes we will implement to promptly identify, mitigate, defer or accept any potential issues or risks. Adherence to those key project management governance processes promotes visibility and transparency to all project stakeholders and establishes a cooperative and timely resolution mechanism.

6.2. Change Control Management

Throughout the SDLC life cycle we will implement a structured change control process, as defined in the Change Management Plan. The change process will facilitate review and discussion of any changes that could impact project outcomes or the quality of project deliverables.

When the change management process is invoked for any scope, schedule, or cost change requests, the Optum team performs careful analysis to determine impacts to other project activities, timelines or deliverables. When code changes are requested, quality assurance during analysis activities includes tracing the code requirements back through the design, design-to-test, and test-to-defects activities in order to determine the full scope of potential impacts. A consolidated change package is then created and reviewed with the Change Control Board (CCB) to obtain approval to proceed with the implementation of code changes.

Deliverable and requirements traceability are key components in our quality review processes, as is clear communication with project stakeholders. By adhering to the approved governance processes that are instituted for this project, we enhance our ability to deliver in a quality and predictable manner.

6.3. Configuration, Code Management and Data Conversion Management

Optum uses ITIL best practices, tools and techniques to manage configuration and code changes made to support system requirements and functionality. The Configuration Management Plan describes in detail the how Optum manages Configuration Items (CIs), and uses the Configuration Management Data Base (CMDB). It describes how changes to source code are managed using Codehub, Subversion, and Git as our source code management tools.

Quality controls related to configuration and code management, such as versioning and code packaging, are key prerequisites to the testing processes. They maintain the integrity of our code in each test environment and ultimately in the production environment. The more effective the configuration and code management processes are, the more efficient and timely the testing process can be. Of equal importance is the traceability of all configuration and code changes back to clearly defined and approved business requirements. This enables the testing team to validate that the test cases executed sufficiently address the various business scenarios needed.

During the data conversion planning phase, and as part of the quality control process, data conversion validation activities and controls will be identified, implemented and reviewed with DHHR. This will confirm that they are in alignment with the overall conversion strategy and that there are sufficient validations and controls in place to verify data integrity. Adequate quality controls during this process will minimize the risk of data corruption.

Optum has developed a Data Quality and Governance Plan, which is submitted with this proposal. This plan describes the process by which data integrity will be maintained during the data conversion phase of the project, and thereafter. It also guides our efforts to understand and safeguard the privacy aspects of the data and adhere to governance requirements. Through prescribed validation efforts we will confirm that the WV IES data adheres to the defined data quality standards.

To validate alignment with project governance requirements, Optum uses system monitoring tools with alerts to help validate that data is not being mishandled or corrupted by internal or external threats.

7. Communication and Reporting

Optum promotes quality and transparency through effective and regular communications, meetings and reporting throughout the project life cycle. A variety of communication channels and methods are used to communicate quality activities and results to project stakeholders. Reporting on quality initiatives, risks, issues and progress will be delivered in a variety of formats and reporting vehicles. A primary format will be the Weekly Status Report. Other reports include the Monthly Status Report and Test Summary Reports. Each report contains a different level of information and targets a different audience. During regularly scheduled project meetings we will communicate and discuss quality best practices, results, or concerns. Regularly scheduled meetings include those relating to status, operational readiness, decision point, issue management, risk management, and defect triage. The Communication and Stakeholder Management Plans will further detail communications, meetings and reporting.

West Virginia Integrated Eligibility Solution (IES)

Draft Human Resources Management Plan

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

_____ _____

Signature **Date**

xxxxxxxxx

Optum

_____ _____

Signature **Date**

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DRAFT

Revision History

Version	Date	Author	Summary of Changes
1.1	8/8/2017	Optum	Initial draft release

Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 1
1.5 Related Documents 1
2. Human Resource Management Approach 2
2.1 Key and Support Staff 2
2.2 Composition of the Project Teams 4
2.3 Planning Tools, Techniques and Considerations 5
2.4 Subcontractor Management 5
2.4.1 Subcontractor Quality Control 6
3. Acquiring Project Resources 7
4. Managing the Project Team 8
4.1 Providing Feedback 8
4.2 Awards and Recognition 9
4.3 Managing Conflicts 9

List of Figures

Figure 1: Subcontractor Management. 6
Figure 2: Subcontractor Quality Management. 7

1. Introduction

1.1 Objective

The Human Resources Management Plan defines the management approach for the human resources assigned to the West Virginia Integrated Eligibility Solution (WV IES) Project. There are three key processes that Optum follows for human resource management:

1. Develop the human resources plan
2. Acquire and develop the project team
3. Manage that team to the successful completion of the project

The objective of this plan is to define the management processes Optum will use to manage the WV IES team to successful completion of the project.

1.2 Plan Scope

The West Virginia Human Resources Management Plan addresses the approach that Optum will use to manage the human resources that support the project.

1.3 Plan Assumptions

We made the following assumption when preparing this plan:

- The project may experience fluctuations in staffing levels as resources are added to or removed from the project to satisfy evolving project requirements.

1.4 Plan Organization

This Human Resources Management Plan is organized into the following sections:

- **Introduction (Section 1)** lists the objectives and scope of the Human Resources Management Plan, assumptions made in developing the plan, describes the plan organization, and identifies related documents.
- **Human Resource Management Approach (Section 2)** outlines our approach to human resource management for WV IES, including our values, key and support staff roles and responsibilities, composition of project teams, planning tools, and subcontractor management.
- **Acquiring Project Resources (Section 3)** explains how we will identify and acquire the best resources for the WV IES Project.
- **Managing the Project Team (Section 4)** describes how the Optum IES deputy account/operations manager will effectively manage the project team by providing feedback, recognizing accomplishments, and dealing with conflicts.

1.5 Related Documents

The Human Resources Management Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, we will base-line the document and place it under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

Related plans include:

- Staffing Management Plan
- Quality Management Plan

2. Human Resource Management Approach

Successful projects result from careful planning and a talented project team that actively collaborates. The team must be a dedicated group of individuals with varied subject matter expertise and skill sets who work together to meet project objectives. The project organization must be efficient, with clear lines of reporting up to strong project leadership.

The Optum deputy account/operations manager for WV IES will play a primary role in the project and is responsible for its successful completion. The IES deputy account/operations manager's job is to manage the project so that it proceeds within the specified time frame and under the established budget, while satisfactorily achieving its objectives. Our IES deputy account/operations manager will make sure that proper resources are allocated to the project and effectively manage relationships with contributors and stakeholders.

Our IES deputy account/operations manager will consider other human resource factors that may influence or alter project performance. These include the geographical locations of team members, communications among stakeholders, internal and external politics, cultural issues, and the working environment.

Our corporate culture influences our human resource management approach. Our account manager and deputy account/operations manager will leverage our core corporate values, influencing the selection and ongoing management of our teams. You will see our staff members put the following core values into action in their work with you:

- **Integrity:** Honor commitments; never compromise ethics.
- **Compassion:** Walk in the shoes of people we serve, and those with whom we work
- **Relationships:** Build trust through collaboration
- **Innovation:** Invent the future and learn from the past
- **Performance:** Demonstrate excellence in everything we do

2.1 Key and Support Staff

The following table identifies the key and support staff roles and associated responsibilities supporting the WV IES project.

Role	Responsibilities
IES Account Manager	• Serves as the senior representative for the contract and the liaison to the WV IES project sponsor • Establishes and maintains close relationship with DHHR to build consensus and foster strong communications related to the WV IES • Responsible for the scope of work under the contract • Manages integration across HHS programs and updates DHHR on project status • Attends meetings in person as needed, including government hearings, to stay informed and maintain strong relationships with DHHR and key stakeholders

Role	Responsibilities
IES Deputy Account Manager/Operations Manager	• Serves as the point of contact for the WV IES project manager • Responsible for day-to-day project activities and managing all issues, concerns and requirements including integration management and solution components • Responsible for M&O activities for the integrated eligibility enterprise • Provides support for all federal reviews, CMS processes, federal certification processes, and other agreed upon critical functions and processes • Maintains M&O-related communications with DHHR including project management, scheduling, and status reporting • Fulfills the account manager's responsibilities in the account manager's absence
IES Project Manager	• Provides overall direction and project management for the WV IES project team in the implementation, enhancement and operations of the solution and its components • Coordinates the completion of deliverables across functional areas • Provides subject matter expertise in project methodology, resource allocation, and facilitation • Serves as the primary point of contact for DHHR regarding DDI and M&O project management activities • Provides support for all federal reviews, CMS processes, federal certification processes, and other agreed upon critical functions and processes
IES Line of Business Managers	• Validates that the integrated eligibility solution aligns with the four lines of business: Bureau for Children and Families (BCF) Family Assistance, BCF Family Services, Bureau for Child Support Enforcement (BCSE) Program, and the Bureau for Medical Services (BMS) plus WVCHIP • Interacts with the line of business as needed • Manages configuration activities for development, modification and enhancement of solution components or applications managed • Gathers requirements for M&O and modifications to the WV IES
IES System Manager	• Responsible for planning, developing, testing, implementing, and maintaining the WV IES • Oversees systems maintenance and modification activities, job scheduling, reporting maintenance, testing and implementation of system modifications, and maintaining system connectivity • Manages the modernization DDI and required federal reviews • Oversees the conversion of West Virginia eligibility data for import into the modernized solution • Responsible for all aspects of the data conversation, including design, development, testing, and implementation of the data conversation approach throughout DDI and Operations
Test Manager	• Manages WV IES testing activities • Responsible for identifying, categorizing prioritizing, assigning, resolving, verifying and closing defects found during testing • Oversees unit testing, system testing, readiness testing, and other testing as needed for the WV IES • Involves DHHR and key stakeholders in WV IES testing to complete activities with State approval and within agreed upon timeframes • Reports testing results to the State in the agreed upon format (e.g., dashboards) in a timely fashion

Role	Responsibilities
Security Manager/ HIPAA Officer	• Manages security of the WV IES architecture, infrastructure and network and its multi-platform environments • Responsible for verifying security is a primary focus during DDI • Responsible for compliance of staff with HIPAA and other State and federal security standards • Communicates any identified security issues or incidents to DHHR and leads security solution development as needed
Change Control Manager	• Manages the change control process for all changes to project scope, schedule, or cost • Validates that changes comply with the change control process • Develops and maintains the Change Management Plan and validates compliance with the plan • Supports the Change Control Board and oversees corrective actions • Verifies that WV DHHR and key stakeholders stay informed on changes as they progress through the change control process
Deliverables/ Requirements Manager	• Manages the development, delivery, and approval of project deliverables during DDI through to testing • Validates that deliverables meet DHHR requirements
Interface Manager	• Oversees WV IES interface design and development • Validates that required interfaces integrate with external systems and data sources to meet DHHR requirements • Responsible for all aspects the external interfaces to include design, development, testing, and implementation
Data Architects	• Responsible for identifying data and defining how it will be stored, consumed, integrated and managed • Designs data parameters and components to meet all DHHR specifications throughout the life of the project • Responsible for cleaning, transforming, modeling, and analyzing data • Performs development and testing to meet DHHR requirements • Validates that data is secured in compliance with federal requirements as needed • Communicates and reports findings to DHHR

2.2 Composition of the Project Teams

Every team, regardless of the project type, size and nature, has three key roles:

- **Leader:** A project team leader provides leadership and guidance to the team and takes responsibility for the results the team produces. The team leader role involves the development and encouragement of the team through training, leading, motivation, recognition, rewarding, and other activities that stimulate or force team members perform required tasks.
- **Member:** A project team member actively works on the project by completing assigned tasks. Team members directly access the project and evolve its processes. They receive instruction and guidance from the team leader.

- **Contributor:** A project team contributor is a person or an organization that participates in teamwork but does not directly perform tasks or carry out project team responsibilities. Contributors help improve the project through giving valued suggestions, expert judgment, and consultation. Project team contributors have an interest or concern in the project, so they often facilitate successful completion. However, they are not responsible for project results.

Successful teams typically work under the direction and supervision of project managers, who oversee the team and provide expert advice to team members. For the WV IES Project, contributors will work in collaboration with the Optum deputy account/operations manager.

The Optum project team will be include resources with diverse and valuable skills. Decisions on physical work location and time frame complement project needs and requirements. The team will include:

- Optum employees
- Subcontractors
- Vendors
- Full-time and part-time resources, based on project needs
- Geographically dispersed resources

2.3 Planning Tools, Techniques and Considerations

Optum uses a variety of tools to support the selection and ongoing management of a strong, qualified project team. These include RACI (Responsible, Accountable, Consulted and Informed) and organization charts. These will provide the WV IES stakeholders with a visual view of the roles, responsibilities and reporting structure of the proposed project team. This assists in assessing whether the project team is appropriately organized with skilled members and has a reporting structure that enables quality and timely delivery of WV IES Project requirements. RACI and organization charts will be revised and updated throughout the project life cycle to reflect human resource changes resulting from normal attrition and changes in project scope, schedule or budget.

2.4 Subcontractor Management

We have executed a formal teaming agreement with each subcontractor that defines our legal relationship. We have also developed a detailed statement of work that outlines WV IES Project roles and responsibilities for Optum and our subcontractors. The agreements outline the content of the eventual subcontracts and the process for concluding them after DHHR selects Optum as the prime contractor and consents to our use of the applicable subcontractors. .

As the prime contractor, we will ultimately be accountable to DHHR for the success of this project. Through our formal subcontractor agreements, we will maintain project leadership and appropriate coordination and oversight of our subcontractors. All work by subcontractors will be performed under the oversight of our Optum deputy account/operations manager.

Our subcontractor agreements incorporate necessary flow-down provisions to make sure that all parties are invested in the success of the project, have clearly defined roles, and are effectively managed. Figure 1 shows our subcontractor management process.

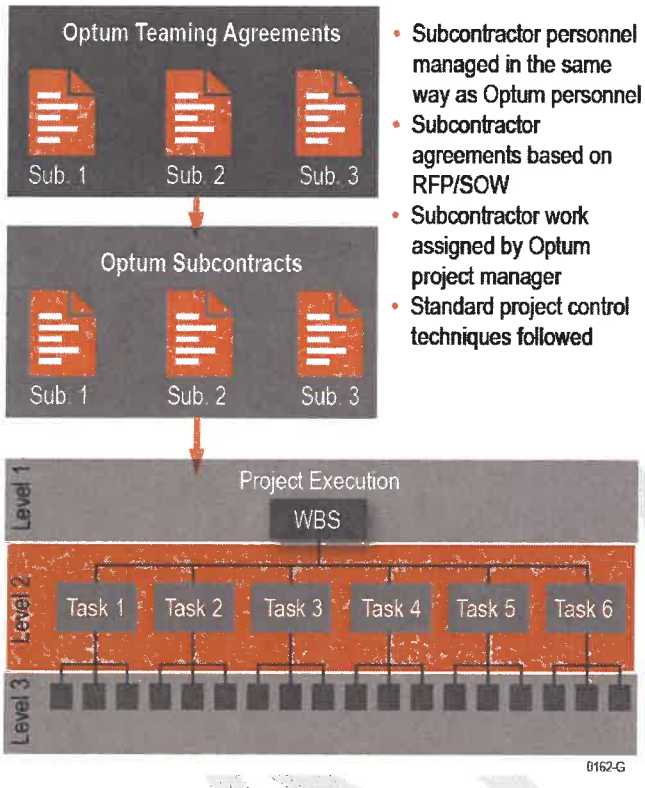


Figure 1: Subcontractor Management.
Optum subcontracting agreements provide clear definition of work and lines of authority. The agreements incorporate flow-down provisions to make certain of compliance with all State requirements.

2.4.1 Subcontractor Quality Control

As a quality control mechanism, we build subcontractor responsibilities, deliverables, schedules and resource allocations into our detailed project schedule. In this way, subcontractors will be assimilated into the Optum team and participate in all aspects of project execution according to their assigned roles. In addition to detailed work breakdown structure (WBS), we establish management plans, performance metrics, and regular status meetings for each subcontractor. Optum and each subcontractor agree on interim milestones and checkpoints to be met. We closely and continually monitor the progress of each subcontractor using established metrics and implement corrective actions as needed for budget and schedule adjustments.

Figure 2 illustrates the relationships and flow of information between the Optum quality process and the subcontractors for the WV IES Project. Requirements for quality flow down to the subcontractors. We will also conduct formal audits conducted with the subcontractors to verify for both the DHHR and Optum that the documented quality processes are being followed.

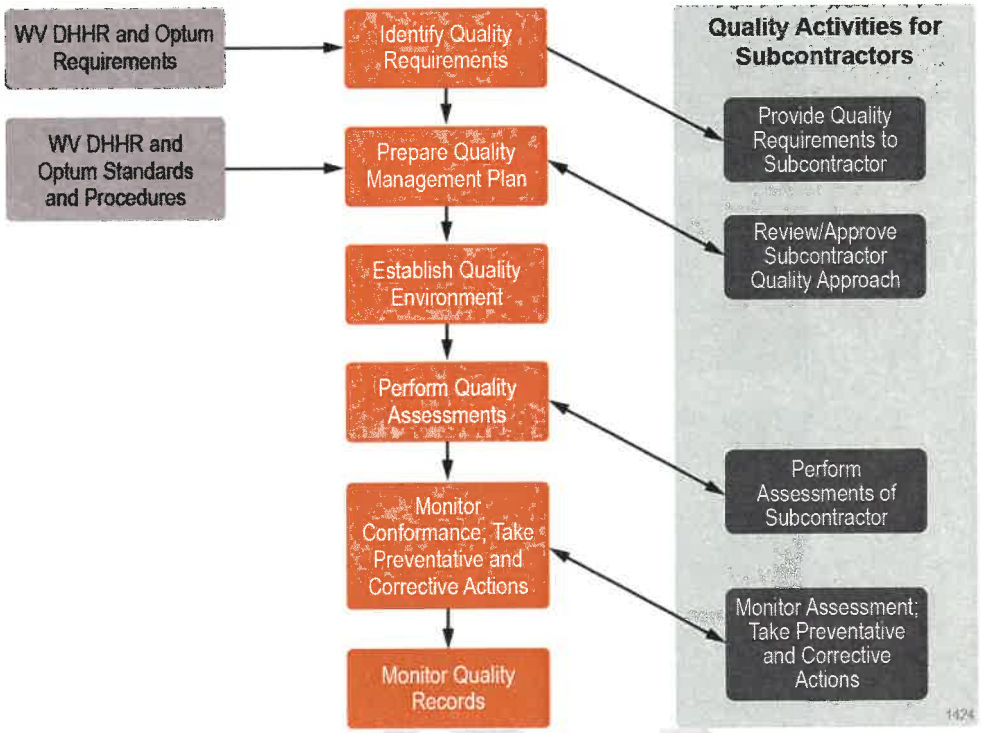


Figure 2: Subcontractor Quality Management.
Optum subcontractors are held to the same high-quality standards that Optum establishes with DHHR.

Optum will work closely with each subcontractor to make certain their staff members are specifically trained and grounded in all project standards and quality control processes established at project initiation. The WV IES scope of work provided for subcontractors includes expected quality activities, the method for reviewing these activities, the acceptance criteria, and a definition of the process for our preventive and corrective action program. All subcontractor work will be subject to quality reviews and must meet all project quality standards.

We maintain cooperative working relations and open communications with our subcontractors. Each subcontractor project manager reports to an appropriate Optum manager and is responsible for status reporting, issue resolution, and all other leadership tasks associated with their position. Our goal is to enable the transparency of all subcontractor relationships to DHHR. We believe that our approach generates an active and positive attitude throughout our organization in addressing project requirements and fulfilling the scope of work to your satisfaction.

3. Acquiring Project Resources

Optum looks across our large corporate resource network to identify the best resources to fill required project roles. While some key team members have been identified and selected during the proposal process, others will be selected upon contract award. We will consider their skills and expertise as well as the project schedule.

Staff acquisition to support the WV IES project team will include a combination of Optum employees and subcontractor employees. Optum will select only the most qualitied resources containing the technical and subject matter expertise necessary to successfully deliver WV IES that meets project requirements and exceeds your expectations.

The Optum deputy account/operations manager will negotiate with functional managers across the Optum organization to obtain project resources with the skillsets needed at particular times throughout the life cycle of the project. As necessary, the Optum deputy account/operations manager will also work with pre-qualified external vendors and subcontractor partners to supplement the project team if a unique skill is required that cannot be filled by an existing Optum employee.

We also leverage virtual teams to satisfy project staffing needs. The benefits of virtual teams include:

- Building teams who live in widespread geographical areas to provide coverage outside of the hours of the local business day and minimize travel and physical re-location costs
- Supplementing the team with special technical and subject matter expertise when needed

Project resource needs are driven by the project schedule. Decisions to acquire resources who can deliver high-quality work in a timely manner are supported by ongoing analysis of factors, such as resource availability, cost, experience, knowledge, skills, and attitude.

4. Managing the Project Team

The WV IES Project management team will effectively accomplish project goals by working collaboratively with the project team members and other project stakeholders. In order to be successful in their roles, the project management team requires a balance of technical, interpersonal, and conceptual skills that help them analyze situations and interact appropriately to manage work and drive forward the completion of project milestones.

The WV IES Project management team will demonstrate key interpersonal skills, including:

- Leadership
- Communication
- Political awareness
- Building trust
- Team building
- Influencing
- Cultural awareness
- Conflict management
- Motivation
- Decision making
- Negotiation
- Coaching

4.1 Providing Feedback

Our objective for successful human resource management is to grow and manage our resources in a way that both capitalizes on the strengths of team members and meets our client's objectives.

A successful Optum project manager is effective in tracking team performance, providing feedback, resolving issues, and managing changes to optimize project performance. Through collaboration, observation and conversation, the project manager is able to gauge work performance, recognize accomplishments, identify interpersonal issues and monitor team performance and progress towards achievement of project deliverables.

Our project managers mentor our team members by providing constructive feedback that improves performance and helps them achieve both personal and professional goals. We assess resource capabilities and put in place training plans that help our resources grow and mature in their career paths.

Human resource management is a continuous process. The Optum deputy account/operations manager will provide daily guidance to the WV IES team in order to understand and resolve issues, break down barriers that impact productivity, and manage opportunities to optimize project performance. Benefits realized by effectively managing our project resources include positive team behavior, and the personal growth of our individual project team members.

4.2 Awards and Recognition

Bravo! is our corporate global employee recognition program. It provides an opportunity for employees to recognize others, and be recognized themselves, for demonstrating collaboration and leadership. This includes demonstrating our core corporate values of integrity, compassion, relationships, innovation and performance in the work we do every day. Any team member can recognize any other team member on this internal social media forum. Additionally, managers can reward direct reports with monitory awards ranging from $100 to $1,000.

Effective employee recognition includes timely acknowledgment of an employee's behavior and business result that supports the organization's goals and values. It lets people know that their good work was noticed, shows appreciation for their contributions, and simply says "thank you."

When a colleague is recognized through Bravo!, a behavior or business result is always tied to one of the following:

- Integrity
- Compassion
- Relationships
- Innovation
- Performance
- Leadership
- Collaboration

4.3 Managing Conflicts

Managing conflict may be one of the more difficult things a manager has to do, but dealing with conflict fairly is a crucial part of the job. Conflict during the execution of projects is inevitable. The cause of conflict can be related to differences in values, attitudes, needs, expectations, perceptions, resources or personalities. Effectively managing conflict throughout the project life cycle is critical to overall WV IES Project team performance and productivity.

The Optum deputy account/operations manager will recognize that conflict is not necessarily a bad thing; healthy and constructive conflict is a component of high-functioning teams. Conflict arises from differences between people; the same differences that often make diverse teams more effective than those made up of people with similar experience. When people with varying viewpoints, experiences, skills and opinions are tasked with a project or challenge, the combined effort can far surpass what any group of similar individuals could achieve. Understanding and appreciating the various viewpoints are key factors in conflict resolution. The important thing is to maintain a healthy balance of constructive difference of opinion, and avoid negative conflict that's destructive and disruptive.

Three key steps in the process to resolve project conflicts are: prepare for resolution, understand the situation, and reach an agreement.

1. **Prepare for resolution**
   - Acknowledge the conflict
   - Discuss the impact

- Agree to a cooperative process
- Agree to communicate

2. **Understand the situation**
   - Clarify positions
   - List facts, assumptions and beliefs underlying each position
   - Analyze in smaller groups
   - Convene back as a team
3. **Reach agreement**
   - When all parties understand the others' positions, decide on a course of action

Once an agreement has been reached, the Optum deputy account/operations manager may take time to celebrate and acknowledge the contributions everyone made toward reaching a solution. This acknowledgement can build team cohesion and confidence in their problem solving skills and can help avert future conflict.

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West Virginia Integrated Eligibility Solution (IES)

Draft Communication Management Plan

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

_____ **Signature**

_____ **Date**

xxxxxxxxx

Optum

_____ **Signature**

_____ **Date**

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Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 2
1.4 Plan Organization 2
1.5 Related Documents 2
2. Stakeholder Engagement 2
3. Communication Management Approach 3
4. Project Communication 5
4.1 Key Communication Events 5
4.2 Common Communication Principles 6
4.3 Elements of Project Communication 7
4.4 Weekly Project Status Meeting 8
4.5 Feedback and Measuring Effectiveness 9
4.6 Meeting Management 9
4.6.1 Planning meetings 9
4.6.2 Meeting Benefits 10
5. Communication Matrix 11

List of Figures

Figure 1: Stakeholder Commitment and Awareness. 3

1. Introduction

The Communication Management Plan for the West Virginia Integrated Eligibility Solution (WV IES) Project outlines the roles and responsibilities of Optum, West Virginia Department of Health and Human Resources (DHHR), and project stakeholders in sharing information about key project processes, events, documents, and milestones. It will help manage expectations regarding the project; verify the communication methods that will be used; confirm appropriate levels of coordination with internal and external project stakeholders; promote relevant, accurate, and consistent information disseminated through project meetings and written updates; and help us maintain ongoing support for the project.

DHHR and Optum recognize that effective communication among critical stakeholders and users of the new WV IES is critical to the overall success of this project throughout all project phases. The WV IES will support the West Virginia health coverage programs and meet the State and federal requirements for integrated eligibility services. This plan is designed to support the Stakeholder Management Plan and Strategy, and is developed to communicate clearly to the stakeholders using various communication strategies to verify that consistent and accurate information is conveyed. It provides the context, framework and guidance for communications and stakeholder engagement activities related to the program.

1.1 Objective

The Communication Management Plan provides an overall framework for managing and coordinating the wide variety of communications that directly or indirectly take place as part of the WV IES Project. It addresses communicators, audiences, messages, communication channels, feedback mechanisms and message timing, and creates a mapping between them. Such a framework will make sure that the Optum team provides relevant, accurate and consistent project information to DHHR and other stakeholders in a timely manner. Effective communication creates a bridge between diverse stakeholders who may have different cultural and organizational backgrounds, different levels of expertise, and different perspective and interests which impact or have an influence on project execution or project outcome.

As part of the WV IES Project Management Plan (PMP), the Communication Management Plan is a living, evolving document that can be revised when appropriate throughout the life of the project. The Communication Management Plan defines the communication requirements for the project and how/when the information is to be distributed; it supports the Stakeholder Management Plan in that it will help the project team manage stakeholder expectations and prevent unwarranted communications.

Effective communication is critical to the success of a project. For this reason, the Communication Management Plan is viewed as one of the key project management sub-plans. This plan will:

- Highlight the importance of effective communication and its impact on the execution of the WV IES Project
- Identify mechanisms to deliver these key messages
- Establish a formalized structure to sustain communications over the long-term

1.2 Plan Scope

The West Virginia Communication Management Plan addresses the approach that Optum will use throughout the project lifecycle to manage communications pertaining to the WV IES.

1.3 Plan Assumptions

Not applicable.

1.4 Plan Organization

This Communication Management Plan is organized into the following sections:

- **Introduction (Section 1):** lists the objectives and scope of the plan and describes the Plan's organization.
- **Stakeholder Engagement (Section 2):** describes high-level benefits of our strategic approach to engaging stakeholders directly or indirectly impacted by the project, and various information needs
- **Communication Management Approach (Section 3):** describes our approach to managing all project communications with individuals, groups and business units directly or indirectly impacted by the project.
- **Project Communication (Section 4):** outlines the types of project communications that will occur during the WV IES Project.
- **Communication Matrix (Section 5):** provides the detailed matrix of the project communications that will occur during the WV IES Project.

1.5 Related Documents

The Communication Management Plan is subordinate to the overall PMP. Once the plan is approved, the document is base-lined and placed under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

Related plans include:

- Stakeholder Management Plan

2. Stakeholder Engagement

At a high level, properly executed stakeholder engagement initiatives will raise awareness, develop understanding, build commitment by seeking input, and promote action. Figure 1 depicts the relationship between stakeholder commitment and awareness as it relates to encouraging stakeholders to act through effective engagement activities.

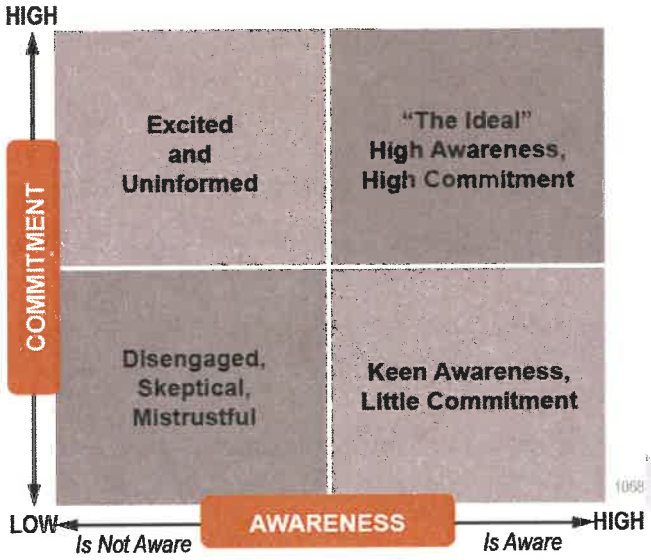


Figure 1: Stakeholder Commitment and Awareness.
The ideal scenario is to have stakeholders in the upper right quadrant with high awareness and high commitment.

The objective of stakeholder engagement strategies is to help guide the stakeholders who begin in the other quadrants progress to the upper right quadrant, or to "The Ideal", which represents the entire spectrum of awareness, understanding, active engagement, and sustained action. This goal will be realized when stakeholders demonstrate behavior marked by:

- **High Awareness:** Stakeholders are conscious of the WV IES Project initiative and the potential benefits and business process improvement opportunities that it brings.
- **High Commitment:** Stakeholders actively choose to participate as appropriate throughout the implementation phases and move through the change cycle from awareness to ownership.

It should be noted that although low awareness and commitment are not the ideal, neither is it cause for major concern. With any major organizational change that impacts a broad range of stakeholders, varying degrees of awareness and commitment are to be expected. Once recognized, low awareness and low commitment will simply need to be addressed by WV IES Project leaders. Those leaders will need to develop and implement strategies to raise levels of understanding and help prepare these stakeholders for any actions or changes.

3. Communication Management Approach

Clear, open and honest communication is the basis of our approach to service and project management. Our organized, open, and transparent approach will allow our teams to quickly grasp, respond to and/or mitigate potential project issues. In the current, rapidly evolving health and human services environment, systems and organizations must align closely to provide quick and reliable support. In order to communicate accurate information to the correct entity, we must identify the audiences (stakeholders) associated with the WV IES Project.

Optum considers project stakeholders to be those individuals, organizations or business units who are directly or indirectly impacted by the WV IES Project; the Stakeholder Management Plan provides more detail regarding project stakeholders and how they are grouped and categorized. The Communication Management Plan is designed to support the Stakeholder Management Plan and Strategy.

It is critical to define and categorize the recipients of project communications to understand how each stakeholder interacts with the WV IES Project and what information needs exist. The Communication Management Plan is intended to enhance communication across the project, but it is recognized that not all audiences have the same information needs. The level of interaction with the project will vary from stakeholder to stakeholder. Understanding differences in audience information needs enable our project team to develop targeted communication strategies and tactics.

The goal of the Communication Management Plan is to establish structured and effective communications with all project stakeholders; to accomplish this goal the plan will be targeted to support the following key objectives:

- Provide accurate, appropriate and consistent information regarding the status of the project
- Provide relevant information to appropriate groups at the appropriate time
- Verify all stakeholders receive intended messages and consistent information

Fulfillment of these objectives should:

- Provide stakeholders with oversight responsibilities, the level of information they require
- Provide internal project team governance stakeholders, the level of information they require to coordinate and manage the project
- Facilitate stakeholder support and provide timely and accurate information that allows them to prepare for their roles in the implementation and support of the project

Key principles that guide our approach to project communications:

- Communications will be clear, consistent, and concise, with verbiage free of jargon not understood by the stakeholders
- Communications may need to be delivered in a variety of methods most likely to reach various stakeholder groups
- Communications should provide the right information at the right time to the right audience.
- The Communication Management Plan will be assessed and updated as needed

To facilitate project success, we will rely on formal and regular communications to provide information and updates that participants need to accomplish their roles. Two primary communication vehicles will be Weekly and Monthly Project Status Reports, which will be delivered to DHHR by the Optum IES account manager during regularly scheduled review meetings. These reports will increase the ability of project stakeholders to understand project progress, project health, items requiring their action, what their responsibilities are, project dependencies, and areas where the project is facing risks or challenges.

As with most project plans, updates or changes may be required as the project progresses throughout its lifecycle or changes are approved. Changes or updates may be required due to changes in personnel, scope, budget, or other reasons. Additionally, updates may be required as the project matures and additional requirements are needed. The Optum change control manager is responsible for managing all proposed and approved changes to the Communication Management Plan. Once a change is approved, our change control manager will see that the plan and supporting documentation is updated and distributed to the project team and stakeholders.

4. Project Communication

Reinforcing key messages is a vital part of the communications process. Selecting the right mechanisms to deliver these important messages in a timely fashion creates a reliable network of communication to make sure there are various opportunities for stakeholders to receive information.

There are two types of mechanisms used to engage stakeholders: push and pull mechanisms. Push mechanisms are those that effectively push information to audiences. Pull mechanisms are those that pull information from stakeholders.

The project communications described below employ a combination of push and pull mechanisms to supply stakeholders with information while delivering forums for engagement and opportunities for feedback. The audience groups can be broken down in a number of different ways: project team, internal stakeholders and external stakeholders. Some participants may belong to a number of potential audience groups—some of which overlap and have different priorities. Communication and feedback channels fall into three broad categories: face-to-face, paper-based and technology-based methods. Some will be more or less suitable for different audience groups and different communication objectives.

4.1 Key Communication Events

Throughout the project, a variety of communication events will take place to facilitate the sharing of information with stakeholders, management of the project and project success. These events will include:

Weekly Status Reports & Status Meetings

- Status summary/project health
- Accomplishments, planned activities
- Schedule, key milestones
- Key project and policy decisions
- Significant problems and issues
- Risk and mitigation plans
- Changes to the plan

IRAAD Review Meeting

- Review project issues and risks
- Review action plans
- Define mitigation strategies
- Summarize corrective actions
- Update Issue/Risk log

Executive Committee

- Review meeting minutes
- Review project status
- Discuss problems and issues
- Review policy recommendations
- Review communication plan

Change Control Board Meeting

- Review change requests
- Review detail estimates and timelines
- Approve/decline change requests
- Update Change Request log

Project Documentation

- Requirements documents
- System architecture documents
- Test plans
- Business scenarios/test cases
- PMP
- Project schedules
- System policies and procedures

User Training

- Project application training
- Business rules
- Business processes
- Reports

Pre-Implementation Meetings

- Review implementation plan
- Review resources and their roles and responsibilities
- Review post-implementation plan and validation activities
- Review transition support activities
- System policies and procedures

Optum will make certain that all communicators establish credibility and consistency with their intended audience. They will be appropriately trained to confirm message delivery/receipt and professionalism in all communications.

When the communication event is a document, plan or deliverable requiring DHHR review or approval, the timeframes for turnaround will be agreed upon between Optum and DHHR to meet project needs.

4.2 Common Communication Principles

Based on the experience of key project team members and communications best practices, a number of common principles emerge which Optum will follow to confirm successful project communications. These principles have been taken into consideration when defining the Communication Management Plan to support the WV IES Project. They are described in the following table.

Principle	Reason
Credibility	Without a credible communications management approach or credible communicators, individuals will simply not believe in the end goal.
Involve not inform	Promotes ownership of the program, stakeholders feel like they are a necessary part of the program
Communicators whom people trust/respect	If the staff does not trust or respect the communicators, the messages 'fall on deaf ears'.
Visible management support	Active management commitment gives credibility to communication. Must be seen to demonstrate support
Face-to-face communication	Audience is involved; communication is two-way and provides a direct feedback mechanism.
Avoid information 'overload'	Too much information leads to confusion and irritation. Accurate and timely information is essential.

Principle	Reason
Consistent messages	Inconsistency loses credibility in the program. Without consistency, audiences are confused and frustrated about what to expect.
Repeat messages and vary mechanisms used to repeat messages	The more ways a message can be communicated, the more likely it is to be internalized. Using different mechanisms verifies repetition without individuals 'switching off'.
Create demand: Encouraging team to pull for information, rather than management pushing it at them.	This approach promotes buy-in to the change.
Tailor communication to audience needs: (give information that audience wants, not what you want to tell)	This makes information real to the audience. The audience is more likely to listen if the information is pertinent to their current frame of reference.
Central PMO coordination	This facilitates consistent program and project management approach.
Manage expectations	This encourages the audience to believe in what you tell them. Preparation shows you understand their needs.
Listen and act on feedback	This encourages support in the approach by being responsive to the needs of the audience. It makes sure that the approach meets changing audience needs.

4.3 Elements of Project Communication

Our communication management strategy includes understanding the various elements that should be considered and used to support project communications. Consideration of the audience, effective message timing, and identification of the various available communication methods will facilitate communications delivery to stakeholders. The following table outlines our approach to identifying the communication elements that can be effectively used to support the project.

Communication Element	Description
Audience groups	Audience groups for the WV IES Project can be broken down in a number of different ways: project team, project sponsors, internal stakeholders and external stakeholders. Clearly, most people belong to a number of potential audience groups some of which overlap and/or have different concerns/priorities.
Communicators	As important as the message is to the deliverer of the message, or the communicator, it is important that communicators have credibility with their audience for the message they are delivering. It is also important that communicators are supported and trained in communication skills.
Timing of communication events	A Communication Event Schedule will define the timing of the communication events.
Communication and feedback channels	Communication and feedback channels fall into three broad categories: face-to-face, paper-based and technology-based. Some will be more or less suitable for different audience groups and communication objectives.

Communication Element	Description	
Face-to-face (primary mechanism for communication)	• Presentations/briefings • Joint Application Development sessions (workshops) • Brown paper/facilitative sessions	• White boarding • One-on-one discussions • Meetings
Paper-based and electronic	• Newsletters • Communications questionnaire • Presentations • Bulletin board	• Communications timetable • Memos • Job aids • Feedback forms
Technology Tools	• WebEx • Video • Email	• Web pages • SharePoint

4.4 Weekly Project Status Meeting

Effective team communication is essential for maintaining focus on project tasks, timely identification of potential problem areas, and preventing surprises and missteps. The project status meeting will be used to harness the collective synergy of team members for resolving issues, managing issues impacting deliverables, reinforcing key points, and moving the project forward.

Optum suggests a weekly status meeting with DHHR to discuss progress of activities, new tasks, adherence to schedules, and issues that could impact successful outcomes of work under the contract. The following sample agenda details suggested status meeting topics which can be modified to align with the preferences of DHHR upon contract award:

- Activities and accomplishments, including, summary of achieved milestones
- Plans
- Issues update
- Risks update
- Change Request update
- Quality Assurance update
- Miscellaneous items
- Project variance and strategy for resolution

For each meeting, we will assign an Optum staff member to take meeting minutes. After the meeting, we will distribute a draft copy of the minutes to attendees for review and any needed corrections. We will incorporate required changes into the minutes, then produce and distribute a final copy. Optum will store a copy of the final minutes in PDF format in the DHHR SharePoint repository where they can be accessed later by authorized DHHR or Optum personnel.

4.5 Feedback and Measuring Effectiveness

Feedback is essential to verifying the ongoing effectiveness of project communications. In addition to determining whether people feel our communicators are doing a credible job, feedback will focus on finding the answers to a series of questions, for example, do stakeholders:

- Understand what the WV IES will deliver
- Understand when the WV IES will deliver specified capabilities
- Understand the progress of the WV IES delivery
- Understand the issues associated with the WV IES
- Feel they have been involved in what is happening
- Feel they have had a chance to voice their opinions
- Feel their questions have been answered

Continual evaluation of feedback will allow us to adapt the Communication Management Plan in order to meet the needs of the project at any given point in time. This will promote continuous improvement for future communication.

Face-to-face communication events (e.g., communication sessions, in-person meetings, workshops and management walkabouts) will provide an opportunity for the audience to give feedback directly to the communicators.

Another channel will include physical feedback forms/surveys. Details of the feedback received, together with any subsequent changes to the Communication Management Plan, will be distributed to DHHR and Optum project managers as appropriate.

4.6 Meeting Management

Effective meeting management is a key component to effective project communications. Despite the daily onslaughts of emails, phone calls and memos, meetings are still one of the most effective ways that people share and exchange information, get feedback, plan, collaborate and make important decisions for their organizations.

The quality and effectiveness of meetings can be improved by following standard meeting best practices. Optum team members will follow the best practices noted below when planning and conducting meetings.

4.6.1 Planning meetings

Why schedule the meeting? An effective meeting has a purpose and gets finished in the time allotted. It's important to understand that everyone's time is important, and that the meeting needs to add value. Before a meeting is planned, Optum will consider if the meeting is necessary.

We will weigh the pros and cons of holding the meeting. A good meeting yields many results; a bad meeting is a waste of time. We will consider the goals of the meeting. Is the meeting needed to accomplish one of the following?

- Share information?
- Make decisions?

- Gather ideas?
- Connect with others?
- Get a sense of where the organization is at?
- All of the above?

Who should attend the meeting? You may have several items on the agenda, each requiring a different output. Meeting leaders will be clear regarding what each item needs:

- **Who needs to be there to achieve desired results?** We will consider staff size and determine who should attend the meeting.
- **What if someone cannot make the staff meeting, should the meeting proceed?** For staff meetings, Optum will schedule at a consistent time of the week and will not cancel unless less than 50 percent of attendees can attend.
- If a key team member is absent for a task team or project team meeting, the meeting might not be able to proceed given that subject matter expertise is required to go forward. Meeting leaders will make this decision using common sense.
- **Where will the meeting be held?** We will take into consideration the physical space and materials required to conduct a meeting. We will make sure attendees are able to comfortably attend otherwise the meeting may not be effective. Another consideration is hosting a virtual meeting to eliminate any physical constraints that may detrimentally impact the where and when of a meeting. Meetings can be effectively conducted online, with video or by phone.
- **When should the meeting be scheduled?** Is the timing right? Will the right people be able to attend? Have various staff schedules been considered? Our team members will consider these factors when planning a meeting.

4.6.2 Meeting Benefits

Alignment: Rather than spending countless hours reading through email chains and clarifying meaning, meetings are often the most effective means to promote clarity and team alignment.

Brainstorming: When a solution is not readily available or innovative concepts are required, a brainstorming meeting can promote "outside-the-box" thinking and sharing of ideas.

Education: When the education of individuals is necessary, meetings are often the best solution. This is not the same as a class, but more targeted – such as when educating a group on current financial challenges.

5. Communication Matrix

As noted previously, reinforcing key messages is a vital part of the communications process. Using the right tools to deliver important messages in a timely manner creates a consistent network of communication to make sure there are various opportunities for stakeholders to receive information.

The Communication Matrix is a tool that provides a holistic view of key communication mechanisms that will be utilized on the WV IES Project. It includes a description of the communication objective, the type of communication, frequency, audience and owner of the communication. A well-defined communication matrix helps the respective DHHR or Optum manager quickly assess, manage and adjust stakeholder communications. The Communication Matrix, in the following table, will be revised and refined during the project initiation phase of the project and can be tailored to meet the preferences of DHHR.

Communication Event	Objective of Communication	Type of Communication	Frequency and Time of Meeting	Meeting Audience	Meeting Owner
Status Meeting	To review current project status and escalate any outstanding items	• In-person • WebEx • Phone	• Weekly • Time: TBD	• DHHR and Optum leadership • DHHR and Optum managers • 3rd party partners	Optum account manager
Executive Review Meeting	Review project status with executive stakeholders	• In-person • WebEx • Phone	• Bi-Weekly • Time: TBD	• DHHR and Optum leadership • DHHR and Optum managers	Optum account manager
Change Control Board (CCB) review meeting	Review CR estimates, costs, and implementation schedules; approve CRs for implementation	• In-person • WebEx • Phone	• Weekly • Time: TBD	• DHHR and Optum managers • 3rd party partners	Optum account manager
Issues, Risks, Actions, Assumptions and Decisions (IRAAD) review meeting	To review all WV IES Project risks and issues	• In-person • WebEx • Phone	• Weekly • Time: TBD	• DHHR and Optum managers • 3rd Party Partners	Optum account manager

Communication Event	Objective of Communication	Type of Communication	Frequency and Time of Meeting	Meeting Audience	Meeting Owner
Pre-Implementation meeting	To review implementation readiness	• In-person • WebEx • Phone	• As needed • Time: TBD	• DHHR and Optum managers • DHHR Business operations teams • 3rd party partners	Optum account manager
Deployment Meeting	To review pre-deployment checklist and verify project is ready for deployment	• In-person • WebEx • Phone	• As needed • Time: TBD	• DHHR and Optum managers • 3rd party partners	Optum account manager
Requirements Sessions	Review and approve project requirements	• In-person • WebEx • Phone	• As needed • Time: TBD	• DHHR and Optum managers • 3rd party partners	Respective Optum line of business manager
Governance Meeting	The board has overall responsibility for governance of project management. Confirms separation of stakeholder management and project decision making activities	• In-person • WebEx • Phone	• Weekly • Time: TBD	• DHHR and Optum managers • 3rd party partners	Optum account manager
Deliverable Review Meeting	Review and approve deliverables	• In-person • WebEx • Phone	• As needed • Time: TBD	• DHHR and Optum managers • 3rd party partners	Optum IES deputy account manager/ operations manager
Quality Assurance/Testing Review Meeting	Review and approve testing plan to support quality delivery	• In-person • WebEx • Phone	• As needed • Time: TBD	• DHHR and Optum managers • 3rd party partners	Optum test manager
Operational Readiness Meeting	Confirm readiness of each dimension of the operational environment that will be affected by the implementation process including: the operational process, structure, culture, and infrastructure	• In-person • WebEx • Phone	• As needed • Time: TBD	• DHHR and Optum leadership • DHHR and Optum managers	Optum IES deputy account manager/ operations manager

Communication Event	Objective of Communication	Type of Communication	Frequency and Time of Meeting	Meeting Audience	Meeting Owner
Security and Compliance Meeting	Review security and compliance status for the project	• In-person • WebEx • Phone	• Monthly • Time: TBD	• DHHR and Optum security managers	Optum security project manager/HIPAA officer
Status Report	To provide a high-level summary of current project status and timeline	• Email • SharePoint repository of key project artifacts	• Weekly or daily as needed • Time: TBD	• DHHR and Optum leadership • DHHR and Optum managers • 3rd party partners	Optum account manager
Meeting Minutes	To provide a high-level summary of items discussed/reviewed and decisions made during meetings	• Email • SharePoint repository of key project artifacts	• As needed • Time: TBD	• DHHR and Optum leadership • DHHR and Optum managers • 3rd party partners	Optum account manager
PowerPoint Presentations	To support content to be discussed/ during various meetings	• In-person • WebEx • Phone • Email • SharePoint repository of key project artifacts	• As needed • Time: TBD	• DHHR and Optum leadership • DHHR and Optum managers • 3rd party partners • External stakeholders	DHHR or Optum manager or presenter
Project Newsletters	To provide project highlights, accomplishments, plans	• Email • Hardcopy • Websites • SharePoint repository of key project artifacts	• Quarterly	• DHHR and Optum leadership • DHHR and Optum managers • 3rd party partners • External stakeholders	Optum account manager

West Virginia Integrated Eligibility Solution (IES)

Draft Risk Management Plan

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

Signature _____ **Date** _____

xxxxxxxxx

Optum

Signature _____ **Date** _____

August 8, 2017

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Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 1
1.5 Related Documents 2
2. Optum Risk Management Approach 2
2.1 Identifying Risks 5
2.2 Categorizing Risks 6
2.3 Risk Management Process 6
2.4 Risk Management Tools 7
2.5 Risk Response Options 7
2.6 Areas of Risk Mitigation 8
3. Risk Reporting 8
4. Risk Management Roles and Responsibilities 9
4.1 Deputy Account/Operations Manager Responsibilities 9
4.2 Functional Management Responsibilities 9
4.3 Roles and Responsibilities Summary 10

List of Figures

Figure 1: Optum Risk Management Approach 3
Figure 2: Risk Management Process. 4
Figure 3: Risk Assessment Matrix. 6
Figure 4: Risk Management Process. 7

1. Introduction

1.1 Objective

The purpose of the Risk Management Plan is to define the processes to be used to plan for, identify, analyze, respond to, monitor, and control risk for the West Virginia Integrated Eligibility Solution (WV IES) Project. The Risk Management Plan, a sub-plan of the Project Management Plan (PMP), focuses management attention on major issues that threaten the success of a project. Risk management is accomplished in parallel with financial, schedule, quality and requirements management, and seeks answers to the following questions:

- What concerns exist about the success of the project?
- What are the effects for the overall project if these concerns materialize?
- What can be done to reduce the chances that these concerns will materialize?
- What can be done if these concerns materialize?
- What will Optum management need to do if these concerns materialize?
- What will DHHR need to do if these concerns materialize?

All projects have risks, regardless of their size, nature or contract type. Without a well-defined risk management approach, project team members may deny and avoid the very issues that should receive the most attention. Identifying project risks, developing a plan to avoid or mitigate risks, and developing contingencies can make the difference between project success and failure.

1.2 Plan Scope

The WV IES Risk Management Plan will address the process and procedures for identifying and managing issues that escalate to the status of risk, and the management of issues initially identified as a risk.

1.3 Plan Assumptions

We made the following assumptions when preparing this plan:

- DHHR and other project stakeholders will work together with Optum in managing and mitigating all identified risks.
- The incumbent contractor to DHHR will work in complete cooperation with Optum to facilitate a successful transition of responsibilities to our team and the resolution of any issues that arise.
- It is the responsibility of DHHR to control the interactions between Optum and the incumbent contractor.

1.4 Plan Organization

This Risk Management Plan is organized into the following sections:

- **Introduction (Section 1)** lists the objectives and scope of the Risk Management Plan, assumptions made in developing the plan, describes the plan organization, and identifies related documents.

- **Optum Risk Management Approach (Section 2)** provides an overview of our risk management approach. This includes the risk management steps to be followed, identification of risks, categorizing risks, risk management tools, risk response options, and potential areas of risk mitigation common to most projects.
- **Risk Reporting (Section 3)** explains how we will store and report on identified risks.
- **Risk Management Responsibilities (Section 4)** discusses the responsibilities for risk management across the Optum project organization.

1.5 Related Documents

The Risk Management Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, we will base-line the document and place it under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

Related plans include:

- Issue Management Plan
- Change Management Plan
- Turnover and Closeout Management Plan

2. Optum Risk Management Approach

Projects of the size and scope of the WV IES normally experience risks or issues that must be understood and evaluated for their effect on project objectives. We expect that the project will experience a certain level of risk that we must identify, manage and mitigate. We will document and address risks identified during the course of the project in a direct manner and resolve or mitigate without compromising the success of the project. Figure 1 outlines the elements of our overall risk management process.

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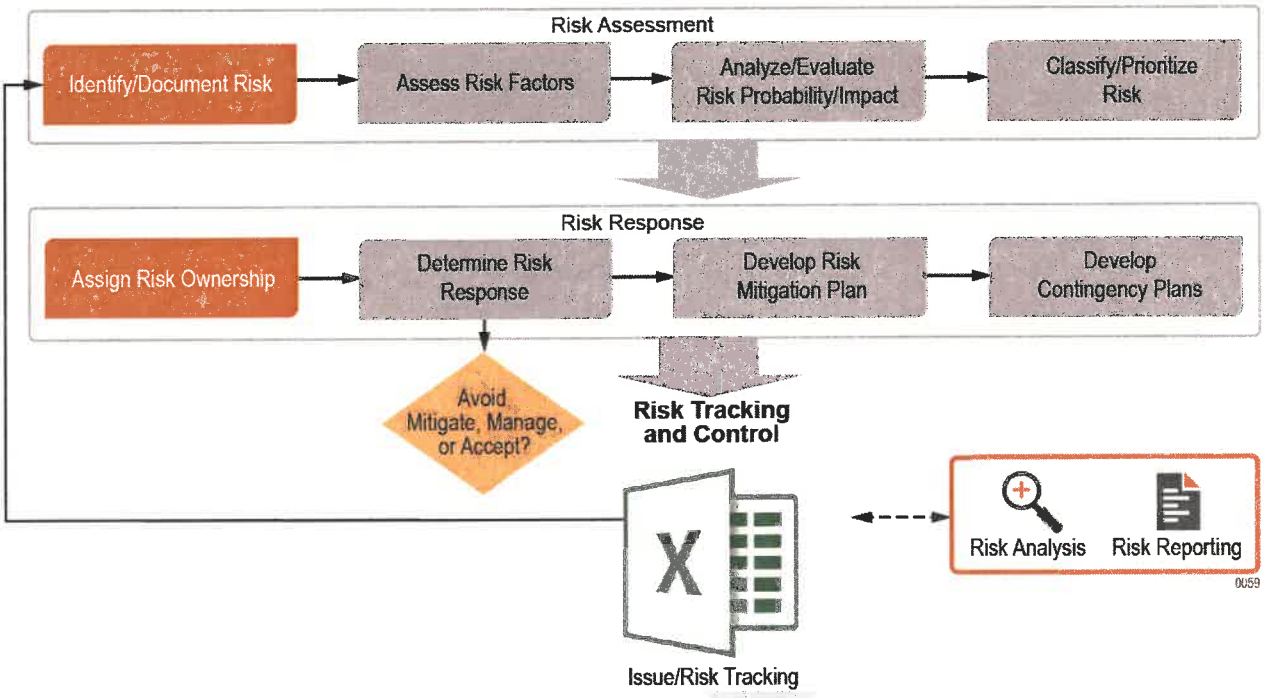


Figure 1: Optum Risk Management Approach.

Our approach requires proactively identifying and assessing risks, assigning them to a responsible owner, resolving or developing a mitigation approach, and then implementation.

By using sound risk management techniques, the WV IES Project team can identify potential problems and issues and provide for contingencies. Risk management addresses the following:

- **Risk:** A threat to project success
- **Risk Probability:** Percent chance that a risk will materialize as a real problem
- **Risk Impact:** The potential effects of a risk on the project, characterized in terms of cost, schedule, and performance
- **Risk avoidance:** Actions to remove a risk (probability = 0)
- **Risk mitigation:** Actions to reduce the risk probability or the risk impact
- **Risk exposure:** The probability times the cost impact
- **Risk contingency:** Actions to resolve the problems when a risk materializes

This Risk Management Plan defines the risk assessment and risk management process for the WV IES Project. Optum will use the Risk Management Plan during the engagement as a standard template and process for identifying and managing risk. Figure 2 depicts the sequence of tasks included in our risk management process.

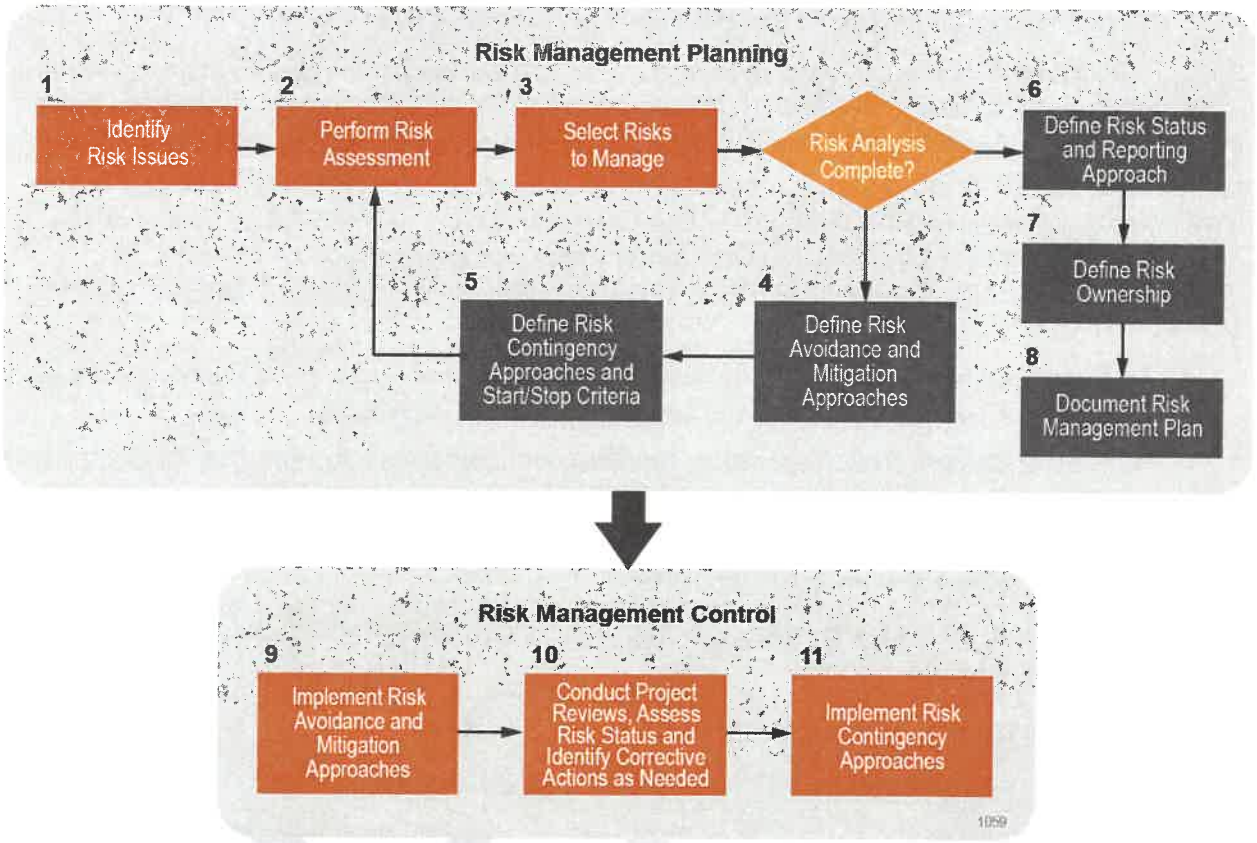


Figure 2: Risk Management Process.
Our risk management process has clearly defined steps to effectively classify, track and manage identified risks through to resolution.

As illustrated in the figure, our Risk Management Process is divided into two areas: risk management planning and risk management control. Risk management planning consists of the following eight tasks:

1. **Identify Risk Issues:** The purpose of this task is to identify the potential risks to the project.
2. **Perform Risk Assessment:** The purpose of this task is to determine the probability of the risk occurring, the impact if it does occur and prioritizing risks.
3. **Select Risks to Manage:** The purpose of this task is to select the risks with the highest impact to verify proper and timely management.
4. **Define Risk Avoidance and Mitigation Approaches:** The purpose of this task is to define ways to reduce the probability of risk occurrence or the impact if the risk occurs.
5. **Define Risk Contingency Approaches and Start/Stop Criteria Definitions:** The purpose of this task is to define the actions to be taken when a risk materializes.
6. **Define Risk Status and Reporting Approach:** The purpose of this task is to determine how risk data will be collected and reported.

7. **Define Risk Ownership:** The purpose of this task is to define those people responsible for managing risk activities.
8. **Document Risk Management Plan:** The purpose of this task is to document a formal Risk Management Plan, if required. The need for a formal plan is usually dependent upon the size and scope of the identified risk, and its level of impact.

Steps one through three are initially performed in sequence. Steps four and five are performed in parallel after step three, with a return to step two to reevaluate the impact of changes. When the iteration of steps three, four, and five is complete then steps six, seven, and eight are completed in sequence.

Risk management control starts with the implementation of any risk avoidance, mitigation or contingency activities. Risk management control generally does not occur until risk management planning is completed. The tasks accomplished during risk management control include:

- **Implementation of Risk Avoidance/Mitigation Approaches**: The purpose of this task is to implement risk mitigation and avoidance actions as needed.
- **Project Reviews, Risk Reporting, Review and Corrective Action**: The purpose of this task is to review risk status on a periodic basis and update risk plans.
- **Implementation of Risk Contingency Plans**: The purpose of this task is to implement risk contingency actions as appropriate.

A well-documented, step-by-step approach to risk management allows all identified risks to be effectively managed and controlled.

2.1 Identifying Risks

Project risks can be identified through a number of venues, including:

- Project monitoring
- Informal communications between management and staff
- Regular meetings among Optum technical staff members
- Regular management meetings
- Software testing and review
- State-initiated issue notification
- Subcontractor-initiated issue notification
- Project review meetings with the Department
- Optum internal project review meetings
- Quality assurance reviews
- Phase/build reviews
- Subcontractor communications, reviews, and meetings
- Review of subcontractor service level agreements

We will encourage team members, management, and stakeholders to be proactive about informing the team of potential risks. We will reinforce that all project team members are in a position to identify and bring forth risks that may affect the WV IES Project.

2.2 Categorizing Risks

When we have identified a set of non-redundant risks, each will be assessed in terms of its likelihood and consequence:

- Likelihood is ranked as Very High, High, Nominal, Low, or Very Low
- Consequences are ranked as Very Severe, Severe, Nominal, Low, or Very Low

This combination of likelihood and consequence positions each risk into one of three categories: 1) Most Important Risks, 2) Very Important Risks, or 3) Important Risks, as shown in Figure 3.

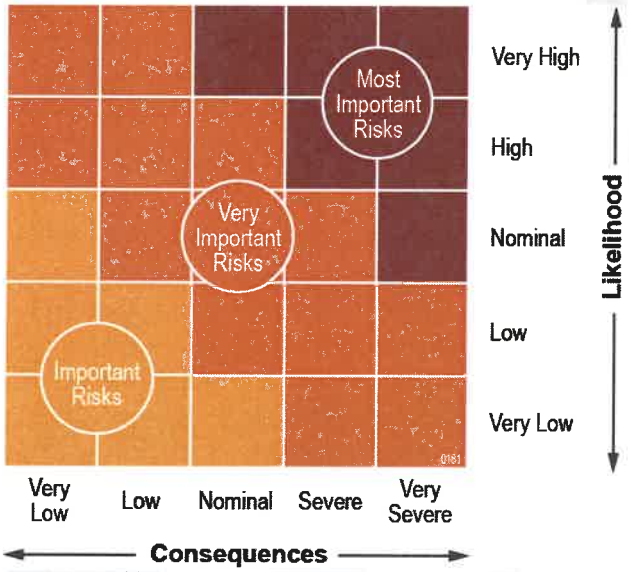


Figure 3: Risk Assessment Matrix.
Each risk will be assessed in terms of its likelihood and consequence.

2.3 Risk Management Process

We will document identified risks, address, and resolve or mitigate them so that project success is not compromised.

The owner of each risk will track the status of that risk, update the risk status weekly, and inform the manager/team lead of a change in status as it happens. The Optum account manager and DHHR project manager will review the status of each risk at the weekly Issues, Risks, Actions, Assumptions and Decisions (IRAAD) review meeting with key stakeholders and take necessary action.

The risk tracking and reporting process begins by identifying and producing a list of potential project risks. Risk assessment identifies risk probability and impact. Risk assessment may be hierarchical, depending on the size of the project and total system solution. Low-level risks feed upward and must be monitored in parallel with the total solution. Management experience and lessons learned from other projects commonly serve to effectively assess risk probability. Impact estimates generally require in-depth analysis, because specific quantification is required.

After risk assessment, the candidate risks are filtered to include only those that have a moderate to high combination of likelihood and consequence. Optum will assign risk management responsibility for identified risks and create a risk management strategy. For each significant accepted risk, we will develop appropriate risk mitigation strategies to limit the project impact.

2.4 Risk Management Tools

Optum will use an Issue/Risk tracking log maintained in an excel spreadsheet to track risks and the associated resolutions. We will store a copy of the Issue/Risk Tracking Log on the DHHR SharePoint repository where it can be accessed by authorized DHHR or Optum personnel. We will work with you to finalize the template; however, we suggest it contain the following comprehensive information:

- ID #
- Status
- Priority
- Category
- Date opened
- Title
- State owner
- Optum owner
- Assigned to
- Description
- Resolution plan
- Impact
- Risk probability
- Target resolution date
- Date closed
- Risk response
- Closure details
- Associated change request (If applicable)

In addition to the Issue/Risk Tracking Log, we will use an industry standard Risk Priority Number (RPN)-based risk model used for assessment and mitigation of all major identified risks. This model will provide objective evaluation and classification of all risks, with a numerical score assigned to each risk based on the project impact and probability of occurrence. Each risk will also be measured against its influence on project timelines and costs, with timely updates on key risks reported to all stakeholders through comprehensive reporting mechanisms.

Figure 4 illustrates the risk management process using the RPN model.

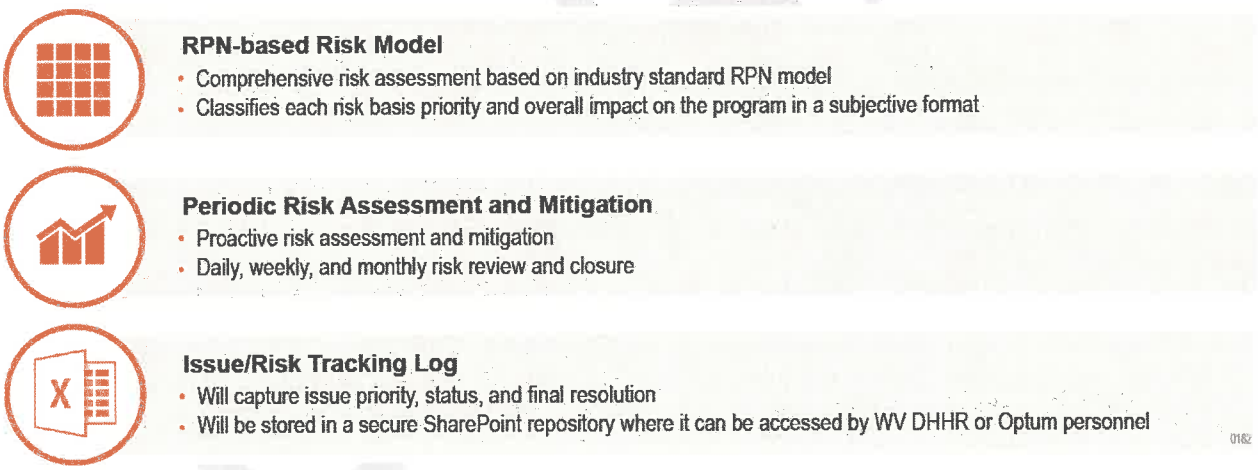


Figure 4: Risk Management Process.
The Optum approach uses a proven risk model to identify risk, which is managed and communicated through the IRAAD tool.

2.5 Risk Response Options

The standard program risk response options Optum follows for risk management are:

- **Accept:** Accepting the risk means that despite the probability of occurring and the associated impact to the project, there will be no actions to mitigate the risk. Should the risk occur, cost, schedule, scope, and quality impacts will be accepted.
- **Avoid:** Changing the project to avoid the risk. For example, the project scope or objectives can be changed to avoid a risk.

- **Mitigate:** Taking steps to reduce the probability and/or impact of a risk. Taking early action and monitoring the risk response closely can mitigate the risk. This option includes identifying a contingency plan.
- **Transfer:** Shifting the impact of a risk to a third party, such as a vendor or subcontractor. This does not eliminate the risk, but transfers some degree of responsibility and some potential for negative impact.

The risk response rules developed in conjunction with the risk severity determination will be followed when applicable. When a response option is not specifically determined by risk severity, the risk owner will assign a response option. Assigned response options will be approved by DHHR and Optum management.

2.6 Areas of Risk Mitigation

Based on our experience in prior projects, Optum expects risks may occur in the following areas:

- **Infrastructure:** Risks include those associated with complexity in sharing responsibilities for managing infrastructure. This can be mitigated through use of a responsibility matrix.
- **Implementation:** Risks include potential for sign-off delays, procurement delays, scope changes, user unavailability and data accuracy. We will address mitigation for these risks during implementation by identifying strategies that are mutually accepted by Optum and DHHR.
- **Testing:** Risks include dependencies on DHHR or vendors, which may affect the timeline. Mitigation strategy will be based on reviews of those dependencies during kickoff to agree on strategies.
- **Change Management:** Risks include disruption to the WV IES, business or employee morale in the event of change management is not owned or handled properly. This will be mitigated by strict adherence to the Change Management Plan and close coordination with DHHR.
- **Resource Management:** Risks include potential of resource attrition or turnover with project stakeholders. This falls outside the complete control of Optum, partner vendors, or DHHR; however, contingencies can be put in place to warrant minimal disruption.
- **Operations and Maintenance:** Risks include time to approve change tickets, which may delay delivery of the solution to users. This can be mitigated by defining mutually agreed turnaround during the planning and initiation phase.
- **Training:** Risks include potential unavailability of both logistical resources (i.e., facilities and equipment) and DHHR resources needed to conduct both training and knowledge transfer. These will be mitigated through close collaboration between DHHR and Optum during project implementation.

3. Risk Reporting

Optum will use the Issue/Risk Tracking Log maintained in an excel spreadsheet to track risks and the associated responses and resolutions. We will store the Issue/Risk Tracking Log on the DHHR SharePoint repository where it can be accessed by authorized DHHR and Optum

personnel. Risk status will be reviewed in weekly IRAAD review meetings so that DHHR and Optum stakeholders have a common understanding of risks that may impact the project.

To verify transparency and communication, risks will also be summarized and reported on at a high level in the Weekly and Monthly Project Status Reports.

4. Risk Management Roles and Responsibilities

The Optum deputy account/operations manager will be responsible for leading the risk management effort.

4.1 Deputy Account/Operations Manager Responsibilities

During project planning the Optum deputy account/operations manager will:

- Determine the general approach to risk management, including the allocation of risk management responsibilities
- Define a risk status and reporting approach
- Approve the Risk Management Plan

Throughout the project life cycle the Optum deputy account/operations manager will:

- Approve risks to be included in risk management
- Assign an owner for each risk
- Work with the project team (client and third parties) to identify probabilities and impacts
- Review all risk incidents, avoidance, mitigation and contingency actions in weekly IRAAD review meetings
- Manage the identification and implementation of corrective actions associated with risks
- Evaluate the effectiveness for current risk avoidance and/or mitigation activities
- Approve implementation of contingency plans
- Approve the addition of risks to the Issue/Risk Tracking Log

4.2 Functional Management Responsibilities

Optum and DHHR functional project managers will be responsible for performing the following tasks throughout the project life cycle:

- Identify risks within their respective discipline
- Estimate risk probabilities and impacts
- Assemble the risk data, prioritize risks, and work with the respective project manager to document the risk for risk management
- Prioritize risks and recommendations of activities for risk management
- Identify risk avoidance and/or mitigation approaches
- Identify risk contingency plans
- Implement risk avoidance and/or mitigation plans
- Report risk statuses
- Evaluate the effectiveness of current avoidance, mitigation and contingency actions

- Collect risk status, update the Issue/Risk Tracking Log, develop risk reports
- Recommend the implementation of contingency plans
- Implement risk contingency plans as appropriate
- Identify new risks

4.3 Roles and Responsibilities Summary

The following table summarizes the roles and responsibilities from the discussion above.

Roles	Responsibilities
Optum deputy account/operations manager	• Determine the general approach to risk management, including the allocation of risk management responsibilities • Define a risk status and reporting approach • Approve the Risk Management Plan • Approve risks to be included in risk management • Assign an owner for each risk • Work with the project team (client and third parties) to identify probabilities and impacts • Review all risk incidents, avoidance, mitigation and contingency actions in weekly IRAAD review meetings • Manage the identification and implementation of corrective actions associated with risks • Evaluate the effectiveness for current risk avoidance and/or mitigation activities • Approve implementation of contingency plans • Approve the addition of risks to the Issue/Risk Tracking Log
Optum and DHHR functional project managers **Project stakeholders**	• Identify risks within their respective discipline • Estimate risk probabilities and impacts • Assemble the risk data, prioritize risks, and document the risk for risk management • Prioritize risks and recommendations of activities for risk management • Identify risk avoidance and/or mitigation approaches • Identify risk contingency plans • Implement risk avoidance and/or mitigation plans • Report risk statuses • Evaluate the effectiveness of current avoidance, mitigation and contingency actions • Collect risk status, update the Issue/Risk Tracking Log, develop risk reports • Recommend the implementation of contingency plans • Implement risk contingency plans as appropriate • Identify new risks
Optum and DHHR project managers **DHHR executive stakeholders**	• Approve any risk/contingency funding when required • Agree to approach for additions to the Issue/Risk Tracking Log, approaches to mitigating risk, escalation paths and risk closure • Direct next steps for any escalated risks

West Virginia Integrated Eligibility Solution (IES)

Draft Issue Management Plan

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

_____ _____

Signature **Date**

xxxxxxxxx

Optum

_____ _____

Signature **Date**

August 8, 2017
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Revision History

Version	Date	Author	Summary of Changes
1.1	8/8/2017	Optum	Initial draft release

Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.1. Plan Assumptions 1
1.2. Plan Organization 1
1.3. Related Documents 2
2. Issue Management Process 2
2.1 Process Rules 4
3. Roles and Responsibilities 4
4. Identification 5
4.1 Capture 5
4.2 Prioritization 5
4.3 Corrective Action Plan 6
5. Tracking 6
5.1 Issue Tracking Tool 7
6. Reporting 7
7. Escalation 7
8. Resolution 8

List of Figures

Figure 1: Integration with Other Processes 2
Figure 2: Issue Resolution Process Flow 3
Figure 3: Issue Escalation Process 8

1. Introduction

The Issue Management Plan describes how Optum identifies and resolves issues for the West Virginia Integrated Eligibility Solution (WV IES) Project. It defines the roles and responsibilities for Optum and DHHR to identify, track and resolve issues that occur during our performance of contract requirements. Our staff will maintain, update and comply with the Issue Management Plan throughout the life of the project. We will submit issue resolution procedures to you for approval before we include them in the plan and implement them. We understand DHHR has the right to approve our Issue Management Plan and procedures prior to implementation.

1.1 Objective

The Issue Management Plan provides a framework for managing and coordinating issues that Optum and DHHR identify during the WV IES Project. This plan will help us:

- Validate that we identify, evaluate and assign issues for resolution
- Verify that we use the change control process for issues that affect project scope, costs or schedule
- Confirm that we document and communicate issues appropriately to stakeholders in a timely manner

1.2 Plan Scope

The West Virginia Issue Management Plan addresses the approach that Optum will use throughout the project lifecycle to manage issues that arise pertaining to the WV IES.

1.1. Plan Assumptions

Not applicable.

1.2. Plan Organization

This Issue Management Plan is organized into the following sections:

- **Introduction (Section 1)** lists the objectives and scope of the plan and describes the plan organization.
- **Issue Management Process (Section 2)** outlines the issue management process flow and rules.
- **Roles and Responsibilities (Section 3)** documents DHHR and Optum roles and tasks in the resolution process.
- **Identification (Section 4)** describes how we determine if an issue exists.
- **Tracking (Section 5)** details how we keep a record of current and closed issues.
- **Reporting (Section 6)** describes the process for ongoing issue monitoring and communication.
- **Escalation (Section 7)** discusses when to elevate management of the issue.
- **Resolution (Section 8)** outlines the step for closing out an issue.

1.3. Related Documents

The Issue Management Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, we will base-line the document and place it under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

Related plans include:

- Risk Management Plan
- Change Management Plan

2. Issue Management Process

As Figure 1 illustrates, issue management is closely tied to other processes in the WV IES Project management approach.

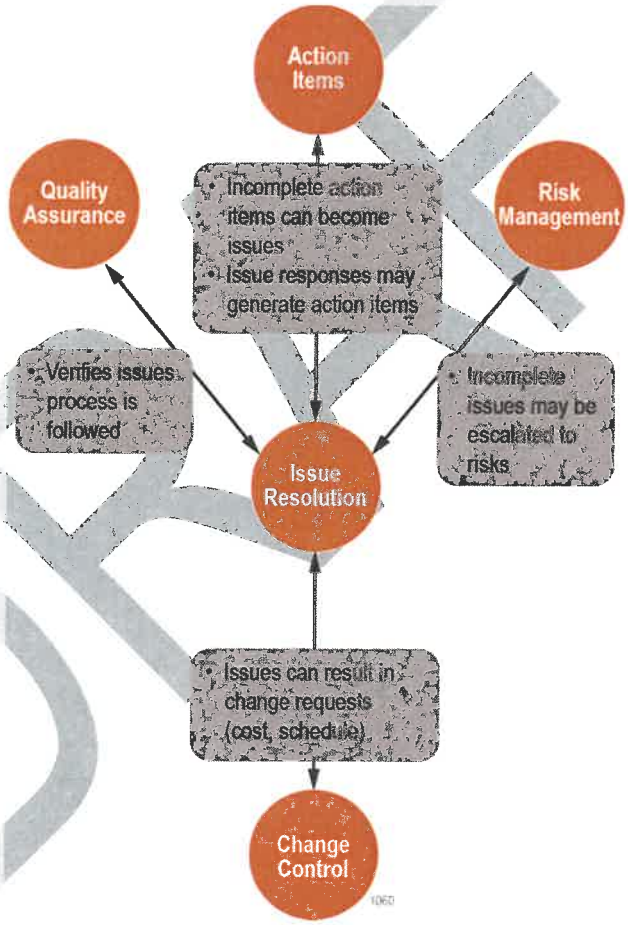


Figure 1: Integration with Other Processes.
Issues in a project can result from—and affect—other key processes in our project management approach.

We will use an Issue/Risk Tracking Log maintained in an Excel spreadsheet to track issues. We will store this on the DHHR SharePoint repository where it can be accessed by authorized DHHR and Optum personnel. We will work with you to finalize the template; however, we suggest it contain the following comprehensive information related to issues:

- ID #
- Status
- Priority
- Category
- Date opened
- Title
- State owner
- Optum owner
- Assigned to
- Description
- Resolution plan
- Impact
- Risk probability
- Target resolution date
- Date closed
- Risk response
- Closure details
- Associated change request (If applicable)

The workflow in Figure 2 below depicts the various steps that are a part of the issue resolution process.

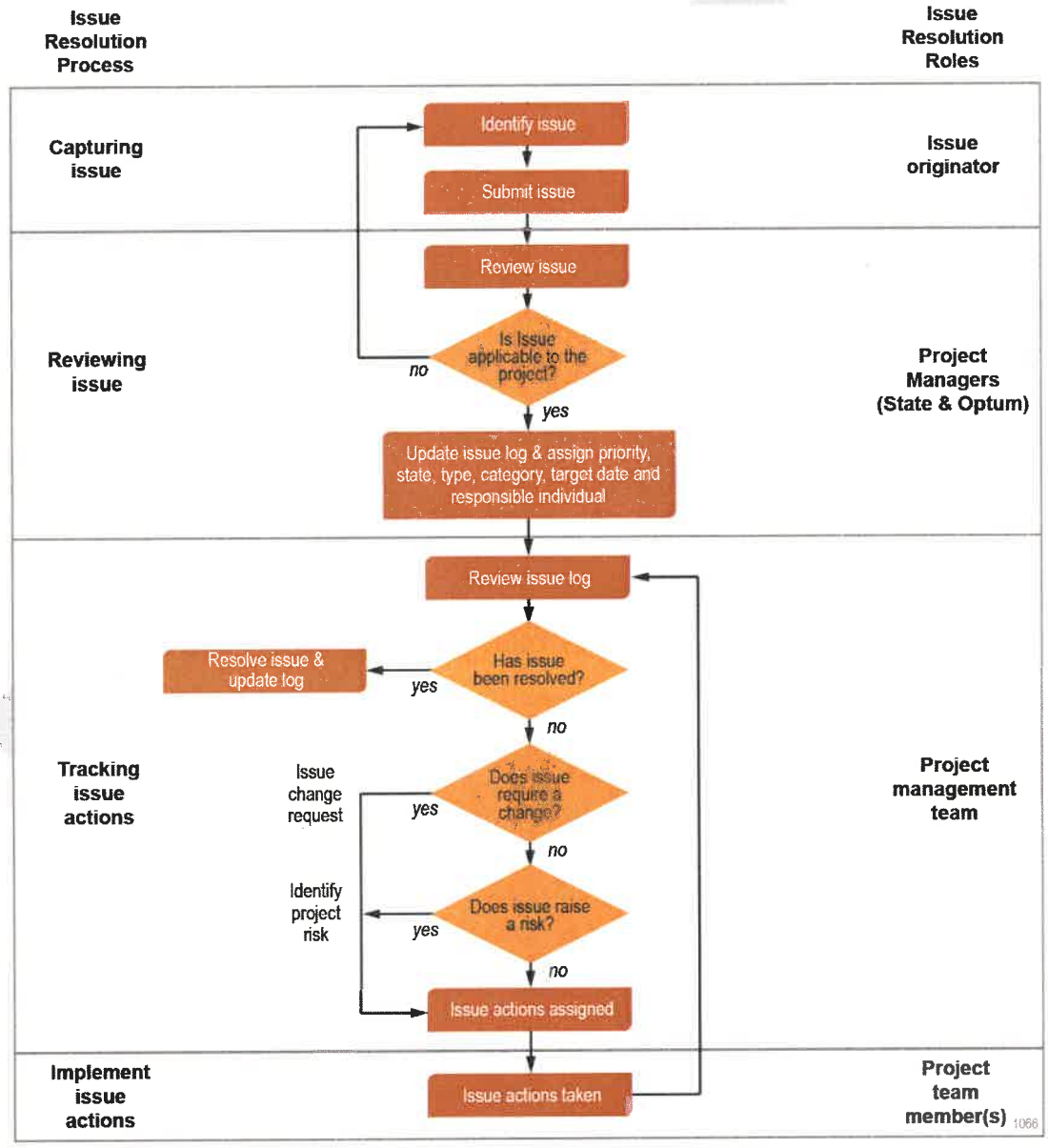


Figure 2: Issue Resolution Process Flow.
Optum will follow sequential steps beginning with issue identification to resolve project issues.

2.1 Process Rules

We will implement the following issue processing rules on the WV IES Project.

- The issue is reported to the DHHR project manager and/or to the Optum deputy account/operations manager. They work together to define the issue and assign it a priority, status, type and category. The State and Optum managers coordinate issue-related activities from reporting, assignment, and corrective action through to issue closure.
- The DHHR and Optum managers assign an issue to a project team member (individual or work group representative) for impact analysis and recommendations.
- Open issues will be reviewed and discussed during a weekly Issues, Risks, Actions, Assumptions and Decisions (IRAAD) review meeting attended by all relevant project stakeholders. Team members will be advised of any impact analysis assignments that have been made. Updates will be made to the issue log as appropriate, and decisions may include the closing of an issue or the creation of a new issue. During the meeting, issues are reviewed according to their priority (please see Proposal Section 4.2—Prioritization):

  1 – Urgent **2 – High** **3 – Medium** **4 – Low**

- During the IRAAD review meeting project team members who are assigned to an issue will provide status updates on actions taken to resolve the issue. The updates will follow the agreed upon frequency based on priority. Team members will be responsible for identifying the various documentation assets that are impacted by the issue noted in the Issue/Risk Tracking Log. They will also document the actions taken to update those related documents.

Issue resolution targets will be based on the priority as described above. Urgent issues will be worked immediately until they are resolved.

3. Roles and Responsibilities

Any DHHR or Optum stakeholder involved with the project can raise an issue. The following table identifies each role in the issue resolution process and describes the associated responsibilities.

Role	Responsibilities
Issue originator or owner	• Identifies an issue and communicates it to the appropriate project manager as clearly and completely as possible • Participates in issue review process • If known, recommends individual responsible for analysis and resolution • Records actions taken toward resolution in Issue/Risk Tracking Log • Verifies that the issue resolution provided is satisfactory • Collaborates with decision-makers, as appropriate, to determine issue closure • Participates in issue escalations

Role	Responsibilities
Project managers (Optum and State)	• Assigns and clarifies issue with issue owner • Assigns issue status, priority, type and category with owner concurrence • Records issue in Issue/Risk Tracking Log • Maintains and manages issue in Issue/Risk Tracking Log • Updates project documentation resulting from issue resolution as needed • Leads issue review and approval process during weekly IRAAD review meetings • Participates in issue escalations • Determines when an issue can be closed
Project team member(s)	• Individual or work group assigned to the issue for resolution • Researches and clarifies issue as needed • Identifies and documents ranges of alternative solutions • Makes recommendation and provides supporting rationale • Estimates time and resources required to resolve issues • Identifies additional tasks required and how the issue fits into project schedule • Provides resolution specifications as required • Keeps issue owner informed of actions taken and resolution status • Participates in issue review process during weekly IRAAD review meetings • Participates in issue escalations

4. Identification

Issue identification occurs when an individual notices a discrepancy between how things are and how they should be. Any project team member can raise an issue at any time. Issues raised will be brought to the attention of the project managers for consideration and/or entry into the Issue/Risk Tracking Log. Issues can result from insufficient information, miscommunication or a risk event. Existing risks can become issues if a negative impact cannot be mitigated. While an issue cannot become a risk, the failure to resolve an issue can introduce a new risk into the effort. An issue may also result in a need for a change in some aspect of the project. If a change is required, the associated process described in the WV IES Change Management Plan will apply.

4.1 Capture

The key to fully capturing an issue is to document information from both perspectives: the way things are and the way things should be. Documenting the issue makes sure that it receives the attention required for resolution. When individuals and groups agree that an issue exists, it can be addressed and managed. This agreement is critical for making sure that efforts are spent on valid issues that warrant attention. Optum will be responsible for the initial documentation of an issue. For each issue resolved during the IRAAD review meeting, the Issue/Risk Tracking Log will be updated and the final resolution noted.

4.2 Prioritization

Optum will work with DHHR to define issue priority designations. This includes identifying what criteria constitutes Urgent, High, Medium or Low; required reviewer groups; target resolution turnaround times; follow-up frequency; and other parameters DHHR requires defined. Target

resolution time frames for issues are assigned according to their priority. If the issue cannot be resolved during the initial time frame, we will work with you to reassess issue priority. If a low-priority issue becomes high priority, we may need to adjust priorities if the issue effects change because of unforeseen factors.

4.3 Corrective Action Plan

If needed to resolve the issue, Optum will create a Corrective Action Plan (CAP). CAP details will be recorded in and managed through the Issue/Risk Tracking Log. Along with the detailed description and ownership, the CAP will provide the proposed corrective actions for each task required. The CAP includes, as applicable:

- Description of all tasks and completion schedules
- Dependencies between tasks, if any
- Resources required
- Allocation of responsibility, including the individual responsible for overall CAP completion and the individuals responsible for each task
- Plans for monitoring, tracking and reporting progress towards completing the CAP
- Deliverables, measures and indicators to provide objective evidence that the task is successfully completed
- Process for verifying completion and closure of the tasks
- Description of the follow-up effectiveness review conducted to verify successful resolution of the tasks

The following three steps occur after initiating a CAP:

- **Accept or Reject:** DHHR will review the CAP tasks provided by Optum and accept, conditionally accept with required changes, or reject the CAP.
- **Execute:** We will execute the CAP by completing and implementing the tasks. We will track implementation and completion status and communicate to DHHR. This will facilitate timely and adequate resolution of each issue. This will be done according to the accepted plans for monitoring, tracking and reporting progress towards completing the CAP.
- **Closeout:** DHHR will evaluate the outcome of each task and the overall CAP to make a determination whether these outcomes are acceptable or unacceptable. In the event of an unacceptable outcome or recurrence, WV DHHR may continue all or part of the CAP, initiate a new CAP, or institute other tasks according to contract provisions.

5. Tracking

When an issue is clearly documented, we can communicate its status with the same understanding to everyone involved in the resolution. We will document and manage issues with the Issue/Risk Tracking Log. This log will help us monitor and determine that the State and Optum project management team members quickly and thoroughly address issues according to their priority and urgency. Except for critical items that we will escalate immediately, we will track and report on issues in the weekly IRAAD review meeting. A high-level summary of issues will be included in the Weekly Project Status Report as directed by DHHR and discussed as necessary during the Weekly Project Status Meetings.

5.1 Issue Tracking Tool

We will use the Issue/Risk Tracking Log to track issues and capture related information for the WV IES Project. It helps us document issues, the issue resolution progress, and project impacts resulting from the issue.

This Issue/Risk Tracking Log will provide a central repository of identified issues, risks, actions, assumptions and decisions, as well as their current status. The Issue/Risk Tracking Log will be accessible on the DHHR SharePoint site for authorized DHHR and Optum personnel. Using the Issue/Risk Tracking Log will allow DHHR and Optum leadership to have a common understanding of project issues that may impact the project scope, schedule or costs.

6. Reporting

Reporting is critical to the issue resolution process. It provides visibility to management that in turn helps us keep the resolution process for each issue on track. We will document and report actions against issues to keep DHHR and Optum informed on the progress of issue resolution and next steps.

The Optum deputy account/operations manager will manage issues throughout the project lifecycle. This includes determining whether an item reported is an issue, risk, or change request. The priority, type and category of issues will be assessed and adjusted as needed. We will report open issues during the weekly IRAAD review meetings and DHHR and Optum management will review those issues. These will also be summarized and discussed as required in the weekly project status reports and meetings.

DHHR and Optum project management will review high priority issues, of any type or category, more often than lower priority issues. Project needs will determine the frequency of review. Review participants will be determined by the priority and type of issue. For urgent and high priority issues, the DHHR project manager and the Optum deputy account/operations manager will determine if DHHR and Optum executive sponsors should be notified and engaged.

The project managers use reported actions executed against an issue to monitor progress toward issue resolution. The reported information is also useful for historical purposes and lessons learned.

Optum will use the Issue/Risk Tracking Log as the source for metrics regarding issues, risks, actions, assumptions and decisions, and will include:

- Number of priority items
- Late artifacts
- Upcoming due dates

Follow-up is critical for effective issue resolution. Optum and State project managers will regularly review issue CAPs and progress to make sure we track them through to resolution. If progress toward issue resolution does not occur in a timely manner, the issue will be escalated to the Optum account manager and deputy account/operations manager and the State project manager, or executive sponsors, for action.

7. Escalation

Issues may need to be escalated for different reasons. Individuals and groups may disagree on whether an issue exists. They may also disagree on the time it should take to resolve an issue or on the resolution recommended. The escalation process identifies the individuals to contact

and the sequence for contacting these individuals to resolve issues that have been escalated. If the originator or owner of an issue is not satisfied with the issue management, attention to resolution, or resolution provided, the following escalation process may be employed.

- The issue owner will gather the issue-related documentation and clearly document the reason for the escalation. The DHHR and Optum staff responsible for the issue will work together to update issue-related documentation. They will also validate that they have executed any necessary corrective action before engaging management in an escalation.
- The information will be forwarded to the Optum deputy account/operations manager, who will collaborate with the DHHR project manager as needed. They will work together to reconcile any differences.
- If the Optum and DHHR project managers are unable to reconcile differences, they will forward the information to the designated DHHR and Optum executive sponsors in a timely manner for review. The group will work together to resolve the differences.
- The Optum deputy account/operations manager will document the result of the escalation and maintain this information in Issue/Risk Tracking Log.

While most project issues are resolved in a timely manner, some issues require immediate resolution. Others may remain unresolved for a long period of time. Unresolved issues will be escalated based on criticality of need or elapsed time since initial notification. For these types of issues, the escalation process helps promote resolution and closure. Figure 3 shows our recommended escalation process.

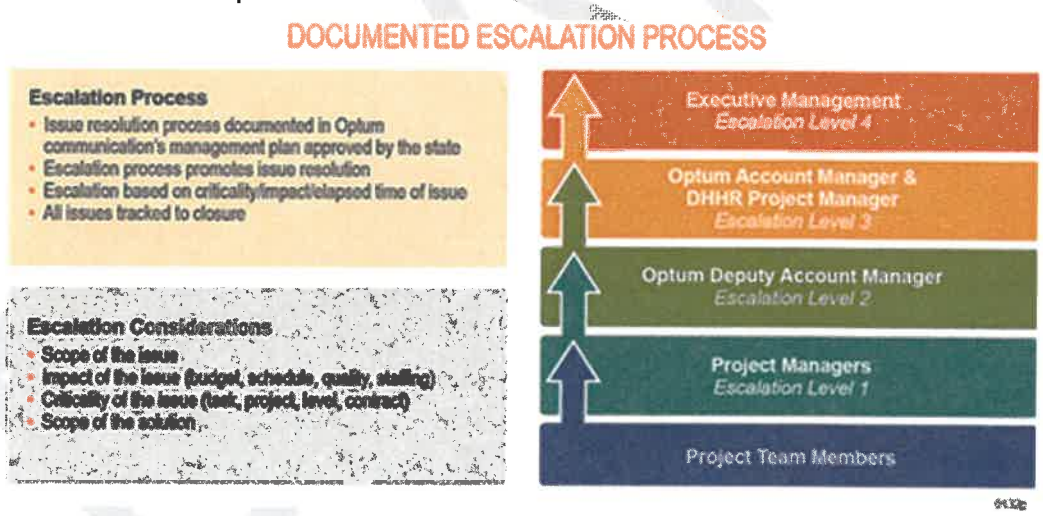


Figure 3: Issue Escalation Process.
Details process steps and key stakeholders for escalating issues.

8. Resolution

After an issue is resolved, the Optum deputy account/operations manager will prepare a closure statement, notify the originator and the DHHR project manager, and change the issue status to closed in the Issue/Risk Tracking Log. We will maintain the closure statement for back-up documentation. After issue resolution is completed, we will evaluate the issue record for use in the development of lessons learned to prevent issues that may affect the WV IES Project or similar projects in the future.

West Virginia Integrated Eligibility Solution (IES)

Draft Change Management Plan

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

Signature _____ **Date** _____

xxxxxxxxx

Optum

Signature _____ **Date** _____

August 8, 2017
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DRAFT

Revision History

Version	Date	Author	Summary of Changes
1.1	8/8/2017	Optum	Initial draft release

Table of Contents

1. Introduction 1
1.1 Objective 2
1.2 Plan Scope 2
1.3 Plan Assumptions 2
1.4 Plan Organization 2
1.5 Related Documents 3
2. Roles and Responsibilities 3
3. Control Process and Tools 4
4. Managing a Change Request 6
4.1 Change Request Form 7
4.2 Change Evaluation Criteria 8
5. Tracking and Change Control Board Review 9
6. Monitoring 10

List of Figures

Figure 1: Change Control Process 1
Figure 2: Change Control Flow Chart. 5
Figure 3: Change Request Form. 8

1. Introduction

The Change Management Plan for the West Virginia Integrated Eligibility Solution (WV IES) Project outlines the process for identifying, preparing, validating, monitoring, approving and reviewing change requests.

Our change management process aligns with State requirements and the Project Management Institute (PMI) Project Management Body of Knowledge (PMBOK). It defines the procedures by which the WV IES Project and product scope can be changed, and includes the documentation, tracking tools, and approval levels necessary for authorizing project change requests.

Change is a common occurrence throughout the project life cycle, especially projects like the WV IES that are subject to evolving population needs, federal regulations, and business requirements. Experience has taught us that a strong approach and commitment to change management is critical because uncontrolled change can wreak havoc on project schedules, costs, service quality, and client satisfaction.

Figure 1 provides an overview of the WV IES change control process.

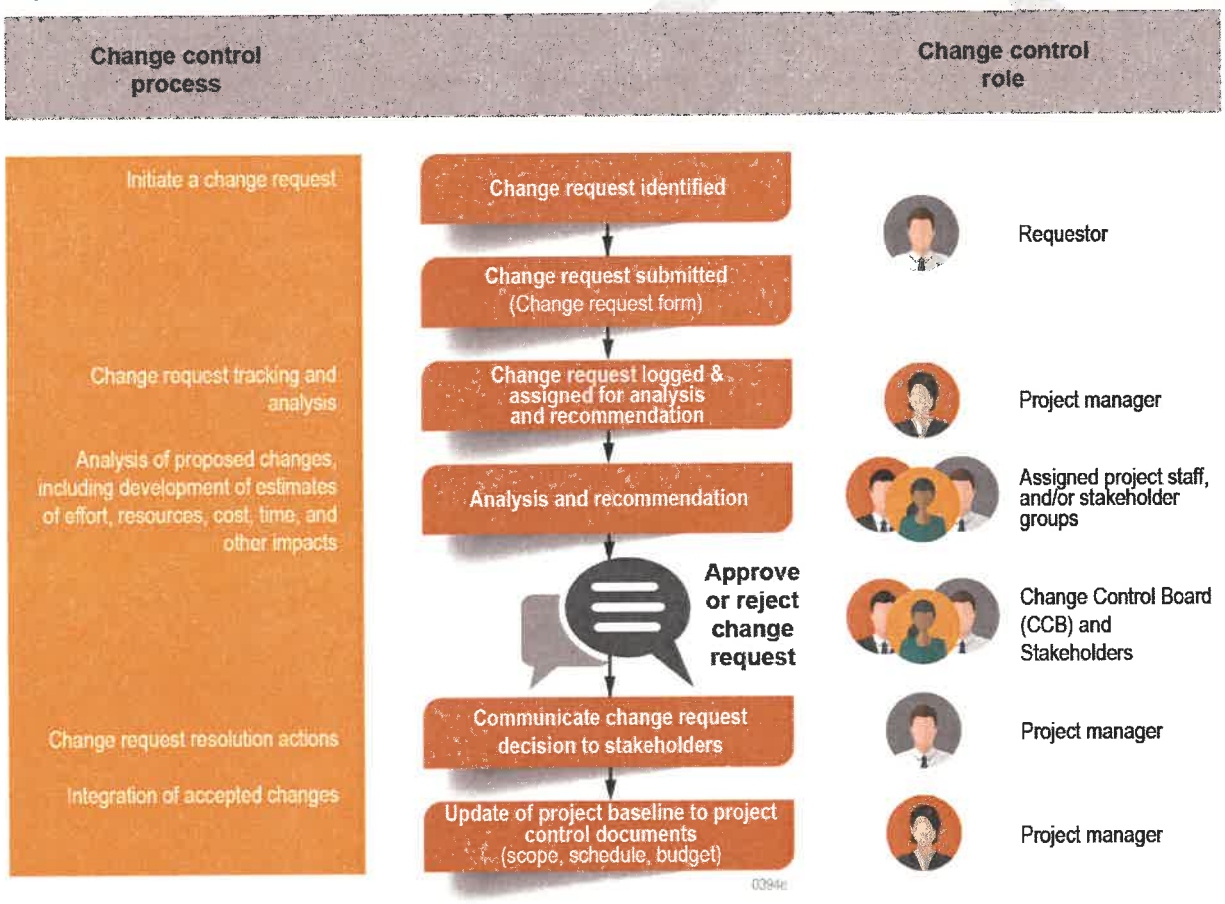


Figure 1: Change Control Process.

We will collaborate with you so that our change control process aligns with the State's requirements. Throughout the life of the contract, we will adhere to the change control process.

1.1 Objective

This Change Management Plan provides an overall framework for managing and coordinating change requests to the WV IES in a coordinated manner. This plan will:

- Define the change control process in detail
- Discuss how the State and Optum will interface and work together to initiate, track, prioritize and authorize Change Requests
- Describe the tools we will use to track and communicate change requests
- Address the method for documenting various types of change requests from the project sources authorized to request change
- Outline the notifications and authorizations required before a change will be placed in production

Our objective for change control is simple—to effectively manage and control project scope and as a result, contain project costs and schedule.

1.2 Plan Scope

The West Virginia Change Management Plan addresses the approach that Optum will use throughout the project lifecycle to manage Change Requests pertaining to the WV IES. Changes to configuration items contained in the Configuration Management Database (CMDB) will be processed and managed per the Configuration Management Plan.

1.3 Plan Assumptions

Not applicable.

1.4 Plan Organization

This Change Management Plan is organized into the following sections:

- **Introduction (Section 1):** lists the objectives and scope of the plan and describes the plan organization.
- **Roles and Responsibilities (Section 2):** documents DHHR and Optum roles and tasks in the change control process.
- **Control Process and Tools (Section 3):** outlines the change control process flow and management tools used to track and report Change Requests.
- **Managing a Change Request (Section 4):** describes the Change Request form procedure.
- **Tracking and Change Control Board Review (Section 5):** provides an overview of the approach used for following the Change Request from initiation through completion.
- **Monitoring (Section 6):** describes how Optum monitors the change, for issues or problems, after its implementation.

1.5 Related Documents

The Change Management Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, the document is base-lined and placed under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

Related plans include:

- Risk Management Plan
- Issue Management Plan
- Configuration Management Plan

2. Roles and Responsibilities

In the change control process, each Change Request is uniquely identified to promote an orderly process for evaluating and implementing change requests; and to maintain traceability and accountability for change requests. As such, roles defined within the process must complete their responsibilities in order to move the Change Request through the process efficiently and effectively.

The following table identifies each role in the change control process along with a description of the associated responsibilities.

Role	Responsibilities
Change Request requestor	• Develops Change Request using the standard template to document mandatory elements • Routes Change Request through any required approval process prior to submission
Optum change control manager	• Receives and evaluates Change Request • Enters valid Change Request into the Change Control Tracking Log; assigns a priority code • Updates related material as needed • Assigns Change Request for impact assessment activities • Monitors and manages the Change Control Tracking Log • Identifies resources needed to address Change Request • Includes Change Request data in status reports and status meetings • Discusses status updates and escalations with the State project manager • Assigns and manages follow-on activities resulting from Change Request
Project team members	• Leads or participates in Change Request activities as needed • If acting as lead: – Consults with the appropriate technical contacts and involves appropriate parties in Change Request analysis and prioritization – Provides routine updates to the Change Control Manager – Documents Change Request progress and resolution activities – Identifies follow-on activities as part of the resolution

Role	Responsibilities
Change Control Board (CCB)	• Hosts weekly CCB Review Meetings to review Change Requests • Participates in change control activities • Provides approval for proposed Change Requests as appropriate
IES Stakeholders	• Participates in change control activities • Provides approval for proposed Change Requests as appropriate
State project manager	If the Change Request has been determined to be a significant issue, it will be escalated to this level • Resolves the "accept or reject" decision regarding the proposed Change Request • Communicates follow-on activities to the Optum change control manager

3. Control Process and Tools

Proposed changes to business processes, system software, application software and system hardware will be subject to the approved change control process. As is customary for change control processes, we will evaluate and analyze proposed change requests, developing estimates of effort, resources, cost, time and other impacting factors, as applicable. This information is critical for the approval and prioritization of the proposed change request, and we will discuss with you in detail during change reviews.

The change request process starts with an identified need for change, documented by the Change Request form. Optum will use the Change Control Tracking Log, maintained in an Excel spreadsheet, as our management tool to track and report Change Request information and associated resolutions. Optum will store a copy of the Change Control Tracking Log on the project SharePoint site where it can be readily accessed by authorized DHHR or Optum personnel.

The design, development, testing and implementation of approved Change Requests will follow the agreed-upon development and testing processes detailed in our project management approach. Optum will create a CCB and a standing weekly review meeting for managing review, approval, deferment or rejection of Change Requests. The process for working Change Requests is divided into multiple steps with some steps repeating. The following table outlines these steps, as does the illustration in Figure 2 that follows this table.

Step	Description
1.	The requestor creates the Change Request. A Change Request may be a result of a help desk inquiry, an issue, a required upgrade, or an information-only item. Ongoing changes and unanticipated changes are communicated to Optum through the change control process. A Change Request is determined to be a: • A change in business process • Solution software or configuration change • Non-compliance change • Information change
2.	Optum receives the Change Request and updates the Change Request Tracking Log. Optum performs an initial evaluation of the Change Request and determines or validates the type of request. We assign a priority of High, Medium, or Low to the Change Request. There is a fourth priority of Urgent. Urgent is considered a "showstopper" and will follow an escalation path approved by the State based on the terms of the contract
3.	Optum prepares an estimate, impact analysis and resolution for the Change Request. This does not apply

Step	Description
	to the Change Request received as an "Information Only" or for comments only
4.	During a standing weekly CCB Review meeting, the State project manager, Optum account manager, Optum change control manager, and key stakeholders will complete the following tasks: • Review new Change Requests • Review estimate/impact analysis/resolution • Set priorities and authorizations to proceed on Change Requests for the WV IES • Review, act on and approve Change Requests for closure • Review implementation releases (post) If Optum receives a new Change Request at the CCB review meeting, we process it by completing these steps
5.	Optum documents CCB Final Decision of Change Request disposition as "approved, deferred, rejected or withdrawn"
6.	Optum assigns approved Change Request to our staff for completion. We verify adequate scheduling, testing and notification
7.	For a completed Change Request, Optum assigns a close date in the Change Request tracking log and notifies stakeholders as appropriate of the instituted change

A flow chart of the change control process is shown in Figure 2.

Uncontrolled change can cause significant impact to the integrity and stability of the WV IES. We track and manage change activity to our business processes, IT environment, application and infrastructure through our change control process. This process requires that the change requestor document activity related to the change, including pre-implementation testing, implementation, validation and back-out plans. The risk of each change is assessed to determine potential impact, and to determine the likelihood of unplanned impact occurring because of an activity. This risk then drives the level of scrutiny and approval required before we can implement the change.

Situations that may cause initiation of the change control process include the following:

- Additional deliverables not defined in the contract or during design and implementation
- Changes to an accepted deliverable or business process
- Any deviation from the original scope of the work plan during implementation or operations
- Any deviation from the approved project work plan (e.g., new tasks, new technical approach)

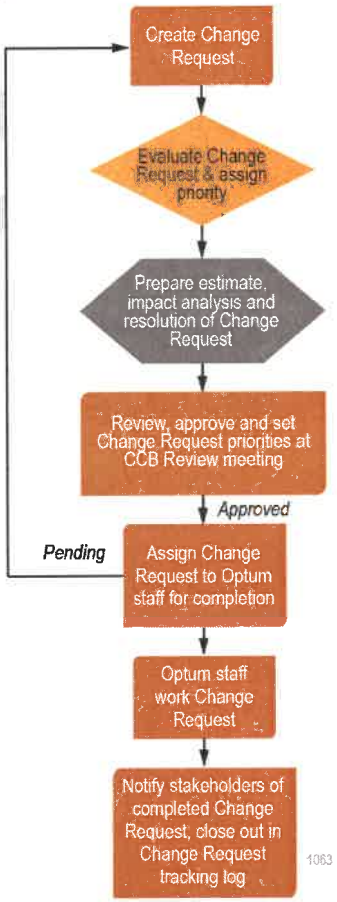


Figure 2: Change Control Flow Chart. *Our Change Request flow offers you a consistent and controlled approach to enhancing the WV IES.*

4. Managing a Change Request

Optum will use the approved Change Request form as the vehicle for communicating change. The Change Request must describe the change, the rationale for the change and the effect the change will have on the project.

A proposed Change Request will be provided to DHHR for each change, including:

- Estimated contractor hours by labor category and cost – amount of time required to implement the change
- Areas of technical, performance and business impact on the change
- Impacted requirements
- High-level development approach
- Testing requirements
- Training requirements
- Estimated DHHR resources or hours required to implement the change

We will group the Change Requests into one of three categories:

- **Design changes** are a natural outcome of the project life cycle and, when managed properly, serve to improve the overall quality of the solution. Situations that may result in design changes include:
  - New or varying business opportunities that result in changes to program/project requirements or design
  - Regulatory or policy changes that must be implemented before the project is complete
  - Better hardware or software technology has become available that can improve system performance
- **Non-compliance changes** are best defined as changes stemming from an event where agreed upon arrangements are not followed. Examples include:
  - Delays in the approval or rejection of deliverables or change requests
  - Supplier delays in products or services
  - Project support services that are not available as planned
  - Equipment, systems or networks that are out of service
- **Informational changes** are changes that do not affect cost or schedule, but vary from previous agreements and must be documented as such.

Optum will evaluate and analyze the proposed change, and develop estimates of effort, resources, cost, time and other impacting factors, as applicable. This information is critical for the approval and prioritization of the proposed change. The design, development, testing and implementation of the approved change request will follow the agreed-to development and testing processes detailed in our PMP and sub-plans.

The Optum change control manager will monitor the change development time effort expended by Optum team members. If a change to the amount of time required to implement the change is needed, the Optum change control manager will communicate with DHHR to redefine the

change request approved hours, amending and versioning the Change Request form, as applicable.

4.1 Change Request Form

In our projects, Optum uses the Change Request form to delineate the documentation package for an individual proposed change.

The next table provides the detailed fields and instructions for completing the Change Request form. The form is represented in Figure 3 immediately following this table.

Field	Description for Completing the Form
Title	Enter concise description of the change
Change Request ID	Optum will assign the tracking number after receiving the Change Request
Date submitted	Enter date of Change Request submission
Submitter name	Enter the name of Change Request author
Submitter organization	Enter the author's organization
Submitter phone and email address	Enter the author's phone number and email
Authorized submitter/ title	Enter the name of the individual having authority to submit the Change Request
Category type	Check one box to indicate if the Change Request is resulting from a design change, a non-compliance change or an informational change
Plan, deliverable Item or services affected	Enter the name of any affected by this Change Request, if applicable
Contract or attachment affected	Enter the name and number of contract article, appendix, or schedule, if applicable
Proposed timing of change	Check one box to indicate which time period the Change Request affects (*for Steady-State Operations, do not select During Implementation*). If you check *Other*, please specify
Processing priority	Optum will assign the priority based upon the potential effects. The priorities are: Urgent, High, Medium, Low
Assessed impact	Optum will assign the impact based upon the potential effects. The impacts are: Major, Minor, None
Level of effort (hours)	Optum will estimate the number of hours necessary to complete the Change Request
Change Request description	Describe the change being requested. Please provide sufficient information for the Change Request to be evaluated (the 'what')
Change Request business justification	Describe why the change is being requested. Please provide sufficient rationale for the Change Request to be evaluated and the effect the change will have on IES
Change Request Approval	
Submitter signature/date	The Optum change control manager, or approved designee, will sign and date the approved Change Request
State signature / date	The responsible State project manager, or designee, will sign and date the approved Change Request
Rejected date	If the Change Request is rejected, the responsible State project manager will enter the rejection date

A sample Change Request form, as seen in Figure 3, describes the change, the rationale for the change, and the effect the change will have on the project.

West Virginia IES **Change Request**	Title: Change Request ID: Date Submitted:		
Submitter name		Submitter organization	
Submitter phone and email address		Authorized submitter/title	
Category/type	Resulting From: ☐ Design Change ☐ Non-Compliance Change ☐ Informational Change		
Plan, deliverable item or service affected			
Contract or attachment affected			
Proposed timing of change	☐ During Implementation ☐ Steady-State Operations ☐ Other_____		
Processing priority Identify the priority for this change	☐ Urgent ☐ High ☐ Medium ☐ Low	Assessed impact Identify the effect for this change	☐ Major ☐ Minor ☐ None
Level of effort (hours)			
Change Request description			
Change Request business justification			
Change Request Approval Signing below indicates that this Change Request is (a) approved to start work on for resolution, or (b) rejected, if so signed and dated below.			
Optum Signature/Date _____ Date ___/___/___			
DHHS Signature/Date _____ Date ___/___/___		Rejected Date ___/___/___	

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Figure 3: Change Request Form.
By completing the form, the submitter starts the change control process for the WV IES project.

4.2 Change Evaluation Criteria

Optum will coordinate the change analysis and evaluation process. This process involves the review of the Change Request scope and its impact on the services and the respective obligations of our team. This can include the availability of project staff and resources to accommodate such changes, and the timetable for implementation.

The change evaluation criteria define the boundaries, thresholds or range within which Change Requests will be accepted, deferred or rejected. The evaluation of Change Requests is a vital part of controlling change. The method in which Change Requests are evaluated will depend on their importance and urgency.

The following are typical Change Request evaluation criteria:

- Major changes:
  - Represent significant change to the approved project scope
  - Affect requirements or work items on the project critical path, delaying significant milestones or the overall project end date by duration (e.g., 10 business days or more) or a certain time percentage (e.g., more than 3 percent)
  - Require additional funding whether in dollars (e.g., $50 thousand or more) or percentage of budget (e.g., more than 12 percent)
  - Documented as a Change Request and managed through the change control process (Note: Changes to configuration items contained in the CMDB will be processed and managed per the Configuration Management Plan.)
- Minor changes:
  - Do not significantly affect the project schedule; do not extend milestone completion dates or tasks with project dependencies
  - Have no negative financial impact; no project budget variance will occur as a result
  - Should not be documented as a Change Request
- Typical questions to consider when evaluating a Change Request:
  - Does the change add to or alter the requirements?
  - Is there a workaround, or is the change necessary for the overall success of the project?
  - Does the change require an increase in funding?
  - Will the change delay the project end date or specific release?
  - Even though the change may have a negative impact on the WV IES project, does it result in significant business benefits that make it worthwhile?
  - Does enacting the change immediately make more business sense than delaying it? Will the delay cost more money in the end?
  - Have all the affected stakeholders been considered, and do they endorse the change?
  - Are there contractual ramifications to consider?
- Change Request evaluation methods:
  - Initial review and evaluation of the newly submitted Change Request via email
  - Detailed review of the updated Change Request package including team analyses, workaround plans, impacts, and sizing

5. Tracking and Change Control Board Review

Optum will use a Change Request Tracking Log to support our change control methodology and track the Change Request from initiation to completion. We recommend the CCB review Change Requests on a weekly basis during a standing CCB review meeting that includes all key stakeholders, and Optum and State managers.

Change Request work-effort estimates and timelines will be discussed during these reviews, as will potential impacts to other work initiatives and prioritization of the Change Request.

Final approval or rejection decisions for Change Requests will be maintained in the tracking log and determined during CCB review meetings.

Additionally, Change Requests will be documented at a high level in the weekly status reports to communicate Change Request status to the larger stakeholder audience. Change Request metrics will also be provided (i.e., total new Change Requests, pending Change Requests, closed Change Requests).

6. Monitoring

Continuous monitoring of our solution helps us measure the ongoing effectiveness of each implemented change in the WV IES. Our documented quality assurance process will govern changes to the existing contract. As we develop and implement the approved changes, we will subject this work to our quality assurance procedures.

If an issue is found during the Change Request implementation, we will work it through our approved issue resolution process defined within the Issue Management Plan. Routine project status meetings provide a forum for discussing issues found after a change has been implemented. The Optum team will work with DHHR to verify if the solution requires further change to minimize post-implementation issues.

DRAFT

West Virginia Integrated Eligibility Solution (IES)

Draft Security, Privacy and Confidentiality Management Plan

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

_____ **Signature**

_____ **Date**

xxxxxxxxx

Optum

_____ **Signature**

_____ **Date**

August 8, 2017
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DRAFT

Revision History

Version	Date	Author	Summary of Changes
1.1	8/8/2017	Optum	Initial draft release

Table of Contents

1. Introduction **1**
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 1
1.5 Related Documents 2
2. Security and Privacy **2**
2.1 Security Objectives 3
2.2 Privacy Objectives 5
3. Annual Security Assessment **6**
4. Encryption **6**
5. Account Management and Role-Based Access **7**
6. System Maintenance **8**
6.1 Service Requests 8
6.2 Maintenance Services and Schedule 8
7. System Vulnerability and Penetration Testing **8**
8. Cyber Defense Technologies **9**
9. Logging and Monitoring **10**
9.1 Logging 10
9.2 Monitoring 10
10. Incident Response and Data Breach Reporting **11**
11. Secure Destruction of Information **11**

List of Figures

Figure 1: Security Design Methodology 6

1. Introduction

1.1 Objective

The Security, Privacy and Confidentiality Management Plan describes the data handling protocols that will be used to secure and protect the confidentiality of the State's data and its citizens' privacy for the West Virginia Integrated Eligibility Solution (WV IES) Project. The plan will provide DHHR with the knowledge needed to understand the security posture of the WV IES data. The overall objective is to protect the WV IES from a wide variety of threats that could compromise the confidentiality, integrity or availability of the data.

The WV IES Security, Privacy and Confidentiality Management Plan describes the security and privacy environment of the solution. This includes the security and privacy controls for the protection of all data received, stored, processed and transmitted by the WV IE solution, throughout the project lifecycle.

The security and privacy baseline for the WV IES is documented as part of the MARS-E document suite. Moderate controls from prevailing regulations and standards are used to create the configuration baselines. Where State statutes are more stringent, they supersede Optum and regulatory requirements. Contractual agreements deemed more stringent supersede statutes. When organizational policy is more stringent, it takes final precedence.

1.2 Plan Scope

The Security, Privacy and Confidentiality Management Plan addresses how the State's data is used, accessed, and secured while in storage, as well as transmission and processing. It also describes how data is sanitized and destroyed in accordance with applicable laws and best practices, such as the security and privacy controls required by CMS for Medicaid Management Information Systems (MMIS). The Optum solution will be predominantly hosted within Optum managed data centers and is not considered a cloud solution. FedRamp compliance is required for federal government and West Virginia cloud service providers. In the event that services or components of the Optum solution involve a cloud service provider, we will verify that such services or components are hosted at a FedRamp compliant cloud service provider.

This Security, Privacy and Confidentiality Management Plan will be reviewed and updated no less than annually.

1.3 Plan Assumptions

Not applicable

1.4 Plan Organization

This Security, Privacy and Confidentiality Management Plan is organized in the following manner:

- **Introduction (Section 1)** lists the objectives and scope of the Schedule Management Plan, as well as assumptions made in developing the plan. It also describes the plan organization and identifies related documents.
- **Security and Privacy (Section 2)** describes the WV IES security and privacy controls, including how the State's security and privacy objectives are met.

- **Annual Security Assessment (Section 3)** gives an overview of the WV IES continuous monitoring activities and annual security assessments, including how findings are handled.
- **Encryption (Section 4)** describes our encryption methods for the WV IES.
- **Account Management and Role-Based Access (Section 5)** describes the design and management approach for WV IES access controls.
- **System Maintenance (Section 6)** describes our approach to delivering WV IES maintenance and support services, including service requests, maintenance services and schedule.
- **System Vulnerability and Penetration Testing (Section 7)** describes our approach to security testing.
- **Cyber Defense Technologies (Section 8)** discusses our defense-in-depth approach, which is comprised of multiple layers of technology, including network segmentation, and processes, to detect and prevent cyber threats.
- **Logging and Monitoring (Section 9)** discusses our approach to verify only authorized and authenticated individuals are accessing the State's data.
- **Incident Response and Data Breach Reporting (Section 10)** describes our approach to providing oversight for the handling of security and privacy-related incidents across the DHHR enterprise.
- **Secure Destruction of Information (Section 11)** discusses our data destruction policy regarding mandatory data retention along with data destruction standards for all WV IES data and media types.

1.5 Related Documents

The Security, Privacy and Confidentiality Management Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, the document is base-lined and placed under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

Related plans include:

- System Backup and Data Retention
- System Security Plan (SSP)
- Incident Response Plan (IRP)
- Configuration Management Plan (CMP)

2. Security and Privacy

Security and privacy controls are designed and implemented without burdening the consumer or service provider through a layered Service Oriented Architecture (SOA) model, addressing associated threats to each layer. Security controls are distributed across the environment to prevent unauthorized, opportunistic access. Additionally, the control environment is designed to support technology and service interoperability; which results in reduced technology sprawl and

lower cost of ownership for control maintenance while maintaining the prescribed compliance posture.

Another benefit of this methodology is a structured approach, which aids in the preparation and completion of the SSP, IRS Safeguard Security Report (SSR), Safeguards Procedure Report (SPR), Plan of Action and Milestones (POA&Ms), Corrective Action Plans (CAPs), and other artifacts required for federal and State security reviews. Optum will document the security and privacy objectives and note any gaps with mandated security requirements, as the WV IES is designed and implemented. This approach permits Optum to develop the required security artifacts in cooperation with the solution architects and engineers, thus providing a better understanding of the solution and its security posture.

2.1 Security Objectives

The WV IES security controls are based on the security categorization of "Moderate" for all systems that store, process and transmit MMIS information and data. These controls are designed to establish a known security posture for the MMIS. If the State prefers controls of a more stringent nature, those controls will take precedence. Optum will provide the State with security control implementation details within the WV IE SSP. The following security control families will be implemented to maintain the confidentiality, integrity and availability of the WV IES:

- **Access control:** Limits information technology (IT) system access to authorized users and devices, as well as processes acting on behalf of authorized users or devices. It also describes the authorized transactions and functions that those users and devices are permitted to execute.
- **Awareness and training:** Provides direction to verify that managers and users of the WV IES are made aware of the security risks associated with their activities and of the applicable laws, executive orders, directives, policies, standards, instructions, regulations or procedures related to the security of IT systems. It also verifies that DHHR personnel are adequately trained to carry out their assigned information security-related duties and responsibilities.
- **Audit and accountability:** Provides direction to verify that the Administering Entities will: (i) create, protect and retain WV IE audit records to the extent needed to enable the monitoring, analysis, investigation and reporting of unlawful, unauthorized or inappropriate IT system activity; and (ii) validate that the actions of individual WV IE solution users can be uniquely traced to those users so they can be held accountable for their actions.
- **Security assessment and authorization:** Focuses on how Optum will: (i) periodically assess the security controls in the WV IES to determine if the controls are effective in their application; (ii) develop and implement plans of action designed to correct deficiencies and reduce or eliminate vulnerabilities in the WV IES; (iii) authorize the operation of WV IES and any associated IT system connections; and (iv) monitor WV IES security controls on an ongoing basis to validate the continued effectiveness of the controls.
- **Configuration management:** Focuses on how Optum will: (i) establish and maintain baseline configurations and inventories of the WV IES components (including hardware, software, firmware and documentation) throughout the respective system development life cycles; and (ii) establish and enforce security configuration settings for IT technology products employed in the WV IES.

- **Contingency planning:** Focuses on how Optum will establish, maintain and effectively implement plans for emergency response, backup operations and post-disaster recovery for the WV IES to verify the availability of information resources and continuity of operations in emergency situations.
- **Identification and authentication:** Focuses on how Optum will identify WV IES users, processes acting on behalf of users or devices, and authenticate the identities of those users, processes or devices, as a prerequisite to allowing access to the WV IES.
- **Incident response:** Focuses on how Optum will: (i) establish an operational incident-handling capability for the WV IES that includes adequate preparation, detection, analysis, containment, recovery and user response activities; and (ii) track, document and report incidents to appropriate DHHR officials and/or authorities.
- **Maintenance:** Focuses on how Optum will: (i) perform periodic and timely maintenance of the WV IES; and (ii) provide effective controls on the tools, techniques, mechanisms and personnel used to conduct information system maintenance.
- **Media protection:** Focuses on how Optum will: (i) protect WV IES media, both paper and digital; (ii) limit access to information on IT system media to authorized users; and (iii) sanitize or destroy IT system media before disposal or release for reuse.
- **Physical and environment protection:** Focuses on how Optum will: (i) limit physical access to WV IE information systems, equipment and the respective operating environments to authorized individuals; (ii) protect the physical facilities and support infrastructure for the WV IES; (iii) provide supporting utilities for the WV IES; (iv) protect the WV IES against environmental hazards; and (v) provide appropriate environmental controls in facilities containing the WV IES.
- **Planning:** Focuses on how Optum will develop, document, periodically update and implement security plans for the WV IES, describing the security controls in place or planned for the IE solution and the rules of behavior for individuals accessing the WV IES.
- **Personnel security:** Focuses on how Optum will: (i) verify that individuals occupying positions of responsibility within organizations (including third-party service providers) are trustworthy and meet established security criteria for those positions; (ii) verify that organizational information and information systems are protected during and after personnel actions such as terminations and transfers; and (iii) employ formal sanctions for personnel failing to comply with organizational security policies and procedures.
- **Risk assessment:** Focuses on how Optum will periodically assess the risk to operations (including mission, functions, image or reputation), assets and individuals, resulting from the operation of the WV IES and the associated processing, storage or transmission of Personally Identifiable Information (PII), Protected Health Information (PHI), or Federal Tax Information (FTI).
- **System and services acquisition:** Focuses on how Optum will: (i) allocate sufficient resources to adequately protect the WV IES; (ii) employ system development life cycle processes that incorporate WV IES considerations; (iii) employ software usage and installation restrictions; and (iv) verify that third-party providers employ adequate security measures to protect information, applications and/or services outsourced from the organization.

- **System and communication protection:** Focuses on how Optum will: (i) monitor, control and protect communications (i.e., information transmitted or received by DHHR IT systems) at the external boundaries and key internal boundaries of the WV IES; and (ii) employ architectural designs, software development techniques, and systems engineering principles to further monitor, control and protect information transmitted or received.
- **System and information integrity:** Focuses on how Optum will: (i) identify, report, and correct information and WV IES system flaws in a timely manner; (ii) provide protection from malicious code at appropriate locations within the WV IES; and (iii) monitor IES security alerts and advisories and take appropriate actions in response.
- **Program management:** Complements the security controls in the previous 17 security control families by focusing on the organization-wide information security requirements that are essential for managing the WV IES Project.

2.2 Privacy Objectives

Privacy of the State's data is achieved with the design, integration and maintenance of privacy controls to support privacy of member information along with PHI and PII. Those controls are:

- **Authority and purpose:** Verifies that DHHR: (i) identifies the legal bases that authorize a particular PII/PHI collection or activity that impacts privacy; and (ii) specifies in notices the purpose(s) for which PII/PHI is collected.
- **Accountability, audit, and risk management:** Enhances public confidence through effective controls for governance, monitoring, risk management, and assessment to demonstrate that DHHR and stakeholder organizations are compliant with applicable privacy protection requirements and minimizing overall privacy risk.
- **Data quality and integrity:** Enhances public confidence that any PII/PHI collected and maintained by DHHR is accurate, relevant, timely and complete for the purpose for which it is to be used, as specified in public notices.
- **Data minimization and retention:** Helps DHHR implement the data minimization and retention requirements to collect, use and retain only PII/PHI that is relevant and necessary for the purpose for which it was originally collected. Organizations retain PII/PHI for only as long as necessary to fulfill the purpose(s) specified in public notices and in accordance with a National Archives and Records Administration (NARA)-approved record retention schedule.
- **Individual participation and redress:** Addresses the need to make individuals active participants in the decision-making process regarding the collection and use of their PII/PHI. By providing individuals with access to PII/PHI and the ability to have their PII/PHI corrected or amended, as appropriate, the controls in this family enhance public confidence in organizational decisions made based on the PII/PHI.
- **Security:** Verifies that technical, physical, and administrative safeguards are in place to protect PII/PHI collected or maintained by organizations against loss, unauthorized access or disclosure, and to verify that planning and responses to privacy incidents comply with Office of Management and Budget (OMB) policies and guidance. The controls in this family are implemented in coordination with information security personnel and in accordance with the existing National Institute of Standards and

Technology (NIST) Risk Management Framework and Centers for Medicaid Services (CMS) Minimum Acceptable Risk Standards for Exchanges (MARS-E).

- **Transparency:** Verifies that organizations provide public notice of their information practices and the privacy impact of their programs and activities.
- **Use limitation:** Verifies that organizations only use PII either as specified in their public notices, in a manner compatible with those specified purposes, or as otherwise permitted by law. Implementation of the controls in this family will verify that the scope of PII use is limited accordingly.

Figure 1 shows the security design for the WV IES Project.

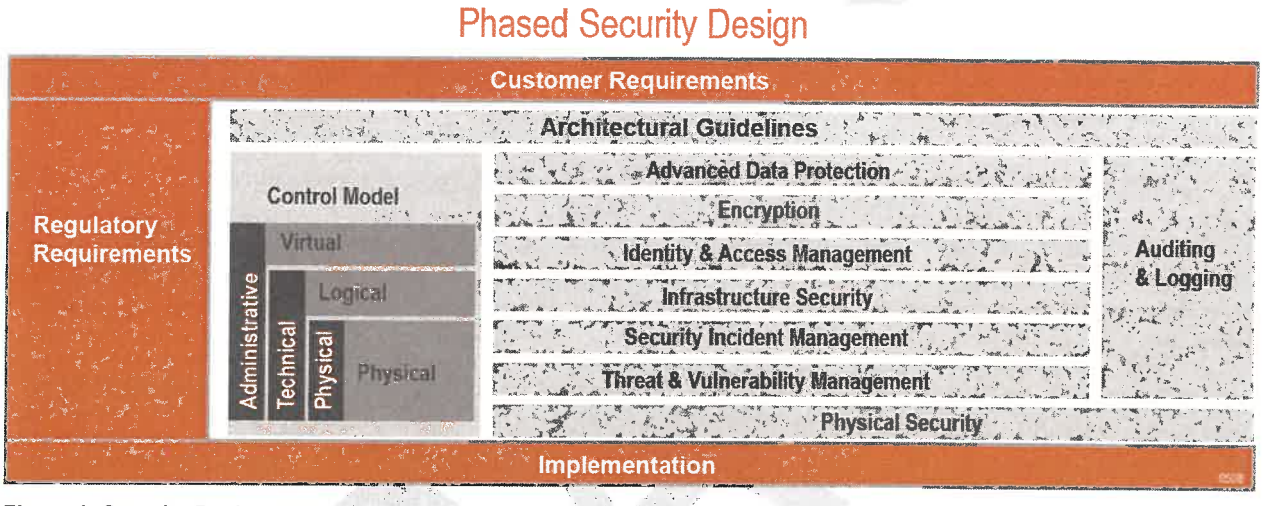


Figure 1: Security Design Methodology.
We will design security controls for the WV IES using a phased approach.

3. Annual Security Assessment

Annual security assessments will review technical and non-technical policies, procedures and controls that protect West Virginia data and services from both internal and external threats. Optum uses the information collected from these assessments to enhance our current security posture.

The information collected from these assessments is sensitive; therefore, we will appropriately protect and store it. This information will be available to DHHR upon request.

All findings from continuous monitoring activities and annual assessments within the scope of the WV IES will generate a corresponding Plan of Action and Milestones (POA&M). POA&Ms will have assigned owners, risk categorization and timelines with actions to remediate or mitigate the finding. A POA&M categorized as "High" will be remediated/mitigated within 90 days, 180 days for "Moderate," and 365 days for "Low," per CMS guidelines.

4. Encryption

We invest significant resources in our information security program and use various network, security monitoring and encryption technologies to protect the WV IE environment as well as maintain the confidentiality and integrity of the data and information entrusted to us. Our information security policies, procedures, technical protocols and operations protocols help maintain the control of secured information. Encryption methods include the following:

- We encrypt all data during transmission between the web browser and the web server using Secure Sockets Layer (SSL) 256-bit encryption. This includes all individually identifiable health information, financial information and messages sent by the secure messaging option.
- We provide data encryption for the environment hosting the WV IES that is FIPS 140-2 compliant. We use standard encryption algorithms, such as the Advanced Encryption Standard (AES) or RSA. Key lengths vary by encryption cipher types, symmetric and asymmetric. Symmetric encryption algorithms use a minimum key length of 128-bits, while asymmetric algorithms use a minimum key length of 1024-bits.
- We store passwords and challenge responses using a one-way hashing algorithm rather than clear text.
- We encrypt all types of media, including backup tapes, disk arrays, laptop disks and removable media.

5. Account Management and Role-Based Access

Optum solutions rely on leading industry technologies providing or supporting the most prevalent authentication technologies. Specific to Microsoft Active Directory (Microsoft AD), the WV IES will be architected to support the authentication of users, using Microsoft AD or LDAP infrastructure.

Access controls are designed based on the principle of least privilege enforcing need-to-know and implementing compliant authentication mechanisms.

During the design and implementation phase of the project, Optum, working with DHHR and the State's IT team, will define the technical solution for connecting the IE data and server applications to user desktop applications. Our technical team will need access and connectivity into the State's environment for current state analysis and data migration purposes to build the future state Optum-hosted data mart and maintain the WV IES. The specific roles and responsibilities will be defined by rules and constraints in place when operating within the State-controlled environment.

Access to information systems and data is managed using prevailing identity and access management technologies. Some of the methods Optum uses to enforce appropriate access and to meet minimum acceptable guidelines are: role-based access control (RBAC) or attribute-based access control (ABAC), single sign-on, multi factor authentication and others. The design of the WV IES allows for access control at the modular level and all the way down to the individual data group level, as required, through the creation of configurable user roles to govern authorization levels within the solution. The administrative module has the ability to retrieve lost account information and reset passwords online. This feature aligns with the OptumID component within the WV IES integration services.

OptumID capabilities include:

- Complex credential requirements
- Account lockout after defined failed login attempts
- Self-service account recovery
- Challenge response as secondary authentication

We include functionality that is able to automatically and manually disable and/or delete inactive accounts either programmatically, by workflow, or by batch processing. Our Identity Management solution can detect if the supplied user name is already in use. If so, the user is promoted to create a unique account credential. Additionally, through a periodic entitlement review of user access unused privileges are removed and duplicate accounts are detected and removed as appropriate, as well as, a validation of the privileges assigned to each user is completed.

The specific role matrix will be developed as a component of the solution.

6. System Maintenance

Our goal in delivering maintenance and support services is to provide stable operations, as well as prevent and manage incidents. Our services will support your vision in driving such capabilities towards mission-critical status. Our maintenance and support services are described in the remainder of this section.

6.1 Service Requests

Service requests are recurring changes that have predefined processes/procedures. Optum has creation progression stages for each type of request. Each request type also has designated resources or support groups needed to fulfill the request, targeted SLAs, and identified escalation paths if the SLAs are unmet at each stage.

6.2 Maintenance Services and Schedule

For system maintenance and updates (release management) we will:

- Deploy releases periodically into the technical environments
- Notify DHHR at least 30 days before implementing each update/release, except in cases of emergency

For scheduled maintenance and emergency maintenance, we will:

- **Eliminate emergency maintenance outages**: Increasing software product complexity and associated requirements make it challenging to manage the products and services throughout the WV IES lifecycle. To help DHHR address these challenges, we will follow Product Lifecycle Management (PLM) services, a proactive, structured process for upgrading software products that support business applications. This process verifies that the deployed versions of software products are current; the most stable version provided by the vendors; and covered under the available support provided by our vendors. We test software to keep it current and eliminate emergency maintenance.
- **Reduce scheduled maintenance outages**: We will proactively monitor service performance and perform Detailed Tuning Requests (DTRs) to improve service time and increase the application availability.

7. System Vulnerability and Penetration Testing

We perform security testing of system components to validate that application components are not vulnerable to malicious attack. This testing will be performed by Optum personnel using a variety of tools and techniques.

Security is integrated in our maintenance services and SDLC, enabling identification and

verification of regulatory requirements and the controls required to meet compliance. Security requirements for the WV IES will be met by:

- Identification of applicable security and compliance requirements, system components, functional requirements, internal administrative controls during the requirements gathering phase
- Identification of existing patterns, use cases and gaps analysis during the design phase
- Identification of recommended solution; includes recommendation of acquisition of solutions required to address gaps during the development phase
- Management of threats and vulnerabilities through source code review, and infrastructure and application penetration testing during the QA phase
- Continuous vulnerability scans, flaw remediation and compliance verification during the production phase

Optum will create and maintain a Security Test Plan for the WV IES. The intended use of the Security Test Plan is to make certain that all WV IES stakeholders understand the phases of the security testing life cycle.

The Security Test Plan will cover the definition of security testing phases, including:

- Static code analysis
- Non-static code review
- Dynamic web scanning
- Penetration testing
- Baseline scanning
- Functional security testing

8. Cyber Defense Technologies

Optum uses a defense-in-depth approach comprised of multiple layers of technology, network segmentation, and processes to detect and prevent cyber threats. This approach includes the following:

- Proxy technology, content filtering, traffic inspection, advanced persistent threat, malware detection and prevention, Data Loss Prevention (DLP), and other security technologies are part of a layered security infrastructure deployed on the network. All components are part of the Optum Security Operations Center monitoring and incident response program.
- Intrusion prevention and intrusion detection systems (IPS and IDS) solutions are layered with firewalls and other devices to monitor the network and selected infrastructure at the boundary ingress and egress points and boundary borders to collect DHHR-determined essential information and to track specific types of transactions of interest to the organization. The IDS/IPS systems detect and prevent known attack characteristics of malware and will report any anomalies to the formal security incident response (SIR) process. Signature updates are regularly installed on the IDS/IPS systems per standards to promote up-to-date protection.
- Firewalls and intrusion detection sensors are appropriately configured and discretely placed to manage, filter and identify inappropriate access to the Optum internal network. Inappropriate attempts to access the Optum network are captured and escalation activities are initiated for review and resolution.

- Network segmentation and protection of network assets are managed by Internet Protocol (IP) addressing, access control lists (ACLs) and application level security to further restrict access. Access control undergoes periodic entitlement reviews to verify only authorized access is provisioned at the network level.
- Security information and event management technologies are deployed throughout the Optum environment and provide real-time analysis of security alerts generated by network hardware and applications. Events are correlated and monitored by the Security Operations Center and then fed to the security incident response team for appropriate action. Audit logs on servers and the security information and event management components are secured and segregated by different roles to maintain compliance with CMS and IRS 1075 requirements. Optum maintains data retention policies and standards in compliance with regulatory requirements and contractual agreements.
- Optum vulnerability scanning processes and procedures facilitate the identification of missing patches, invalid configurations and other security risks in servers and other key infrastructure components. These scans focus on operating systems and commercial applications for all assets in the Optum environment.
- Advanced Persistent Threat (APT) solutions have been deployed that complement the preventive controls. These solutions take a heuristic approach and work in conjunction with other solutions to detect both known and unknown malicious traffic. The APT solutions are incorporated into the security incident response process and any anomalous activity will trigger an investigation.
- The Active Cyber Defense team provides strategic control evaluation by conducting periodic Red Team and penetration testing to support the identification of any control deficiencies, vulnerabilities or security issues present in the Optum network.

9. Logging and Monitoring

Optum understands the responsibility we have to protect sensitive, confidential and proprietary information and to maintain availability and integrity of information systems and assets. Only authorized and authenticated users will have access to the WV IES and the corresponding PHI data. Logging and monitoring provide the ability to control and confirm only authorized and authenticated individuals are accessing the State's data.

9.1 Logging

In the requirements phase, we will determine:

- The logging requirements for the WV IES
- The manner and frequency in which those logs will be reviewed
- The information to capture in the logs

We will then develop logging procedures to comply with applicable laws, regulations and industry best practices. Log files will be stored for the entire length of the contract.

9.2 Monitoring

Continuous monitoring of the WV IES measures the ongoing effectiveness of the deployed security controls, changes in information systems and operational environments, and compliance with legislation, directives, policies and standards. This information is vital input to

make sure we quickly identify risks and problems and maintain the ongoing security and compliance of the WV IES.

Optum monitors events on the information systems to detect anomalies and suspect activity. Our monitoring and incident response teams operate 24x7 to address any potential security threats.

We understand and will comply with security and privacy requirements of West Virginia. Optum will provide routine reports to DHHR. A Security Information and Event Management solution for log aggregation and monitoring will be used to identify anomalous, unauthorized or inappropriate access in accordance with Optum information security procedures and in accordance with industry best practices. We will investigate anomalies discovered using additional information captured in our logs for forensic purposes. Log information will be available to DHHR upon request.

10. Incident Response and Data Breach Reporting

The Optum team provides oversight in the handling of security and privacy related incidents across the enterprise. Forensic investigation and preservation of evidence are included as part of this team's responsibilities. The security incident response capability includes:

- Coordinating incident detection, analysis, containment, mitigation, recovery, and final reporting efforts to provide timely resolution of security and privacy incidents upon identification
- Coordinating notification and escalation in accordance with defined processes to required entities as an outcome of a security and privacy-related incident
- Participating in the activities and decisions across cross-functional workgroups in developing the security/privacy incident response requirements; conducting gap-analysis; recommending compliance action plans; reporting; tracking security and privacy incident trends; and providing process improvement recommendations
- Monitoring security information events, integrated with security analytical services to determine what, why and how an attack occurred
- Notifying the State and consumers (if applicable) if there ever were a confirmed breach of confidential information according to applicable laws, regulations, and any contractual stipulations
- Managing any breach notification and remediation process

Optum will never release or publish any incident information except with the explicit authorization of DHHR. We will cooperate with the State in investigating any breach, security incident or vulnerability.

11. Secure Destruction of Information

Optum data destruction policy sets forth mandatory retention of data along with data destruction standards for all data and media types. Examples of data destruction techniques are:

- Overwriting software compliant to Department of Defense standards
- Physical destruction of media that cannot be overwritten
- Recycled media is overwritten three times prior to reuse

West Virginia Integrated Eligibility Solution (IES)

Draft Configuration Management Plan

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

Signature _____ **Date** _____

xxxxxxxxx

Optum

Signature _____ **Date** _____

August 8, 2017

Contract Name: <nnnn>
Contract No. <nnnn>
Document No. <nnnn> Version <1.1>

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Revision History

Version	Date	Author	Summary of Changes
1.1	8/8/2017	Optum	Initial draft release

Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 1
1.5 Related Documents 2
2. Configuration Management Approach 2
2.1 Overview 2
2.2 Configuration Management Database (CMDB) 3
2.3 Relationship to other ITIL Processes 4
3. Responsibility Matrix (RASCI) 5
4. Configuration Identification and Documentation 9
4.1 Configuration Item Creation Overview 10
4.2 Relationship/Dependency Map within the CMDB 11
4.3 Configuration Items 12
4.3.1 Types of Configuration Items 12
4.3.2 Configuration Item Attributes 13
4.4 Commercially Available Software Configuration 14
4.5 Code Configuration Management 14
4.6 Baselining 14
5. Configuration Control 14
5.1 Data Entry Controls 14
5.2 Recording 15
5.3 Configuration Change Control 15
5.4 Environment Synchronization 15
5.4.1 Hardware Environment Synchronization 15
5.4.2 Code Synchronization 16
6. Monitoring, Reporting, Auditing Configuration 16
6.1 Configuration and Drift Monitoring 16
6.2 Reporting 18
6.3 Audit and Verification 19
6.4 Audits with Third-Party Vendors 19
6.5 Safeguards 19
7. Policy/Plan for Continuous Improvement 20
7.1 DevOps Model 20
7.2 CMDB Improvements 20

List of Figures

Figure 1: ITIL Service Support Model. 3
Figure 2: Configuration Management Relationships. 4
Figure 3: Configuration Management RASCI. 5
Figure 4: CMDB Input Processes. 9
Figure 5: Configuration Items Hierarchical Relationships. 11
Figure 6: Deployment Process. 16

1. Introduction

1.1 Objective

The Configuration Management Plan for the West Virginia Integrated Eligibility Solution (WV IES) Project describes how configuration management will be conducted throughout the project lifecycle. This includes documentation on how configuration management is managed, roles and responsibilities, how configuration item changes are made, and how we communicate configuration management-related information to project stakeholders. Without a documented Configuration Management Plan, configuration items may be missed, incomplete, or unnecessary work completed due to a lack of version and document control.

This document defines the project's structure and methods for:

- Identifying, defining and baselining configuration items
- Controlling modifications and releases of configuration items
- Reporting and recording status of configuration items and any requested modifications
- Verifying completeness, consistency and correctness of configuration items
- Controlling storage, handling and delivery of configuration items

1.2 Plan Scope

The West Virginia Configuration Management Plan addresses the approach that Optum plans to use to manage WV IES configuration throughout the project lifecycle. Compliance with this document is mandatory for all information technology development and maintenance activities. All production environments are within scope of this Configuration Management Plan.

1.3 Plan Assumptions

We made the following assumptions when preparing this plan:

- Optum will:
  - Provide the Configuration Management Plan for use by the business, operations and project teams
- DHHR will:
  - Provide DHHR staff available for questions, requests for input, or clarification
  - Review the Configuration Management Plan for completeness; readiness for implementation; and confirm alignment with project requirements through approvals

1.4 Plan Organization

This Configuration Management Plan is organized into the following sections:

- **Introduction (Section 1):** lists the objectives and scope of the Configuration Management Plan, assumptions made in developing the plan, describes the plan organization, and identifies related documents.
- **Configuration Management Approach (Section 2):** describes our approach to managing solution configuration during the project.

- **Responsibility Matrix (RASCI) (Section 3):** describes the responsibilities of various parties with respect to change management.
- **Configuration Identification and Documentation (Section 4):** discusses the Configuration Identification (i.e., registration) process, including an overview of the process we use to create an inventory of WV IES configuration items, the configuration item Relationship/Dependency Map, configuration item types and attributes, COTS configuration, code configuration management and configuration baselining.
- **Configuration Control (Section 5):** describes the controls we use for updating configuration items, configuration item attributes, and relationships, including data entry controls, recording, configuration change control, environment synchronization, and escrow management.
- **Monitoring, Reporting, and Auditing Configuration (Section 6):** discusses configuration status monitoring, reporting and auditing, including configuration and drift monitoring, reporting, audits and verification, audits with third party vendors, and safeguards.
- **Policy/Plan for Continuous Improvement (Section 7):** provides an overview of our continuous improvement efforts associated with change management, including current and ongoing improvement initiatives, e.g., DevOps Model, configuration database (CMDB) improvements, and change management improvements.

1.5 Related Documents

The Configuration Management Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, the document is base-lined and placed under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

2. Configuration Management Approach

2.1 Overview

Configuration management is the discipline of properly identifying system configurations and controlling the changes made to configurations in order to provide a method to audit those changes. Configuration management identifies controls, verifies, records and reports the status of all system components, their function and their relationships within infrastructure, services or applications. Figure 1 shows the interrelationships between the CMDB, including configuration items (CIs) and other ITIL processes.

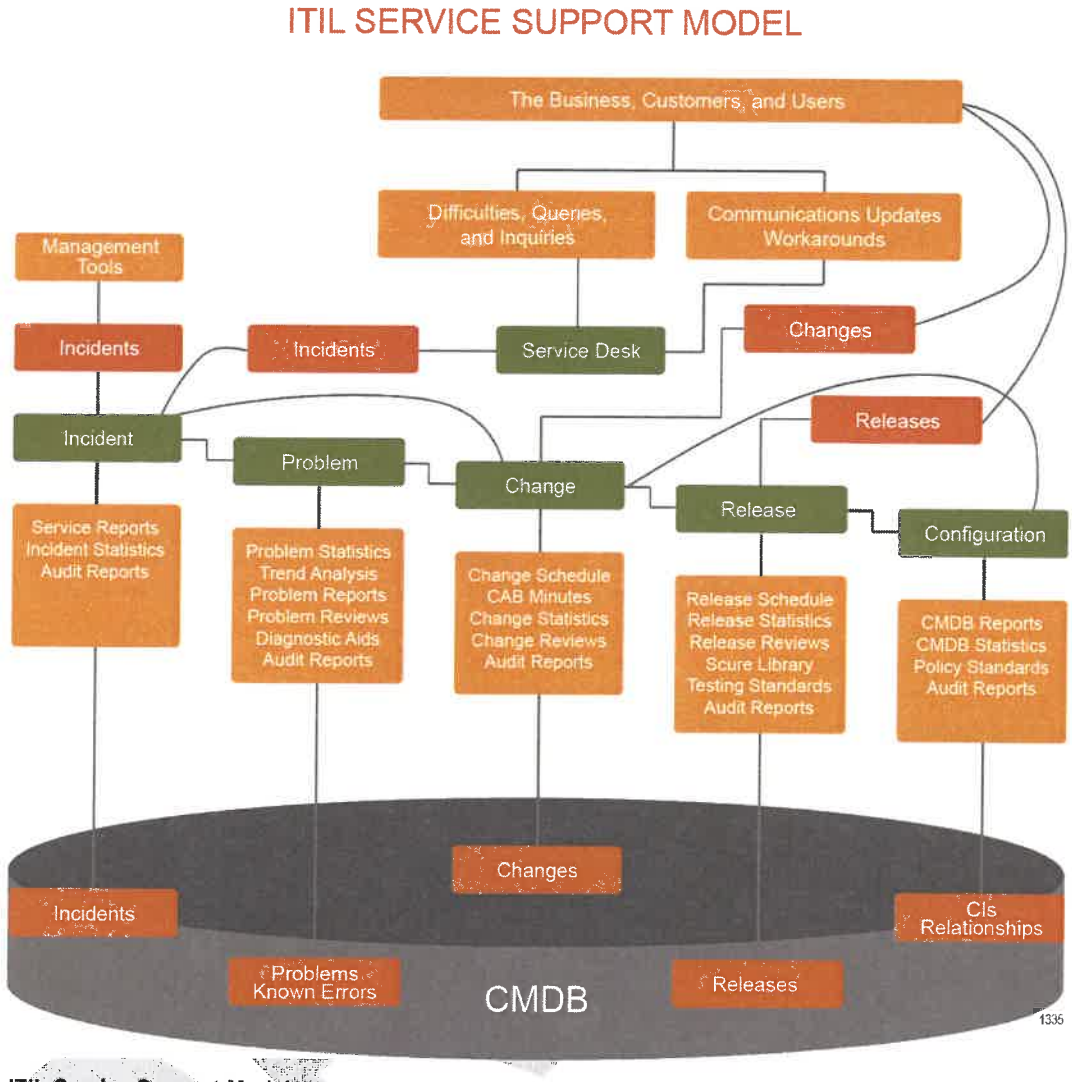


Figure 1: ITIL Service Support Model.
Configuration management is one component of the overall ITIL Service Support Model.

2.2 Configuration Management Database (CMDB)

The Optum CMDB is the location used for documenting configurations. The CMDB is a federated system that receives inputs from various systems that are designated as sources of truth. CMDB data is primarily maintained and updated by integration with operational source systems. These systems are used on a daily basis to perform functions such as creating or maintaining environments and systems. More than 30 source systems supply data to the CMDB.

A service level owner is the individual responsible for maintaining the configuration items, attributes and relationships. The service level owner is ultimately accountable for the currency, accuracy and integrity of the service and support readiness data for the service(s) they represent. As a result, the service level owner is required to periodically review the information in CMDB and update information as needed.

The CMDB is a tool governed under the ITIL processes and the Optum audit and compliance processes. Change tickets are required in order to make any change to the infrastructure and/or application within the CMDB. Regular maintenance is performed, under change control, as required by Optum corporate standards.

The CMDB is the repository for the production baseline configuration. The baseline consists of the system components including communications and connectivity-related aspects in the production environment. The baseline configuration provides information about the standard software load for a workstation, server, network component, or mobile device including operating system/installed applications with current version numbers and patch information, network topology, and the logical placement of the component within the system architecture. The baseline configuration is a documented, up-to-date specification to which the WV IES is built.

2.3 Relationship to other ITIL Processes

The CMDB supports incident and problem management, change management, and other operational processes by allowing many-to-many relationships to be defined between tickets and configuration items. Optum maintains audit and historical information about incidents, problems, and changes for particular configuration items. All changes, incidents and problems within the configuration baseline are managed by the enterprise ticketing system. The CMDB is central to ITIL processes, tracking software and hardware configurations, and storing key data used by and collected from a variety of systems, as shown in Figure 2.

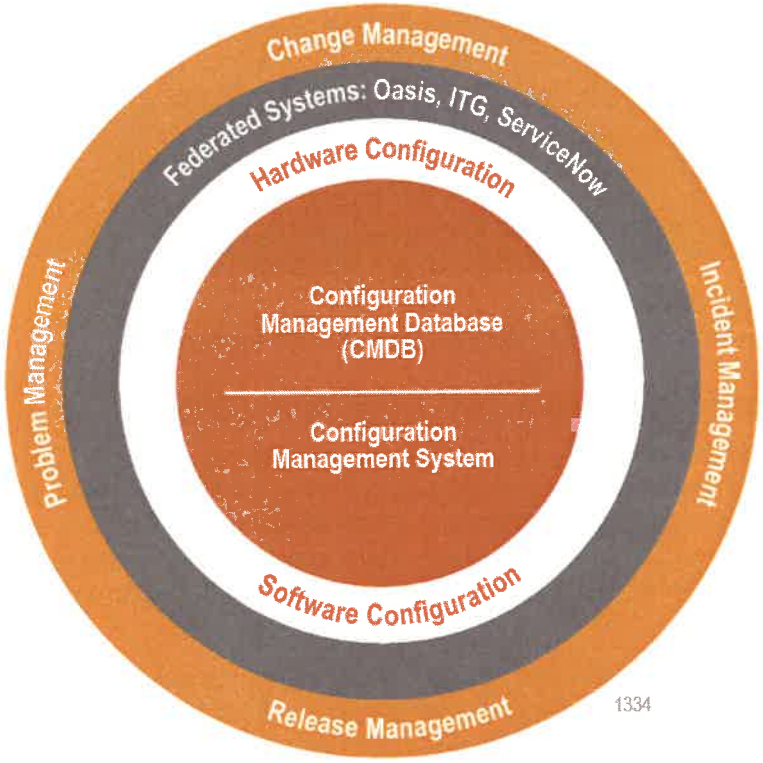


Figure 2: Configuration Management Relationships.
ITIL processes are dependent on CMDB and the configuration management system.

Configuration management is particularly critical to the change management process. The CMDB allows assessment of risks to occur automatically by analyzing relationships between the configuration items involved in the proposed change and other configuration items. Upstream and downstream relationships between configuration items are evaluated by the CMDB to determine the overall impact of a proposed change. The CMDB flags conflicts where multiple changes impact the same configuration item at the same time creating a high risk situation. This level of automation reduces the likelihood of introducing new issues improving overall application stability.

Incident, change and problem records are retained in accordance with WV IES Project data retention policies.

3. Responsibility Matrix (RASCI)

The following RASCI responsibility matrix (Figure 3) and table describes the responsibilities and roles of various parties with respect to configuration management.

	Creates and Approves Policies	Compliance with Controls	Bulk Data Quality Verification	Baseline Configuration	Configuration Management Audit	Continuous Config Mgmt Improvement	Data Quality Verification and Remediation	Data Maintenance
Optum M&O Lead, ITSM	RA	A		A		C	A	
Optum Service Level Owner	A	R		R	R	R	R	A
Hosting Service Manager	RA	R		R	R	R	R	R
Hosting ITSM Data Services	C	C	AR			S	R	
Hosting Risk Management	C	C				S	I	
Hosting Service Administrator	C	C		S		C	C	S
Hosting Compliance Office	C	A				S	I	
Hosting Audit, Risk, Compliance	C	C			R	S	I	
Hosting Feed System Owner	I		C			S	R	R
Hosting Configuration Analyst	I	R	S		I	S	R	R
Hosting Config Mgmt Process Team	C	R	R	A	A	AR	A	A
Hosting Change Mgmt Team	I	I				S	S	S
Customer	CI	CI		CI	I	R	CI	
Additional Vendors	I	R	S	A	S	R	R	R
Users	CI	R						

Definitions	
R	Responsible
A	Accountable
S	Support
C	Consulted
I	Informed

Figure 3: Configuration Management RASCI.
The matrix outlines the roles and responsibilities for configuration management activities.

Role	Definition
M&O Lead, Information Technology Service Management (ITSM)	Senior director who designates a configuration manager for the project and approves the organizational change management plan and policies.
Service Level Owners	The individual responsible for maintaining the configuration items, attributes and relationships. The service level owner is ultimately accountable for the currency, accuracy and integrity of the service and support readiness data for the services they represent.
Hosting Service Manager	Required to identify, define, and verify implementation for their service within the control framework. The service manager also confirms implementation of system-level requirements for the information systems within their service. The service manager must verify that configuration settings are built into WV IES applications in accordance with security requirements and assist with security impact analyses and system-level configuration monitoring activities, as needed.
ITSM Data Services	Provide bulk data load and manipulation capabilities. Responsibilities include: • Perform data extraction from trusted data sources, conversion of the data via field mapping, loading data into the production CMDB and verifying accuracy of the data • Responsibility for configuration item registration and configuration item update: – Build landing tables and load tables for trusted data source extracts – Work with the configuration analyst and repository administrators to review data exceptions and identify corrective actions – Perform delta report activities to identify variances between extract, transform, load (ETL) loads – Perform functional responsibility for verification and audit – Run periodic audits between a trusted data source and the CMDB during verification and audit – Participate in remediation activities for discrepancies discovered after an audit of a trusted data source and the production CMDB
Information Risk Management (IRM)	The office performs the role of senior information system security officer. Responsibilities include: • Assist the service managers with implementation of the infrastructure and systems • Serve as an advisor to the Change Advisory Board (CAB) as required • Manage, track to closure, and document computer security incidents
Hosting Service Administrators	Technical administrators with elevated privileges. Responsibilities include: • Implement agreed-upon secure baseline configurations • Incorporate secure configuration settings for IT products • Responsible for complying with policies and implementing/following procedures • Assist with security impact analyses and configuration monitoring activities as needed • May be included in the process for determining the appropriate baseline configuration for each configuration item • May serve as advisors to the CAB

Role	Definition
Optum Audit, Risk Management and Compliance	Responsible for periodic independent verifications and validations of organizations, policies, and procedures, to determine the Optum level of compliance with approved policies and procedures, including documentation of activities and verification that compliance is being appropriately documented.
Source of Truth Feeder System	IT tools and information systems which provide change management data as source data for the CMDB. Feeder system owner responsibilities include: • Oversee plans, policies and procedures for their data sources • Authorize downloads and uploads of data for their data sources • Identify other systems of record and high level integration points • Promote the value of common data and data integrity • Support the effective use of the ITSM change management process and CMDB • Verify the systems of record designated as trusted sources for the CMDB continue to meet defined criteria • Provide access to a trusted data source for change management process activities • As appropriate, assist the configuration analyst to revise trusted data source data to facilitate correct field level mapping to CMDB attributes • Participate in audits and as a result, assist in remediation activities that involve their systems of record, the CMDB, or other related sources • Identify and where possible eliminate redundant data sources or processes that support them • Contribute to the maturity of the CMDB by recommending improvements to facilitate effective use and integrity of the CMDB • Provide IT service management with pertinent component and component relationship information • Correct data discrepancies identified within their respective systems of record as a result of audit and/or verification activities
Configuration Analyst	Responsible for managing, maintaining and auditing the CMDB, including registration of new configuration items, and updates to configuration item attributes and relationships as part of the implementation of an approved change. Responsibilities include: • Confirm authorized change management procedures and practices are consistently followed • Support the effective use of the ITSM change management process and the CMDB • Maintain and recommend improvements to facilitate effective use and integrity of the CMDB • Maintain and publish the Trusted Source Matrix • Maintain CM process artifacts • Perform functional responsibility for configuration item registration • Review configuration item registration forms to determine if the request is valid and if all required information is complete • Notify the requestor if the configuration item registration request is invalid or if the information is incomplete • Properly identify and accurately register configuration items and their relationships within the CMDB • Notify the requestor when registration of a new configuration item is complete

Role	Definition
	• Work with data stewards to obtain access to a trusted data source • Analyze, map, document, verify data integrity, and lead remediation for ETL processes • Perform functional responsibility for configuration item updates, including status accounting, remediation, escalations and user training • Perform functional responsibility for verification and audit
Configuration Management Process Owner and Team	Oversee the execution, monitoring, and improvement of the change management process. Responsibilities include: • Establish and maintain the set of attributes that define a configuration item • Establish and maintain the types of relationships between configuration items, components, and services • Confirm that configuration items, their appropriate attributes, and relationships are registered in the CMDB either through automated discovery and data load services or through manual registration and update by change management analysts • Oversee and facilitate status accounting through CMDB • Monitor changes to the baseline and verify required updates to CMDB are completed • Perform periodic and requested ad hoc configuration audits, document audit results, and support root cause analysis of discrepancies through the ITSM problem management process
Change Management Process Owner and Team	Oversees the configuration change control portion of change management. Roles and responsibilities for change management are documented in the Change Management Process and Policy document.
Customer	Responsibilities include: • Review system architecture and configuration item changes and provide approvals • Remediate any audit or compliance findings
Additional Vendors	For certain projects, the customer may wish Optum to maintain change management for items which are supplied by other vendors. Responsibilities include: • Verify all employees comply with all information system usage and security policies • Report incidents including security incidents • Initiate change requests if required • Assist with functional testing if requested • Participate in change management continuous improvement • Verify configuration item information and relationships are accurately maintained
Users	Responsibilities include: • Comply with all information system usage and security policies • Report incidents including security incidents • Initiate change requests if required • Assist with functional testing if requested

4. Configuration Identification and Documentation

CMDB information is primarily maintained and updated by integration with operational source systems. These systems are used on a daily basis to perform functions such as creating or maintaining environments and systems.

No manual action is required to update the CMDB for information processes by one of the source systems. The data feeds and landing tables are actively monitored and alerts occur if the feeds do not run correctly. These alerts are then addressed by the change management team and managed until data flows correctly.

Five other processes, as shown in Figure 4, are used to maintain the information in CMDB. The last three of these processes will be described in detail later in this document.

- Service Registration processes
- CMDB Update Tool for service level owner or delegate to update relationships
- Service Information Review and Attestation (SIRA) process
- Audit and compliance findings
- Change-related problems or issues

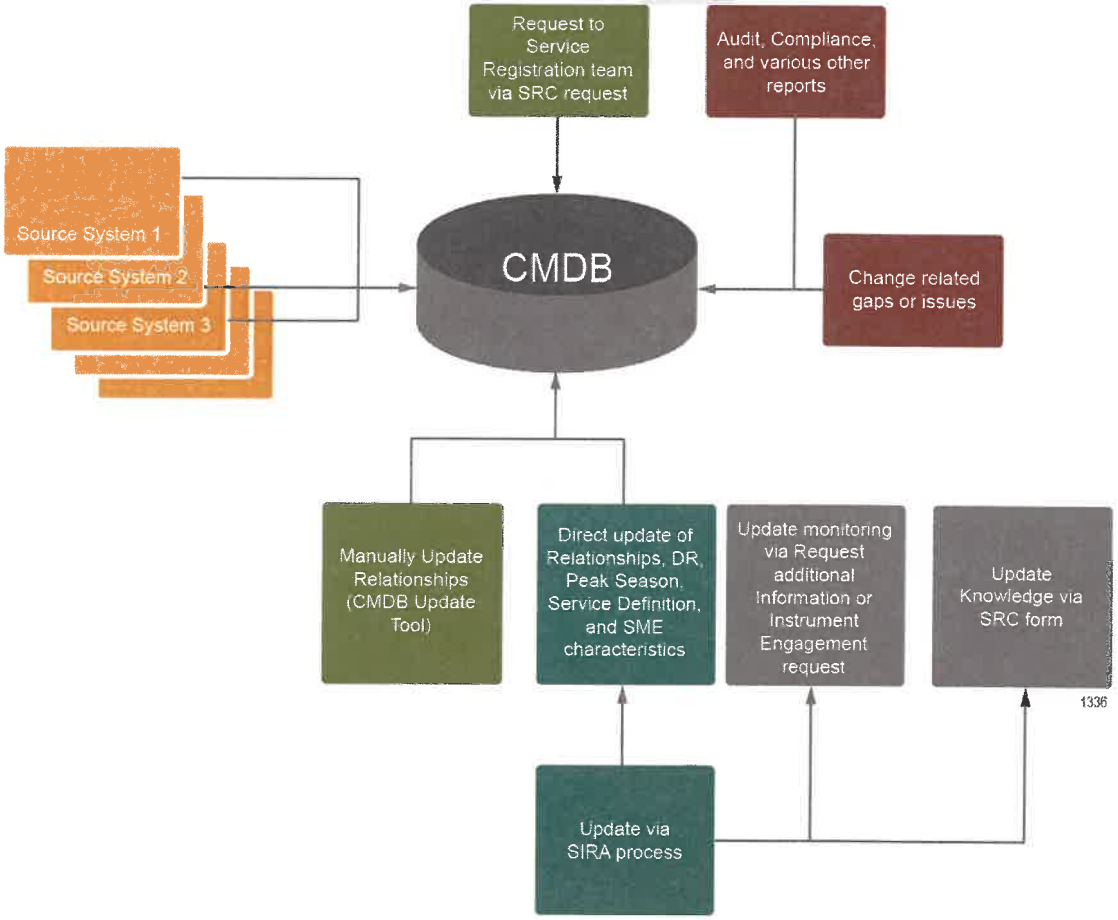


Figure 4: CMDB Input Processes.
Multiple processes and systems are used to update the CMDB.

The service registration team is the only group allowed to create services and they build the initial relationships between services and their various components. Many updates or modifications to CMDB information, which do not come across from source systems, must come through Service Registration to validate and approve such modifications.

The CMDB Update Tool allows the service level owner and service delivery manager to directly update relationships between many, but not all configuration items.

SIRA is a quarterly verification process which prompts the service level owner or service delivery manager to validate that the CMDB information is correct. Certain pieces of information can be updated directly by the service level owner, including configuration item relationships and some DR, Peak Season, Service Definition, and subject matter expert characteristics. Monitoring updates require an instrument engagement request. Knowledgebase updates require submission of a service request center (SRC) form. Other items may require contacting Service Registration.

Audit and compliance findings may occasionally include findings that require CMDB changes. The CMDB process team will perform any such changes.

Change-related issues also may point out the need for CMDB changes. Typically these changes will be processed through the service level owner and service delivery manager or delegate for approval and then back to Service Registration or CMDB process teams for implementation.

4.1 Configuration Item Creation Overview

The Optum configuration management team manages the configuration identification (i.e., registration) process. A configuration item is a component of the IT infrastructure that is under the control of configuration management, maintained by the ITSM change management process, and is stored in the CMDB. Depending on the component type, configuration items include additional descriptive information called attributes that further define the configuration item and its relationship to other configuration items.

The registration of new configuration items or updates (including inactivation) of existing configuration items can be accomplished in two ways: federated source systems and manual entry. New configuration items introduced to production environment will be identified in the change ticket and will be reviewed and compared to the next available configuration baseline report that is generated from the source systems. Further relationship associations will occur after configuration item review.

The service level owner is primarily responsible for the accuracy of the information stored within the CMDB. Key service level owner activities include:

- Initiating the service creation/service discovery process
- Facilitating the provision of service support information, as required, to the ITSM analyst
- Engaging subject matter experts as necessary to obtain current support information
- Confirming the completeness and accuracy of all items required in the Service Registration Form
- Remediating discrepancies in support readiness information identified by the ITSM analyst
- Participating in the support readiness review

4.2 Relationship/Dependency Map within the CMDB

Configuration item relationships are hierarchical and show the upstream and downstream flow of supporting infrastructure. A service is supported by an application configuration item, which is supported by various infrastructure configuration items, such as servers, databases and Java Virtual Machines. Typically, a service has one primary application, but may also have relationships to secondary applications, which indicates that the service is dependent on those secondary applications, as illustrated in Figure 5.

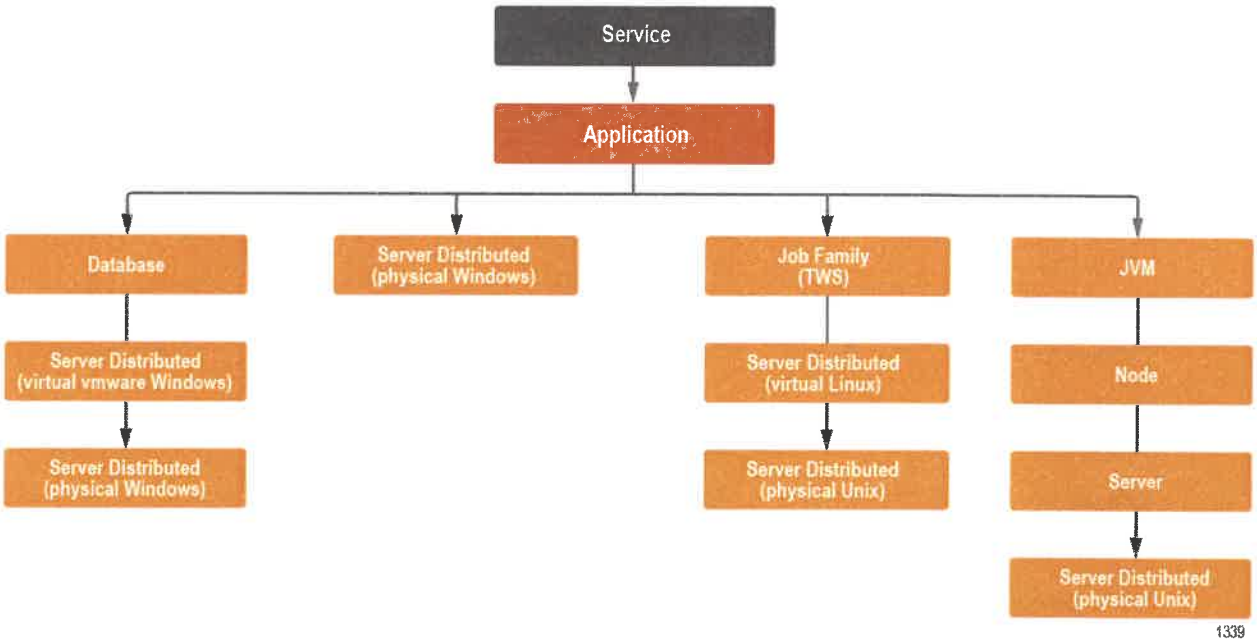


Figure 5: Configuration Items Hierarchical Relationships.
Our approach to managing configuration items will include identifying and understanding dependencies between them.

All secondary upstream and downstream relationships between configuration items are evaluated by the system to determine the overall impact of a proposed change. The CMDB flags conflicts where multiple changes impact the same configuration item at the same time creating a high-risk situation. This level of automation reduces the likelihood of introducing new issues, thus improving overall application stability.

Configuration management is critical to the change management process. The CMDB allows us to automatically assess the risk of each change by analyzing relationships between WV IES configuration items and the specific configuration items involved in the proposed change.

4.3 Configuration Items

The types of configuration items and their associated attributes are discussed in this section.

4.3.1 Types of Configuration Items

Configuration items stored within the CMDB include the attributes shown in the following table.

Type	Subtype
Application	
Network	Concentrator
Network	Contact Mgmt System
Network	Firewall
Network	IP Telephony
Network	Load Balancer
Network	Net Appliance
Network	Router
Network	Switch
Network	VRU/IVR
Network	Voice Mail
Network	Voice Switch
SW Instance	Alias
SW Instance	Cell
SW Instance	Database
SW Instance	Java Virtual Machine
SW Instance	Job Family
SW Instance	Node
SW Instance	URL
Server	Distributed
Server	Mainframe
Server	iSeries
Service	Business Service
Service	IT Service
Service	Supporting Service
Storage	San Array
Storage	San Switch
Workstation	Desktop, Laptop

4.3.2 Configuration Item Attributes

Note: Not all attributes in the table below are applicable to all configuration item types. Mandatory attributes are those with titles in bold in the following table.

Configuration Item Attribute Title	Description/Requirements
STATUS	Active, inactive, or removed
OVO ID (System ID/FQDN)	This field should represent the Fully Qualified Domain Name (FQDN), for example "abbott.uhc.com", and should be in lower case
FORMALNAME*	Long name of the component. If a device, this field should represent the first octet of the FQDN, for example "abbott", and should be in lower case - required field
COMMON NAME	These are other names the component is known by, or aliases the device is also known as
DRCODE	Represents the DR capability and specific technical solution associated with the configuration item
DRPAIR	Configuration item host name(s) used as failover host in a DR event; Indicates DR relationship between production and stage environments
SERIALNUMBER	Vendor Serial Number
ENVIRONMENT	Non-production, Production, Unknown, Retired
CI TYPE	This field represents the type of the configuration item (See table above for allowable values)
MODEL	Vendor model name and/or number
BRAND	Vendor name
LOCATION	Mail code of the building where the configuration item is physically located; This is a required field for a physical configuration item; virtual configuration items should not have a location code
SUPPORTINGWORKGROUP	This is the repository workgroup responsible for providing support of the configuration item and must be a type that is not a change workgroup
TIER1	Indicates if the configuration item is on the Tier1 Systems list
REMARKS	Open text field; describes what function, service or software the configuration item provides, if it is part of a virtual environment, items that define its existence, dependencies and/or interaction with other components
IPADDRESS	The IP Address assigned to the device; this is required for all servers and network devices
O/S	Included where applicable and where provided by the trusted source system
O/S Version	Included where applicable and where provided by the trusted source system
Virtual/Physical	Defines if the device is a physical or virtual device
MAC Address	Media Access Control address
Relationships	This includes all configuration item to configuration item and configuration item for business service relationships

4.4 Commercially Available Software Configuration

The Optum CMDB is used to track the current version of commercial software in use on each server. Software licensing and versions may be tracked for software not purchased by Optum, but required to be tracked as part of the overall configuration management for WV IES.

Understanding the various versions of software in use is a critical part of the problem management process. Software incompatibilities can occur when outdated versions of software are used. The storage of software versioning in CMDB facilitates the organization's product lifecycle management efforts.

4.5 Code Configuration Management

Subversion software will be the primary source code management tool for configuration baselines and documentation. The Subversion main objective is to maintain current and historical versions of files such as source code, web pages and documentation. The Subversion server will be backed up nightly. Subversion is installed on the code repository server which is located in a supporting environment.

All production change tickets must include a list of configuration items impacted (of which, impacted services are derived) and the ticket can only be approved once all of the correct information is in place. Changes to configuration items are reflected in the CMDB.

4.6 Baselining

The configuration baseline is defined as the state of the CMDB configuration item attributes and the state of the parent-child relationships stored in the CMDB at a specific point in time. Changes to configuration item relationships can also be detected.

The ability to determine what changes have been made and when they were made, allows the creation of a baseline status reports that show the state of the CMDB configuration item attributes and their relationships at any point in the past since the creation of the configuration item attributes. This is done by taking the current baseline (current table data) and backing out any changes made since a requestor-specified date in the past.

5. Configuration Control

5.1 Data Entry Controls

Optum maintains a dedicated team designed to provide controls related to the update process for configuration items, configuration item attributes, and relationships. The support readiness and ITSM analysts receive requests for changes, validate that the requestor has the rights to make content updates, and that the content updates meet certain criteria and documentation. Analysts validate information received from other systems, such as discovery tools, for correct mapping and data exception handling. Additional control tasks performed by the configuration management team include:

- Identify unauthorized configuration item changes and escalate non-compliance issues to the change management team and change management process owners
- Verify authorized procedures and practices are followed
- Report process discrepancies to Optum and DHHR project managers where baseline configuration was altered without an authorized change

- Perform functional responsibility for status accounting
- Lead the remediation activities for discrepancies discovered after ETL data loads during configuration item registration

5.2 Recording

Once support readiness and service information has been created, it must be maintained to confirm accuracy. The CMDB is maintained for application and functions, but the application configuration information and the application source code is maintained and managed as documents.

5.3 Configuration Change Control

A change is defined as any deliberate action that alters the form, fit or function of configuration items, typically an addition, modification, movement or deletion that impacts the IT infrastructure or IT services. This includes applicable hardware, network, software, application, environment, system and desktops. A configuration item is any component of the IT environment/infrastructure that is under change management control.

Changes to the production environment are controlled and managed by the ITSM change management process.

All production changes must be submitted, tracked and approved (or rejected) through the repository. Low-risk changes must be approved by change approvers in the Change Owners Workgroup and any workgroups that receive a task as part of the change. Medium- and High-risk changes require approval by the Operation Change Review Board and the Optum CAB. Service delivery managers are encouraged to subscribe to automated notifications sent when a change impacts a configuration item related to the service they own. Related incidents and problems are also tracked and tied to the originating Change Request.

5.4 Environment Synchronization

The Schedule Management Plan document contains specific details for keeping the relevant software environments in sync between Production, Stage, Disaster Recovery (DR) and Training. Optum uses automated deployment tools, shell scripts, and tool-specific built in automation to deploy code to each of the environments.

5.4.1 Hardware Environment Synchronization

Configuration baselining maintains the base configuration of all components and provides a method to audit changes to the system and verify configurations. Correct configuration of components is maintained via the controls included as part of the change management process.

The ability to determine what changes have been made and when they were made, allows the creation of a baseline status reports that show the state of the CMDB configuration item attributes and their relationships at any point in the past since the creation of the configuration item attributes. This is done by taking the current baseline (current table data) and backing out any changes made since a requestor-specified date. Requesting a report weekly will yield a 'baseline' capability without any additional data storage overhead required to store weekly snapshots of the database.

5.4.2 Code Synchronization

Through the standard process for code promotion and environment configuration, all environments are kept in sync with the latest production release. All changes follow the SDLC process and require change approval for deployment to environments beyond the Test environment. Using these controls, the WV IES environments stay in sync for changes as they are deployed through the environment stack. Refer to Figure 6 for additional details.

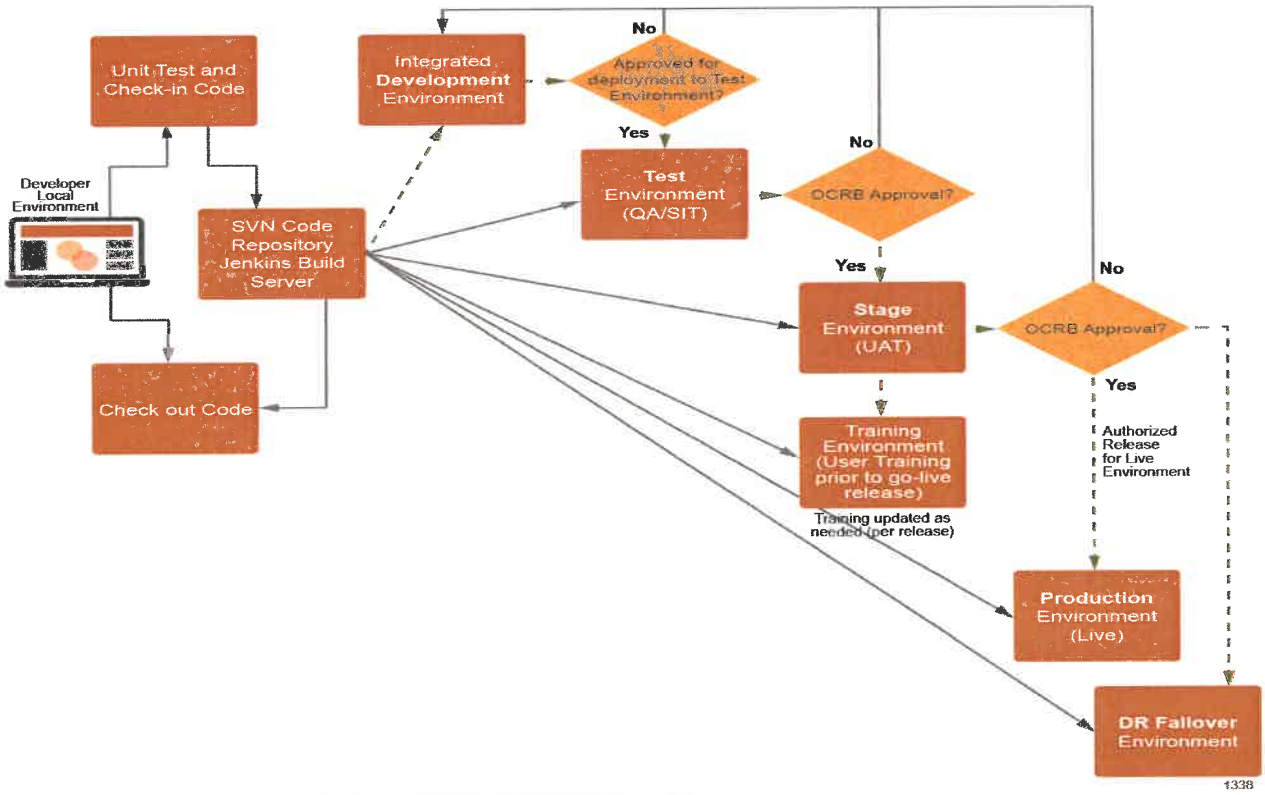


Figure 6: Deployment Process.
Code deployment processes maintain environment synchronization.

If a change rollback is required, the defect that caused the rollback is resolved and the code redeployed. If testing fails for code maintenance changes, the release date will be pushed out. New code development and deployment is more complex, involving the Defect Review Board, where it is determined if a release is pushed out or goes live with the defect.

6. Monitoring, Reporting, Auditing Configuration

Configuration status monitoring, reporting and auditing provides the necessary mechanisms to review and maintain the integrity of the customer's configuration at any time.

6.1 Configuration and Drift Monitoring

Configuration monitoring will be performed by comparing changes to the attributes and relationships of the configuration items in the CMDB against Change Requests entered into and tracked in the repository. This process is often referred to as drift monitoring.

This comparison should reveal the following cases:

Case 1: Repository change made without a possible CMDB change. This case will be detected by matching each of the related configuration items listed in the repository change records to CMDB records and identifying those configuration items where none of the CMDB attributes or relationships changed during the audit period. This case can result because:

- The implemented change does not actually alter any of the CMDB tracked attributes of the configuration item.
- One or more source of truth data systems failed to detect the change or was not loaded into CMDB before the audit report was executed.
- One or more manual inputs were not updated correctly or in a timely manner.
- The related configuration item listed in the repository change record was not actually changed, either because the configuration item was incorrectly identified, incorrectly included, or the implemented change differed from the planned change and the list of related configuration items in the repository ticket was not updated.

Case 2: CMDB change made without a possible repository change. This case can be detected when there are one or more changes to an attribute or relationship of a configuration item in the CMDB and there are no change records in the repository during the audit period that reference that configuration item in the related configuration items list of any repository change record. This case can result when:

- A change was made to the environment without an approved repository change record.
- An approved change record's status has not been progressed to awaiting closure, pending closure, or closed (possibly the entire change has not been completed, or not completely backed out if the change could not be completed).
- The change owner misidentified an affected configuration item.
- The change owner failed to list the configuration item in the Related Configuration Items of an implemented change record.
- The change owner was unaware a requested change would alter an affected configuration item.
- The attribute change in the CMDB would not have required a repository change record (e.g., a non-physical change like changing the supporting workgroup, or correcting an improperly entered serial number).

Case 3: Potentially matching changes. One or more attributes or relationships for a configuration item in the CMDB changed (including a new configuration item) and a change requested in the repository was approved and in Awaiting Closure, Pending Closed, or Closed status during the past weekly period; and includes the changed configuration item in the list of Related Configuration Items documented in the Change Request. While the probability that the changes are related is high, there may not be enough information in the change ticket to positively confirm that they are, in fact, directly related.

Case 4: Unknowns. This case, where no change is recorded in the repository or the CMDB, cannot be detected with the current toolset. However, a few examples of this case may be retroactively discovered during investigation of a problem or incident resulting from an unapproved change. This case can result when:

- A change was made to a configuration item for which no repository change was entered

- An affected configuration item was not included in the related configuration item list for the change record
- None of the attributes or relationships in the CMDB are affected, the source of truth data systems do not detect the change, and/or a required manual input is not updated

As this case cannot currently being detected, it cannot be actively monitored.

Reviews will be conducted weekly to begin identifying the counts of each case compared to the number of approved configuration item changes in the repository. Instances will be selected for analysis and evaluated for root cause. Where applicable, corrective actions will be developed and proposed.

The following table shows an example of a drift analysis report showing records requiring remediation.

Task ID	Potential Compliance Issue	Task Summary
PT100XXXX	Change: Missing or not documented correctly	Correct Impact not Identified
PT100XXXX	Change: Missing or not documented correctly	No Change in place
PT100XXXX	CMDB Relationship not created or maintained	XXXX not derived as potentially impacted
PT100XXXX	Change: Missing or not documented correctly	No outage indicated
PT100XXXX	Change: Missing or not documented correctly	No Change in place
PT100XXXX	Change: Missing or not documented correctly	Change: Missing or not documented correctly
PT100XXXX	Change: Missing or not documented correctly	No Change in place
PT100XXXX	Change: Change work done outside of window	Outage window started at 7:15, outage actually started at 7
PT100XXXX	Change: Missing or not documented correctly	No Change in place
PT100XXXX	CMDB Relationship not created or maintained	XXXXD not derived as potentially impacted
PT100XXXX	Change: Missing or not documented correctly	No Change in place
PT100XXXX	Change: Missing or not documented correctly	No Change in place
PT100XXXX	Change: Change work done outside of window	C11XXXXX was started before the Planned Start
PT100XXXX	CMDB Relationship not created or maintained	XXXXS not derived as potentially impacted

6.2 Reporting

Internal Optum hosting reports are generated regularly in order to perform auditing of configuration information. Internal Optum systems allow users to perform a wide variety of searches and reporting on configuration items. In addition, SIRA provides reporting for service delivery managers which must be confirmed for accuracy.

The following change management metrics will be tracked and reported:

- CMDB accuracy ratio: The percentage of configuration items with erroneous data based upon a quarterly audit
- Number incidents related to inaccurate configuration item information
- Number change failures related to inaccurate configuration item information

6.3 Audit and Verification

On a periodic basis, or as requested, a review/audit of service information will be conducted to include a new review of all support readiness information and artifacts. A full, independent audit is performed annually in conjunction with the Optum Audit, Risk Management and Compliance office.

The SIRA process is one key component of the audit and verification process. Each tab on the SIRA record must be attested to within 14 days of request by the service delivery manager, by clicking on the Attestation checkbox at the top of the tab. The attestation will not be considered complete until the checkbox has been checked on every tab.

The service delivery manager is responsible for the following audit and verification activities:

- Participating in auditing support readiness data as requested
- Completion of SIRA attestations as requested
- Leading the remediation of any discrepancies identified by a manual inspection or by SIRA
- Following the ITSM change and problem management processes, as necessary, during the remediation of discrepancies

Configuration item information and relationships are used for impact analysis during changes, troubleshooting for incidents and problems, and keeping the WV IES computing environments in sync.

6.4 Audits with Third-Party Vendors

CMDB auditing is a critical component for monitoring the configuration baseline. Audits will be accomplished by comparing the exports from the CMDB to independently obtained listings from the trusted data sources. The CMDB audits provide evidence of process adherence and potential security risks of unauthorized configuration items added to the configuration baseline. Audits are conducted by:

- Reviewing inventory to verify compliance with configuration policies and process adherence
- Identifying disparities between the CMDB inventory, the trusted source inventory and the actual configuration and correcting them

An audit of the CMDB and supporting processes can be conducted anytime and is required at least once per year. Evidence of these audits will be maintained for management or external review. In addition, an audit will occur when a DR effort has occurred and an "all clear" is issued.

6.5 Safeguards

The Release Management team will tag code in the Subversion tool per release so that there is always a last known good state that the code can be rolled-back to, if necessary. The Subversion tool allows for a history of commits, so there is always an audit trail and version history for reference. Code can be deployed from a tag if there is ever a case needed for rollback for a particular component.

7. Policy/Plan for Continuous Improvement

Continuous improvement is built into Optum processes, in part via the change management process. All changes to the environments will be documented and then updated in the CMDB system. CMDB information is primarily maintained and updated by integration with operational source systems. These systems are used on a daily basis to perform functions such as creating or maintaining environments and systems. Source systems are continually updated and result in updates to the CMDB integrations. These changes are managed via the Optum corporate change control process. In addition, changes to this document and processes and procedures can be addressed or updated if there are needs related to improve these processes.

7.1 DevOps Model

One continuous improvement effort currently underway at Optum is the implementation of a DevOps Model. At its core, DevOps requires both the Development and Operations teams take on more responsibility for the entire system delivered as a whole instead of disconnected pieces of the puzzle. This is a quite different from the traditional role that each of these teams has been accustomed. We have a DevOps Manifesto that in part reads:

- Infrastructure is code and should be developed and managed as such.
- A project is finished only when retired from production.

The Optum DevOps program embraces full development, deployment, monitoring, testing and support characteristics. The program leverages automation tools to provide speed and agility to the testing and deployment processes to promote a faster turnaround, putting quality results into the hands of the developers who wrote the code.

With the current DevOps deployment tools, we build our code into containers. These containers have images of the code and are broken into building blocks. The containers can be a full module deployment or several partial module deployments. By breaking up the containers this way, Optum has better control supporting our Tag and Branch Strategy and facilitates our delivery of just the module subsets needed for deployment.

The DevOps teams leverage end-to-end performance monitoring tools that have hooks into each of the various delivered modules used to support the WV IES deployment. The tool continually evaluates the flow through the solution and provides the amount of time each component consumes. This allows for easy identification of the modules needing performance improvements.

7.2 CMDB Improvements

Optum continues to improve the characteristics and functions of the CMDB system. Additional data streams are added each year, eliminating manual processing. For instance, in 2016 additional information regarding firewalls has been added to the CMDB through an automated feed from a source system. While we use certain auto discovery tools, we continue to explore additional methods to discover information about the exact items and parameters installed in environments.

West Virginia Integrated Eligibility Solution (IES)

Draft Data Conversion Management Plan

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

Signature _____ **Date** _____

xxxxxxxxx

Optum

Signature _____ **Date** _____

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Revision History

Version	Date	Author	Summary of Changes
1.1	8/8/2017	Optum	Initial draft release

Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 1
1.5 Related Documents 2
2. Data Conversion Overview 2
3. Data Conversion Approach 4
4. Data Conversion Dependencies 8
5. Data Conversion Process by Release 8
5.1 Discovery Sessions 8
5.2 Validate Project Environments 9

List of Figures

Figure 1: Extract, Transform, Load (ETL) Process. 3
Figure 2: Data Conversion Approach. 4

1. Introduction

1.1 Objective

The Data Conversion Management Plan describes our approach to data conversion for the West Virginia Integrated Eligibility Solution (WV IES) Project. The plan provides a data element-to-data element mapping, including how the values will be converted from the legacy system to the WV IES. This plan will include the following information at the data element level:

- Assumptions and any proposed calculations involved in the conversion
- Default values used to populate data fields that do not exist in the legacy systems, but are required in the WV IES
- Data migration and conversion rules for handling data elements with incompatible lengths and/or data types between the legacy systems and the WV IES, or data elements with stricter edit requirements in the WV IES

The plan provides the details of any data clean up procedures that could be applied to legacy systems data prior to the data conversion and migration effort.

1.2 Plan Scope

The WV Data Conversion Management Plan addresses the approach that Optum will use to conduct the data conversion supporting the transition from the legacy solutions to the integrated WV IES.

1.3 Plan Assumptions

We made the following assumptions when preparing this plan:

- Optum will:
  - Conduct analysis of legacy systems data to define data element mapping and migration rules
  - Conduct analysis of legacy systems data to determine if a pre-conversion "clean up" of data will be feasible
  - If a phased conversion and data migration approach is used, then we will include provisioning for data conversion and synchronization between legacy systems data and WV IES data until the data is converted and migrated, and legacy systems processing retired
- DHHR will coordinate with its hosting provider, other vendors and State Agencies, to provide resources, services, technology, etc., in support of the WV IES data conversion activity

1.4 Plan Organization

This Data Conversion Management Plan is organized into the following sections:

- **Introduction (Section 1)** lists the objectives and scope of the Data Conversion Management Plan, assumptions made in developing the plan, describes the plan organization, and identifies related documents.

DRAFT

- **Data Conversion Overview (Section 2)** provides a high-level discussion about our data conversion and migration strategy to the WV IES.
- **Data Conversion Approach (Section 3)** discusses our approach to manage the overall data conversion process.
- **Data Conversion Dependencies (Section 4)** describes the data dependencies that will affect the conversion activity.
- **Data Conversion Process by Release (Section 5)** discusses our data conversion approach for each release, and includes discovery sessions, and how we validate project environments.

1.5 Related Documents

The Data Conversion Management Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, the document is baselined and placed under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

Related plans include:

- Change Management Plan
- Risk Management Plan

2. Data Conversion Overview

The process of converting data from a legacy application to the WV IES requires careful analysis and planning, followed by strict and efficient project execution to confirm that we meet project deadlines. Additionally, the approach must be flexible and accommodate situations where testing does not progress as planned and fails to produce desired results. Optum will begin data conversion activities as early as possible in the project to make certain there is ample time to identify and complete data conversion activities. We will leverage lessons we learned in prior endeavors, as well as the data conversion processes developed in other projects, to facilitate the conversion effort for West Virginia.

We follow a comprehensive risk management approach that will allow us to effectively control and manage project risks. Identified data conversion risks will be assigned a risk owner who will be responsible for developing a mitigation plan for the risk and controlling the status of the risk until it is resolved. Optum will maintain a Risk Report that will keep DHHR and Optum management personnel informed of the status of outstanding risks. We will also use a risk management tool, our SharePoint-based IRAAD Tool, to facilitate the risk management process. Our approach and tools to achieve successful risk management are described in the Risk Management Plan.

Optum will convert historical and active data from current legacy systems (e.g., RAPIDS, OSCAR, FACTS) that are necessary to meet the WV IES requirements. Figure 1 shows the general strategy for converting legacy data to the new WV IES format.

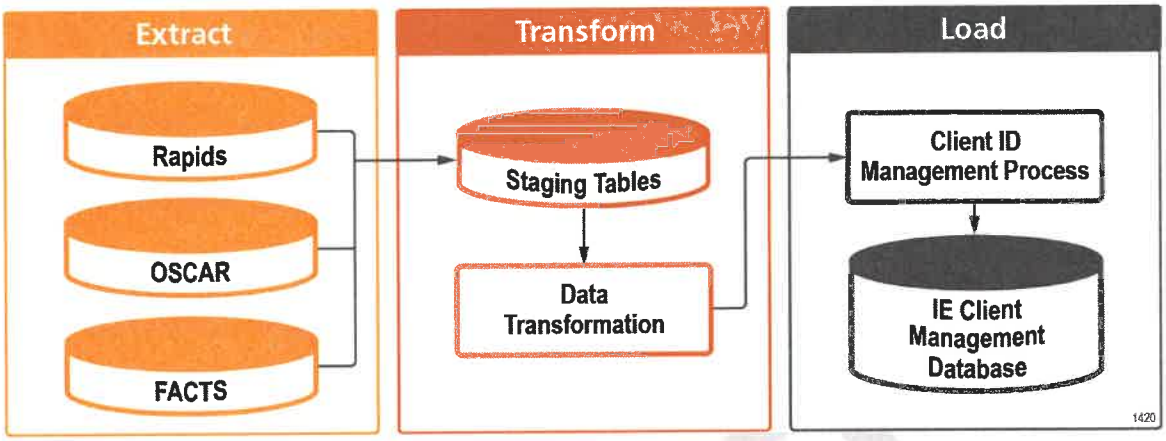


Figure 1: Extract, Transform, Load (ETL) Process.
Optum will use a variety of industry standard tools to extract legacy data, analyze the quality of the data, perform data cleansing, and transform the data into a format acceptable to the WV IES.

Optum offers a sound data conversion strategy and approach using ETL processes. Our data conversion approach will involve planning, identifying, and analyzing conversion requirements; preparing conversion specifications; developing and testing conversion programs; and converting the data. Optum will meet the following data conversion objectives:

- Data integrity
- Data quality
- Data verification
- Data loads for testing purposes
- Data load completion

Our data migration strategy includes migrating subsets of legacy system data into the WV IES Client Management database. This provides a repeatable process we can run as we migrate specific clients and benefit programs to the WV IES. This process includes assigning unique Client IDs during the migration process. In this manner, we establish a Client Management database with high data quality.

There will not always be a one-to-one relationship between legacy source data elements and their corresponding WV IES target data elements. Data elements may relate in the ways shown in the following table.

Relationship	Description
One-to-one	The legacy source data element has only one corresponding data element in the WV IES target database.
One-to-many	The legacy source data element is represented in more than one field in the WV IES target database.
One-to-none	The legacy source data element does not have a corresponding data element in the WV IES target database.
Many-to-one	Several legacy source data elements correspond to a single data element in the WV IES target database.
None-to-one	No legacy source data element exists for a particular data element in the WV IES target database.

Each relationship shown in the table presents its own set of challenges that must be resolved for meaningful, accurate mapping of the WV IES target database.

In addition to the data element mapping, we will establish reference data consistent with DHHR's requirements.

We will structure data conversion analysis, development, testing, scheduling activities, and conversion activities in logical predecessor and dependency sequences. The identification of data conversion tasks, the schedules for accomplishing the tasks, and the identification of the responsible party for each task will be included in the formal data conversion work plan.

3. Data Conversion Approach

Figure 2 shows the high-level approach to how Optum will manage the overall data conversion process.



Figure 2: Data Conversion Approach.
We follow a consistent approach for data conversion that has been proven successful on other similar projects.

Plan:

Our initial planning consists of laying out the overall data conversion strategy. This includes verifying that our conversion strategy is consistent with the overall IES implementation strategy so that the data conversion is completed in a manner that promotes the successful installation of the WV IES.

A key part to planning is the identification of the data conversion cross-function team. Planning will identify individuals from DHHR with sufficient knowledge of the current systems and business processes. These individuals will partner with Optum data architects and business analysts to plan and execute the conversion processes.

The planning phase will identify key milestones. These milestones will be scheduled and incorporated into the WV IES Project schedule. The planning phase clearly outlines the future system environment requirements.

Analysis:

The analysis phase of data conversion starts with collaborative meetings with DHHR to gain a full understanding of Rapids, OSCAR and FACTS data while providing DHHR with information about the WV IES Client Management database. This first step is necessary to smoothly facilitate the source to target data mapping effort.

The analysis phase also consists of data profiling and data quality checks to verify the data being migrated is of a high quality. At this point, mitigation plans for dealing with inconsistent data are identified.

Convert:

The conversion phase consists of setting up the system environment as identified in the planning phase. Environment set-up can start with the analysis phase. Environment set-up includes building the environment and pre-testing the system before data migration begins. Once the environment is established and the pre-testing has completed successfully, expected data conversion results will be defined for the legacy test data being converted. Using the

legacy system test data we will then perform migration to the IES Client Management database. Data migration results will be compared with expected results to verify the migration tests have run successfully. In addition, we will run tests selecting subsets of legacy data for conversion. Testing will demonstrate a repeatable process for converting defined populations of client data from the legacy systems.

Migrate:

Migration executes the data conversion for the legacy system production data. This data will be migrated to the WV IES Client Management database. The initial migration will contain the set of DHHR programs required to support WV IES features as they are deployed. The criteria used for the initial data migration is dependent on the overall WV IES deployment schedule.

Once the migration criteria have been established, the data conversion process is run, loading the legacy data into the target WV IES Client Management database. This data will be verified through user acceptance testing. Subsequent data migrations will align to the overall project release schedule. Each subsequent data migration is dependent on criteria provided in conjunction with the overall deployment schedule.

Back out and recovery of the initial data migration can be done in its entirety. Back out of subsequent data migrations will be accomplished using database backups. Prior to running the data migration, a backup is taken of the WV IES Client Management database. In the event there is a problem with a migration, we can restore the database to the state it was prior to running the migration. This restore process is to be used to recover from any problems with subsequent data migrations.

Converting legacy data requires several carefully planned activities included within the overall implementation planning, including the following:

- Planning, developing, testing, and coordinating the data and file conversions required to support the operation of the WV IES
- Identifying the data elements required to support WV IES processes and those that must be converted
- Identifying the source of the data
- Determining how to secure the data
- Developing data conversion requirements
- Developing conversion software and/or manual procedures, testing conversion programs and procedures, and preliminarily converting the files

With the support of DHHR, we will demonstrate (through comprehensive testing of the conversion processes) that the data required to support WV IES processing will be available, accurate, and cross-walked to facilitate continued operations.

A teaming approach for data conversion personnel is one of the most critical decision points in determining the success of a project. For the WV IES we propose creating interface and conversion teams by assembling members of cross-functional groups into teams segregated by subject area.

The following are the 11 major steps that we anticipate the data conversion process will encompass.

1. **Perform data documentation assessment:** Optum will obtain legacy system documentation from DHHR. Documentation will include systems documentation, copybooks, lists of master files, data edit criteria, and other materials relevant to the legacy system data. Optum will perform a detailed assessment of these materials to gain an in-depth understanding of how data is structured in the legacy systems.
2. **Determine data sources:** Based on documentation reviews and meetings with DHHR, Optum will identify the required data sources for the conversion activities. These are usually primarily master files from the existing legacy application, but can include DHHR or third-party vendor data sources. As part of identifying and documenting information related to conversion data elements, Optum will determine data sources and document these sources in detail, including the separation of what is required for each component of the WV IES. We will use this information to design and develop the appropriate conversion routines and sample data element extracts used for testing. Optum will also develop procedures and playbooks for executing conversion programs.
3. **Request data files:** Using the list of data sources, Optum will request legacy data from appropriate sources. During this process, we will work with DHHR and the involved parties to set up a regular schedule for obtaining copies of files at least monthly or more frequently. This will confirm that we are working with current data as we move forward with the conversion process.
4. **Assess data quality:** As Optum receives the legacy data from each identified source we will begin a thorough and detailed assessment of the data quality. This will include assessing the presence, format, validity, and consistency of the data we receive. This will assist in developing the necessary editing and validation processes to confirm only clean data is loaded to the WV IES relational databases.
5. **Develop a formal data conversion plan:** The conversion plan will be a living document that includes:
   - A detailed plan of the conversion processes being performed
   - The staffing plan that identifies the required resources from Optum and DHHR for conversion activities
   - The training plan for the conversion resources
   - A work plan showing the estimated time to complete each conversion task within each system development iteration

   As each step of the conversion process is completed and details become available, the conversion plan will be updated to reflect new knowledge and the processes that must be revised.

   After completing the data determination and data mapping, we will have complete lists of the conversion input and output files. This interactive process will require coordination with DHHR to confirm data descriptions and requirements. Optum will provide ongoing reports and walk-throughs for DHHR to verify accuracy and continuity of the conversion process. The data will be protected using HIPAA-compliant security. Proven unit, system and acceptance test procedures will be followed to verify and maintain data integrity and process continuity.

   Optum will begin data conversion as early as possible. The conversion goal includes conducting error-free final conversions and confirming that conversion activities are

completed on time. Using our development methodology, we will check that conversion mappings and definitions are well documented. This will facilitate research and resolution of issues if we uncover conversion problems during subsequent project phases.

The conversion of legacy data to a relational format requires extensive attention to detail and establishing a complete rule sets for guiding the data conversion. Because of these requirements, Optum has developed a proven development methodology using the Informatica ETL tool. The result is a quality, repeatable process that provides thorough documentation of the conversion process, using both manual and automated documentation and tracking methods. The methodology for tracking and distinguishing between converted data and new data, including the use of a date/time stamp, will be the Oracle relational database, as implemented in the WV IES. We will construct ETL scripts to handle new data added to the existing, converted database.

6. **Develop data edit and validation processes:** Optum will develop the necessary editing and validation processes to edit incoming legacy data for presence, format, validity, and consistency. This will allow Optum to load the cleansed legacy data in tables on an interim or staging database. This step will move the cleansed legacy data to tables in essentially the same format; facilitating the follow-on steps because we will then be working with source and target data structures in table formats.

7. **Develop data mappings and data transformation processes for legacy data to WV IES relational structures:** Based on the Data Conversion Plan, Optum will create data mapping workbooks that show, column by column, how to map the legacy data to the WV IES schema. The ETL team members will use these workbooks in the next step to create ETL packages to perform the actual data conversion. As part of developing the data mapping workbook, Optum will develop required data transformation processes. This can be as simple as taking legacy code and transforming it to an equivalent WV IES code, and then loading the converted data as required. It can also involve complex logic of reading multiple legacy data values and performing an assessment of those values to determine the new WV IES data value to be loaded.

8. **Develop ETL packages to convert legacy data:** Optum will use the Informatica ETL tool to map data elements from the appropriate legacy data to WV IES relational database tables, according to the data mapping workbooks. Informatica facilitates the process of extracting the legacy data, transforming it as required, and loading it to the WV IES databases.

   As needed to facilitate the conversion effort, Optum will—for performance reasons, analysis convenience, or other engineering reasons—use staging databases between the legacy and target databases. We will also work with DHHR to identify additional data elements required for WV IES operation that are not available from the current operating environment. Default data values will be agreed upon and assigned to those additional data elements. Optum will conduct walk-throughs with DHHR on data mappings, data defaults, new data requirements, and data sources to confirm State concurrence with the conversion process.

9. **Test and validate data conversion processes as required:** During the development of data mappings and data transformation processes, Optum will test and validate data conversion routines. This will be an iterative process, with a repeated cycle of conversion test runs, validation of the runs, correction of identified errors, and rerunning

tests. This process will continue until the Optum team is satisfied with the results. Optum test and QA personnel will assist with this process, validating the test results and confirming that the data displays and works as planned in the WV IES database and that the data is compatible with the selected configuration of the system.

10. **Perform WV DHHR conversion acceptance testing:** After validating and approving the conversion processes internally, Optum will support DHHR to perform final acceptance testing. DHHR will be involved heavily in this process and when satisfied, provide acceptance and approval of the data conversion results. If we identify issues, we will work with DHHR to resolve the issues and rerun the tests. This process will continue until DHHR approves the conversion results.
11. **Perform final data conversion and data loads:** When we obtain DHHR approval of the data conversion routines, we will execute the file conversions and data loads.

4. Data Conversion Dependencies

Because of the architecture of the core WV IES, several dependencies will affect the conversion activity. These dependencies include the following:

Data for configuration: To complete some configuration activities, certain data must be converted and loaded in the appropriate WV IES tables. For this reason, certain table data must be identified for conversion and loading first.

Data load dependencies: To load legacy data in the WV IES relational database, certain data must be loaded before other data to confirm the integrity of data within the database. For example, client eligibility data cannot be loaded unless there is a client in the database for the eligibility data. This requires that we complete basic client loads before loading the eligibility data.

External data update dependencies: After a snapshot is taken of legacy data and that data is loaded in the WV IES relational database, we implement a mechanism that keeps the data updated with changes to the legacy data before production cutover. Client data is a good example. Client data is updated from the State's eligibility systems. This means that after Optum converts client data, we must have the process in place that will allow that client data to be updated electronically. In this manner we will maintain consistency and synchronization between the source and target WV IES environments. We will develop web services to update the changes made in the new target database and provide updates back to the mainframe.

The Optum data conversion team will review available data sources and make a determination on the conversion of data elements from the legacy system to the WV IES relational database.

5. Data Conversion Process by Release

Optum will follow the conversion approach described in this section for each release.

5.1 Discovery Sessions

We will conduct discovery sessions with DHHR staff to gather information about the current databases, files, and data values. The individual data elements will be documented and mapped to their intended use in the WV IES. The discovery sessions will also facilitate:

- Agreeing on naming conventions for new tables and rows
- Determining if any current key fields should be non-key in the WV IES and vice versa
- Agreeing on strategy for normalization
- Determining if any new fields must be added
- Identifying what structures are supported by each database
- Understanding how null values will be handled
- Understanding how date/time fields are stored
- Learning what other data types exist and what mapping will be required
- Agreeing on procedures and timing for freezing current production system data
- Discussing options for backup and recovery in the WV IES environment

5.2 Validate Project Environments

We will use multiple environments for functionality differences as well as for testing. These include:

Development: This environment is for the creation and testing of the conversion procedures. A subset of the conversion data will be used.

Production: The Production environment is for testing a full load of the conversion data to certify there are no coding errors and to conduct dry runs for the final conversion.

Acceptance test for converted data: A copy of the development or production environments will be used specifically to test converted data in the WV IES.

Acceptance test for new releases: Users will input data and test the WV IES where the test results are not influenced by converted data.

Source environment analysis: We will analyze and validate information gathered during the discovery session. Predicted file/field definitions will also be reviewed to determine fields that will be brought down for conversion and to assist in developing the mapping strategy.

Extract source data from legacy files: We will create and execute utilities to load data into work file(s), using the agreed upon logic to handle multiple occurring (MU) and periodic (PE) group fields. Record counts in the work files will be compared to the source files to validate completeness of the extraction.

Create target data stores in development environment: SQL code will be generated to create the receiving Oracle tables. Primary keys will be identified as appropriate to maintain parent/child relationship between main table and MU/PE tables.

Unit test: We will perform testing of unit conversion procedures on a sampling of data, using SQL scripts for incremental testing, since they do not require storage into the database and provide flexibility.

Unload work files into new Oracle database in test environment: Work files will be unloaded and tested to compare before and after record counts (i.e., legacy system versus WV IES number of records). Discrepancies will be captured in error logs, and any variances will be researched.

Integration test: A full run of all the conversion procedures will be performed against a periodically refreshed sample of data prior to system testing. An established order for the procedures is critical because of dependencies between the tables.

System/performance test: Unlike the focus of integration testing, which is to verify the correctness of end-to-end transactions, the purpose of system/performance testing will be to validate that the WV IES behavior continues to support the service levels under a wide variety of conditions that are expected during the life of the system. Part of this testing will include data validation.

User Acceptance Testing (UAT): UAT will be performed to validate functional and technical requirements of the solution and gain DHHR acceptance of the solution. For UAT, users will use test plans, scenarios, and free form testing to validate that the functional and technical requirements are met. Users will perform testing on an integrated system. Our support resources and project team will be available to resolve the issues reported by the UAT team. The Optum test manager and data conversion managers will also coordinate with the DHHR project manager to categorize the issues reported as defects or system changes. Part of this testing will include data validation by the business user.

Masking of data for testing purposes: Production data within legacy system will be masked in a mirrored environment prior to data conversion, as it is necessary for developers to have a good test bed of data early in the life cycle.

Masking data will be accomplished via an automated and rules-based process. It is essential to maintain the syntax and the taxonomy of the data. Data will be filtered for individual programs before it reaches the target database to segment the data. All required legacy files will be copied to a test file to perform masking. We will filter the replication to Oracle to select only the records for that program.

DRAFT

West Virginia Integrated Eligibility Solution (IES)

Draft Disaster Recovery and Business Continuity Plan

Authorized for issue by:

xxxxxxxx

Signature **Date**

West Virginia Department of Health and Human Resources

Authorized Project Manager

xxxxxxxxx

Signature **Date**

Optum

IES Project Manager

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Revision History

Version	Date	Author	Summary of Changes
1.1	8/8/2017	Optum	Initial draft release

Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 2
1.5 Related Documents 3
2. Application and Recovery Overview 3
2.1 Critical Application Functionality and Assumptions 4
2.2 Application RTO / RPO 4
3. Disaster Recovery Program Overview 5
3.1 Background 5
3.2 Enterprise Resiliency and Response – A Layered Model 5
3.3 Enterprise Disaster Recovery Program Mission and Objectives 5
3.4 Optum Technology Overview 6
3.5 Disaster Recovery Strategy 7
3.5.1 Prevention 7
3.5.2 People 8
3.5.3 Process 8
3.5.4 Technology 8
3.5.5 Protection 10
3.6 Business Continuity and Disaster Recovery Policy 10
3.7 Lifecycle Maintenance 10
3.8 Business Continuity and Disaster Recovery Objectives 11
4. Roles and Responsibilities 12
4.1 Governance Structure 12
4.2 RACI 13
4.3 Integration with Other Providers 14
5. Assumptions and Risks 14
5.1 Key Assumptions 14
5.2 Key Risks 14
6. Backup, Storage and Recovery of Backups 15
7. Disaster Recovery Plan Development 15
7.1 Disaster Recovery Plans 15
7.2 Disaster Recovery Plan Refresh Process 16
7.3 Senior Leadership Certification 16

7.4 Disaster Recovery Plan Exercise 16
7.5 Prior to next exercise Disaster Recovery Plan Exercise Guidelines 16
8. Disaster Event Declaration 17
8.1 Definition of a Disaster 17
8.2 Declaration of a Disaster 18
9. Recovery Contacts 18
9.1 Optum Contacts 18
9.1.1 Critical Required Skills 19
9.2 DHHR Contacts 19
9.3 Critical Vendor Contacts 19
10. Recovery Requirements 20
10.1 Vital Records 20
10.2 System Information Inventory 20
10.3 Critical Application and Data Feed Dependencies 20
10.4 Supported Critical Business Processes 20
11. Recovery and Validation Procedures 21
11.1 Infrastructure Procedures 21
11.1.1 Infrastructure Recovery Procedures 21
11.1.2 Infrastructure Validation Procedures 21
11.2 Application Procedures 21
11.2.1 Application Recovery Procedures 21
11.2.2 Application Validation Procedures 22
11.3 Non-Production Recovery Strategy 22
12. Return to Normal Operations 22
13. Disaster Recovery Exercise Plan 22
13.1 Disaster Recovery Exercise Results Summary 22

List of Figures

Figure 1: Components of the Optum Crisis Management Approach. 5
Figure 2: Optum Disaster Recovery Program Components. 8
Figure 3: RTO and RPO 11
Figure 4: Disaster Recovery Escalation Path. 12

1. Introduction

1.1 Objective

The Disaster Recovery and Business Continuity Plan provides an overview of the disaster recovery program managed by Optum. This document defines, at a high level, the disaster recovery structure, processes, and roles and responsibilities for the West Virginia Integrated Eligibility Solution (WV IES) Project infrastructure. The plan encompasses:

- Backup and recovery procedures, as well as disconnected operational capability, to make certain that the WV IES will continue to operate in the event of an unexpected destruction of hardware, software, or communications through system failure, disruption of connectivity, or natural disasters
- Arrangements for backup hardware or processing sites; off-site data storage; schedule for creation of backup media; and detailed recovery procedures for all anticipated types of disasters
- A description of each anticipated type of disaster
- Escalation plans that specify the necessary points of contact and decision-making authority at the State and local provider levels

The principal objectives are to develop, test, and document a well-structured and easily understood plan that will help Optum recover WV IES as quickly and effectively as possible from an unforeseen disaster or emergency that interrupts information systems and business operations. Additional objectives include the following:

- Making sure all employees fully understand their duties in implementing such a plan
- Verifying that operational policies are adhered to within all planned activities
- Confirming that proposed contingency arrangements are cost-effective
- Considering implications on other DHHR sites and business partners
- Confirming recovery capabilities as applicable to key customers, vendors and others

1.2 Plan Scope

The WV IES Disaster Recovery and Business Continuity Plan addresses the approach that Optum will use to restore operations following a disaster event.

1.3 Plan Assumptions

We made the following assumptions when preparing this plan:

- Optum will:
  - Develop the Disaster Recovery and Business Continuity Plan, integrating the plan with the environment and application stack
  - Define solution recovery processes, or steps to take in the event of a downtime event
  - Comprehensively and effectively mitigate the risk of a downtime event
  - Secure the solution components during a period of emergency operation
  - Identify and analyze disaster risks/threats

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  - Classify risks based on relative weights like external risks, facility risks, data systems risks, DHHR risks, desk-level risks
  - Determine the effects of disasters
  - Evaluate disaster recovery mechanisms
- DHHR will:
  - Participate as needed in the Disaster Recovery and Business Continuity Plan development
  - Review and approve the Disaster Recovery and Business Continuity Plan in a timely manner once the plan is submitted for review

1.4 Plan Organization

This WV IES Disaster Recovery and Business Continuity Plan is organized into the following sections:

- **Introduction (Section 1)** lists the objectives and scope of the Disaster Recovery and Business Continuity Plan, assumptions made in developing the plan, describes the plan organization, and identifies related documents.
- **Application and Recovery Overview (Section 2)** provides a brief overview of the steps required to be completed in the event of a disaster.
- **Disaster Recovery Program Overview (Section 3)** provides an overview of our disaster recovery program including: background, our layered model for enterprise resiliency and response, program mission and objectives, our technology overview, strategy, policy, lifecycle maintenance, and recovery objectives.
- **Roles and Responsibilities (Section 4)** describes the roles and responsibilities for various aspects of the WV IES disaster recovery and business continuity program, including governance structure, RACI (responsible, accountable, consulted and informed) matrix, and integration with other providers.
- **Assumptions and Risks (Section 5)** outlines the assumptions we used in the development of this plan and that Optum will work with DHHR to define project risks after contract award.
- **Backup, Storage and Recovery of Backups (Section 6)** explains the procedures Optum will use in completing the WV IES recovery.
- **Disaster Recovery Plan Development (Section 7)** describes how we develop disaster recovery plans for critical business applications using standard tools and templates, including disaster recovery plans, plan assumptions, plan refresh process, senior leadership certification, disaster recovery plan exercise, and disaster recovery plan exercise guidelines.
- **Disaster Event Declaration (Section 8)** describes the definition of a disaster and what happens should a disaster be declared.
- **Recovery Contacts (Section 9)** lists the key WV IES individuals including Optum contacts, DHHR contacts, and critical vendor contacts and their contact information, along with who will be called to assist during a recovery.

- **Recovery Requirements (Section 10)** describes the recovery of vital records, system information inventory, critical application and data feed dependencies, and supported critical business processes.
- **Recovery and Validation Procedures (Section 11)** describes the procedures associated with infrastructure (e.g., infrastructure recovery and infrastructure validation), applications (e.g., application recovery and application validation), and our non-production recovery strategy.
- **Return to Normal Operations (Section 12)** describes how we will handle restoration or replacement of the original production site and transfer back to normal production operations.
- **Disaster Recovery Exercise Plan (Section 13)** provides details on the exercise plan and how results are documented.

1.5 Related Documents

The Disaster Recovery and Business Continuity Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, the document is baselined and placed under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

Related plans include:

- System Backup and Record Retention Plan
- Documentation Management Plan

2. Application and Recovery Overview

Optum defines the key functions for each set of applications during the Support Readiness process. This process identifies the vital business functions performed by each application. A summary of the services and application in use will be located in this section, followed by a bullet list of the key vital business functions. We will work closely with DHHR and other partners to manage the steps required to be completed in the event of a disaster.

The disaster recovery procedure steps are as follows:

- A disaster is declared by Optum, the WV IES Disaster Recovery and Business Continuity Plan is activated, and DHHR and partners are notified of the disaster.
- The disaster recovery process will follow the high priority incident management process, handling the disaster as a Priority 1 incident.
- The Optum infrastructure team recovers and validates the core network, followed by the core services.
- The Optum infrastructure team notifies Optum, DHHR and partner application teams that the core infrastructure has been impacted and recovery has begun.
- The Optum infrastructure team will recover and validate the network, servers, databases, application servers and then notify Optum, DHHR and partner application teams.
- At this point the application teams will begin the application recovery and validation and, once complete, notify DHHR for their confirmation of the recovery.

The WV IES Disaster Recovery Plan and Business Continuity Plan establishes procedures to recover applications following a declared disaster. The document is used to plan disaster recovery activities, perform recovery exercises, and to recover in the event of a declared disaster. The following objectives have been established for this plan:

- Identify internal and external recovery contacts
- Identify activities and resources needed to recover the applications
- Collect requirements and procedures for application recovery and validation
- Capture application dependencies to enable prioritization of application restorations

2.1 Critical Application Functionality and Assumptions

After contract award, we will work together with DHHR to develop, review and finalize the description of critical applications, functionality, and assumptions, prior to formal submission.

2.2 Application RTO / RPO

Recovery Time Objective (RTO) is the period of time within which systems, applications or functions are targeted to be recovered after a disaster outage is declared. Recovery Point Objective (RPO) is the acceptable amount of data loss measured in time. Data is usually recovered from the last backup. In case of a declared disaster, Optum will invoke the plan. This plan involves restoring the Elk River, Minnesota production environment to the stage environment in our recovery site located in the Chaska, Minnesota data center. In the event of a disaster, Optum will recall the tape backups from our offsite tape storage facility and have them transported to the Chaska facility. Optum will then restore the production environment to the stage environment thereby restoring services.

Information regarding each WV IES application will be documented as seen in the example table below.

Application	DR Capability	DR Solution	RTO (hours)	RPO (hours)	Production Site(s)	Recovery Site(s)

After contract award, we will work together with DHHR to develop, review, and finalize the summary table prior to formal submission.

For each application and application layer (e.g. application, database, web, etc.), information will be provided in the table format shown in the following example.

Application	Components (DB, Web, App. Etc.)	DR Solution	RTO (hours)	RPO (hours)

After contract award, we will work together with DHHR to develop, review, and finalize the detail table prior to formal submission.

3. Disaster Recovery Program Overview

3.1 Background

Optum relies on a diverse array of interconnected information systems to meet the needs of the WV IES. The goal of disaster recovery planning is to protect the organization in the event that all, or key aspects, of Optum operations are rendered unusable. Preparedness is the key. We have instituted an Enterprise Disaster Recovery program to first eliminate or reduce disaster risk in critical technology areas, and then plan for facilitation and the timely and predictable restoration of key applications, data, and supporting critical infrastructure.

3.2 Enterprise Resiliency and Response – A Layered Model

Optum recognizes that planning for disaster recovery is essential to mitigating risk for the WV IES. The layered Enterprise Resiliency and Response program model provides consistency between event management, site emergency response, business continuity, enterprise disaster recovery and public health planning efforts. The layers are interrelated and work together to provide maximum protection and risk mitigation.

Figure 1 illustrates how disaster recovery is one component of our overall crisis management approach.

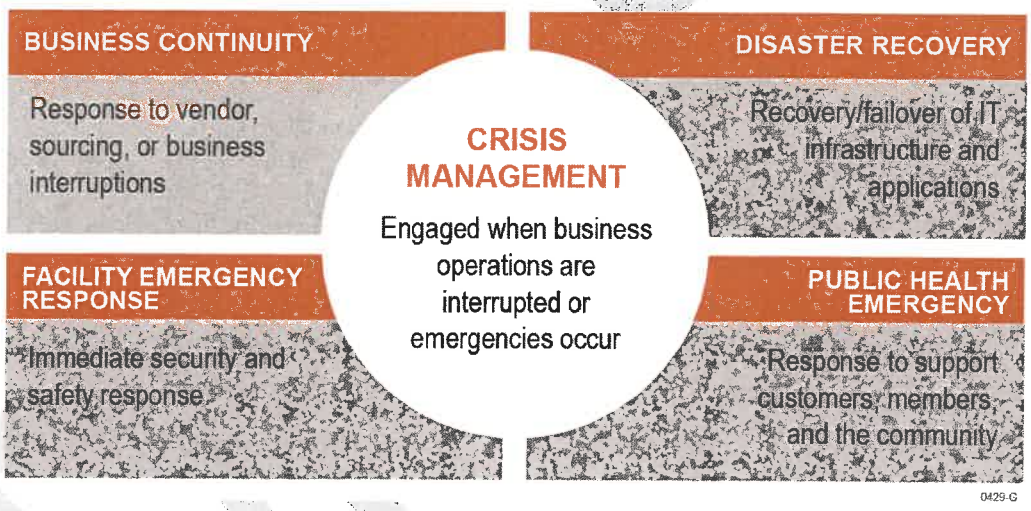


Figure 1: Components of the Optum Crisis Management Approach.
Disaster recovery is one of the critical event processes required to restore business and technical functionality.

The Enterprise Resiliency and Response program focuses on the loss of critical technology, systems and applications. Business continuity events do occur, but very few of these events will actually become a technology event. Within the subset of annual technology events, actually declaring a disaster is not expected to be common practice.

3.3 Enterprise Disaster Recovery Program Mission and Objectives

The mission of this program is to minimize the aggregate risk and impact to Optum from the disaster event occurrence, focused on the overall viability of Optum and DHHR to survive an event.

The following are the objectives of the Enterprise Disaster Recovery program that are in support of the WV IES:

- Provide a systems solution that accommodates the interdependencies between business processes and applications (i.e., recover the entire business transaction)
- Drive systemic and measurable improvements in disaster recovery capability (e.g., business process RTO)
- Recognize funding and time constraints, evolve and improve the disaster recovery capability in a manner that provides the greatest good for the greatest number
- Establish disaster recovery requirements as part of the Optum systems architecture, delivery, and operations as opposed to an after-thought once a new application goes into production
- Develop and deploy a modular, adaptive set of capabilities rather than one size fits all
- Deal with the most probable disaster recovery scenarios in addition to worst case scenarios
- In addition to protecting the ongoing viability of the WV IES, make the disaster recovery capability a competitive strength that can be leveraged in the market

3.4 Optum Technology Overview

It's difficult to describe the Enterprise Disaster Recovery program without an understanding and overview of the enterprise technology environment for the WV IES. This program does not stand alone, but is integrated into the Optum enterprise-level computing processes and day-to-day operations.

Optum is a comprehensive, large scale and international information technology organization developing technology solutions to support the health care market. We are a health care technology leader in providing computer processing services delivered through a portfolio of services with world-class efficiency and effectiveness.

The Optum technology organization is committed to maintaining state-of-the-art technology and employs experienced professionals in a variety of different infrastructure disciplines including:

- Software development
- Data analytics
- Benefits/claims administration
- Portal services
- Consumer/financial application development
- Sales/producer management application development
- Data center management
- Application hosting
- Virtual contact center
- Data warehousing
- Systems operations
- Service and support
- Systems architecture
- Innovation, technology research & development
- Privacy and security services
- Information risk management
- Global voice/data networking
- Database administration
- Technology project management
- Recovery services

Our technology organization supports technology infrastructure components and operations at very large scale. Examples include:

- More than 20,000 global technology professionals responsible for computing hardware, software and communications
- More than 5,500 applications supported
- More than 60 petabytes of primary storage managed
- More than 60,000 servers, nine IBM z-OS mainframes with 83,000 MIPS processing capability
- 200,000 data/voice ports managed supporting 1.8 billion inbound phone call minutes per year
- Manage more than 175,000 desktop computers with remote administration
- Process 100 billion computing transactions annually; more than 1 billion via web portals; 100 million via electronic data interchange (EDI)
- More than 2 billion claims processed annually with 99 percent accuracy

3.5 Disaster Recovery Strategy

Our approach to WV IES disaster recovery is based on the two fundamentals: prevention and protection. A focus on balancing the combination of disaster prevention and protection results in reducing both the probability and impact of a disaster. The Enterprise Disaster Recovery program first eliminates or reduces disaster risk in critical areas, and then it plans for the most probable disaster scenarios. While disaster recovery handles the complete failure of a data center, other processes are required to solve for critical events.

3.5.1 Prevention

For many companies, disaster recovery means minimizing downtime as they try to restore systems and get them back online. The Optum strategy includes focusing on items that will assist in preventing a disaster from taking down systems in the first place.

We have invested in creating an effective combination of people, process and technology, seen in Figure 2, to provide the fundamentals for a successful production method. The combination results in a stable, scalable environment for applications to meet performance objectives. This investment creates the prevention, which is fundamental to the WV IES disaster recovery program.

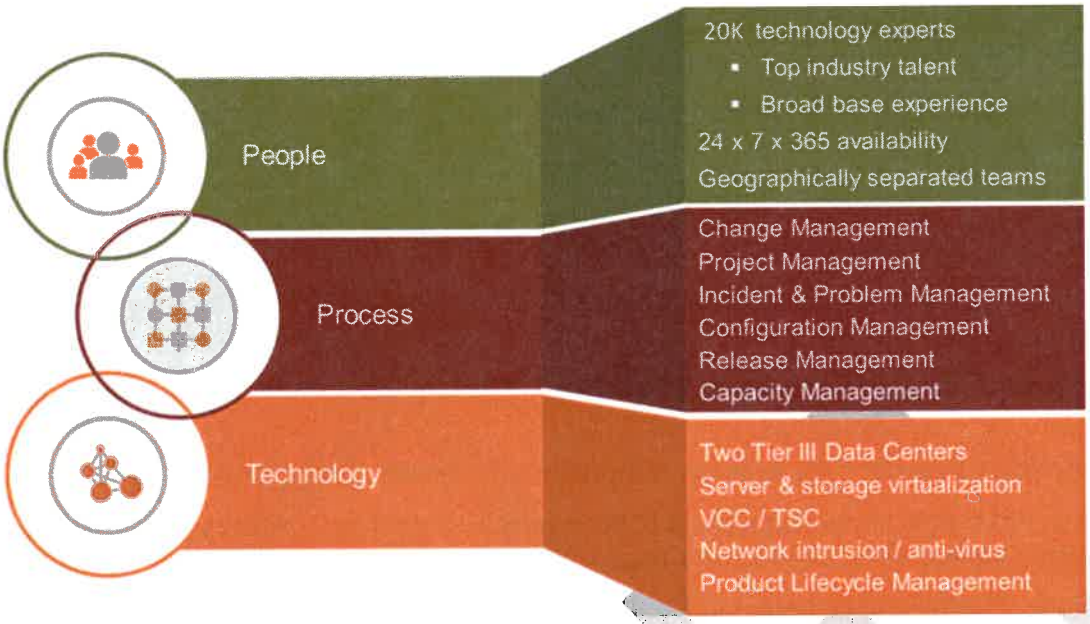


Figure 2: Optum Disaster Recovery Program Components.
People, process and technology together produce an optimized disaster recovery program.

3.5.2 People

Optum has a team of more than 20,000 Information Technology (IT) professionals responsible for computing hardware, software and communications. Our technical staff is geographically dispersed and collaborates virtually. These virtual teams strategically position Optum technical staff to be able to provide business continuity in the case of any event no matter where the location.

Optum has system operations and facilities management teams with on-call rotations providing access to technical staff at any time of the day or night. This is complemented with core off-shore technical resources which have been trained and are available to assist in an event if needed. Having trained technical employees located around the world reduces the risk of an event occurring that would disable coverage from our technical workforce.

3.5.3 Process

Optum has established formal processes that reduce the likelihood of unexpected infrastructure occurrences and make sure we are using best practices. Optum employs a formal IT Infrastructure Library (ITIL)-based service delivery model to further govern our operations reducing the risk of unplanned situations. Our Product Lifecycle Management (PLM) processes verify deployed versions of software are within the generally available support provided by our vendors. This reduces infrastructure variability and promotes standards and stability. Our patch management automation further safeguards the availability and stability of the WV IES core applications.

3.5.4 Technology

Optum leverages a number of technologies to reduce the probability of unexpected conditions from impacting WV IES services. Our concurrently maintainable Tier III data centers are certified by the Uptime Institute® for operational sustainability. This operational sustainability certification process verifies that practices and procedures are in place to avoid preventable

errors. Our highly available and resilient core infrastructure is designed to maintain acceptable levels of service and recover quickly from a degraded state. In addition, Optum uses the most current anti-viral software to prevent network intrusions that could potentially lead to disaster events.

Core to our recovery solution design is a multiple data center approach. The primary data centers are Optum-owned facilities located in the Minneapolis/St. Paul, Minnesota metro area which is not prone to large scale disasters such as hurricanes. We chose an in-region strategy as the most effective approach to providing data center redundancy:

- An in-region strategy allows for a system of data centers to be deployed that are connected with very affordable and yet high capacity, high availability networking. Although history is not an absolute indicator of future events, historical research of climatic events contributed to the careful selection of sites in order to locate data center facilities to minimize the impact potential of a single event.
- The in-region system approach allows Optum to place processing requirements in both cost-optimized and functionally-optimized configurations. Physical tape processing can be placed in a different data center than the on-line processing. This also allows for more robust disaster recovery capabilities (very low recovery time objective and recovery point objectives) provided at a fraction of the cost that would be incurred in an out-of-region or outsourced approach.

Our data centers were built to a Tier 3 level with all necessary environmental redundancies. These include critical areas of the building and the outside plant able to withstand 200 plus mph winds or the strongest F3 tornado.

The multi-data center approach includes criteria for strategic placement of the critical application's production processing as well as recovery, development and tape management environments. Each of our key data centers includes an Operational Command Center with 24x7 staff actively monitoring the components and systems. If there was an event in one of our data centers, staff located at the other data center would continue system operations. Optum has a dedicated data center facility management team that monitors, proactively maintains, and manages all aspects of these data centers. The offsite storage for tape is within an Optum-controlled data center facility located within the region that provides full environmental redundancies.

We are committed to using state-of-the-art technology. The Enterprise Disaster Recovery program surpasses other health care technology providers due to the following technology services that we have deployed:

- A Virtual Contact Center that dynamically routes a million calls daily across 40+ contact centers and 20,000 service agents. If there is a disaster or business continuity event at any of the Optum facilities, incoming calls can be immediately rerouted to alternate call centers for processing and resolution, reducing any impact to DHHR.
- Storage virtualization complements server virtualization in increasing the portability of host systems. This is accomplished through consolidation and replication allowing them to fail to an alternate site quickly, reliably, and in large numbers.
- A standard desktop is used by Optum staff across the enterprise. In case of an event, replacement laptops can be immediately dispersed to the staff. Because all staff members use the common configuration, they can be productive and resume their business process functions quickly.

3.5.5 Protection

While the Optum focus is to prevent WV IES related disasters, we also recognize that there is always the potential for a disaster to occur. As such, we developed strategies to protect the business should there be an unforeseen event. The disaster recovery program is based on anticipating and planning for common types of disasters and designing solutions to address them. Disaster protection addresses recovery from the most probable disaster scenarios, including worst case.

Our primary WV IES disaster recovery strategy involves identifying critical business processes and transitioning these critical applications, data, and supporting infrastructure to an alternate recovery location. We will accomplish this in a timely manner, thereby reducing the impact of a technology event to our critical business clients.

Some secondary disaster recovery strategies include:

- The ability for data centers to operate in a lights-out mode for up to three days without additional fuel. With fuel deliveries, generators are designed to run in this mode indefinitely. Optum has contracted for a four-hour fuel delivery guarantee.
- Restoration of operational backups first using the high performance disk-to-disk copy with a second copy available on virtual tape stored at a secondary site.
- Disaster recovery plans for critical applications refreshed and tested annually.
- Metrics in the form of key performance indicators (KPIs) used to derive the health of the disaster recovery program.

Protection technologies include the failover of production processing to geographically dispersed systems and multiple data replication approaches. Our core infrastructure is designed with high availability and resiliency. Storage and server virtualization increases the portability of host systems through consolidation and replication allowing them to fail to an alternate site quickly, reliably, and in large numbers. These capabilities combine to help achieve the objective of resuming operation with limited to no data loss or disruption to stakeholders.

3.6 Business Continuity and Disaster Recovery Policy

The Business Continuity and Disaster Recovery plans are developed, exercised and maintained in order to limit losses caused by disruptions to critical business operations and to enable efficient and effective recovery. The plans include processes and controls to protect the business of WV IES and the business of Optum, the life and safety of workforce members, as well as to protect the image, reputation, assets, and resources of DHHR. This policy applies to all Optum employees.

3.7 Lifecycle Maintenance

We exercise our plans for critical information technology systems on an annual basis. The disaster recovery exercise results are documented and confidential. Application owners and the disaster recovery team jointly review plans to identify:

- Equipment updates
- Employee changes
- Changes in business requirements not reflected in specific plans
- Third-party preparedness to validate against contractual obligations

- Inaccurate assumptions or oversights
- Scheduled disaster recovery exercises

3.8 Business Continuity and Disaster Recovery Objectives

The Enterprise Disaster Recovery program utilizes a variety of recovery strategies which align to the defined criticality of the application. Business critical applications, as defined by the Business Impact Analysis (BIA) and subsequent Business Continuity Plan, are given the highest priority and generally have a 72 hour or less RTO.

The RTO is the period of time within which systems, applications or functions must be recovered after a disaster outage is declared. The RTO is measured in minutes, hours, or days and is an important consideration in recovery planning. The WV IES RPO is the point in time to which DHHR must recover data as defined by the business. This is generally a definition of what DHHR determines is an acceptable loss of data in a distressed situation. The RPO is expressed backwards in time from the instant at which the failure occurs and can be specified in minutes, hours, or days. Figure 3 illustrates the current Optum Enterprise Disaster Recovery program service capability options.

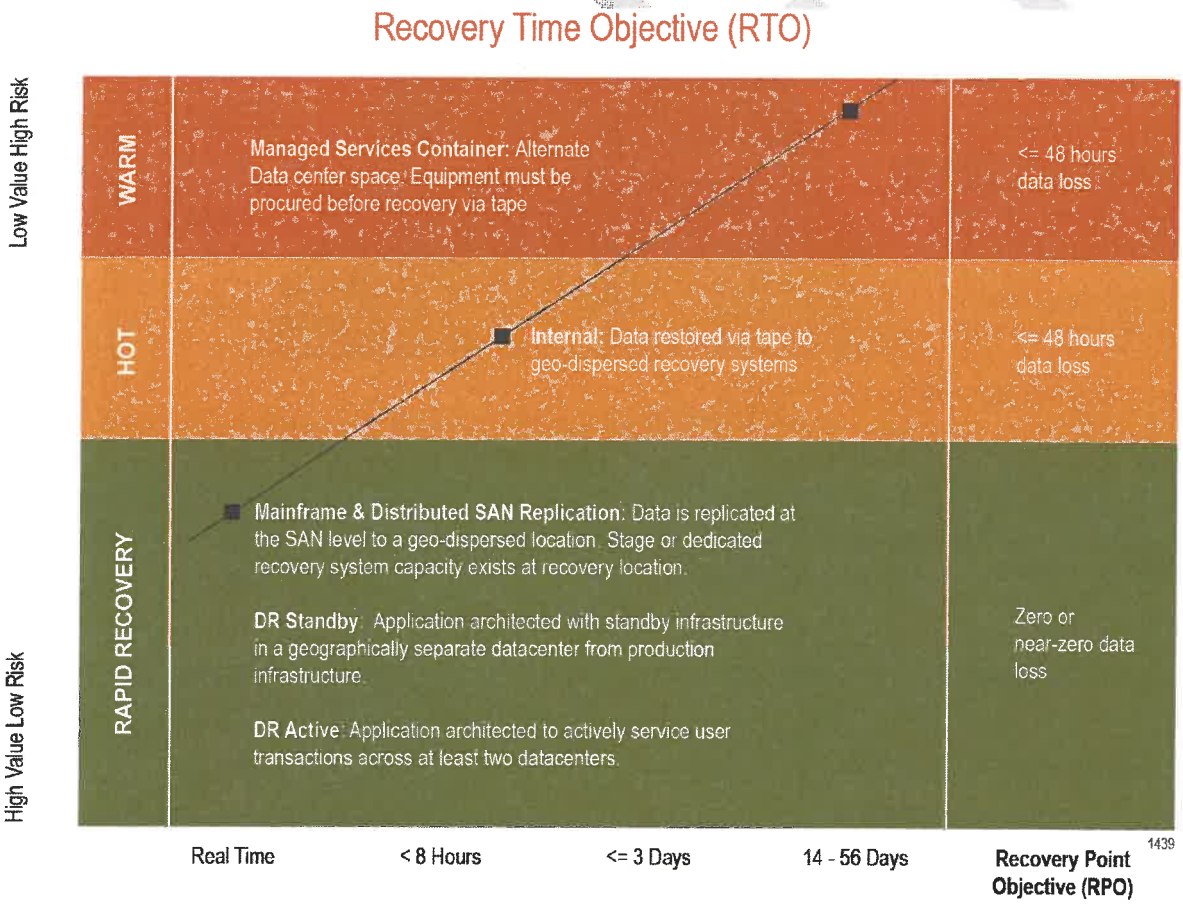


Figure 3: RTO and RPO.
RTO and RPO objectives for rapid, hot and warm recovery capabilities.

4. Roles and Responsibilities

4.1 Governance Structure

Optum utilizes a disaster recovery governance process that makes sure DHHR and Optum representatives make decisions jointly regarding the Disaster Recovery Plan and execution. Figure 4 outlines the escalation path and governance structure for the WV IES project.

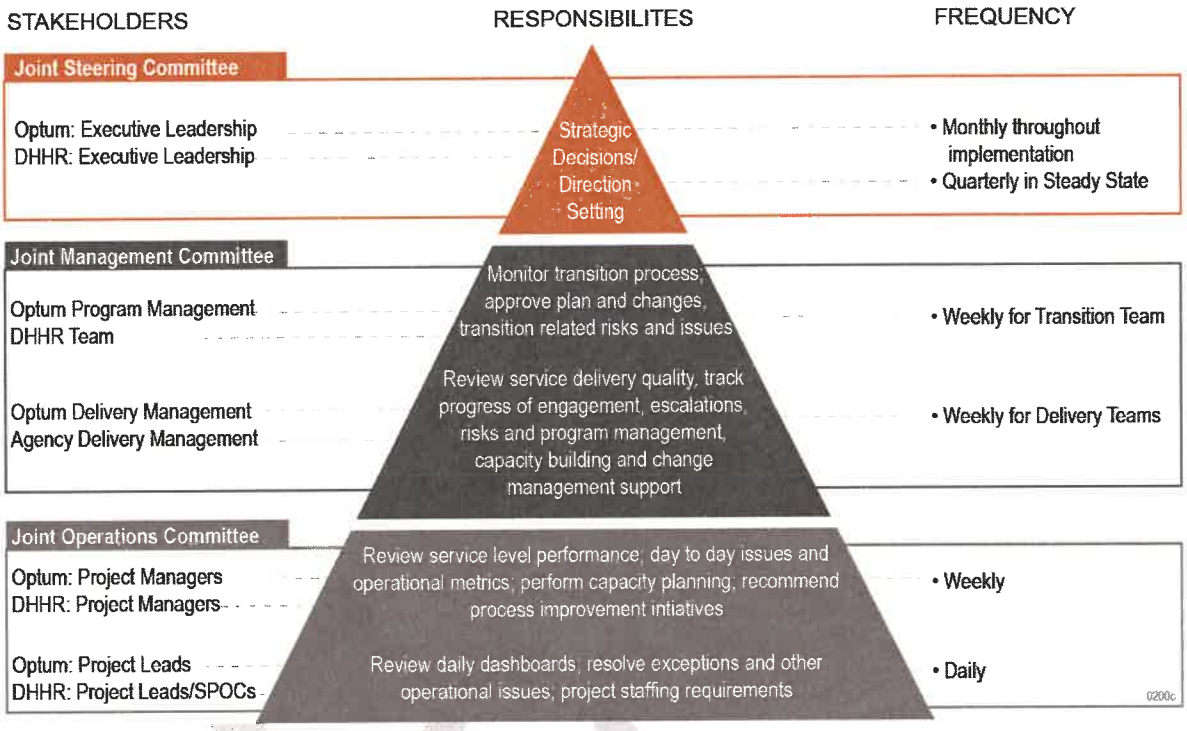


Figure 4: Disaster Recovery Escalation Path.
Our Governance approach includes DHHR and Optum representatives at multiple layers of each organization to maintain effective communication and controls.

Optum has several roles designed specifically for the WV IES disaster recovery and business continuity support. Individuals or teams assigned to these roles are trained to respond to a declared disaster. The specific roles include:

- Teams:
  - **The application disaster recovery team** is responsible for overseeing the coordination of the plan, making major decisions, and ensuring the recovery requirements are met. This team is led by the enterprise disaster recovery program director.
  - **The technical recovery team** is responsible for performing the technical tasks of the recovery including making sure the results are as expected. This team is led by the application disaster recovery coordinator.
- Resources within these teams:
  - **The enterprise disaster recovery program director** is responsible for the overall management of the plan and works closely with the application disaster recovery coordinator to provide DHHR with accurate and timely status of service restoration activities.

- **The application disaster recovery coordinator** is responsible for the assessing and restoration of WV IES services. This individual makes sure problems are escalated to proper WV IES management and coordinates with all individuals involved with the disaster recovery plan.
- **Technical support team members** support the recovery and business continuity as needed within the technical components of the WV IES.
- **The application owner and infrastructure owner** are responsible for the components of the WV IES and will make decisions relating to their components, communicate with the enterprise disaster recovery program director, and perform any required testing of the system.

4.2 RACI

While Optum is primarily responsible for the functions related to disaster recovery of the applications we host, DHHR responsibilities are also key to its success. The following table outlines the RACI roles and responsibilities for DHHR and Optum team members.

It is out of scope for Optum to provide disaster recovery for all DHHR facilities and business needs. Optum anticipates that DHHR will complete their overall organizational plan and Optum will be referenced in that plan regarding the Optum supplied applications and services for WV IES. DHHR involvement is also critical during the post-recovery testing period.

Disaster Recovery Roles and Responsibilities	Optum	DHHR
R = Responsible, A = Accountable, C = Consulted, I = Informed		
Disaster recovery plans		
Creation and maintenance: DHHR all sites plan	C	RA
Creation and maintenance: Optum applications and hosting plan	RA	C
Annual update: Optum applications and hosting plan	RA	C
Disaster recovery exercise		
Creation of disaster recovery exercise plans	RA	C
Coordination of disaster recovery exercise events	RA	C
Remediation of disaster recovery exercise events	RA	C
Disaster recovery events		
Declaration of a disaster event	RA	I
Initiation of Optum hosting recovery	RA	I
Hand off application recovery and validation	RA	I
Application recovery and validation - Optum	RA	I
Application recovery and validation - DHHR	I	RA
Confirm service restoration	RA	I
Communication		
Notify DHHR of a disaster event	RA	C

Disaster Recovery Roles and Responsibilities	Optum	DHHR
Maintain call and notification lists	RA	C
Manage event to recovery	RA	I
Provide on-phone support for disaster event	RA	CI
Communication service restoration to DHHR	RA	I

4.3 Integration with Other Providers

After contract award, we will work together with DHHR to review requirements, and finalize the process/mechanisms we will use to integrate with application vendors, software-as-a-service (SaaS) products, and other hosting providers.

5. Assumptions and Risks

5.1 Key Assumptions

In addition to the plan assumptions included in Section 1.3 of the plan, the Optum disaster recovery plans are based upon the following assumptions:

- The event which prompted the recovery process affects only the WV IES primary Optum production site in Minnesota. All other public services infrastructure (e.g., fire, ambulance, police) remain intact in the surrounding area.
- Large-scale regional disasters impacting multiple processing facilities are beyond the scope of each application's disaster recovery plan. We assume this information would be covered in the DHHR Business Continuity Plan.
- The worst-case scenario is total destruction of the WV IES primary production site and all application-specific data and hardware housed there. If the actual disaster is not the worst-case scenario, application recovery and validation procedures may be modified within the appropriate strategies to only cover those critical business processes affected by the disaster-level incident.
- Backup copies of appropriate vital data records are maintained in a secure off-site storage facility. The off-site storage location is unaffected by the disaster since distance and accessibility were considered in site selection.
- The WV IES application and business owners understand the RTO and RPO for their applications including the potential data loss due to the RPO. We assume that their applications can handle potential data loss or they have methods to manually recreate the data in the impacted application following recovery.

5.2 Key Risks

Identifying and assessing key risks is driven by a project risk analysis, supporting the Optum culture, decision-making processes, and governance processes. The analysis, combined with threat and risk assessments, helps confirm that business continuity risks are appropriately prioritized and remediated by applying cost effective strategies and mechanisms to reduce risk to a tolerable level. The analysis process:

- Identifies potential impact of uncontrolled, nonspecific events on Optum business processes and our customers
- Considers all business segment functions
- Provides an estimation of maximum allowable downtime and acceptable levels of data and operational loss

Each critical function is required to perform a risk assessment utilizing the business impact analysis, threat and vulnerability assessment, and gap analysis of business continuity mechanisms currently in place. The end result of this risk assessment is a segment commitment to reduce risk to an acceptable level within reasonable resource and budgetary constraints.

This risk-based approach further optimizes business continuity planning by creating common definitions, defining standards and best practices and using common recovery strategies to meet the business requirements.

After contract award, we will work together with DHHR to complete an initial project risk analysis. These risks, along with proposed mitigation strategies for each, will be documented in this section of the plan.

6. Backup, Storage and Recovery of Backups

Optum typically does not include backup, storage or recovery of backups as part of the disaster plans, as best practice is to create a more automated process to disaster recovery.

These processes are addressed in the separate System Backup and Record Retention Plan document.

7. Disaster Recovery Plan Development

Disaster recovery plans are developed for critical business applications using standard tools and templates.

7.1 Disaster Recovery Plans

Optum application owners are responsible for the development of a disaster recovery plan for each critical business application or critical support system to meet the needs of business processes and functions in the event of a disaster. The procedures for execution of such a capability are documented in a formal disaster recovery plan. The plan is reviewed at a minimum on an annual basis and updated as necessary by the application disaster recovery coordinator in conjunction with the disaster recovery lead and the enterprise disaster recovery analyst.

The application disaster recovery plans need to be maintained to prepare for, respond to, manage, and recover from disasters affecting DHHR-system and business operations.

The objectives of the Disaster Recovery Plan include:

- Reducing the critical impact that a catastrophic disruptive occurrence can have on DHHR and DHHR customers
- Enabling the transition of critical application functions to an alternate recovery facility
- Verifying recovery of critical services to the affected business units, and providing critical services to DHHR and their customers during a survival-mode stabilization period

- Providing for time-phased restoration of critical business application processes and services after a disruption

7.2 Disaster Recovery Plan Refresh Process

Disaster recovery plans are refreshed on an annual basis at a minimum.

The application disaster recovery coordinators, in conjunction with their disaster recovery lead and enterprise disaster recovery analyst review, update and approve their plans. Once the plans have been approved, the enterprise disaster recovery analyst posts the plans on a secure internal, replicated shared storage space.

Individual disaster recovery plans are not provided to outside parties for security reasons. However, a blank template upon which the disaster recovery plans are written is available upon request.

7.3 Senior Leadership Certification

Every critical WV IES application requires a senior leadership certification of the Disaster Recovery Plan annually. Generally, the senior leader is the owner of the application within the IT organization. The Optum Enterprise Disaster Recovery program manages the process for senior leadership to review the disaster recovery plans and obtain their signoff for certification purposes. The senior leadership certification is completed on an internal, secured replicated SharePoint site.

7.4 Disaster Recovery Plan Exercise

The Optum Enterprise Disaster Recovery team facilitates the methodology to plan, conduct, evaluate, and manage disaster recovery exercises for WV IES. The objectives of the WV IES disaster recovery exercises are to enhance and maintain:

- Stakeholder and regulatory confidence
- Compliance with multiple regulatory requirements, including HIPAA, SOX and SAS 70
- Contractual commitments made to DHHR, vendors, partners and others
- Continuous improvement of the exercise methodology, procedures and deliverables
- Ability to support business continuation in the event of a disaster

Tabletop exercises use existing application disaster recovery plans only to simulate a disaster scenario and discuss participant responses. The basic premise of a recovery exercise is to identify gaps and exposures within the recovery process. If problems are found when examining the disaster recovery documentation or access to such, we have the opportunity to address and mitigate them before a real crisis occurs.

The problems experienced are recorded on the internal SharePoint site with the associated resolution timeframe:

7.5 Prior to next exercise Disaster Recovery Plan Exercise Guidelines

The tabletop exercise objectives are to review and validate the following information contained in the Disaster Recovery Plans:

- Application Recovery sections to include Critical Application Functionality, RTO and RPO
- Recovery contacts, phone numbers, critical vendors and partners, critical skills
- Recovery requirements
  - Vital records
  - Hardware required
  - Storage required
  - Application software required
- Critical Dependencies
  - Supported critical business processes
  - Infrastructure and service predecessors
  - Application source code
  - Critical application and data feed dependencies
- Recovery procedures and timelines for the applications, technical and application recovery scripts, and test plans
- Confirm that participants understand their roles and responsibilities in the event of a disaster
- Confirm understanding of communication channels during a disaster event
- Exercise objectives have been met and documented for audit and certification purposes

Application disaster recovery plans for the WV IES, defined as critical, are exercised annually. Disaster recovery exercise results are documented and classified as confidential. Exercise results are retained according to Optum and DHHR Records Retention Policies, reported to senior Optum leadership and DHHR, and include remediation plans to address identified gaps.

8. Disaster Event Declaration

8.1 Definition of a Disaster

Optum defines a disaster as an event of such magnitude that it may threaten critical WV IES business functions and/or services for an extended period. A disaster may create serious impact to human life/safety issues, security, and/or business viability.

Optum standard policies, which can be modified through mutual agreement between Optum and DHHR, classify events as follows:

- **Loss of facility:** complete interruption of facilities without access to equipment, local data, and content
- **Loss of critical resources:** complete interruption with 100 percent loss of personnel who can work within the first 24 hours and 50 percent loss of personnel who can work long term
- **Loss of critical systems:** complete interruption and/or access to critical systems and data located for an extended period of time

- **Loss of critical vendors:** complete interruption in a service or supply provided by third-party vendors

Some examples of a disaster include a full outage of a data center, where the hardware and/or infrastructure is unusable and recovery is not immediate; or a partial outage of a data center that impacts critical IT infrastructure.

8.2 Declaration of a Disaster

In order for an event to be declared a disaster, a disaster declaration must be made by Optum executive leadership. When a disaster is declared, the disaster recovery plans will be activated. A disaster declaration is the formal identification of an event of such severity as to warrant the implementation of business continuity and disaster recovery plans. A disaster declaration provides authorization to execute third party contingency contracts where applicable.

Once a disaster has been declared and plans have been activated, there are several groups and individuals who need to be notified. Additionally, individuals need to be notified if the WV IES is unavailable and given a timeframe of when it will be available for use. Notification may include staff, vendors or suppliers and DHHR and their customers.

Once a disaster has been declared, our technical resources will respond by immediately initiating the restoration of infrastructure and applications for all of the different disaster recovery capabilities. WV IES systems will be brought online according to their documented priority.

9. Recovery Contacts

9.1 Optum Contacts

We will use the following table format to identify the key individuals who would be called to assist during a recovery. Application teams and disaster recovery leads review their disaster recovery contacts regularly as part of the update process.

Plan Role	Name	Office Phone	After-Hours Phone	E-Mail
Application disaster recovery coordinator				
Alternate application disaster recovery coordinator				
Application owner				
Infrastructure owner				
Segment disaster recovery lead				
Technical support				
Technical support				
Enterprise disaster recovery program director				
Enterprise disaster recovery coordinator				

Plan Role	Name	Office Phone	After-Hours Phone	E-Mail
Intermediate reviewer				
Senior leader approver				

After contract award, we will work together with DHHR to complete, review, and finalize the designated disaster recovery contacts .We will routinely monitor the information to make sure we maintain the most up-to-date information regarding contact in case of a declared disaster.

9.1.1 Critical Required Skills

In the event the experienced technical resources for an application (e.g., application specialists, application support teams, system administrators) are unavailable to assist with the recovery, additional resources may be required. While only certain individuals as identified in the following table format are needed to complete the required tasks related to recovery and validation of the applications, Optum has many individuals who are able to perform these roles, as needed.

Description of Skill Set Required	Role	Level/Years of Experience	Resource Count

After contract award, we will complete this table, reviewing with DHHR to finalize details prior to formal submission.

9.2 DHHR Contacts

DHHR will be contacted according to the standard incident reporting procedure. The following DHHR resources, as we document in the following table format, will be notified and kept informed during a disaster.

Name	Email	Phone

After contract award, we will complete the table, reviewing with DHHR to finalize details prior to formal submission.

9.3 Critical Vendor Contacts

At the time of a disaster, it is necessary to have a complete list of application and IT vendors who have a role or component associated with the WV IES. A vendor is defined as someone from whom Optum purchases products or services, or who provides those things for Optum. The document structure seen in the following table lists the vendors for disaster recovery notification.

Vendor Name	Product Supported	Account Name/ Number	Main Contact Person	Phone Number	Support Phone Number	Support Ticket URL	Support Instructions

After contract award, we will complete the table, reviewing with DHHR to finalize details prior to formal submission.

10. Recovery Requirements

10.1 Vital Records

All systems are backed up via standard hosting procedures and tapes are stored offsite in a secure location. In the event of a disaster and the primary disaster recovery solution has failed, Optum, as the hosting provider, will recall the backup media and restore to the WV IES.

10.2 System Information Inventory

The System Information Inventory is the comprehensive listing of the production servers supporting the WV IES in this Disaster Recovery Plan. The inventory is maintained in a Configuration Management Database (CMDB) and reported on separately by individual WV IES application.

Inventory information will assist in restoration of the applications in the event of a declared disaster. After contract award, we will complete the initial system inventory in the CMDB and review it with DHHR to finalize the details prior to formal submission.

10.3 Critical Application and Data Feed Dependencies

This section lists the dependencies that each WV IES application relies upon as well as all of the applications that depend on this application. In addition, dependencies on vendor applications or data feeds are also listed in the vendor information identified in the Critical Vendor Contacts Section. Dependency information will assist in establishing priorities for WV IES application restoration in the event of a declared disaster.

After contract award, we will complete the matrix of WV IES applications and their dependencies on vendor applications or data feeds, reviewing with DHHR to finalize details prior to formal submission.

10.4 Supported Critical Business Processes

The following table format lists the critical processes supported by each WV IES application in this plan that have an impact on DHHR's ability to perform critical business functions.

Primary Users	Critical Processes Supported	Application Name

Primary Users	Critical Processes Supported	Application Name

After contract award, we will complete the critical business process table with initial application information, reviewing with DHHR to finalize details prior to formal submission.

11. Recovery and Validation Procedures

11.1 Infrastructure Procedures

11.1.1 Infrastructure Recovery Procedures

This section describes the procedures necessary to restore the WV IES infrastructure. This will include any infrastructure recovery steps or configuration modifications required for the applications to function properly.

After contract award, we will develop the draft procedures and document in this section of the plan. We will review this information with DHHR, gather feedback, and finalize the infrastructure recovery procedures prior to formal submission.

11.1.2 Infrastructure Validation Procedures

This section identifies the procedures necessary to validate that the infrastructure components have been recovered correctly. Once the infrastructure recovery is complete, certain infrastructure validation/modification procedures may need to be performed. This section will document the infrastructure validation steps necessary to confirm proper performance of infrastructure component.

After contract award, we will document the infrastructure validation procedures in this plan. We will review this information with DHHR, gather feedback, and finalize the infrastructure validation procedures prior to formal submission.

11.2 Application Procedures

11.2.1 Application Recovery Procedures

This section identifies the procedures necessary to recover application components. It will include the steps necessary to verify the applications have started properly and are ready for validation. The following table structure provides the format for documenting this information.

Application Start-Up Sequence	DR Plan Reference Document

After contract award, we will complete the table and review with DHHR prior to formal submission of the plan.

11.2.2 Application Validation Procedures

The WV IES application validation procedure documentation is stored on the shared WV IES SharePoint repository. A back up copy will be maintained on the internal Optum repository per our Documentation Management Plan. Steps have been included to start the application properly.

In general, the validation procedure is as follows:

- Log into the applications
- Verify report results
- Verify application functionality
- Validate the application is ready for business use

The following table template provides the format for summarizing the specific steps to validate complete recovery of the WV IES.

Function	Role	Validated By

We will complete this table as validation procedures are executed, reviewing results with DHHR and finalizing prior to formal submission of the plan.

11.3 Non-Production Recovery Strategy

Best efforts will be used to recover non-production environments. These environments will be recovered from backups. Any code installed in an environment needs to be checked into source control. If the backup does not have the latest code, Optum will work with release management to install code, as needed.

12. Return to Normal Operations

Restoration or replacement of the original WV IES production site and transfer back to normal production operations will be treated as a data center move and will be managed by project integrators in our technology organization.

13. Disaster Recovery Exercise Plan

After contract award, we will work together with DHHR to review disaster recovery exercise planning/execution requirements and finalize the Disaster Recovery Exercise Plan prior to formal submission of the plan.

13.1 Disaster Recovery Exercise Results Summary

As disaster recovery exercise plans are executed, we will develop the associated Disaster Recovery Exercise Results Summary Report. We will review the draft report with DHHR to collect feedback and finalize details prior to formal submission.

West Virginia Integrated Eligibility Solution (IES)

Draft Integration Management Plan

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

_____ **Signature**

_____ **Date**

xxxxxxxxx

Optum

_____ **Signature**

_____ **Date**

August 8, 2017
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DRAFT

Revision History

Version	Date	Author	Summary of Changes
1.1	8/8/2017	Optum	Initial draft release

Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 1
1.5 Related Documents 1
2. Integration Management Process 2
3. CMS Seven Conditions and Standards Alignment 3
3.1 Modularity Standard 3
3.2 MITA Condition 3
3.3 Industry Standards Condition 4
3.4 Leverage Condition 4
3.5 Business Results Condition 5
3.6 Reporting Condition 5
3.7 Interoperability Condition 5

List of Figures

Figure 1: Continuous Delivery Process 2

1. Introduction

1.1 Objective

The purpose of the Integration Management Plan is to review and confirm that the integrated solution as designed, developed, implemented and operated by the Optum West Virginia Integrated Eligibility Solution (WV IES) team aligns with and advances Medicaid Information Technology Architecture (MITA) maturity within the West Virginia Medicaid enterprise.

The plan will provide the approach that Optum will use to manage the modules that make up the complete WV IES and describe how these modules support the Seven Conditions and Standards established by CMS.

1.2 Plan Scope

The West Virginia Integration Management Plan addresses the approach that Optum will use to define, control, enhance and verify MITA alignment and maturity during the project.

1.3 Plan Assumptions

We made the following assumptions when preparing this plan:

- Optum will:
  - Submit the Integration Management Plan to DHHR for review and approval
  - Control the integration of all Optum solution components
- DHHR will:
  - Review and approved of the Integration Management Plan in a timely manner once the plan is submitted

1.4 Plan Organization

This Integration Management Plan is organized into the following sections:

- **Introduction (Section 1)** lists the objectives and scope of the Integration Management Plan, assumptions made in developing the plan, describes the plan organization, and identifies related documents.
- **Integration Management Process (Section 2)** discusses our approach to developing the project scope statement.
- **MITA - Seven Conditions and Standards Alignment (Section 3)** provides our approach to creating the Work Breakdown Structure (WBS) based on the scope statement.

1.5 Related Documents

The Integration Management Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, we will base-line the document and place it under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

2. Integration Management Process

Optum has a well-established process and standardized templates that we will use to perform integration and deployment of the WV IES. Our proven process will enable us to successfully build and deploy the solution into production. This Integration Management Plan describes the use of our continuous integration and deployment methodology as well as our adoption and awareness of the MITA framework.

Our continuous integration methodology that accelerates the release of software and digital services is described in Figure 1.

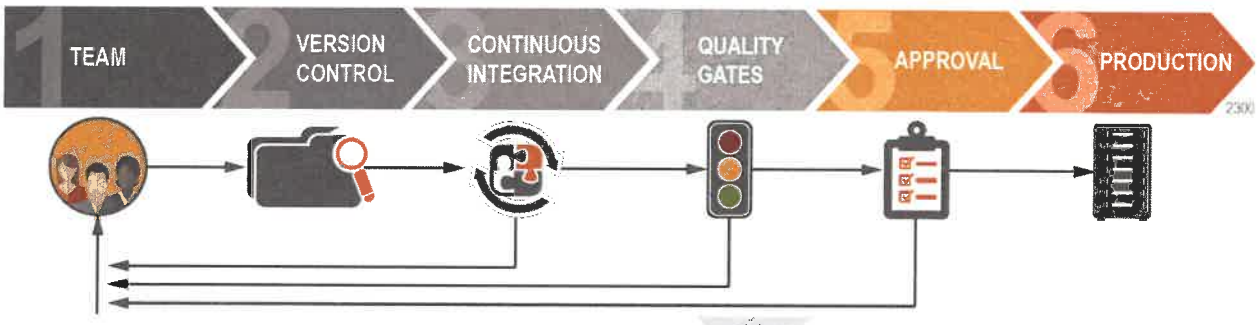


Figure 1: Continuous Delivery Process.
Optum will use an iterative process that provides continuous development and delivery of functionality to DHHR.

The continuous delivery process (Development, Test, Pre-Production, and Production Environments) will be maintained using automated build and deployment tools. This will include:

- Maintaining a single code repository
- Building process automation
- Self-testing build process to catch bugs at build time
- Making it easy to distribute the latest deliverables
- Automating deployment
- Maintaining and separately packaging environment-specific configuration files including the final deployment file for each environment

Specific integration management techniques will include:

- Deploying a release management strategy for proper sequencing of approved deliverables, including unit, system, integration, and user acceptance testing in the staging environment, prior to go/no go release decision leading to production
- Using a migration process to promote code from development, through testing, staging, and production environments
- Implementing version control to manage changes during the development, testing and deployment phases
- Providing a deployment readiness checklist that will be reviewed with DHHR to confirm acceptance criteria, prepare readiness walkthrough, and support go/no go decision making.

- Facilitating the final go/no-go decision leading to production deployment to obtain readiness acceptance by DHHR using the readiness checklist as a baseline.

By providing a rollback strategy as a contingency in the event of a no-go decision, we will reduce or prevent risks or impacts from stand-down of deployment.

The WV IES will consist of configurable modules, integrated using the healthcare and human-services specific SOA architecture of the Optum Integration Layer to provide application integration. This promotes rapid change, reusability, configurability, testing, and deployment of system modules.

3. CMS Seven Conditions and Standards Alignment

Optum is dedicated to supporting the MITA initiative driving business and information technology transformation while implementing the WV IES. The MITA initiative is a framework created and sponsored by CMS to support improved systems development and health care management for the Medicaid enterprise.

Awareness and adoption of MITA helps makes certain that stakeholders and systems across the enterprise mature and share design patterns that result in harmonized technologies, similar business processes, and common data models suitable for reporting and data exchange. Each of the seven conditions aims to promote these patterns and maturity.

3.1 Modularity Standard

Our proposed WV IES promotes modularity by its use of the Optum integration layer service architecture. All modules in the solution communicate with other modules via this layer. Providing this fabric encourages the creation and implementation of modular architecture. As the service architecture and library mature, it is even possible to create entire modules though the orchestration of services. Our integration management approach will:

- Implement the proposed modular solution
- Make certain that future enhancements designed, developed, implemented or operated by our team adhere to the modularity condition
- Facilitate collaboration with enterprise partners and stakeholders to promote modularity as other portions of the enterprise mature

3.2 MITA Condition

Our proposed WV IES promotes MITA maturity through awareness and adoption of the MITA Condition. As our solution is implemented and operated, Optum will collaborate with stakeholders to:

- Review previous MITA SS-A activities and results and apply lessons learned to the WV IES implementation
- Support and participate in ongoing SS-A activities with the latest MITA guidelines
- Collaborate with your partners and stakeholders to develop and mature the WV IES MITA maturity roadmap while continuously enhancing the WV IES
- Confirm that our solution designs implement existing proven business process models, or develop appropriate business process models prior to implementation

We take each new business process through the MITA Maturity Model (MMM) using the six measurable qualities defined by MITA:

- Timeliness of process
- Data access and accuracy
- Effort to perform, efficiency
- Cost effectiveness
- Accuracy of process results
- Utility or value to stakeholders

We also take each new business process and align each one to the five levels of maturity defined by MITA. As each process is developed we work with the business owner(s) to align each process and sub-process to the MMM level definitions. In the same way DHHR completed the MITA SS-A, we apply these definitions to each process and sub-process and score the overall business process with the lowest sub-process score.

3.3 Industry Standards Condition

The WV IES contains native service support for relevant X12 healthcare, HL7 and CMS Federal Data Services Hub (FDSH) standards. It also contains native support for translation from legacy COBOL data and batch environments to modern asynchronous services implementing these standards. As our solution is implemented and operated, Optum will collaborate with all stakeholders to:

- Implement industry standards for application program interfaces (APIs) and data models, such as X12 and HL7
- Use proxy services and wrappers as needed to translate legacy systems and data models to acceptable standards
- Promote the use of interface and data standards with enterprise partners and other stakeholders

3.4 Leverage Condition

In our solution, services and service composites are standalone components that can be re-orchestrated in infinite ways to support changing business needs, requirements, and organizations. Other business modules that are created from composites may also be reused; however, as the complexity of the module increases, the degree of reusability may diminish. As our solution is implemented and operated, Optum will collaborate with WV IES stakeholders to:

- Review and confirm that modules designed, developed, and implemented as part of the WV IES separate business logic from presentation layers and data layers
- Publish reusable services and module capabilities in a manner accessible to enterprise stakeholders so that they may be reused
- Use standard APIs or other technology wrappers around legacy systems or interfaces to allow reusability and extensibility of these systems

3.5 Business Results Condition

Our solution promotes the Business Results Condition by automating many core business processes including eligibility determination, program enrollment, financial management, customer relationship management, fulfillment, and provider management as well as other workflow and business rules automation. The WV IES provides analytical tools to promote reporting on the performance of these automated processes and other key performance indicators (KPIs). It also provides the means to tune and configure the technology to verify that performance expectations are met or exceeded. In order to achieve this, Optum will collaborate with WV IES stakeholders to:

- Apply the solution to key business processes in order to promote automation and repeatability for these processes
- Identify KPIs and performance metrics that can be used to evaluate the key business processes
- Use the solution's reporting and analytical capabilities to measure and report on these KPIs and performance metrics
- Tune or configure WV IES modules or their underlying technical architecture to meet relevant SLAs

3.6 Reporting Condition

As part of our response to the WV IES RFP, Optum has provided our roadmap to migrate from the existing collection of data marts and databases to a new data warehouse. This data warehouse will provide a single source of truth for reporting as well as a single vantage point for analysis and reporting. This will add value to the data as well as provide the automated reporting needed for program evaluation, business results evaluation, and KPI reporting, while also promoting transparency and accountability across the enterprise. In order to achieve this, Optum will collaborate with WV IES stakeholders to:

- Identify data elements or analyses needed to generate relevant reports
- Build the required reporting into the solution using our data warehouse and data visibility tools; expose our existing library of reports and report analysis
- Work to automate data warehousing and reporting activities
- Use our operational expertise to assist in analysis and interpretation of the reporting
- Work to correct any plan of action items that arise from the reporting

3.7 Interoperability Condition

Using standards-based APIs and industry standard transaction formats promotes interoperability within WV IES modules. It also promotes interoperability across other WV IES enterprise partners who similarly implement standards-based APIs. For legacy modules or enterprise partners who do not implement standards-based APIs, the proxy wrapper design pattern used by the Optum Integration Layer promotes rapid integration with legacy systems. As our solution is implemented and operated, Optum will collaborate with WV IES stakeholders to:

- Review and confirm that modules designed, developed, and implemented as part of the IES separate business logic from presentation layers and data layers, as well as utilize standard APIs to promote interoperability
- Utilize the proxy wrapper design pattern to facilitate interoperability with legacy systems
- Develop data warehousing strategies that promote applicable sharing of enterprise data with State and federal partners
- Test and validate that communication technologies used by the WV IES properly interface with enterprise partners

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West Virginia Integrated Eligibility Solution (IES)

Draft Data Quality and Governance Plan

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

_____ **Signature**

_____ **Date**

xxxxxxxxx

Optum

_____ **Signature**

_____ **Date**

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Revision History

Version	Date	Author	Summary of Changes
1.1	8/8/2017	Optum	Initial draft release

Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 1
1.5 Related Documents 1
2. Data Quality and Governance Approach 2
2.1 Data Governance 2
2.2 Data Quality 3
3. Technical Infrastructure 4
4. Policies and Procedures 4
5. Data Quality Management 5

List of Figures

Figure 1: Data Quality Process Flow. 5

1. Introduction

The Data Quality and Governance Plan describes how Optum will manage program data and records for the West Virginia Integrated Eligibility Solution (WV IES) Project.

1.1 Objective

The Data Quality and Governance Plan defines the infrastructure, policies and procedures that Optum will use to meet the following objectives for WV IES data:

- Data integrity
- Data quality
- Data verification

1.2 Plan Scope

The WV Data Quality and Governance Plan address the approach that Optum will use to manage program data and records in the WV IES.

1.3 Plan Assumptions

We made the following assumption when preparing this plan:

- DHHR will work in close cooperation with Optum to determine the best option going forward when legacy data quality issues are found in the initial data conversion process.

1.4 Plan Organization

This Data Quality and Governance Plan is organized into the following sections:

- **Introduction (Section 1)** lists the objectives and scope of the Data Quality and Governance Plan, assumptions made in developing the plan, describes the plan organization, and identifies related documents.
- **Data Quality and Governance Approach (Section 2)** summarizes our approach to data quality and governance.
- **Technical Infrastructure (Section 3)** describes the technical infrastructure.
- **Policies and Procedures (Section 4)** describes the policies and procedures Optum follows to perform data quality and integrity.
- **Data Quality Management (Section 5)** describes our approach to performing data quality management throughout the project.

1.5 Related Documents

The Data Quality and Governance Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, the document is base-lined and placed under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes. Related plans include:

- Risk Management Plan
- Document Management Plan

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- Issue Management Plan
- Change Management Plan

2. Data Quality and Governance Approach

The State of West Virginia has accumulated a wealth of information on its constituents, programs and benefits. Our mission and primary goal is to provide the State with the organization, tools and processes to maximize the potential of its data assets. Data governance is the essential foundation for achieving this goal.

Optum will work with the State to establish a data governance committee if one does not exist, and introduce the necessary data stewardship positions and processes to govern WV IES data assets. Data governance binds the core functions of our data quality process. It is used to identify, prioritize, track, and manage data throughout the entire data lifecycle within the WV IES environment. We will use our data management and data quality tools as part of the data governance processes to assure that data quality is optimal before we make it available within the data warehouse. The data governance program will also include enforcement policies and practices to continually maintain the integrity and meaning of WV IES data. We will use our change control and release processes to validate changes in our non-production environment before promoting changes to production.

2.1 Data Governance

Data governance is a challenging, bi-directional flow of information and organization building. Through effective data governance we facilitate improved services, planning, and policy implementation across the enterprise. We will leverage and augment existing standards and data architecture rules to manage and maintain key data assets of the State.

Data governance is a vital part of an overall governance structure, whose mission is to steer the organization toward shared vision and policy. From the perspective of strategic governance, data governance is the crucial component for establishing a common language of terms and concepts—the foundation of the shared vision and policy definition. Operational governance uses common terms and definitions to clearly communicate key process indicators and their meaning to all interested parties.

We understand our role in governance and will support DHHR by implementing data-based policies. These include gathering, harmonizing and organizing information according to that policy, and publishing performance metrics to the appropriate stakeholders.

We develop processes to maintain data integrity, consistency, accuracy, and timeliness of the State's data. This is best described in the activities below. We will work collaboratively with DHHR to:

- Arrive at enterprise-wide data architecture to achieve and support additional business processes; this will include guidelines for data interoperability and data sharing across State agencies and authorized stakeholders
- Establish and implement procedures and policies for improved quality, timeliness and reliability of DHHR data
- Attain a holistic view of a person across DHHR-targeted programs, and use that view to build single version of the truth across various reports and analytics
- Maintain industry standard and third-party reference and dimensional data as it changes, as well as compliance with federal requirements

- Maintain WV IES data governance to enable efficient, effective, correct and relevant decision-making regarding all aspects of the data, and to implement this plan so that data is properly maintained, accessible, retained, archived and protected from destruction
- Maintain a holistic view that supports emerging technologies which align with State directives, best practices, and continuous improvement associated with CMS-approved Medicaid business processes and technologies
- Develop an annual analytics report with a gap analysis of analytical needs for programs and plan for data improvement through appropriate change management
- Deliver master data capabilities related to persons across the DHHR organization; knowledge gained from this process will assist in eliminating any duplication of person records, and will increase the accuracy of associated address, relationship, and other dependent records

2.2 Data Quality

Data quality is one of the best examples of how we make the data governance feedback loop work for DHHR. Using our enterprise data quality tools, we help DHHR learn and measure the quality of the data against goals and targets. Through our participation in WV IES activities, the definition of data quality key performance indicators (KPIs) in the WV IES Information Architecture Documents, and the completion of Data Integration Reports, we will continually provide you with assessments of how WV IES data meets quality targets. As possible through iterative development, and the change management process, we will identify opportunities for DHHR to further increase data quality, both within the WV IES and elsewhere in the State enterprise.

We will work with you to identify data stewards to integrate data quality capabilities that analyze data from different systems and conform data attributes and definitions to enterprise standards. We will adapt WV IES data management functions to smoothly integrate with DHHR-conformed business entity data, such as for client and provider. This integration will be established during the Design and Development Stage and will continue throughout operations. In doing so, we will maintain:

- Data confidentiality: prevent disclosure to unauthorized persons or systems
- Data integrity: data cannot be modified
- Data quality: data accurately represents reality
- Data usability: data is business user friendly
- Data availability: access is not inappropriately blocked or denied
- Data authenticity: validation of transactions
- Data security: encryption and DHHR-approved security protocols and processes
- Non-repudiation of data: parties to a transaction cannot deny their participation in the transaction
- Encryption: all data encrypted in motion and at rest
- Media retention: verify retention of all electronic media (e.g., fax, scan, image)

3. Technical Infrastructure

The WV IES technical infrastructure that we implement to support data governance and data quality assurance includes the tools necessary to develop and publish all documents related to data governance, as well as the tools required to execute and verify the execution of controls, policies, processes and rules. The Microsoft Office suite of tools will be used to develop and publish data governance documentation.

In addition, we will employ the Informatica data quality/governance tool suite, rated as the leader in Gartner's 2016 Magic Quadrant for Data Quality Tools. The tool suite will help to manage the ongoing quality of the WV IES. Included in the tool set are the following functions:

- Informatica analyst
- Discovery search
- Data profiling
- Business rule builder
- Data quality transformation
- Reference table management
- Data quality workflow
- Identity match
- Data domain and enterprise discovery
- Universal record ID
- Business glossary
- Metadata manager

Data modeling is a key component in building and maintaining a robust and extensible data architecture. We will use ERwin Data Modeler to build conceptual, logical and physical data models that effectively communicate the underlying data structures to the business stakeholders, while enforcing strict standards of physical database design.

4. Policies and Procedures

Policies and procedures are created for data governance and executed by the data quality team. Optum will work with DHHR to define procedure format, content, applicable standards, and requirements. Policies and procedures will include:

- **Data standards:** A set of data standards that will apply on a go-forward basis and determine any transformations required from the legacy system to the WV IES.
- **Data access roles and responsibilities:** A set of roles and accompanying permissions and responsibilities for reading or updating each data element in a record, as well as creating new records or deleting records.
- **Data security policies and procedures:** Data security exists at multiple levels of the WV IES. Each level of the solution stack will invoke various methods of assuring that the data is secure, regardless if is in a temporary state, such as XML; a persisted state, such as in a database; or in transit via messages and other data transfer methods used to communicate between the various functional modules.
- **Data retention policies:** Federal and State requirements for data retention will be employed to manage historical data within the WV IES.
- **Profiling procedures and frequency policy:** We describe our extensive initial data profiling effort to determine anomalies in existing data to help understand any transformation and cleansing required.
- **Quality issue reporting and resolution procedures:** Quality issues will be promptly communicated to DHHR via agreed upon communication methods and defect tracking tools, within established timeframes for response and resolution.

- **Quality audit elements and reporting:** A set of data elements most critical for maintaining the overall quality of DHHR's information goals. Depending on criticality, that data will be audited on either a transaction basis, a daily basis, or a weekly basis, and reported to you at daily, weekly and monthly frequencies.
- **Personally Identifiable Information (PII) protection policies:** Federal and state rules governing the protection of PII data elements and combinations of data elements will be filtered on a need-to-know basis. We establish need-to-know requirements according to job access roles and responsibilities.
- **Data validation rules and origination:** Data validation will occur at the screen level, the database level, or the program/service level, depending on the type of data. In the case of identity management, Master Data Management (MDM) and the FedHub will be used to verify the identity of the DHHR clients to the various functions of the WV IES. In the case of data type and format, validation will either occur at the screen, the program, or the database level.
- **Data encryption:** Data that is in transit between functional modules, and at rest, will be encrypted.
- **Data publishing:** Informatica Data Quality Governance will be used to publish all information about the quality of data required by DHHR.

5. Data Quality Management

Our data quality team is responsible for assuring that data governance controls, policies, processes, and rules are executed according to defined and agreed to policies and procedures. Our quality data analysts will leverage the Informatica data quality/governance tool suite and experiential lessons learned to support the data quality management process.

The primary focus of the Optum data quality management process is the continuous improvement of data quality, as illustrated in Figure 1 below:



Figure 1: Data Quality Process Flow.
Our approach to managing data quality includes a continuous monitoring process to make certain that defined rules are followed, and reviewed to maintain accuracy and continued improvement.

Our data quality management tools and quality processes facilitate root cause analyses of data problems/issues before they can affect operational data, the data warehouse, and analytical results. The WV IES profiles and discovers the structure, data anomalies, and overall suitability before the data migration effort begins. It matches records and identifies relationships across multiple clients, providers, and other data domains.

Our data quality process will score the perceived quality of data elements and the relevance of business rules to gauge the overall health of data that feed data quality metrics and KPIs. We will apply reusable data quality rules and processes to master enterprise data across multiple sources, applications and systems in batch, in real time, or by using web services. The WV IES will correct misplaced, misspelled and misfielded data to capture valuable information that would otherwise be lost.

Precise and consistently reliable data will help us provide more accurate operational models, projections and analysis to DHHR. Quality data equals trusted results. Data quality management deliverables and processes include:

- Business rules and standards administration plan
- Data quality metrics, sample sizes and scorecards
- Data quality audit workflow scripts
- Issue Management Plan
- Documented interfaces to other workflows and methodologies
- Risk Management Plan
- Document Management Plan
- Regular communications and collaboration with State counterparts

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West Virginia Integrated Eligibility Solution (IES)

Draft System Backup and Record Retention Plan

Authorized for issue by:

xxxxxxxx

Signature _____ **Date** _____

West Virginia Department of Health and Human Resources

xxxxxxxxx

Signature _____ **Date** _____

Optum

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Revision History

Version	Date	Author	Summary of Changes
1.1	8/8/2017	Optum	Initial draft release

Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 1
1.5 Related Documents 1
2. System Backups and Schedules 2
2.1 Media Tracking 2
2.2 Data Center Backups 2
2.3 Destruction Processes 3
2.4 Testing of Restores 3
2.5 Backup Success 3
2.6 Database Synchronization and Transaction Logging 3
2.7 Back-up and Retention Policies 4
2.7.1 Back-up Policy 4
2.7.2 Retention Policy 4
2.8 Data Retention Schedules 5
2.9 Operational Backup Standards 6
3. Retention Methodology by Project Phase 6

List of Figures

Figure 1: The Optum Media Destruction Process 3

1. Introduction

1.1 Objective

The System Backup and Record Retention Plan defines the system backup and retention processes and schedules Optum will follow to recover the system and data should any problems arise for the West Virginia Integrated Eligibility Solution (WV IES) Project.

1.2 Plan Scope

The WV IES System Backup and Record Retention Plan provides the approach Optum will use to conduct system back-ups so all records are retained on a schedule that aligns with State and federal regulations. This plan excludes information related to disaster recovery. Disaster recovery information is located in a separate plan, Disaster Recovery and Business Continuity Plan.

1.3 Plan Assumptions

We made the following assumptions when preparing this plan:

- This document is being prepared as part of the RFP response process for the State of West Virginia. As a result, details specific to the West Virginia infrastructure build are not available at this time and will be added once the contract is awarded and build components are finalized.
- The term "indefinite" as it pertains to the retention of WV IES records equates to the lifetime of the contract. At contract turnover and closeout, designated WV IES records will be turned over to DHHR. Any records not turned over will be destroyed.

1.4 Plan Organization

This System Backup and Record Retention Plan is organized into the following sections:

- **Introduction (Section 1)** lists the objectives and scope of the System Backup and Record Retention Plan, documents the assumptions made in developing the plan, describes the plan organization, and identifies related documents.
- **System Backups and Schedules (Section 2)** discusses the methodology and planned schedule of system backups.
- **Retention Methodology by Project Phase (Section 3)** provides our approach to record retention within each project phase.

1.5 Related Documents

The System Backup and Record Retention Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, the document is base-lined and placed under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

Related plans include:

- Disaster Recover and Business Continuity Plan
- Documentation Management Plan

2. System Backups and Schedules

The Optum data protection and recovery procedures cover the full lifespan of every data element retained in our solutions. The WV IES is designed to detect and prevent potential issues through data management functions. If any data becomes corrupted, the database management system (DBMS) backup/archive/recovery (BAR) capabilities provide critical functions to quickly restore clean data and return to normal operations. These capabilities include:

- Block-level corruption detection during backup and restore
- Optimize performance and space consumption during backup with file multiplexing and backup set compression
- Account for database procedures before and after backup or restore, freeing dependency on OS and SQL*Plus scripts
- Provide a common user interface for backup tasks across different host operating systems
- Parallelization of backup/restore data streams, backup files retention policies, and detailed backup histories

We typically maintain up to three copies of the data at a given time depending on customer requirements and the mission-critical nature of the data. In addition to the active copy of production data, the most current and accessible copy is maintained in mirrored storage. Daily and incremental backups of data are maintained onsite in the event of hardware failures. When data is more than two weeks old (or a duration mutually defined during the requirements and design stages of the project), it is archived to the data center archival system, which may include secure, off-site storage. We also back up operating systems and application data on a regularly scheduled basis. All production backups are performed during off-hours. Backup processes do not impact production functionality in most applications.

2.1 Media Tracking

All media used for backup processes utilize radio frequency identification (RFID) tracking. As soon as media is received, RFID labels are applied and scanned into the Maximo application. Maximo tracks if the tapes are in the library racks, in the tape juke boxes and in transport It also tracks tapes pending eradication, pending destruction, eradicated, destroyed and all approvals to move them from one status to the next.

2.2 Data Center Backups

Our Optum enterprise backup strategy is used to protect against data loss by maintaining a minimum of two copies of operational data within the secured technology centers. A virtual tape library system is maintained at the primary data center. This system emulates physical tape and stores data on hard drives for daily operational recovery in case of data corruption or accidental deletion. The data then transmits electronically to an additional disk-based array located in another of the Optum geographically-dispersed data centers located in the United States.

2.3 Destruction Processes

Optum follows specific controls to facilitate the safe and appropriate distribution of media, once stipulated criteria are met. Figure 1 shows the processes used to correctly dispose of media. Certificates of destruction and accompanying serial number report are stored for auditing purposes.

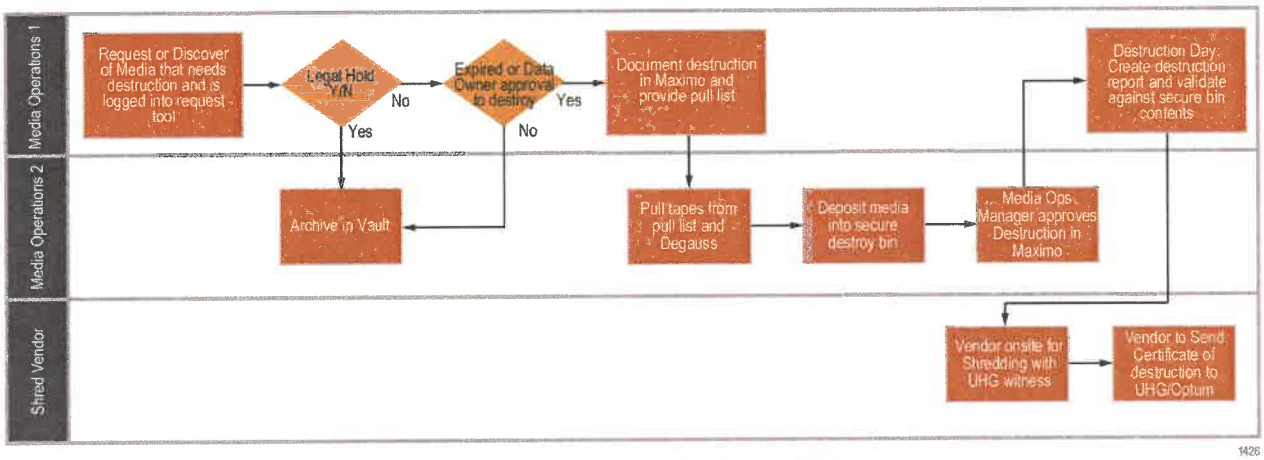


Figure 1: The Optum Media Destruction Process.
Destruction of media is carefully controlled.

2.4 Testing of Restores

Due to the scale of information stored in Optum data centers, Optum restores information for specific WV IES components on a daily basis. As a result, there is no need for specific backup testing as we are performing the function on a real-world basis daily.

2.5 Backup Success

WV IES backup up processes are tracked through a variety of systems and scripts. Information from these various systems is consolidated into a custom database. This database collects the success and failure of each backup. Daily operational success failure reporting is created, which allows staff to remediate specific files and determine root causes for prevention. Data protection meets daily with the various operational teams to monitor the status of the remediation efforts.

The Optum data protection team provides a link to internal staff to review the status of backups for the applications and systems in their area of responsibility. The Optum WV IES processing team will be able to access any backup failures and participate in the remediation process, as well as supply reporting to the DHHR.

2.6 Database Synchronization and Transaction Logging

After contract award and once the build process is started, this section will be completed with details regarding the specific database synchronization processes employed for the WV IES. In addition, an analysis of the transaction logging and commit processes employed by the applications will also be documented.

2.7 Back-up and Retention Policies

During the WV IES Project phases we will generate project documentation, key project artifacts, deliverables, operational data and backups, and other items as appropriate. This documentation will be stored in the shared WV IES SharePoint repository so that the information is easily available to DHHR and Optum staff. Throughout the project life cycle, we maintain compliance with records retention policies and standards driven by regulatory requirements and contractual agreements.

2.7.1 Back-up Policy

Our corporate policies dictate that system and database backups are performed daily and weekly. We retain five versions of a file and 21 versions of databases for operational recovery reasons. Deleted files are retained 90 days. Daily backups are incremental and held for 21 days and weekly backups are full system backups and are held for four weeks.

In addition to the backup environment, Optum maintains a robust security program to protect member data. This includes the following:

- Security Access Tracking System (SATS)
- Active directory and password authentication specifications
- Data center facilities access and security systems
- In-sourcing of the tape management facilities
- In-sourcing of information technology (IT) engineering, maintenance and administrative functions
- Onsite data eradication, to Department of Defense standards, of disk drives when replaced or decommissioned

2.7.2 Retention Policy

Our corporate data retention policy satisfies three primary considerations:

- **Operational Recovery:** Daily backups to be used for file/database restoration
- **Regulatory Requirements:** Records Information Management establishes the policies necessary to meet regulatory requirements such as HIPAA, SOX, contracts, and financial. These retention periods range from three to 10 years depending on the content or requirements for the data
- **Legal Holds:** Process driven by our corporate legal department and supersedes all other retention specifications when initiated

Data retention requirements are driven by laws, regulations, State requirements and Optum corporate policy. The National Archives and Records Administration (NARA) records schedule is usually the default/minimum requirement; backups themselves can be deleted as soon as another full backup has been proven to be successful. [Link for NARA: **https://www.archives.gov/about/records-schedule/chapter-08.html#0813**]. After contract award we will work together with DHHR to review corporate policies, federal standards and State requirements, creating the baseline retention requirements for WV IES.

Because of the expandable and extensible nature of the WV IES infrastructure, we have the capability to retain growing volumes of project records indefinitely. Within the Optum storage

infrastructure, file systems established as a data repository to support WV IES application or business needs have an indefinite life span and will only be removed or deleted upon request from the owning entity. Once the data files have been established, operational backups are executed on a daily basis to protect against the loss of data. This loss may be due to operational incidents; as long as the application does not have a periodic deletion process or data is deleted by the application owner. The data in these files will remain intact indefinitely throughout the duration of our contract, which meets the indefinite requirement.

2.8 Data Retention Schedules

The following table lists the general schedules for backups and retention used within Optum facilities. After contract award, we will work collaboratively with the DHHR to review these retention metrics and establish WV IES retention schedules that fully align to State and federal standards and best practices.

Optum Backup and Retention Schedules			
DBMS Production Environment			
Frequency	Weekly full	Daily incremental	Ad hoc
Retention	28 days	28 days	90 days
DBMS Stage Environment (pre-production)			
Frequency	No weekly full	No incremental	Ad hoc
Retention	N/A	N/A	90 days
DBMS Development and Test			
Frequency	Weekly full	No incremental	Ad hoc
Retention	28 days	N/A	90 days
DBMS Non-production Environment*			
Frequency	Weekly full	No incremental	Ad hoc
Retention	28 days	N/A	90 days
Email Production – managed by Exchange team			
Frequency	No weekly full	No incremental	Uses MS Exchange DP
Retention	N/A	N/A	Uses MS Exchange DP

**Databases – Production ONLY backups are copied offsite for disaster recovery purposes. Operational Backup Retention (Oracle, Sybase, SQL Server, DB2, RDB)*

2.9 Operational Backup Standards

The following table lists the backup standards Optum will use for the WV IES Project. After contract award, we will work collaboratively with the DHHR to review and verify these backup standards fully align to State and federal standards and best practices.

Operational Backup Standards				
Production Environment				
OS Files	VERExists	VERDeleted	RETExtra	RETOnly-last copy of deleted file
Versions & Retention	5 Versions	1 Version	45 Days	90 Days
Frequency	Daily			
Non-Production Environment				
OS Files	VERExists	VERDeleted	RETExtra	RETOnly
Versions & Retention	3 Versions	1 Version	45 Days	45 Days
Frequency	Daily			
Production and Non-Production				
TSM for Virtual Environments				
Versions	45			
Frequency	Daily			
NAS (Networked Attached Storage). NAS Uses NetApp Internal Data Protection				
Frequency	N/A			
Version & Retention	90 Days			

3. Retention Methodology by Project Phase

Optum will generate various documents and data records during each of the project life cycle phases: DDI, Operations, and Turnover/Closeout. Upon contract award, we will work together with DHHR to review and finalize the project data/artifacts that will be developed during each project phase, and assign applicable record retention requirements, e.g., storage media, timeframes, accessibility, etc. This retention strategy will be an input to our project turnover and closeout process.

West Virginia Integrated Eligibility Solution (IES)

Draft Turnover and Closeout Management Plan

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

_____ **Signature**

_____ **Date**

xxxxxxxxx

Optum

_____ **Signature**

_____ **Date**

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Revision History

Version	Date	Author	Summary of Changes
1.1	8/8/2017	Optum	Initial draft release

Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 1
1.5 Related Documents 2
2. Turnover and Closeout 2
2.1 Turnover Schedule 3
2.2 Turnover Management Team 3
2.3 Turnover Approach 3
2.3.1 Step 1: Turnover Initiation and Planning 4
2.3.2 Step 2: Turnover and Training 5
2.3.3 Step 3: Prepare for Cutover 6
2.3.4 Step 4: Turnover Closeout 6
2.3.5 Knowledge Transfer Approach 6
2.3.6 Turnover Transition Execution Approach 8
2.3.7 Continuous Transition Governance and Monitoring 10
2.3.8 Turnover Roles and Responsibilities 10
2.3.9 Turnover Tools 13
3. Project Documentation 13
4. Asset Transfer 14
5. Final Administrative Items 15
5.1 Escrow 15
5.2 Data Transfer 15
5.3 Certificates of Destruction 15
5.4 Turnover Transition Closeout Report 17

List of Figures

Figure 1: Optum Approach to Turnover. 4
Figure 2: Optum Knowledge Transfer Approach. 7
Figure 3: Sample Knowledge Transfer Report 10
Figure 4: Optum Media Destruction Process. 16
Figure 5: Sample Certificate of Destruction. 16

1. Introduction

1.1 Objective

The Turnover and Closeout Management Plan describes our approach for turnover and closeout for the West Virginia Integrated Eligibility Solution (WV IES) project. The plan defines the collaborative processes that will be implemented between Optum, the DHHR and/or the successor vendor to transfer the system, data, assets and so forth. The objective is to enable DHHR or a successor vendor to effectively operate and maintain the WV IES.

1.2 Plan Scope

The West Virginia Turnover and Closeout Management Plan provides the approach we will use to transition the operations and maintenance of the WV IES to the successor vendor or DHHR when the contract comes to a close.

1.3 Plan Assumptions

We made the following assumptions when preparing this plan:

- The successor vendor will make adequate transition staff available for tasks and for full duration defined in the plan.
- The successor vendor will attend all DHHR-specific training sessions so they can attend the detailed Optum knowledge transfer sessions.
- The successor vendor will be responsible for confirming their staff skills are aligned to the scope of work and technology stack used in the WV IES Project.
- Optum will only be responsible for providing access to the systems under Optum control that does infringe upon Optum intellectual property.
- Optum will act as a single point of contact for Optum project partners and will be responsible for aligning Optum partners to assist during transition.
- The successor vendor resources will be dedicated to transition activities.
- Knowledge transfer and shadow sessions will be performed at an agreed upon location.
- DHHR will assist with transition oversight and provide a single point of contact with decision-making authority to facilitate decision-making and to reduce bottle necks.
- Once final, completing the activities outlined in this plan constitutes the full scope of turnover responsibilities. The turnover will be considered complete when Optum and/or partner teams complete the specific activities defined in the work plan and DHHR accepts our final deliverables.

1.4 Plan Organization

This Turnover and Closeout Management Plan is organized into the following sections:

- **Introduction (Section 1):** lists the objectives and scope of the Turnover and Closeout Management Plan, assumptions made in developing the plan, describes the plan organization, and identifies related documents.

- **Turnover and Closeout (Section 2):** discusses our overall approach to turnover and transferring knowledge to the DHHR and/or successor vendor. This includes scheduling job shadows and reverse shadows to facilitate the knowledge transfer process.
- **Project Documentation (Section 3);** discusses the transfer of all relevant project documentation.
- **Asset Transfer (Section 4):** discusses the transfer of assets (e.g., software, hardware, furniture) to the DHHR or successor vendor.
- **Final Administrative Items (Section 5):** discusses final disposition items of the Turnover Phase, including escrow, data transfer, certificates of destruction, and the project closeout report.

1.5 Related Documents

The Turnover and Closeout Management Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, the document is baselined and placed under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

Related plans include:

- Quality Management Plan
- Risk Management Plan
- Schedule Management Plan
- Document Management Plan
- Configuration Management Plan

2. Turnover and Closeout

The Turnover and Closeout Plan describes the activities that will occur during the transition-out period. It details the turnover team, turnover methodology, overall turnover schedule, operational activities, and equipment associated with the turnover tasks. This plan is reviewed annually and updated as needed to prepare for each significant system release throughout the contract and or upon request by the DHHR project manager or designee. During turnover and closeout, this plan will serve as the blueprint and reference document for all knowledge transfer activities performed with the DHHR and/or our successor.

The work and schedule associated with the Turnover and Closeout Plan will be documented using Microsoft Project. Microsoft Project lets us track the progress of related activities, monitor and evaluate resource allocation, and produce work plan reports, including:

- Project schedule
- Work Breakdown Structure (WBS) with task assignment
- Critical path
- Milestone dates
- Deliverable dates
- Gantt chart

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2.1 Turnover Schedule

Upon receiving the notification that you intend to re-procure services, we will update this plan and submit it for DHHR approval nine months prior to contract term or within three months upon DHHR request. This plan will detail the updated schedule, updated work plan activities, and resources associated with the identified turnover tasks. Along with the Turnover and Closeout Management Plan we will provide a detailed Microsoft Project work plan, subject to review and approval by the DHHR. This work plan, called the Turnover Schedule, will govern the execution of turnover activities and enable DHHR and other WV IES stakeholders to continue providing services without interruption. We will provide trainings and execute subsequent turnover activities as outlined in the Turnover Schedule.

2.2 Turnover Management Team

Optum will provide the resources necessary for the transition to our successor. We will appoint a senior manager from our WV IES operations team as a turnover manager. This individual will own the end-to-end turnover activities. The turnover manager will be the single point of contact for all turnover activities representing, Optum and our subcontractors. The turnover manager will work closely with DHHR leadership and our successor to come to an agreeable solution on conflicts that arise during turnover and closeout. We will produce the turnover organization chart during the Turnover Phase initiation step.

Optum will provide key WV IES functional and technical subject matter experts to train our successor. Retaining key staff throughout the Turnover Phase allows us to promote continuity of service. During the Turnover Phase, in the event that replacement of a key staff member is necessary, we will notify the DHHR in advance to help minimize turnover impact.

The Optum turnover manager will oversee the implementation of the turnover tasks listed in the Turnover Schedule so that the tasks are performed in accordance with the contract requirements. This includes assessing and updating documentation, the submitting a Turnover Schedule, and the transferring contract operations.

2.3 Turnover Approach

Our turnover and closeout approach will be executed in four phases as shown in Figure 1.

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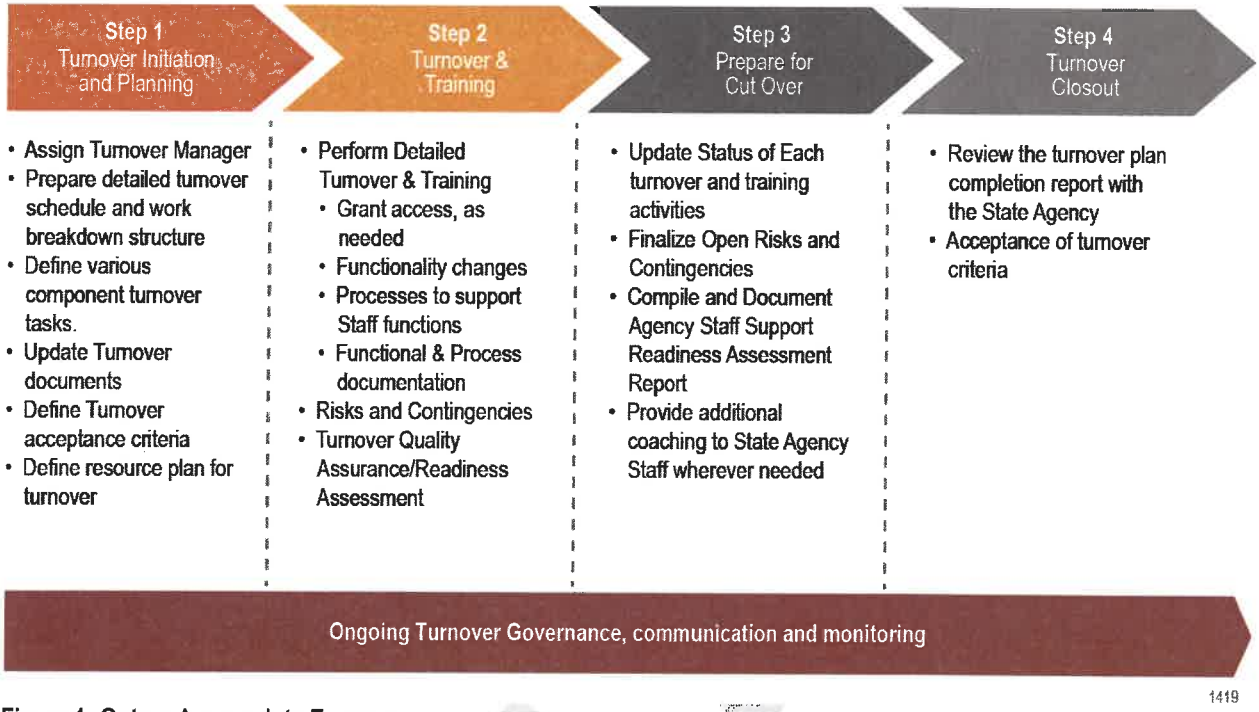


Figure 1: Optum Approach to Turnover.
We follow a prescribed process to verify complete and efficient turnover of the WV IES.

2.3.1 Step 1: Turnover Initiation and Planning

The Turnover Initiation and Planning step establishes the foundation for the entire WV IES transition. This will start within 30 days of DHHR notification of intent to re-procure services. We will plan the entire turnover during this phase in collaboration with the DHHR. Optum will be accountable for turning over the operations to the successor. We will be responsible for working with our subcontractors during turnover and closeout to perform their required activities. The following activities will be completed during this phase:

- Prepare a detailed Turnover Schedule (work plan) with inputs from Optum partners that addresses/includes:
  - Data turnover tasks
  - Custom interface turnover tasks
  - Custom code turnover tasks
  - Documentation regarding files, interfaces and workflows not considered to be part of the COTS proprietary documentation tasks
- Develop a timeline of tasks and activities (defined using a WBS) leading to required turnover deliverables and milestones. This includes the tasks and activities representing the four steps of our methodology: Initiation and Planning, Execution (includes transition and training and prepare for cutover phases), Monitoring (throughout all phases), and Transition Closeout. We will perform the following:
  - Create a detailed knowledge transfer work plan
  - Document gaps and an action plan to address stability during turnover
  - Define data migration and turnover acceptance criteria

- Establish lines of communication and reporting relationships
- Establish meetings and communication methods related to regular and on-going coordination activities during the transition and cutover periods
- Identify key subject matter experts to participate in the migration/turnover effort (Shadow and Reverse Shadow)
- Establish a resource plan for turnover
- Finalize a list of DHHR-specific deliverables and other materials to be turned over (e.g., existing incident, problem and change management tickets)
- Establish a data migration strategy for application data (e.g., members, claims, transactions and more)
- Define tools required for turnover and closeout
- Leverage the deliverable review process with the DHHR
- Establish turnover performance measurements and critical success factors
- Establish turnover quality checkpoints and milestones
- Assess and update furniture and hardware turnover requirements

Step 1 ends with the DHHR approving the final Turnover and Closeout Management Plan, and agreeing to the milestones and detailed work streams outlined in the Turnover Schedule.

2.3.2 Step 2: Turnover and Training

This step starts at four months prior to the end of the contract or at a time agreed upon with the DHHR. This phase is also known as the Knowledge Transfer Phase. It is imperative that the successor staff be present for this phase. We will work with DHHR and successor team management to maximize participation. The following activities will be performed during this phase:

- Establishing turnover governance
- Introducing Optum teams and successor teams
- Defining roles and responsibilities of successor and Optum
- Establishing format and protocol for status meetings and reporting
- Establishing format and tools for knowledge transfer sessions
- Establishing lines of communication and reporting relationships
- Establishing the deliverable review process with successor
- Discussing Issues, Risks, Actions, Assumptions and Decisions (IRAAD) strategies with successor
- Finalizing milestones with DHHR and all stakeholders
- Providing building access for appropriate resources for transition planning and status meetings
- Conducting knowledge transfer sessions according to the approach described later in section 2.3.5 – Knowledge Transfer Approach

Optum will use latest tools and technologies to conduct these training sessions. We will provide pre-requisite learnings, documentation reviews, questions and answers discussion forums and

dedicated knowledge transfer sessions. These sessions are conducted in person and online using tools like WebEx.

2.3.3 Step 3: Prepare for Cutover

This turnover phase is also called the reverse shadow phase. The successor vendor will serve as the primary WV IES support provider. They will monitor the project service level agreements (SLAs) and continue to adjust the system to perform at the defined level. We will provide coaching as needed. Our resources will be available to answer questions. The successor vendor will deliver the metrics and reports on the WV IES to the State.

We will continue to perform enhancement activities during this phase. We will review the key deliverables that the successor vendor delivers to you, if required.

Major activities during this phase:

- Optum provides coaching to successor vendor as needed
- Optum reviews key deliverables to DHHR
- Successor vendor drives the project and has prime responsibility for operations and maintenance
- Successor vendor monitors SLAs and system metrics to perform to the defined level
- Successor vendor publishes reports and dashboards

2.3.4 Step 4: Turnover Closeout

During this phase, the successor vendor will already be performing the full array of WV IES maintenance and operation activities. Optum access to the project artifacts and assets will be removed.

We will produce the closeout report during this step. Please see section 5.4 of this plan for Closeout Report details. Optum will receive sign-off from DHHR for materials specific to WV IES, data dumps, data mapping, batch job schedule, and vendor SLA transition to our successor.

DHHR will also be responsible to provide a sign-off that all turnover activities have been successfully completed. The Optum team is disengaged from the project after the DHHR sign off is received.

2.3.5 Knowledge Transfer Approach

Our approach to accomplishing complete and effective knowledge transfer to the successor vendor occurs across the four knowledge transfer phases shown in Figure 2.

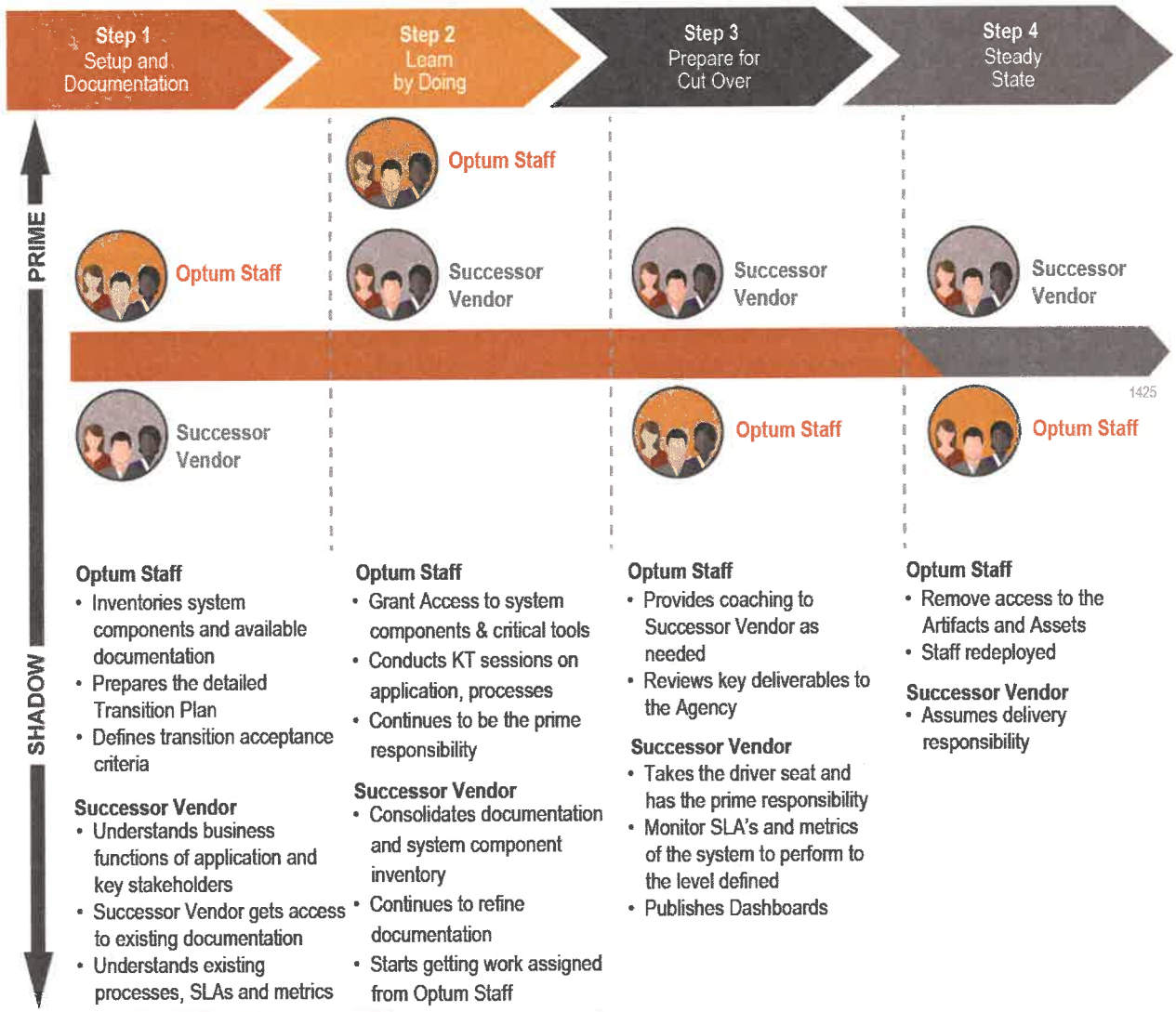


Figure 2: Optum Knowledge Transfer Approach.
Our methodical process for transferring knowledge to the successor vendor will help continued operations of the WV IES without interruption.

Phase 1 – Setup and Documentation: This is the planning phase of turnover where Optum staff inventories and transfers project assets to the successor vendor. These assets come in multiple forms, which are categorized as either artifacts or digital assets.

Artifacts include various project documents that are stored in the DHHR SharePoint repository. DHHR will be responsible for providing access to the DHHR SharePoint repository to successor vendor. The successor vendor will be responsible for cataloging and organizing transitioned artifacts. The successor vendor and DHHR will be responsible for acknowledging that they are able to access the transitioned artifacts.

For digital assets, the repositories will remain in place at Optum and we will provide DHHR content from such repositories as part of Phase 1. This content will be limited to the artifacts which are not considered to be a part of the proprietary Optum WV IES.

Phase 2 – Learn By Doing: Optum establishes a buddy system with the successor vendor, laying the foundation for knowledge transfer during the Turnover and Training (shadow) and Prepare for Cutover (reverse shadow) turnover phases. The successor vendor is responsible for attending scheduled knowledge transfer sessions conducted by the Optum team. Knowledge transfer Phase 2 can begin in parallel with Phase 1. Optum grants access to the digital assets, tools, and resources that are needed to perform successful knowledge transfer. These include run books, known error database, entity relationship diagrams, batch jobs, workarounds and contact lists. The successor vendor also receives access to the service management tool, as necessary.

During Phase 2, the successor vendor shadows the Optum team and actively participates in the execution of project tasks. We believe that hands-on experience for the successor vendor helps fill any gaps in knowledge. Knowledge transfer sessions are designed to provide enough information so that qualified professionals will know how components interact and where to find additional detail when needed. Optum executes knowledge transfer over several iterations starting with the low-impact items, progressing to highly critical items as determined by our EquiKNOX criticality score (ECS). The successor vendor starts working on low-impact items and moves on gradually to the highly critical items, providing stability to the transition activities and maintaining continuity of services. Each iteration ends with our successor presenting "playback" to demonstrate for stakeholders understanding of what they have learned.

Phase 3 – Prepare for Cutover: This is the reverse shadow phase where the successor vendor takes the primary responsibility of the system and continues to do the maintenance and operations. The successor vendor monitors the SLAs and continues to adjust the system to perform at the prescribed level. Optum will provide coaching as needed. Our resources will be available to address queries and handle any critical issues that arise during this period.

Phase 4 – Steady State: This is the phase in which the successor vendor performs the full array of WV IES maintenance and operation activities. Because the successor vendor will be fully trained, our knowledge transfer role diminishes significantly. The successor vendor removes Optum access to the artifacts and digital assets. The Optum team is disengaged at this point.

2.3.6 Turnover Transition Execution Approach

In order to facilitate the turnover transition, all parties need to understand the comprehensive set of WV IES system elements that are to be transitioned to our successor.

These elements are grouped into functions as shown in the following table.

Function Area	Description
Tools and technologies	Tools and technologies used
Infrastructure	Current infrastructure, environments and servers, and other infrastructure components that make up the system
Application architecture	Enterprise application architecture, design patterns, frameworks, tools and other architectural aspects
Database	Database application interactions, important tables, database management process
Project management	General project management processes pertaining to the WV IES
Middleware	Middleware framework and tools used

Function Area	Description
Configuration and change management	Responsibilities, policies, procedures, and activities used in managing change and in confirming the integrity of hardware, software, network components, and documentation
Operations processes	Processes such as ticket management, different service requests categories, and mass changes
Batches	Batch framework, batch schedule, interfaces
Interfaces	Interface architecture and technologies, mode and schedule of interface interactions, file and data exchanges with interfaces.

All parties must understand the relative criticality of each transition element (within the function as well as overall criticality) as determined by the ECS analysis. This determines where to concentrate time and effort.

EquiKNOX Criticality Score (ECS)

Optum assesses each functional element based on the following weighted criteria:

- Technical complexity
  - How complex is the element to understand and execute from a technical perspective?
  - Does the element involve new or leading edge technology that requires significant ramp up time for a new resource to learn?
- Multidisciplinary resource requirement
  - Is this element currently performed by a single type of resource (i.e., skill set) or does it require resources from multiple disciplines to execute?
- Documentation
  - How accurately does the current documentation support the transition and execution of the element?
- Impact to operations
  - To what extent could the incorrect transition and execution of this element impact daily system and business operations?
- Maturity and stability
  - What is the current maturity and stability of the element being transitioned?
  - What level of supplemental activity is required to bolster stability?
- Schedule
  - Are there critical business or system milestones that depend on the early (and/or timely) transition of an element that would cause it to increase in priority?

This model provides data-driven prioritization and grouping of critical functional elements. It enables the transition team to focus more resources and efforts on critical elements. Optum further categorizes the score in specific tiers, such as High = Tier1, Medium-High/Medium = Tier 2, and Low = Tier 3.

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2.3.7 Continuous Transition Governance and Monitoring

We will closely monitor and control the turnover of the WV IES to meet the turnover objectives. We will establish recurring touch points with stakeholders. We will receive buy-in from stakeholders for regular meeting cadence and IRAAD review sessions during turnover. We will also develop and deliver a Turnover Results Report to DHHR, as described in a later section. This is a key document that we will produce during each phase of the turnover. We will provide support for any readiness assessment report that you or a successor vendor might prepare for the turnover period. We provide a sample knowledge transfer status report in Figure 3.

Overall Status
Green

Date & Time Stamp 10/29/2016 17:03

Transition Status Report

Function	Transition Phase														
	KT			Shadowing					Reverse Shadowing						
	Plan	Done	% KT Done	Plan	WIP	Done	% Shad Done	Cancel	Plan	WIP	Done	% RShad Done	Cancel	Cut-Over Date	RAG Status
Functional Designs	10	10	100%	4	0	4	100%	6	4	0	4	100%	6		G
Security	1	1	100%	1	0	1	100%	0	1	0	1	100%	0		G
Incident Mgt	3	3	100%	3	0	3	100%	0	3	0	3	100%	0		G
Release Mgt	6	6	100%	3	0	3	100%	3	3	0	2	67%	3		G
Infrastructure	13	13	100%	3	0	3	100%	10	3	0	3	100%	10		G
Development	14	14	100%	4	0	4	100%	10	4	0	0	0%	10		G
Configuration Mgt	5	5	100%	4	0	4	100%	1	4	0	2	50%	1		G
Testing	13	13	100%	7	0	7	100%	6	7	0	4	57%	6		G
Data Integrity	8	8	100%	0	0	0	0%	8	0	0	0	0%	8		G
Kick Off	2	2	100%	0	0	0	0%	0	0	0	0	0%	0		G
	75	75	100%	29	0	29	100%	44	29	0	19	66%	44		

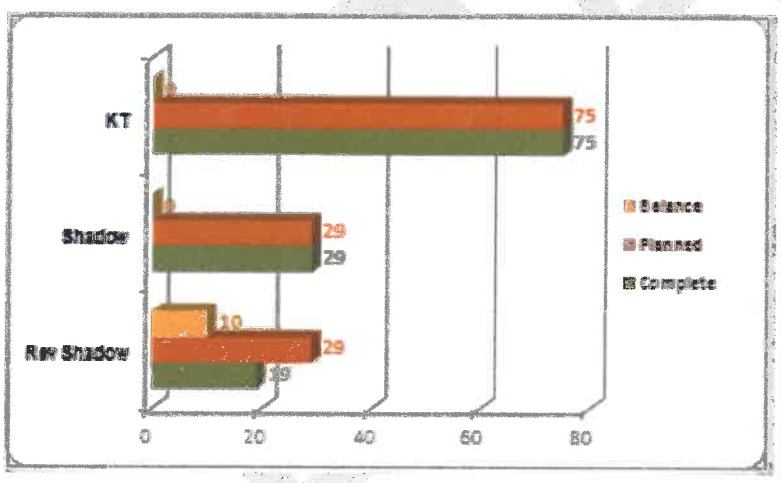


Figure 3: Sample Knowledge Transfer Report.

The Optum knowledge transfer progress chart is generated for monitoring and controlling the knowledge transfer activity.

2.3.8 Turnover Roles and Responsibilities

This section defines the responsibilities of Optum, the successor vendor, and DHHR during each phase of turnover. This list will be reviewed and updated yearly during the contract execution.

Turnover Phase 1: Initiation and Planning

Optum responsibilities include the following:

- Prioritize the turnover elements; allocate appropriate time based on priority (per track)
- Provide a detailed knowledge transfer plan for each transition element with dates, names of subject matter experts, mode, transition track, and other necessary information
- Provide access to DHHR staff and successor vendor to download the project artifacts
- Conduct knowledge transfer planning kick-off meeting with Optum and DHHR

The successor vendor's responsibilities include the following:

- Obtain the readiness guidelines from DHHR and Optum
- Obtain the application access request list
- Identify and onboard staff per the transition schedule
- Complete necessary background checks and training per agreements with DHHR
- Submit access requests

DHHR will complete the following tasks:

- Facilitate communication within the successor vendor and Optum
- Review the transition approach document
- Acknowledge receipt in writing of project artifacts and digital assets
- Approve requests for access to support schedule
- Review all requests for access to verify required training is complete and in place (for example, HIPAA)

Turnover Phase 2: Shadow

Optum responsibilities include the following:

- Schedule knowledge transfer sessions and publish time and location in advance of the meetings
- Deliver knowledge transfer sessions as scheduled
- Provide list of staff to be shadowed for each activity and form buddy system
- Monitor and report on completion of tasks per the schedule
- Communicate in writing to DHHR when knowledge transfer sessions or shadowing activities are not attended by the successor vendor
- Maintain Transition Issue Tracker in collaboration with the successor vendor
- Perform daily checkpoint and periodic reviews for knowledge transfer session effectiveness
- Address open issues in Transition Issue Tracker
- Extend all engagement meetings to successor vendor

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The successor vendor's responsibilities include the following:

- Identify and schedule skilled staff to attend scheduled knowledge transfer meetings and buddy assignments
- Make skilled staff available to shadow Optum or partner staff at the meeting locations
- Identify and onboard (minimally) one team lead and one subject matter expert for each task identified in the Turnover Schedule
- Review the list of historical IT service management tickets
- Attend engagement meetings
- Schedule playback session and present to the stakeholders
- Conduct playback session for each business area per iteration
- Identify gaps in training or areas where coaching may be needed

DHHR will complete the following tasks:

- Assist in verifying a smooth transition
- Provide a single point of contact with decision-making authority on behalf of DHHR to promote effective and productive decision-making and reduce bottlenecks
- Collaborate with the successor vendor and identify and communicate priority tasks for releases, maintenance activities, and defect corrections
- Provide Go/No-Go for shadow activities based on the playback sessions per track

Turnover Phase 3: Reverse Shadow

Optum responsibilities include the following:

- Provide guidance and coaching as needed
- Review critical deliverables as needed

The successor vendor's responsibilities include the following:

- Be responsible for the tasks and own primary M&O responsibility
- Create and host the engagement meetings
- Deliver the Operations deliverables to DHHR
- Communicate schedule of activities to Optum to enable the Optum team to effectively reverse shadow
- Monitor SLAs and metrics
- Perform operational readiness checklist and criteria (if any)
- Conduct playback session for each business area per iteration
- Work with DHHR to identify and communicate priority tasks for releases and defect corrections

DHHR will complete the following tasks:

- Assist in verifying a smooth turnover

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- Provide a single point of contact with decision making authority on behalf of the DHHR to promote effective and productive decision-making and reduce bottlenecks
- Collaborate with the successor vendor to identify and communicate priority tasks for releases and defect corrections
- Approve start of steady state phase, Turnover Closeout

Turnover Phase 4: Transition Closeout

Optum responsibilities include the following:

- Provide Turnover Transition Completion Report

The successor vendor's responsibilities include the following:

- Revoke all Optum access to project information and systems
- Work with DHHR directly on all WV IES tasks

DHHR will complete the following tasks:

- Sign off on the Optum Turnover Transition Completion Report
- Work directly with the successor vendor on all WV IES tasks

2.3.9 Turnover Tools

Turnover Schedule (Work Plan)

Our Turnover Schedule expands upon the high-level turnover strategy. It identifies and schedules turnover tasks, subtasks, and interdependencies. It also includes the list and descriptions of milestones and deliverables mutually agreed between DHHR and Optum. We use the Turnover Schedule to monitor, track, and report turnover progress to DHHR.

The approved Turnover Schedule is a living document. The elements of the approved work plan may be adjusted or updated as part of turnover execution. This living document will be managed by Optum and accessible to all authorized parties.

Issues, Risks, Actions, Assumptions and Decisions (IRAAD) Tracking Tool

IRAAD is an Optum-proprietary tool we use throughout WV IES Project life cycle to identify, track and report on WV IES issues, risks, resolution, and corrective actions. The IRAAD tool is a workbook designed to help Optum teams and project managers drive more predictable outcomes by identifying, ranking and addressing key risk areas across a project. The IRAAD tool is also used to document and track project assumptions, issues, dependencies, and corrective action items. We will use our IRAAD spreadsheet for problem management and capturing and tracking problems to resolution. It will also help us recognize recurring problems and address procedural issues as needed to prevent recurrence.

3. Project Documentation

Project documentation will be turned over to our successor as a part of turnover.

Artifacts include various project documents that are stored in the DHHR SharePoint repositories. The DHHR is responsible for providing the successor vendor with access to your SharePoint repository. It is the successor vendor's responsibility to catalogue and organize transitioned artifacts. The successor vendor and DHHR are responsible for acknowledging that

they are able to access the transitioned artifacts. Optum can provide the process to request access; however actual provisioning will be DHHR's responsibility.

Optum will provide documents that are relevant to operations of the WV IES but are not Optum proprietary product information. The following table lists sample documents and the document category of typical documents we will provide.

Document	Category
Requirement documents	System
System design document	System
Database management document	System
Interface design document	System
Data transfer document	System
Interface control document	System
Data security document	System
Business process mapping document	System
System training documents	System
Various plans	PMP
Data conversion	System
Data warehouse documents	System
Backup strategy documents	System
Reporting and analytics documents	System
Process diagrams related to M&O services	Operations
Production runbooks	Operations
Known issues and workarounds	Operations
Current SLAs and metrics	Operations
Operations runbooks	Operations
Production support roaster	Operations
Escalation processes	Operations
Batch stream schedules and timings	Operations
Change management documents	Operations

4. Asset Transfer

We will transfer the following assets during turnover and closeout:

- **Software:** Optum will transfer code, configurations and other artifacts which are State-specific and not proprietary products owned by Optum or our partners. Optum will work with DHHR to transfer such artifacts to the secure location designated by DHHR.

- **Hardware:** As specified in the RFP, DHHR wants the WV IES to be hosted at our vendor location. All hardware and licensing will be owned by Optum and partners. In case DHHR wants the hardware to be turned over to our successor, Optum will initiate discussions with DHHR and our successor to determine specific requirements.
- **Furniture:** We will work with DHHR to transition the project office furniture and general office equipment, where appropriate, to DHHR at the end of the contract.

5. Final Administrative Items

5.1 Escrow

Optum agrees that DHHR retains ownership of all data, procedures, applications, licenses, and all materials developed during DDI and Operations. In its answers to bidder questions set forth in Addendum 5 to the RFP, DHHR confirmed that it was acceptable for licensing for commercial off-the-shelf (COTS) software to be held by the vendor on behalf of DHHR and offered as a Software as a Service (SaaS) model. Therefore, we agree that our solution includes licenses held by Optum for the benefit of DHHR for the term of contract.

5.2 Data Transfer

During the WV IES Implementation Phase, we will establish a comprehensive inventory of all data and reference tables, data-related documentation, and associated relevant operational information. This will help us maintain a configuration-controlled baseline throughout the contract. For turnover, we will review, update (as needed), and submit the data inventory list to DHHR for approval. After receiving DHHR approval, we will include these items in the detailed functional element list that will be prepared during turnover planning and initiation, as described in Section 2.3.6–Turnover Transition Execution Approach. We will transfer the State-owned data to the federated storage or a secure-State FTP site as agreed and approved by the DHHR. After we transfer these elements, we will provide regular updates to identify changes to your WV IES data infrastructure from that date forward through the end of our operations period. As turnover is completed, we will transfer all residual inventory and records to the successor vendor.

5.3 Certificates of Destruction

Client data confidentiality is a key concern for Optum. We secure protected information through the life of the contract to turnover and closeout. Following our established media destruction process, we log each media destruction request. We check for legal holds or lack of data owner approval before proceeding with destruction. If we do not receive data owner approval or identify legal holds, we archive the media. Otherwise, we proceed with the destruction request and pull requested tapes and degauss them to make them unusable. We then deposit the tapes into secure bins and indicate in Maximo they are pending destruction.

All media used for backup processes utilize radio frequency identification (RFID) tracking. As soon as media is received, RFID labels are applied and scanned into the Maximo application. Maximo tracks if the tapes are in the library racks, in the tape juke boxes and in transport It also tracks tapes pending eradication, pending destruction, eradicated, destroyed, and all approvals to move them from one status to the next.

On the day of destruction, we create a destruction report and validate it against the bin contents. We are on-site with our partner vendor when the media is destroyed. Figure 4 shows our media destruction process.

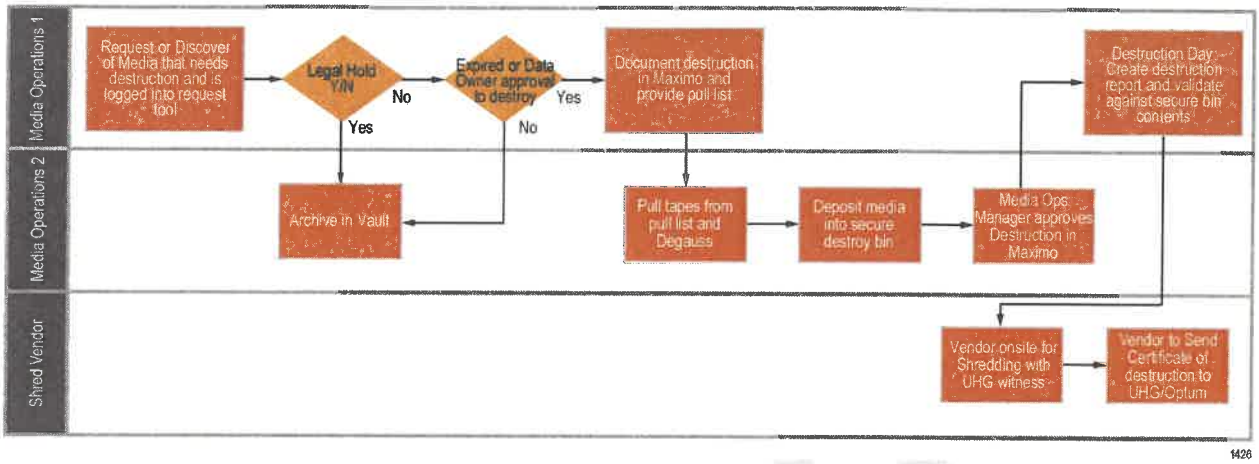
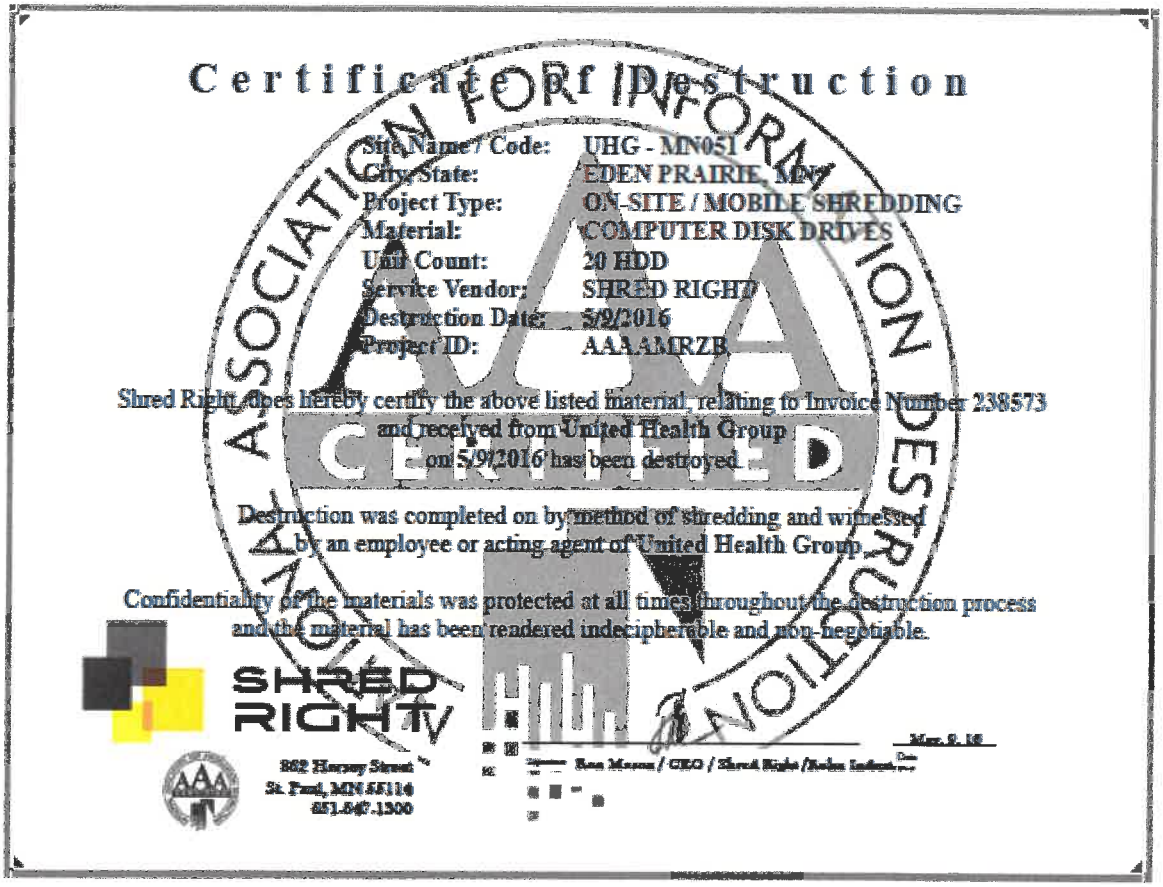


Figure 4: Optum Media Destruction Process.
Our established process will verify the destruction of identified information in order to maintain confidentiality.

Our partner vendor produces the certificate of destruction after media is destroyed. Optum will provide that certificate to DHHR to demonstrate compliance with destruction requirements. Figure 5 shows a sample certificate of destruction.


Certificate Of Destruction

Site Name / Code: UHG - MN051
City, State: EDEN PRAIRIE, MN
Project Type: ON-SITE / MOBILE SHREDDING
Material: COMPUTER DISK DRIVES
Unit Count: 20 HDD
Service Vendor: SHRED RIGHT
Destruction Date: 5/2/2016
Project ID: AAAAMRZB

Shred Right does hereby certify the above listed material, relating to Invoice Number 238573 and received from United Health Group on 5/9/2016 has been destroyed.

Destruction was completed on by method of shredding and witnessed by an employee or acting agent of United Health Group.

Confidentiality of the materials was protected at all times throughout the destruction process and the material has been rendered indecipherable and non-negotiable.

NATIONAL ASSOCIATION FOR INFORMATION DESTRUCTION
CERTIFIED

SHRED RIGHT

802 Hamm Street
St. Paul, MN 55114
651.647.1300

May 9, 16

Ben Moore / CEO / Shred Right / Kodak Industries

Figure 5: Sample Certificate of Destruction.
We verify confidentiality of our destruction process through documented evidence received by our partner vendor.

5.4 Turnover Transition Closeout Report

We will produce the Turnover Results Report, a key document, at each phase of turnover to document the achievements during that phase. The report delivered at the end of Turnover Phase 4 is a summary turnover results report, the Turnover Transition Closeout Report. It requires DHHR sign-off for acceptance.

The closeout report consists of the following items as applicable:

- **Schedule of completed activities:** Contains a dated list of key milestones and activities or tasks related to the WV IES turnover and closeout
- **Inventory of assets transferred:** Contains a list of all transferred assets to the DHHR and dates delivered. Assets may include digital media, tools, licenses, configuration information, operational runbooks, IT Service Management data exports and catalogs, and access authentication credentials
- **Knowledge transfer summary:** Contains a list and schedule of all knowledge transfer sessions conducted
- **Compilation of documentation:** References the documentation delivered as part of the knowledge transfer process and operational turnover
- **Catalog of physical assets:** Includes a catalog and receipt of each physical asset delivered during turnover including furniture, hardware, digital media, and keys, as applicable.
- **Data disposal:** Contains a list of records and assets that were destroyed during turnover.
- **Regulatory compliance:** Contains an inventory of documentation regarding regulatory or government compliance that occurred during the execution of service implementation and operations.
- **Conclusion:** Contains an overall conclusion of all the turnover activity. The Optum turnover manager and DHHR are required to sign off on the Turnover Transition Closeout Report.
- **Billing:** Includes the final list of outstanding financial items and billing terms related to contract closeout.

DRAFT

OPTUM™

West Virginia
Integrated Eligibility Solution
Weekly Status Report
Week Ending {MM/DD/YYYY}

West Virginia Integrated Eligibility Solution

Weekly Status Report

Week Ending MM/DD/YYYY

Accomplishments

- **DDI Accomplishments**
  - Accomplishment #1
  - Accomplishment #2
- **Hosting Accomplishments**
  - Accomplishment #1
  - Accomplishment #2
- **M&O Accomplishments**
  - Accomplishment #1
  - Accomplishment #2
- **PMO Accomplishments**
  - Accomplishment #1
  - Accomplishment #2

Key Upcoming Activities

- *Insert commentary related to upcoming activities and target completion dates*

Color Status (Green, Yellow, Red)

Scope	Schedule	Benefit	Quality
Green	Yellow	Green	Green
	Reason		

Key Upcoming Milestones (Next 4-6 Weeks)

Action Item	Date
• Action Item #1	MM/DD/YYYY
• Action Item #2	MM/DD/YYYY
• Action Item #3	MM/DD/YYYY

Risks

Key Risk	Mitigation Strategy
• Risk #1	*Identify methods to reduce risk*
• Risk #2	*Identify methods to reduce risk*
• Risk #3	*Identify methods to reduce risk*

Overall Status Key G Y R

WV IES - Project Status Report - DDI

Week Ending MM/DD/YYYY

G	Summary Status
	Provide a 1-2 sentence statement on the overall status of the DDI component of the project

Topics for Discussion

Accomplishments for this Week

- Accomplishment #1
- Accomplishment #2
- Accomplishment #3

Activities for Next Week

- Activity #1
- Activity #2
- Activity #3

Issues/Risks	Mitigation Strategy	Due Date
Issue/Risk #1	*Identify methods to reduce or eliminate issue/risk #1*	MM/DD/YYYY
Issue/Risk #2	*Identify methods to reduce or eliminate issue/risk #2*	MM/DD/YYYY
Issue/Risk #3	*Identify methods to reduce or eliminate issue/risk #3*	MM/DD/YYYY

Upcoming Milestones

Milestone	Due Date	Revised Date	Status	Status Comments
Milestone #1	MM/DD/YYYY	MM/DD/YYYY	TBD	*Provide any commentary specific to milestone #1*
Milestone #2	MM/DD/YYYY	MM/DD/YYYY	TBD	*Provide any commentary specific to milestone #2*

Overall Status Key G Y R

WV IES - Project Status Report - Hosting

Update: MM/DD/YYYY

Y	Summary Status
	Provide a 1-2 sentence statement on the overall status of the hosting component of the project

Topics for Discussion

Accomplishments for this Week

- Accomplishment #1
- Accomplishment #2
- Accomplishment #3

Activities for Next Week

- Activity #1
- Activity #2
- Activity #3

Issues / Risks	Mitigation Strategy	Due Date
Issue/Risk #1	*Identify methods to reduce or eliminate issue/risk #1*	MM/DD/YYYY
Issue/Risk #2	*Identify methods to reduce or eliminate issue/risk #2*	MM/DD/YYYY
Issue/Risk #3	*Identify methods to reduce or eliminate issue/risk #3*	MM/DD/YYYY

Upcoming Milestones

Milestone	Due Date	Revised Date	Status	Status Comments
Milestone #1	MM/DD/YYYY	MM/DD/YYYY	TBD	*Provide any commentary specific to milestone #1*
Milestone #2	MM/DD/YYYY	MM/DD/YYYY	TBD	*Provide any commentary specific to milestone #2*

Overall Status Key G Y R

WV IES - Project Status Report - M&O

Update: MM/DD/YYYY

Y	Summary Status
	Provide a 1-2 sentence statement on the overall status of the M&O component of the project

Topics for Discussion

Accomplishments for this Week

- Accomplishment #1
- Accomplishment #2
- Accomplishment #3

Activities for Next Week

- Activity #1
- Activity #2
- Activity #3

Issues/Risks	Mitigation Strategy	Due Date
Issue/Risk #1	*Identify methods to reduce or eliminate issue/risk #1*	MM/DD/YYYY
Issue/Risk #2	*Identify methods to reduce or eliminate issue/risk #2*	MM/DD/YYYY
Issue/Risk #3	*Identify methods to reduce or eliminate issue/risk #3*	MM/DD/YYYY

Upcoming Milestones

Milestone	Due Date	Revised Date	Status	Status Comments
Milestone #1	MM/DD/YYYY	MM/DD/YYYY	TBD	*Provide any commentary specific to milestone #1*
Milestone #2	MM/DD/YYYY	MM/DD/YYYY	TBD	*Provide any commentary specific to milestone #2*

Overall Status Key G Y R

WV IES - Project Status Report - PMO

Update: MM/DD/YYYY

G	Summary Status
	Provide a 1-2 sentence statement on the overall status of the PMO component of the project

Topics for Discussion

Accomplishments for this Week

- Accomplishment #1
- Accomplishment #2
- Accomplishment #3

Activities for Next Week

- Activity #1
- Activity #2
- Activity #3

Issues / Risks	Mitigation Strategy	Due Date
Issue/Risk #1	*Identify methods to reduce or eliminate issue/risk #1*	MM/DD/YYYY
Issue/Risk #2	*Identify methods to reduce or eliminate issue/risk #2*	MM/DD/YYYY
Issue/Risk #3	*Identify methods to reduce or eliminate issue/risk #3*	MM/DD/YYYY

Upcoming Milestones

Milestone	Due Date	Revised Date	Status	Status Comments
Milestone #1	MM/DD/YYYY	MM/DD/YYYY	TBD	Provide any commentary specific to milestone #1
Milestone #2	MM/DD/YYYY	MM/DD/YYYY	TBD	Provide any commentary specific to milestone #2

Overall Status Key G | Y | R

WV IES - Issues

Overall	Corrective actions are in place to address the issues below.	Update: MM/DD/YYYY
		Y

Issues

(#XXX) Issue #1 ***(High, Medium, or Low)***
Action: Provide d*etail on the corrective action that will take place to address the issue detailed above.*

(#XXX) Issue #2 ***(High, Medium, or Low)***
Action: Provide d*etail on the corrective action that will take place to address the issue detailed above.*

(#XXX) Issue #3 ***(High, Medium, or Low)***
Action: Provide d*etail on the corrective action that will take place to address the issue detailed above.*

WV IES - Risks

Overall	Corrective actions are in place to address the risks below.	Update: MM/DD/YYYY
		Y

Risks – Urgent and High

(#XXX) Risk #1 ***(Urgent or High)***
Mitigation: *Identify methods to reduce or eliminate the risk detailed above.*

(#XXX) Risk #2 ***(Urgent or High)***
Mitigation: *Identify methods to reduce or eliminate the risk detailed above.*

(#XXX) Risk #3 ***(Urgent or High)***
Mitigation: *Identify methods to reduce or eliminate the risk detailed above.*

Overall Status Key	G	Y	R

WV IES - Risks

Overall	Corrective actions are in place to address the risks below.	Update: MM/DD/YYYY
		Y

Risks – Medium and Low

(#XXX) Risk #1 ***(Medium or Low)***
Mitigation: *Identify methods to reduce or eliminate the risk detailed above.*

(#XXX) Risk #2 ***(Medium or Low)***
Mitigation: *Identify methods to reduce or eliminate the risk detailed above.*

(#XXX) Risk #3 ***(Medium or Low)***
Mitigation: *Identify methods to reduce or eliminate the risk detailed above.*

Overall Status Key G | Y | R

WV IES - Closed Risks/Issues

Overall	Closed risks and issues are listed below.	Update: MM/DD/YYYY
		Y

Closed Risks/Issues

(#XXX) Risk #1 ***(Urgent, High, Medium, or Low)***
Mitigation: *Identify methods to reduce or eliminate the risk described above.*

(#XXX) Risk #2 ***(Urgent, High, Medium, or Low)***
Mitigation: *Identify methods to reduce or eliminate the risk described above.*

(#XXX) Issue #1 ***(High, Medium, or Low)***
Action: *Detail what corrective action will take place to address the issue described above.*

(#XXX) Issue #2 ***(High, Medium, or Low)***
Action: *Detail what corrective action will take place to address the issue described above.*

Overall Status Key G Y R

WV IES – PMO – Change Request Summary

Overall	A description of current change request items are noted below along with a summary of next steps for each change request.	Update: MM/DD/YYYY
		Y

Approved Change Requests

(#XXX) Approved Change Request #1
Next Step: *Provide next step for Approved Change Request #1*

(#XXX) Approved Change Request #2
Next Step: *Provide next step for Approved Change Request #2*

(#XXX) Approved Change Request #3
Next Step: *Provide next step for Approved Change Request #3*

New/Pending Change Requests

(#XXX) Pending Change Request #1
Next Step: *Provide next step for Pending Change Request #1*

(#XXX) Pending Change Request #2
Next Step: *Provide next step for Pending Change Request #2*

(#XXX) New Change Request #3
Next Step: *Provide next step for Pending Change Request #3*

Rejected Change Requests

(#XXX) Rejected Change Request #1
Next Step: *Provide next step for Rejected Change Request #1*

(#XXX) Rejected Change Request #2
Next Step: *Provide next step for Rejected Change Request #2*

(#XXX) Rejected Change Request #3
Next Step: *Provide next step for Rejected Change Request #3*

Deferred Change Requests

(#XXX) Deferred Change Request #1
Next Step: *Provide next step for Deferred Change Request #1*

(#XXX) Deferred Change Request #2
Next Step: *Provide next step for Deferred Change Request #2*

(#XXX) Deferred Change Request #3
Next Step: *Provide next step for Deferred Change Request #3*

Change Requests as of MM/DD/YY					
New	Pending	Deferred	Closed		
1	2	3	6		
			Accepted	Rejected	Withdrawn
			3	3	0

Overall Status Key G Y R

WV IES - Appendix

The following slides are for reference only.

They are not intended for discussion at the weekly review.

WV IES - M&O

Overall Summary	Out of 95 outstanding incidents, 13 are pending closed / restored and 26 are waiting client.	Update: MM/DD/YYYY
		Y

Incidents

Outstanding Breakdown						
Assigned Workgroup	In Process	Waiting IT	Waiting Client	Restored	Pending Closed	Grand Total
Workgroup Name #1	4		17			21
Workgroup Name #2	7	3			2	12
Workgroup Name #3	9			4		13
Workgroup Name #4	2		9		6	17
Workgroup Name #5	24	2				26
Workgroup Name #6	5			1		6
Grand Total	51	5	26	5	8	95

Problems

Outstanding Breakdown					
Assigned Workgroup	In Process	Cause Known	Fix Known	Restored	Grand Total
Workgroup Name #1	6			1	7
Workgroup Name #2	12		3		15
Workgroup Name #3	3	19		2	24
Workgroup Name #4	1		7		8
Workgroup Name #5	4	6			10
Workgroup Name #6	2		1	5	8
Grand Total	28	25	11	8	72

Overall Status Key: G | Y | R

WV IES - M&O

Overall Summary	Outstanding Ticket by Age Summary	Update: MM/DD/YYYY
		Y

Incident - Outstanding By Age

Ticket Age Category	In Process	Waiting IT	Waiting Client	Restored	Pending Closed	Grand Total
0-15	105	3	20	8	32	168
16-30	33	1	21	2	8	65
31-60	64	14	31	8	15	132
61-90	40	4	36	11	2	93
90+	62	27	86	13	6	194
Grand Total	**304**	**49**	**194**	**42**	**63**	**652**

Problem - Outstanding By Age

Ticket Age Category	In Process	Cause Known	Fix Known	Resolved	Grand Total
0-15	9			2	11
16-30	32				32
31-60	8		1	1	10
61-90	5	1	1		7
90+	41	30	17	1	89
Grand Total	**95**	**31**	**19**	**4**	**149**

Service Request - Outstanding By Age

Ticket Age Category	In Process	Waiting IT	Waiting Client	Restored	Pending Closed	Grand Total
0-15	191		5	4	55	255
16-30	41		4	2		47
31-60	20		1	1		22
61-90	19	2	1	1		23
90+	50	6	12	2		70
Grand Total	**321**	**8**	**23**	**10**	**55**	**417**

Overall Status Key G | Y | R

WV IES - PMO

Overall Summary	Hosting Deliverables Summary	Update: MM/DD/YYYY
	(# Total Deliverables)	Y

Hosting Deliverables Summary (As of MM/DD/YYYY)					
Pending Completion		In Review		Sign-Off Received	
ID	Description	ID	Description	ID	Description
D###	*Deliverable Name*	D###	*Deliverable Name*	D###	*Deliverable Name*
D###	*Deliverable Name*	D###	*Deliverable Name*	D###	*Deliverable Name*
D###	*Deliverable Name*	D###	*Deliverable Name*		
D###	*Deliverable Name*				
D###	*Deliverable Name*				
D###	*Deliverable Name*				
Total Pending Completion - 6		Total In Review - 3		Total Sign-Off Received - 2	

Overall Status Key: G | Y | R

WV IES - PMO

Overall Summary	M&O Deliverables Summary	Update: MM/DD/YYYY
		Y

M&O Deliverables Summary (As of MM/DD/YYYY)			
Pending Completion		Sign-Off Received	
ID	Description	ID	Description
D###	*Deliverable Name*	D###	*Deliverable Name*
D###	*Deliverable Name*	D###	*Deliverable Name*
D###	*Deliverable Name*		
D###	*Deliverable Name*		
D###	*Deliverable Name*		
D###	*Deliverable Name*		
Total Pending Completion - 6		Total Sign-Off Received - 2	

Overall Status Key: G | Y | R

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Integrated Eligibility Solution
Monthly Status Report
{Month, Year}

West Virginia Integrated Eligibility Solution

Monthly Status Report

Month, Year

Accomplishments

- **DDI Accomplishments** *(Copy content from DDI weekly slides)*
  - Accomplishment #1
  - Accomplishment #2
- **Hosting Accomplishments** *(Copy content from Hosting weekly slides)*
  - Accomplishment #1
  - Accomplishment #2
- **M&O Accomplishments** *(Copy content from M&O weekly slides)*
  - Accomplishment #1
  - Accomplishment #2
- **PMO Accomplishments** *(Copy content from PMO weekly slides)*
  - Accomplishment #1
  - Accomplishment #2

Key Upcoming Activities

- *Insert commentary related to upcoming activities and target completion dates*

Color Status (Green, Yellow, Red)

Scope	Schedule	Benefit	Quality
Green	Yellow	Green	Green
	Reason		

Key Upcoming Milestones (Next 4-6 Weeks)

Action Item	Date
• Action Item #1	MM/DD/YYYY
• Action Item #2	MM/DD/YYYY
• Action Item #3	MM/DD/YYYY

Risks

Key Risk	Mitigation Strategy
• Risk #1	*Identify methods to reduce risk*
• Risk #2	*Identify methods to reduce risk*
• Risk #3	*Identify methods to reduce risk*

Overall Status Key G Y R

Sample Templates / Forms / Reports

S A M P L E

West Virginia Integrated Eligibility Solution Deliverable						FORMAL DELIVERABLE REVIEW PROCESS - 10 Day Cycle								
Unique ID	Deliverable Description	WV DHHR Signers	Contract Submission Timeframe	Owner	Due Date	Draft in Review Queue	Feedback Received from WV DHHR	Revised Draft in Review Que	Feedback Received from WV DHHR	Revised Draft in Review Que	Sign-off Sent Date	Sign-off Complete Date	Comments	SharePoint Location
DED-001	Establishment of Facility													
D001														
DED-002	Project Kickoff Meeting within 10 Calendar Days of Contract Execution													
D002														
DED-003	Project Charter													
D003														
DED-004	Stakeholder Analysis													
D004														
DED-005	Stakeholder Management Plan													
D005														
DED-006	Facility Management Plan													
D006														
DED-007	Staffing Management Plan													
D007														
DED-008	Documentation Management Plan													
D008														
DED-009	Training Management Plan													
D009														
DED-010	Testing Management Plan													
D010														
DED-011	Scope Management Plan													
D011														
DED-012	Deliverable Dictionary													
D012														
DED-013	Schedule Management Plan													
D013														
DED-014	Project Schedule													
D014														
DED-015	Cost Management Plan													
D015														
DED-016	Quality Management Plan													
D016														
DED-017	Human Resources Management Plan													
D017														

S A M P L E

S A M P L E

West Virginia Integrated Eligibility Solution Deliverable						FORMAL DELIVERABLE REVIEW PROCESS - 10 Day Cycle								
Unique ID	Deliverable Description	WV DHHR Signers	Contract Submission Timeframe	Owner	Due Date	Draft in Review Queue	Feedback Received from WV DHHR	Revised Draft in Review Que	Feedback Received from WV DHHR	Revised Draft in Review Que	Sign-off Sent Date	Sign-off Complete Date	Comments	SharePoint Location
DED-018	Communication Management Plan													
D018														
DED-019	Risk Management Plan													
D019														
DED-020	Issue Management Plan													
D020														
DED-021	Change Management Plan													
D021														
DED-022	Security, Privacy, and Confidentiality Management Plan													
D022														
DED-023	Configuration Management Plan													
D023														
DED-024	Data Conversion Management Plan													
D024														
DED-025	Disaster Recovery and Business Continuity Plan													
D025														
DED-026	Integration Management Plan													
D026														
DED-027	Data Quality and Governance Plan													
D027														
DED-028	System Back-Up and Record Retention Plan													
D028														
DED-029	Turnover and Closeout Management Plan													
D029														
DED-030	Weekly Project Status Report Template													
D030														
DED-031	Monthly Project Status Report Template													
D031														
DED-032	Weekly Project Status Report													
D032														
DED-033	Monthly Project Status Report													
D033														
DED-034	Completion of Project Management Plan													

S A M P L E

SAMPLE

West Virginia Integrated Eligibility Solution Deliverable						FORMAL DELIVERABLE REVIEW PROCESS - 10 Day Cycle								
Unique ID	Deliverable Description	WV DHHR Signers	Contract Submission Timeframe	Owner	Due Date	Draft in Review Queue	Feedback Received from WV DHHR	Revised Draft in Review Que	Feedback Received from WV DHHR	Revised Draft in Review Que	Sign-off Sent Date	Sign-off Complete Date	Comments	SharePoint Location
D034														
DED-035	Requirements Traceability Matrix (RTM)													
D035														
DED-036	Requirements Specification Document (RSD)													
D036														
DED-037	Overall Completion of Requirements Validation													
D037														
DED-038	Requirements Gap Analysis Document													
D038														
DED-039	Business Process Models													
D039														
DED-040	Detailed System Design (DSD) Document													
D040														
DED-041	Data Dictionary													
D041														
DED-042	Data Models													
D042														
DED-043	Reports Inventory													
D043														
DED-044	Correspondence Inventory													
D044														
DED-045	Forms Inventory													
D045														
DED-046	Interface Inventory													
D046														
DED-047	Data Cleansing and Conversion Requirements Document													
D047														
DED-048	Data Cleansing and Conversion Specification Document													
D048														
DED-049	Overall Completion of Design Phase													
D049														
DED-050	System Documentation													
D050														
DED-051	System Security Plan (SSP)													

SAMPLE

SAMPLE

West Virginia Integrated Eligibility Solution Deliverable						FORMAL DELIVERABLE REVIEW PROCESS - 10 Day Cycle								
Unique ID	Deliverable Description	WV DHHR Signers	Contract Submission Timeframe	Owner	Due Date	Draft in Review Queue	Feedback Received from WV DHHR	Revised Draft in Review Que	Feedback Received from WV DHHR	Revised Draft in Review Que	Sign-off Sent Date	Sign-off Complete Date	Comments	SharePoint Location
D051														
DED-052	Safeguard Procedures Report (SPR)													
D052														
DED-053	User Documentation													
D053														
DED-054	Data Conversion System Integration Test Cases													
D054														
DED-055	Data Conversion System Integration Test Results													
D055														
DED-056	System Integration Test Cases													
D056														
DED-057	System Integration Test Results													
D057														
DED-058	Regression Test Cases													
D058														
DED-059	Regression Test Results													
D059														
DED-060	Load/Stress Test Cases													
D060														
DED-061	Load/Stress Test Results													
D061														
DED-062	Capacity Analysis Report													
D062														
DED-063	Overall Completion of System Testing													
D063														
DED-064	User Acceptance Test Cases													
D064														
DED-065	User Acceptance Test Results													
D065														
DED-066	Overall Completion of User Acceptance Testing													
D066														

SAMPLE

SAMPLE

West Virginia Integrated Eligibility Solution Deliverable						FORMAL DELIVERABLE REVIEW PROCESS - 10 Day Cycle								
Unique ID	Deliverable Description	WV DHHR Signers	Contract Submission Timeframe	Owner	Due Date	Draft in Review Queue	Feedback Received from WV DHHR	Revised Draft in Review Que	Feedback Received from WV DHHR	Revised Draft in Review Que	Sign-off Sent Date	Sign-off Complete Date	Comments	SharePoint Location
DED-067	Operational Readiness Plan													
D067														
DED-068	Operational Readiness Test Scripts													
D068														
DED-069	Operational Readiness Test Results													
D069														
DED-070	Updated Training Management Plan													
D070														
DED-071	Training Schedule													
D071														
DED-072	Training Materials													
D072														
DED-073	Training Report													
D073														
DED-074	Implementation Plan													
D074														
DED-075	Cut-Over Play Book													
D075														
DED-076	Report Distribution Schedule													
D076														
DED-077	Operations Project Management Plans													
D077														
DED-078	Solution Health Monitoring Plan													
D078														
DED-079	Overall Completion of Implementation Readiness													
D079														
DED-080	Federal Certification and Review Management Plan													
D080														
DED-081	ACF Certification Documentation													
D081														
DED-082	Federal Review Supporting Documentation													
D082														
DED-083	Social Security Administration Certification Documentation													
D083														

SAMPLE

SAMPLE

West Virginia Integrated Eligibility Solution Deliverable						FORMAL DELIVERABLE REVIEW PROCESS - 10 Day Cycle								
Unique ID	Deliverable Description	WV DHHR Signers	Contract Submission Timeframe	Owner	Due Date	Draft in Review Queue	Feedback Received from WV DHHR	Revised Draft in Review Que	Feedback Received from WV DHHR	Revised Draft in Review Que	Sign-off Sent Date	Sign-off Complete Date	Comments	SharePoint Location
DED-084	Implementation Certification Letter													
D084														
DED-085	Overall Completion of Deployment to Production													
D085														
DED-086	Turnover and Closeout													
D086														

SAMPLE

West Virginia Integrated Eligibility Solution (IES)

Draft Functional Design Specification (FDS) [Enhancement] Document ID: DXXX Version 1.0

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

Authorized Project Manager

_____ _____

Signature **Date**

xxxxxxxxx

Optum

IES Project Manager

_____ _____

Signature **Date**

August 8, 2017

Document No. <nnnn> Version <1.1>

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Revision History

Version	Date	Author	Summary of Changes
1.0	8/8/2017		Initial draft release

Instructions: The purpose of Revision History is to catalog all changes made to the document and its owner. Each update to the document should be listed in this section. Use the table to provide the version number, the date of the version, the author/owner of the version, and a brief description of the reason for creating the revised version.

DRAFT

Table of Contents

1. Introduction 1
1.1. Intended Audience 1
1.2. Purpose 1
1.3. Defined Terms and Acronyms 1
1.4. System Overview 2
1.4.1. Business Process Flow 2
1.4.2. System Users 2
1.4.3. Functional Purpose and Synopsis 2
1.4.4. Dependencies, Limitations, Constraints, and Prerequisites 2
1.4.5. Use Cases and User Stories 2
1.4.6. Functional Design Specifications 2
1.5. Data Specifications 2
1.5.1. Logical Data Model 2
1.5.2. Data Dictionary 2
1.6. User Interface Design 2
1.7. System Interface Design 3
1.8. Security Structure and Application Roles 3
2. Assumptions, Constraints, and Risks 4
2.1. Constraints 4
2.2. Risks 4
3. Referenced Documents 5

List of Figures

None.

DRAFT

1. Introduction

1.1. Intended Audience

This document is intended for use by Optum and the West Virginia Department of Health and Human Services (WV DHHR). It provides detailed functional specification for ***<<requirement and description>>***. This document will lead to the development of the Technical Design Document (TDD) and also be used as a basis for the validation activities.

1.2. Purpose

Instructions: Describe how this document is to be used, (i.e. this document is intended to be used by the above stakeholders in order to complete solution design, technical design, testing, and implementation of the requirement).

1.3. Defined Terms and Acronyms

Term	Description

Provide clear and concise definitions for terms and acronyms with associated literal translations used in this document that may be unfamiliar to readers of the document. Terms are to be listed in alphabetical order.

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1.4. System Overview

1.4.1. Business Process Flow

The Business Process Flow should be a high-level process flow with primary focus on the processes that will be supported by the system. It should list organizational functions or business processes that will be served by the system (e.g. payroll, human resources, licensing) and indicate what portion of a process currently, or is to be, automated and what portion is currently, or is to be, manual.

1.4.2. System Users

1.4.3. Functional Purpose and Synopsis

This section should identify the potential system users, at a high level. It should also list the departments, agencies, specific groups, or other external clients that will use the system, whether at the state, federal, or local level and indicate if the system will be open to the public and the specific groups that are targeted.

1.4.4. Dependencies, Limitations, Constraints, and Prerequisites

Dependencies, limitations, and/or prerequisites that could affect the design of the software should be listed in this section (e.g. dependencies on external databases, web services, screen size limitations within a browser, budget and schedule constraints.

1.4.5. Use Cases and User Stories

1.4.6. Functional Design Specifications

1.5. Data Specifications

1.5.1. Logical Data Model

A logical data model should include data specifications sufficient enough to develop physical data specifications, outline data dependencies, relationships, and integrity rules, and specify the attributes for each data element. Additionally, it should identify especially sensitive or critical data and indicate data and transaction volumes.

1.5.2. Data Dictionary

A data dictionary is useful for developing context-sensitive help. Initiation of the data dictionary should begin here (in the functional design) and then get finalized in the System Design Stage.

1.6. User Interface Design

A User Interface Design should:

- *Include use cases*
- *Include the User Interface/screen design, unless it is already included in the use cases*
- *Indicate enterprise, agency or project-specific "user interface standards" that should be compiled with (e.g., web interface standards)*
- *Link the use cases to the associated requirements in the Requirements Traceability Matrix (RTM)*

DRAFT

1.7. System Interface Design

A System Interface Design should specify how the product will interface with other systems. This may include items like the elements of the inputs from and outputs to the interface and the frequency of transmission. Also, the use cases document may be tailored to capture system interface requirements.

1.8. Security Structure and Application Roles

This section should identify detailed access requirements and the application roles that will be required for each business process (this can also be captured in the individual use case). It should also specify data communication requirements (e.g., SSL, encryption).

DRAFT

2. Assumptions, Constraints, and Risks

Instructions: Describe any assumptions or dependencies regarding the requirements. The assumptions can be divided into "General Assumptions", "Technical Assumptions", and "Development, Test and Production Assumptions". If none exist, state: "There were no assumptions identified for this project."

Assumptions *listed below are the assumptions that guided the identification and development of the requirements stated in this document. These assumptions are intended to promote mutual understanding, partnership, and quality communication.*

2.1. Constraints

Instructions: Describe any limitations or constraints that have a significant impact on the requirements or the system design. If none exist, state: "There were no constraints identified for this project."

Listed below are the constraints that exist for this project. These constraints may prevent or restrict reaching the desired results (e.g., satisfying requirements, meeting project goals and priorities, achieving measures of success) stated in this document.

2.2. Risks

Instructions: Describe any risks associated with the requirements and proposed mitigation strategies. If none exist, state: "There were no risks identified for this project."

Listed below are the risks that can create issues for the project. These risks may create issues that have an uncertain effect on the project which in turn affect achieving the desired results (e.g., satisfying requirements, meeting project goals and priorities, achieving measures of success) stated in this document.

DRAFT

3. Referenced Documents

Document Name/ Description	Location and/or URL
Business Area Context Diagram (BACD)	
System Area Context Diagram (SACD)	
For Release 2 Reference Documents use this row as an example for proper link and path	Link to the Reference Document folder. Path:
For Release 2 Deliverable Documents use this row as an example for proper link and path	Link to Document folder Path:

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WEST VIRGINIA INTEGRATED ELIGIBILITY SOLUTION
[Meeting Name] Meeting Minutes

DATE:	<Date of meeting>	**TIME:**	<Time of meeting>
LOCATION:	<Location of meeting>		
DIAL-IN #	<Dial-in number>	**ACCESS CODE:**	<Dial-in access code>
CHAIR:	<Name>	**RECORDER:**	<Name>

ATTENDEES:			
ABSENTEES:			

MEETING AGENDA

MINUTES

DECISIONS MADE	
1.	
2.	
3.	

ISSUES	
1.	
2.	
3.	

AI#	**ACTION ITEMS**	**RESPONSIBLE PERSON**	**DUE DATE**

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PROJECT MANAGER PRODUCTION DEPLOYMENT CHECKLIST

Project: _____ Project Manager: _____ Deployment Date: _____

	Pre Deployment Task	When	Notes	Who	Complete?	Date Completed:
1	Discuss with development and determine if system downtown will be needed.	1 month prior	• Some systems require 1 month prior notice for downtime • If the system is client facing, [External Communications Dept.] must be contacted. • **THE SOONER YOU SEND NOTIFICATION TO EVERYONE ABOUT DOWNTIME, THE BETTER** • When possible and if schedules permit, try to use DDI/M&O scheduled downtime for your deployment	PM, Dev	☐	
2	Create a Rally ticket and forward the ticket to the IT Owner	1 month prior		PM	☐	
3	Send Email notification to Release Management, DBA Mgr, informing them to expect a release to Production on 99/99/9999	1 Month Prior		PM	☐	
4	Send email to Business Owner / Application owner to determine if any overtime is expected for the deployment date	1 Month Prior		PM	☐	
5	Contact Infrastructure team to inform them of deployment. They may need to participate if any infrastructure changes are needed. (i.e. - Server reboots)	1 Month Prior		PM	☐	
6	If the downtime is client facing, CONTACT [DEPT NAME]	1 month prior		PM	☐	
7	If downtime is necessary, confirm Business Application owner's approval to bring app down during deployment time, as well as other business owners who may be impacted by the change	1 month prior		PM	☐	
8	Contact business owner to determine who from the business group will be available to test the implementation after it's been deployed to production	2-3 weeks prior	• They should also be listed within the deployment document	PM	☐	
9	Create Deployment document	2-3 weeks prior	• Make sure that there is a Roll Back option for deployment, should anything go wrong	Dev Lead	☐	
10	IT owner review and approves deploy document	2-3 weeks prior		IT Owner	☐	

OPTUM

PROJECT MANAGER PRODUCTION DEPLOYMENT CHECKLIST

	Pre Deployment Task	When	Notes	Who	Complete?	Date Completed:
11	Conduct a deployment prep meeting with your entire deployment team and their leads (if applichange control boardle)	Minimum 2 weeks prior	• Remember to set up bridge conference call line • If you deployment impacts multiple applications, coordinate deployment with other PMs who may be working on projects for that app or also have a deployment scheduled. • Review deployment document • Review individual responsibilities and timing for those responsibilities • Create a call sheet with everyone's home and/or cell numbers.	PM	☐	
12	Obtain FORMAL SIT, UAT and Business Owner approvals	Minimum 1 week prior	• Verbal approvals are nice but Release Management doesn't take verbal approvals. It must be FORMAL. • Approvals must be forwarded to the Release Management no later than the by noon on the Wednesday prior to CHANGE CONTROL BOARD meeting (deployment week)	PM	☐	
13	Forward QA and UAT formal approvals to Release Management and attach it to the ticket as well.	1 week prior		PM	☐	
14	Confirm ticket is listed correctly on the CHANGE CONTROL BOARD schedule	1 week prior	• Release Management sends out the agenda to the meeting each Thursday and another one immediately after the Friday morning meeting with changes that were discussed during the meeting	PM	☐	
15	Schedule final deployment confirmation meeting with your deployment team	Thursday or Friday prior	• Final confirmation of everyone's tasks and schedules for deployment	PM	☐	

PROJECT MANAGER PRODUCTION DEPLOYMENT CHECKLIST

	Pre Deployment Task	When	Notes	Who	Complete?	Date Completed:
16	Attend CHANGE CONTROL BOARD meeting to confirm CHANGE CONTROL BOARD approval	Friday prior to deploy	• Be prepared to answer questions regarding your deployment • Your ticket status should state "Pending change control board approval" prior to meeting. Following the meeting, if approved, it will read "Pending Implementation". This means you have official Release Management approval for deployment.	PM, DEV	☐	
17	Send email to full stakeholder list and executive management reminding them of the deploy	Friday prior to deploy		PM	☐	

DEPLOYMENT DAY

	Deployment Day Task	Notes	Who	Complete?
1	Stay in constant contact with your developer.		PM	☐
2	Deploy release to production		Dev	☐
3	Smoke test the deployment, confirm no issues		Dev	☐
4	Inform business that they can proceed with testing		Business	☐
5	Send confirmation (via email) that testing was completed and successful		Business	☐
6	If issues arise, coordinate the resolution of the issue as needed.	If an escalation is required, contact your Lead Project Manager immediately. If the LPM is not available, contact the Mgr, PM	PM, Dev	☐
7	Obtain final approval from testers and business owner		PM	☐
8	Send email notification announcing deployment and	Should go to all stakeholders, IT, PMO, Release management and Exec Mgmt. This is the same list that you forwarded in item 17 above	PM	☐
9	Post announcement to SharePoint site		PM	☐

West Virginia Integrated Eligibility Solution (IES)

Requirements Document

[Enhancement] Doc ID: DXXX Version 1

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

Authorized Project Manager

_____ _____

Signature **Date**

xxxxxxxxx

Optum

IES Project Manager

_____ _____

Signature **Date**

August 8, 2017

Document No. <nnnn> Version <1.1>

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Revision History

Version	Date	Author	Summary of Changes
1.0	8/8/2017		Initial draft release

DRAFT

Table of Contents

1. Overview 1
1.1. Intended Audience 1
1.2. Purpose 1
1.3. Defined Terms and Acronyms 1
2. Business Requirement 2
2.1. Business Purpose 2
2.2. Functional Purpose and Synopsis 2
2.3. Detailed Requirements 3
2.3.1. Detailed Requirements for 2017.AA.XXX 3
2.3.2. Detailed Non-Functional Requirements for 2017.AA.XXX 3
3. Sub-Systems Involved 4
4. Rules 5
4.1. System rules identified for the requirement 5
4.2. Business rules identified for the requirement 5
5. Assumptions, Constraints, and Risks 6
5.1. Assumptions 6
5.2. Constraints 6
5.3. Risks 6
5.4. Issues 6
6. Reference Documents 7

List of Figures

None

DRAFT

1. Overview

1.1. Intended Audience

This document is intended for use by Optum and West Virginia Department of Health and Human Services (WV DHHR). This document will lead to the development of the Technical Design Document (TDD) and also be used as a basis for the validation activities.

1.2. Purpose

Instructions: Describe how this document is to be used, (i.e. this document is intended to be used by the above stakeholders in order to complete solution design, technical design, testing, and implementation of the requirement.)

1.3. Defined Terms and Acronyms

Term	Description

Provide clear and concise definitions for terms and acronyms with associated literal translations used in this document that may be unfamiliar to readers of the document. Terms are to be listed in alphabetical order.

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2. Business Requirement

2.1. Business Purpose

Instructions: Describe the business capabilities and business processes that will be addressed.

2.2. Functional Purpose and Synopsis

Instructions: Provide a one sentence description of the Requirement Request and any key context needed for its understanding or impact, and complete the tables.

This document specifically addresses the following request received and approved from State of West Virginia:

Request #	Description	System Component	Responsible for Fulfillment	Requestor

As part of joint requirement sessions with State of West Virginia and Optum, the following high level business requirements were identified. These requirements have been detailed in subsequent sections for input into the development, quality assurance, and training delivery streams.

BR Identifier	Business Requirement	Category	Scope
	<<System shall provide…>>	*<<Compliance and Audit>>*	*In-scope*

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2.3. Detailed Requirements

Instructions: This section captures detailed requirements for each of the high level requirements identified in the table located in Section 2.2.

Provide detailed requirements as determined by the joint application design and review sessions, architectural design, business analysis, or systems analysis. Repeat each high level requirement from the HLRD, and provide detailed requirements below. Each detailed requirement shall be enumerated with lower case letters, eg., a,b,c …aa,ab,ac…zzz

2.3.1. Detailed Requirements for 2017.AA.XXX

<<2017.AA.XXX: Insert shall statement>>

BR Identifier	Type	Gist	Functional Description	Value / Quality Measurement	Priority
	Functional				Critical

2.3.2. Detailed Non-Functional Requirements for 2017.AA.XXX

<<2017.AA.XXX: Insert shall statement>>

BR Identifier	Type	Gist	Functional Description	Value / Quality Measurement	Priority
	Non-Functional				Critical

DRAFT

3. Sub-Systems Involved

Following sub-systems will participate in fulfillment for each of the detail requirement.

System Name	Requirements impacting system

DRAFT

4. Rules

4.1. System rules identified for the requirement

Instructions: Summarize any System Rules needed to fulfill the requirement

4.2. Business rules identified for the requirement

Instructions: Summarize any regulatory, legal, or business process rules that are needed to fulfill the requirement

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5. Assumptions, Constraints, and Risks

Instructions: Describe any assumptions or dependencies regarding the requirements. The assumptions can be divided into "General Assumptions", "Technical Assumptions", and "Development, Test and Production Assumptions". If none exist, state: "There were no assumptions identified for this project."

Listed below are the assumptions that guided the identification and development of the requirements stated in this document. These assumptions are intended to promote mutual understanding, partnership, and quality communication.

5.1. Assumptions

5.2. Constraints

Instructions: Describe any limitations or constraints that have a significant impact on the requirements or the system design. If none exist, state: "There were no constraints identified for this project."

Listed below are the constraints that exist for this project. These constraints may prevent or restrict reaching the desired results (e.g., satisfying requirements, meeting project goals and priorities, achieving measures of success) stated in this document.

5.3. Risks

Instructions: Describe any risks associated with the requirements and proposed mitigation strategies. If none exist, state: "There were no risks identified for this project."

Listed below are the risks that can create issues for the project. These risks may create issues that have an uncertain effect on the project which in turn affect achieving the desired results (e.g., satisfying requirements, meeting project goals and priorities, achieving measures of success) stated in this document.

5.4. Issues

DRAFT

6. Reference Documents

Instructions: Summarize the relationship of this document to other relevant documents. Provide identifying information for all documents used to arrive at and/or referenced within this document (e.g., related and/or companion documents, prerequisite documents, relevant technical documentation, etc.).

Document Name/Description	Location and/or URL
Requirements Traceability Matrix (RTM)	
Business Area Context Diagram (BACD)	
System Area Context Diagram (SACD)	
For Release # Reference Documents use this row as an example for proper link and path	Link to the Reference Document folder. Path:
For Release # Deliverable Documents use this row as an example for proper link and path	Link to Document folder Path:

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SAMPLE

WV IES Issue/Risk Tracking Log

ID #	Status	Priority	Category	Date Opened	Title	State Owner	Optum Owner	Assigned To	Description	Resolution/ Mitigation Plan	Impact	Risk Probability	Target Resolution/ Closure Date	Date Closed	Risk Response	Closure Details	Associated Change Request (If Applicable)

West Virginia Integrated Eligibility Solution (IES)

Solution Architecture Document

[Enhancement] Doc ID: DXXX Version 1

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

Authorized Project Manager

_____ **Signature**

_____ **Date**

xxxxxxxxx

Optum

IES Project Manager

_____ **Signature**

_____ **Date**

August 8, 2017

Document No. <nnnn> Version <1.1>

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Revision History

Version	Date	Author	Summary of Changes
1.0	8/8/2017		Initial draft release

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DRAFT

Table of Contents

1. Overview 1
1.1 Intended Audience 1
1.2 Purpose 1
1.3 Defined Terms and Acronyms 1
2. Solution Overview 2
2.1 Current State 2
2.1.1 Existing Business Process Model 2
2.1.2 Manual Workarounds to be Retired 2
2.2 Gap Analysis 2
2.3 Proposed State 2
2.3.1 Requirements not Addressed by Proposed Solution 2
2.3.2 Proposed State Business Area Context Diagram 3
2.3.3 Features 3
2.3.4 Proposed State System Area Context Diagram 3
2.3.5 Conceptual Data Model 4
2.3.6 Business Process Model 4
2.3.7 Business Use Cases and Diagrams 4
2.3.8 System Infrastructure 4
2.3.9 Performance Architecture 4
2.3.10 Security Architecture 4
2.3.11 Disaster Recovery / Continuity Architecture Plan 4
2.3.12 Interface Architecture 4
3. Operational Implementation Considerations 5
3.1 Documentation Plan 5
3.2 Training Impact 5
3.3 Operational Impacts 5
3.4 Test Plan 5
3.4.1 Secure Code Analysis 5
3.4.2 Performance Testing 5
3.5 Support Plan 5
3.5.1 Early Life Support 5
3.5.2 On-Going Support 5
4. Deployment Considerations 6
4.1 Deployment Strategy 6
4.2 Deployment Constraints 6

DRAFT

5. Assumptions, Constraints, Risks, and Issues 7
5.1 Assumptions 7
5.2 Constraints 7
5.3 Risks 7
5.4 Issues 7
6. Reference Documents 8

List of Figures

None

DRAFT

1. Overview

Instructions: Provide identifying information for the existing and/or proposed automated system or situation for which the Solution Architecture Document (SAD) applies (e.g., the full names and acronyms for the development project, the existing system or situation, and the proposed system or situation, as applicable), and expected evolution of the document. Also describe any security or privacy considerations associated with use of this document.

2. Intended Audience

Instructions: Provide a description of the current and/or future stakeholders (e.g., identities of the users, as well as their interactions with the solution and their functional user roles, as well as lead development, testing, release, documentation, training, and operational owners). Some portions of this document may on occasion be shared with the client/user, and other stakeholder whose input/approval is needed.

3. Purpose

Instructions: Provide the purpose of the SAD. Describe how this document is to be used, (i.e. this document is intended to be used by the above stakeholders in order to complete detailed requirements gathering, solution design, technical design, testing, and implementation of the requirement.)

The SAD documents and tracks the necessary information required to effectively define architecture and system design in order to give the development team guidance on architecture of the system to be developed. Design documents are incrementally and iteratively produced during the system development life cycle, based on the particular circumstances of the IT project and the system development methodology used for developing the system.

The SAD describes how: (1) the functional and nonfunctional requirements recorded in the Requirements Document, (2) the preliminary user-oriented functional design, and (3) the preliminary data design from which the system will be built.

The SAD describes design goals and considerations, provides a high-level overview of the system architecture, and describes the data design associated with the system, as well as the human-machine interface and operational scenarios. The high-level system design serves as primary input to technical design document (TDD).

4. Defined Terms and Acronyms

Term/Acronym	Description

Provide clear and concise definitions for terms and acronyms with associated literal translations used in this document that may be unfamiliar to readers of the document. Terms are to be listed in alphabetical order.

5. Solution Overview

The Solution Overview summarizes the chosen solution and the rationale for the selection. It describes the general nature of the solution, and identifies the impacted business areas, impacted applications, impacted interfaces, and design patterns.

6. Current State

Instructions: Describe the system or situation (either automated or manual) as it currently exists.

The business area context diagram represents the entire set of business processes, areas, resources, functionality components and systems (if known) within the scope of the solution. Include the current state business area context diagram (BACD) or other visual aid to help clarify the current solution.

6.1.1 Existing Business Process Model

6.1.2 Manual Workarounds to be Retired

7. Gap Analysis

The Gap Analysis is part of the Gap Analysis deliverable.

8. Proposed State

The Proposed State describes the chosen solution in detail, including the following, as appropriate:

- *The operational environment and its characteristics*
- *Major system components and the interconnections among these components, usually depicted in the proposed state BACD below*
- *Proposed high-level data architecture*
- *Proposed or changed process/functions to the current processes*
- *Interfaces to external systems or procedures*
- *Capabilities or functions of the proposed solution*
- *Operational risk factor;*
- *Provisions for safety, security, privacy, integrity, and continuity of operations in emergencies*

In the sub-sections that follow, use any tools and/or techniques that will help describe the proposed solution and how it should operate. It is important that the description of the solution be simple enough and clear enough that all intended readers of the document can fully understand. Useful graphical tools include, but are not limited to: work breakdown structure (WBS) charts, sequence or activity charts, functional flow block diagrams, structure charts, storyboards, and entity relationship diagrams (ERDs).

8.1.1 Requirements not Addressed by Proposed Solution

If there are any requirements that are not being addressed as part of the solution, list them here. Include the rationale for not addressing them.

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Any requirements not addressed should be updated in the requirement traceability matrix (RTM) to reflect Status as "Deferred". If all requirements are addressed, enter "Not Applicable" for this section.

8.1.2 Proposed State Business Area Context Diagram

The BACD shows the interfaces between the core business functionality and external entities with which it communicates.

The BACD should contain:

- *Core business function(s) of the project central to the diagram*
- *Preceding events, data, and resources depicted to left of center*
- *Succeeding events, data, and resources depicted to right of center*
- *Arrange the diagram so that the features which are within project scope can be differentiated from those that are only related to the project as preceding or succeeding events data or resources*

Insert proposed state BACD here.

8.1.3 Features

A feature is a component of functionality or capability of a solution option. (For example, if you were naming the features of MS Word, you might list Print Capability as a feature or Mail Merge as a feature.)

The features serve three main purposes:

- *It helps define the components of a solution to verify understanding across level/teams*
- *It defines how value is delivered within a solution, and can be used to assess a solution's total value*
- *It provides a mechanism for prioritizing and planning by providing defined chunks of work and solution patterns that provide value.*

Features can start at a high level and can be broken down into sub-features as required to implement the solution. Solution specifications should be tied to the feature they support.

8.1.4 Proposed State System Area Context Diagram

The system area context diagram (SACD) is intended to show how applications interact with one another. Typically the SACD is drawn as a hub and spoke style diagram with the central application in the middle that the diagram describes and the applications it interacts with organized around it. Typically the applications are grouped together by domain or capability.

- *The SACD should focus on the scope of the program or project as appropriate.*
- *A SACD represents the entire set of processes and applications relevant to a specific business, domain (or capability), and product.*
- *The SACD is an end-user's view of how data flows between applications.*
- *The SACD shows how applications are configured to support businesses, products, and processes.*
- *The SACD does not show who owns the applications.*

8.1.5 Conceptual Data Model

A conceptual data model is a high-level data architecture that translates and communicates the data requirements of a business initiative into data specific subject areas. It reflects the high-level business needs and relationships within the organization, independent of any specific application or database management system.

8.1.6 Business Process Model

There are several ways the business processes can be displayed. The minimum required is the process steps, user by process and processes in sequential order. Activity diagrams, swim lanes and other process flow diagrams are preferred.

8.1.7 Business Use Cases and Diagrams

When business use cases are used to document the functional requirements, this section and business use cases section should be completed. If completed as part of the accompanying project requirement document (PRD), a reference is sufficient.

8.1.8 System Infrastructure

Document any proposed changes or additions to the system platform, off-the-shelf stack components, data center services, communication fabric(s) virtual or physical server configuration or sizing, etc. that will be needed to support the solution. A context diagram or other visual artifact should be used or referenced if possible.

8.1.9 Performance Architecture

Document any proposed changes or additions to system capacity or throughput needed to meet the proposed solution's service-level agreements (SLAs) or other similar non-functional requirements (NFRs). Explain the relevant SLAs or NFRs and how the proposed system will meet these requirements. List any changes to the system, i.e. addition of user interface (UI) elements, increases in database schema size, new service integrations that may change system performance.

8.1.10 Security Architecture

Document how the proposed system changes or additions impact security NFRs or other security frameworks, i.e., HIPAA, HITECH, SOX, PCI, NIST 800-53, MARS-E, or IRS publication 1075 to which the system must comply. Indicate how the architecture will meet these requirements, as well as any considerations needed to verify this, including any security scanning, penetration testing, or auditing required, as defined in the 'Tailoring Items' section of the accompanying high level requirement document (HLRD).

8.1.11 Disaster Recovery / Continuity Architecture Plan

8.1.12 Interface Architecture

Describe any new internal or external interface integrations, i.e., web services, electronic data interchange (EDI) transactions, representational state transfer (RESTful) transactions, service oriented architecture (SOA) composites, file transfers, proprietary communication protocols or other interfaces that are part of the solution. Refer to interface control documents, application programming interfaces (API) specifications, companion guides, or similar documents if they exist. Include any system context diagrams or connection figures if needed.

9. Operational Implementation Considerations

10. Documentation Plan

Define the operational documentation that will be created and updated in support of the implementation of the new functionality. A list of pertinent documents that describe how the functionality will be used must be provided. If completing this template at the program level and this information is not yet known, just indicate 'not yet known'.

Examples of the documentation that must be defined or updated include: training manuals, operations manuals, guidelines, policies and procedures, on-line documentation, and end-user manuals.

11. Training Impact

Consider training and documentation for new screens, new business processes, reading and using new reports. Define mechanism for training and training documentation requirements – who will deliver the training and the timing required.

(Internal customers (all or a particular type?), external customers (all or a particular type?), partners)

12. Operational Impacts

Identify the impacted operational areas and the changes that need to be planned for relative to the activities that those areas perform. What changes must be implemented to support the new workflows associated with this effort? Are there resource shifts or additional positions that need to be added to support the new business functionality defined in this document? Will there be any new policies and procedures that need to be developed in support of this functionality? Will customer notifications need to be sent relative to the changes being implemented? Are there manual business set-up activities that need to occur before this functionality can be implemented?

13. Test Plan

13.1.1 Secure Code Analysis

13.1.2 Performance Testing

14. Support Plan

14.1.1 Early Life Support

14.1.2 On-Going Support

DRAFT

15. Deployment Considerations

16. Deployment Strategy

This section can reference or embed a deployment strategy or approach document, such as phased implementation, piloting, and any timing considerations.

17. Deployment Constraints

Identify any activities or dependencies that need to be taken into account for the deployment plan. Are there any special weekend checkout procedures or end of month / quarter considerations? Are there any external parties that need to be included in the deployment considerations?

Example: resource availability during end of year enrollment period.

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18. Assumptions, Constraints, Risks, and Issues

19. Assumptions

Instructions: Describe any assumptions or dependencies regarding the requirements. The assumptions can be divided into "General Assumptions", "Technical Assumptions", and "Development, Test and Production Assumptions". If none exist, state: "There were no assumptions identified for this project."

20. Constraints

Instructions: Describe any limitations or constraints that have a significant impact on the requirements or the system design. If none exist, state: "There were no constraints identified for this project."

Listed below are the constraints that exist for this project. These constraints may prevent or restrict reaching the desired results (e.g., satisfying requirements, meeting project goals and priorities, achieving measures of success) stated in this document.

21. Risks

Instructions: Describe any risks associated with the requirements and proposed mitigation strategies. If none exist, state: "There were no risks identified for this project."

Listed below are the risks that can create issues for the project. These risks may create issues that have an uncertain effect on the project which in turn affect achieving the desired results (e.g., satisfying requirements, meeting project goals and priorities, achieving measures of success) stated in this document.

22. Issues

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23. Reference Documents

Instructions: Summarize the relationship of this document to other relevant documents. Provide identifying information for all documents used to arrive at and/or referenced within this document (e.g., related and/or companion documents, prerequisite documents, relevant technical documentation, etc.).

Document Name/Description	Location and/or URL
Business Area Context Diagram (BACD)	
System Area Context Diagram (SACD)	
For Release # Reference Documents use this row as an example for proper link and path	Link to the Reference Document folder. Path:
For Release # Deliverable Documents use this row as an example for proper link and path	Link to Document folder Path:

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West Virginia Integrated Eligibility Solution (IES)

Technical Design Document

[Enhancement] Doc ID: DXXX Version 1

Authorized for issue by:

xxxxxxxx

Signature _____ **Date** _____

West Virginia Department of Health and Human Resources

Authorized Project Manager

xxxxxxxxx

Signature _____ **Date** _____

Optum

IES Project Manager

August 8, 2017

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DRAFT

Revision History

Version	Date	Author	Summary of Changes
1.0	8/8/2017		Initial draft release

Instructions: The purpose of Revision History is to catalog all changes made to the document, and its owner. Each update to the document should be listed in this section. Use the table below to provide the version number, the date of the version, the author/owner of the version, and a brief description of the reason for creating the revised version.

DRAFT

Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 2
1.5 Related Documents 3
2. Application and Recovery Overview 3
2.1 Critical Application Functionality and Assumptions 4
2.2 Application RTO / RPO 4
3. Disaster Recovery Program Overview 5
3.1 Background 5
3.2 Enterprise Resiliency and Response – A Layered Model 5
3.3 Enterprise Disaster Recovery Program Mission and Objectives 5
3.4 Optum Technology Overview 6
3.5 Disaster Recovery Strategy 7
3.5.1 Prevention 7
3.5.2 People 8
3.5.3 Process 8
3.5.4 Technology 8
3.5.5 Protection 10
3.6 Business Continuity and Disaster Recovery Policy 10
3.7 Lifecycle Maintenance 10
3.8 Business Continuity and Disaster Recovery Objectives 11
4. Roles and Responsibilities 12
4.1 Governance Structure 12
4.2 RACI 13
4.3 Integration with Other Providers 14
5. Assumptions and Risks 14
5.1 Key Assumptions 14
5.2 Key Risks 14
6. Backup, Storage and Recovery of Backups 15
7. Disaster Recovery Plan Development 15
7.1 Disaster Recovery Plans 15
7.2 Disaster Recovery Plan Refresh Process 16
7.3 Senior Leadership Certification 16

7.4 Disaster Recovery Plan Exercise 16
7.5 Prior to next exercise Disaster Recovery Plan Exercise Guidelines 16
8. Disaster Event Declaration 17
8.1 Definition of a Disaster 17
8.2 Declaration of a Disaster 18
9. Recovery Contacts 18
9.1 Optum Contacts 18
9.1.1 Critical Required Skills 19
9.2 DHHR Contacts 19
9.3 Critical Vendor Contacts 19
10. Recovery Requirements 20
10.1 Vital Records 20
10.2 System Information Inventory 20
10.3 Critical Application and Data Feed Dependencies 20
10.4 Supported Critical Business Processes 20
11. Recovery and Validation Procedures 21
11.1 Infrastructure Procedures 21
11.1.1 Infrastructure Recovery Procedures 21
11.1.2 Infrastructure Validation Procedures 21
11.2 Application Procedures 21
11.2.1 Application Recovery Procedures 21
11.2.2 Application Validation Procedures 22
11.3 Non-Production Recovery Strategy 22
12. Return to Normal Operations 22
13. Disaster Recovery Exercise Plan 22
13.1 Disaster Recovery Exercise Results Summary 22

List of Figures

Figure 1: Components of the Optum Crisis Management Approach. 5
Figure 2: Optum Disaster Recovery Program Components. 8
Figure 3: RTO and RPO 11
Figure 4: Disaster Recovery Escalation Path. 12

1. Introduction

1.1 Objective

The Disaster Recovery and Business Continuity Plan provides an overview of the disaster recovery program managed by Optum. This document defines, at a high level, the disaster recovery structure, processes, and roles and responsibilities for the West Virginia Integrated Eligibility Solution (WV IES) Project infrastructure. The plan encompasses:

- Backup and recovery procedures, as well as disconnected operational capability, to make certain that the WV IES will continue to operate in the event of an unexpected destruction of hardware, software, or communications through system failure, disruption of connectivity, or natural disasters
- Arrangements for backup hardware or processing sites; off-site data storage; schedule for creation of backup media; and detailed recovery procedures for all anticipated types of disasters
- A description of each anticipated type of disaster
- Escalation plans that specify the necessary points of contact and decision-making authority at the State and local provider levels

The principal objectives are to develop, test, and document a well-structured and easily understood plan that will help Optum recover WV IES as quickly and effectively as possible from an unforeseen disaster or emergency that interrupts information systems and business operations. Additional objectives include the following:

- Making sure all employees fully understand their duties in implementing such a plan
- Verifying that operational policies are adhered to within all planned activities
- Confirming that proposed contingency arrangements are cost-effective
- Considering implications on other DHHR sites and business partners
- Confirming recovery capabilities as applicable to key customers, vendors and others

1.2 Plan Scope

The WV IES Disaster Recovery and Business Continuity Plan addresses the approach that Optum will use to restore operations following a disaster event.

1.3 Plan Assumptions

We made the following assumptions when preparing this plan:

- Optum will:
  - Develop the Disaster Recovery and Business Continuity Plan, integrating the plan with the environment and application stack
  - Define solution recovery processes, or steps to take in the event of a downtime event
  - Comprehensively and effectively mitigate the risk of a downtime event
  - Secure the solution components during a period of emergency operation
  - Identify and analyze disaster risks/threats

  - Classify risks based on relative weights like external risks, facility risks, data systems risks, DHHR risks, desk-level risks
  - Determine the effects of disasters
  - Evaluate disaster recovery mechanisms
- DHHR will:
  - Participate as needed in the Disaster Recovery and Business Continuity Plan development
  - Review and approve the Disaster Recovery and Business Continuity Plan in a timely manner once the plan is submitted for review

1.4 Plan Organization

This WV IES Disaster Recovery and Business Continuity Plan is organized into the following sections:

- **Introduction (Section 1)** lists the objectives and scope of the Disaster Recovery and Business Continuity Plan, assumptions made in developing the plan, describes the plan organization, and identifies related documents.
- **Application and Recovery Overview (Section 2)** provides a brief overview of the steps required to be completed in the event of a disaster.
- **Disaster Recovery Program Overview (Section 3)** provides an overview of our disaster recovery program including background, our layered model for enterprise resiliency and response, program mission and objectives, our technology overview, strategy, policy, lifecycle maintenance, and recovery objectives.
- **Roles and Responsibilities (Section 4)** describes the roles and responsibilities for various aspects of the WV IES disaster recovery and business continuity program, including governance structure, RACI (responsible, accountable, consulted and informed) matrix, and integration with other providers.
- **Assumptions and Risks (Section 5)** outlines the assumptions we used in the development of this plan and that Optum will work with DHHR to define project risks after contract award.
- **Backup, Storage and Recovery of Backups (Section 6)** explains the procedures Optum will use in completing the WV IES recovery.
- **Disaster Recovery Plan Development (Section 7)** describes how we develop disaster recovery plans for critical business applications using standard tools and templates, including disaster recovery plans, plan assumptions, plan refresh process, senior leadership certification, disaster recovery plan exercise, and disaster recovery plan exercise guidelines.
- **Disaster Event Declaration (Section 8)** describes the definition of a disaster and what happens should a disaster be declared.
- **Recovery Contacts (Section 9)** lists the key WV IES individuals including Optum contacts, DHHR contacts, and critical vendor contacts and their contact information, along with who will be called to assist during a recovery.

- **Recovery Requirements (Section 10)** describes the recovery of vital records, system information inventory, critical application and data feed dependencies, and supported critical business processes.
- **Recovery and Validation Procedures (Section 11)** describes the procedures associated with infrastructure (e.g., infrastructure recovery and infrastructure validation), applications (e.g., application recovery and application validation), and our non-production recovery strategy.
- **Return to Normal Operations (Section 12)** describes how we will handle restoration or replacement of the original production site and transfer back to normal production operations.
- **Disaster Recovery Exercise Plan (Section 13)** provides details on the exercise plan and how results are documented.

1.5 Related Documents

The Disaster Recovery and Business Continuity Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, the document is baselined and placed under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

Related plans include:

- System Backup and Record Retention Plan
- Documentation Management Plan

2. Application and Recovery Overview

Optum defines the key functions for each set of applications during the Support Readiness process. This process identifies the vital business functions performed by each application. A summary of the services and application in use will be located in this section, followed by a bullet list of the key vital business functions. We will work closely with DHHR and other partners to manage the steps required to be completed in the event of a disaster.

The disaster recovery procedure steps are as follows:

- A disaster is declared by Optum, the WV IES Disaster Recovery and Business Continuity Plan is activated, and DHHR and partners are notified of the disaster.
- The disaster recovery process will follow the high priority incident management process, handling the disaster as a Priority 1 incident.
- The Optum infrastructure team recovers and validates the core network, followed by the core services.
- The Optum infrastructure team notifies Optum, DHHR and partner application teams that the core infrastructure has been impacted and recovery has begun.
- The Optum infrastructure team will recover and validate the network, servers, databases, application servers and then notify Optum, DHHR and partner application teams.
- At this point the application teams will begin the application recovery and validation and, once complete, notify DHHR for their confirmation of the recovery.

The WV IES Disaster Recovery Plan and Business Continuity Plan establishes procedures to recover applications following a declared disaster. The document is used to plan disaster recovery activities, perform recovery exercises, and to recover in the event of a declared disaster. The following objectives have been established for this plan:

- Identify internal and external recovery contacts
- Identify activities and resources needed to recover the applications
- Collect requirements and procedures for application recovery and validation
- Capture application dependencies to enable prioritization of application restorations

2.1 Critical Application Functionality and Assumptions

After contract award, we will work together with DHHR to develop, review and finalize the description of critical applications, functionality, and assumptions, prior to formal submission.

2.2 Application RTO / RPO

Recovery Time Objective (RTO) is the period of time within which systems, applications or functions are targeted to be recovered after a disaster outage is declared. Recovery Point Objective (RPO) is the acceptable amount of data loss measured in time. Data is usually recovered from the last backup. In case of a declared disaster, Optum will invoke the plan. This plan involves restoring the Elk River, Minnesota production environment to the stage environment in our recovery site located in the Chaska, Minnesota data center. In the event of a disaster, Optum will recall the tape backups from our offsite tape storage facility and have them transported to the Chaska facility. Optum will then restore the production environment to the stage environment thereby restoring services.

Information regarding each WV IES application will be documented as seen in the example table below.

Application	DR Capability	DR Solution	RTO (hours)	RPO (hours)	Production Site(s)	Recovery Site(s)

After contract award, we will work together with DHHR to develop, review, and finalize the summary table prior to formal submission.

For each application and application layer (e.g. application, database, web, etc.), information will be provided in the table format shown in the following example.

Application	Components (DB, Web, App. Etc.)	DR Solution	RTO (hours)	RPO (hours)

After contract award, we will work together with DHHR to develop, review, and finalize the detail table prior to formal submission.

3. Disaster Recovery Program Overview

3.1 Background

Optum relies on a diverse array of interconnected information systems to meet the needs of the WV IES. The goal of disaster recovery planning is to protect the organization in the event that all, or key aspects, of Optum operations are rendered unusable. Preparedness is the key. We have instituted an Enterprise Disaster Recovery program to first eliminate or reduce disaster risk in critical technology areas, and then plan for facilitation and the timely and predictable restoration of key applications, data, and supporting critical infrastructure.

3.2 Enterprise Resiliency and Response – A Layered Model

Optum recognizes that planning for disaster recovery is essential to mitigating risk for the WV IES. The layered Enterprise Resiliency and Response program model provides consistency between event management, site emergency response, business continuity, enterprise disaster recovery and public health planning efforts. The layers are interrelated and work together to provide maximum protection and risk mitigation.

Figure 1 illustrates how disaster recovery is one component of our overall crisis management approach.



Figure 1: Components of the Optum Crisis Management Approach.
Disaster recovery is one of the critical event processes required to restore business and technical functionality.

The Enterprise Resiliency and Response program focuses on the loss of critical technology, systems and applications. Business continuity events do occur, but very few of these events will actually become a technology event. Within the subset of annual technology events, actually declaring a disaster is not expected to be common practice.

3.3 Enterprise Disaster Recovery Program Mission and Objectives

The mission of this program is to minimize the aggregate risk and impact to Optum from the disaster event occurrence, focused on the overall viability of Optum and DHHR to survive an event.

The following are the objectives of the Enterprise Disaster Recovery program that are in support of the WV IES:

- Provide a systems solution that accommodates the interdependencies between business processes and applications (i.e., recover the entire business transaction)
- Drive systemic and measurable improvements in disaster recovery capability (e.g., business process RTO)
- Recognize funding and time constraints, evolve and improve the disaster recovery capability in a manner that provides the greatest good for the greatest number
- Establish disaster recovery requirements as part of the Optum systems architecture, delivery, and operations as opposed to an after-thought once a new application goes into production
- Develop and deploy a modular, adaptive set of capabilities rather than one size fits all
- Deal with the most probable disaster recovery scenarios in addition to worst case scenarios
- In addition to protecting the ongoing viability of the WV IES, make the disaster recovery capability a competitive strength that can be leveraged in the market

3.4 Optum Technology Overview

It's difficult to describe the Enterprise Disaster Recovery program without an understanding and overview of the enterprise technology environment for the WV IES. This program does not stand alone, but is integrated into the Optum enterprise-level computing processes and day-to-day operations.

Optum is a comprehensive, large scale and international information technology organization developing technology solutions to support the health care market. We are a health care technology leader in providing computer processing services delivered through a portfolio of services with world-class efficiency and effectiveness.

The Optum technology organization is committed to maintaining state-of-the-art technology and employs experienced professionals in a variety of different infrastructure disciplines including:

- Software development
- Data analytics
- Benefits/claims administration
- Portal services
- Consumer/financial application development
- Sales/producer management application development
- Data center management
- Application hosting
- Virtual contact center
- Data warehousing
- Systems operations
- Service and support
- Systems architecture
- Innovation, technology research & development
- Privacy and security services
- Information risk management
- Global voice/data networking
- Database administration
- Technology project management
- Recovery services

Our technology organization supports technology infrastructure components and operations at very large scale. Examples include:

- More than 20,000 global technology professionals responsible for computing hardware, software and communications
- More than 5,500 applications supported
- More than 60 petabytes of primary storage managed
- More than 60,000 servers, nine IBM z-OS mainframes with 83,000 MIPS processing capability
- 200,000 data/voice ports managed supporting 1.8 billion inbound phone call minutes per year
- Manage more than 175,000 desktop computers with remote administration
- Process 100 billion computing transactions annually; more than 1 billion via web portals; 100 million via electronic data interchange (EDI)
- More than 2 billion claims processed annually with 99 percent accuracy

3.5 Disaster Recovery Strategy

Our approach to WV IES disaster recovery is based on the two fundamentals: prevention and protection. A focus on balancing the combination of disaster prevention and protection results in reducing both the probability and impact of a disaster. The Enterprise Disaster Recovery program first eliminates or reduces disaster risk in critical areas, and then it plans for the most probable disaster scenarios. While disaster recovery handles the complete failure of a data center, other processes are required to solve for critical events.

3.5.1 Prevention

For many companies, disaster recovery means minimizing downtime as they try to restore systems and get them back online. The Optum strategy includes focusing on items that will assist in preventing a disaster from taking down systems in the first place.

We have invested in creating an effective combination of people, process and technology, seen in Figure 2, to provide the fundamentals for a successful production method. The combination results in a stable, scalable environment for applications to meet performance objectives. This investment creates the prevention, which is fundamental to the WV IES disaster recovery program.

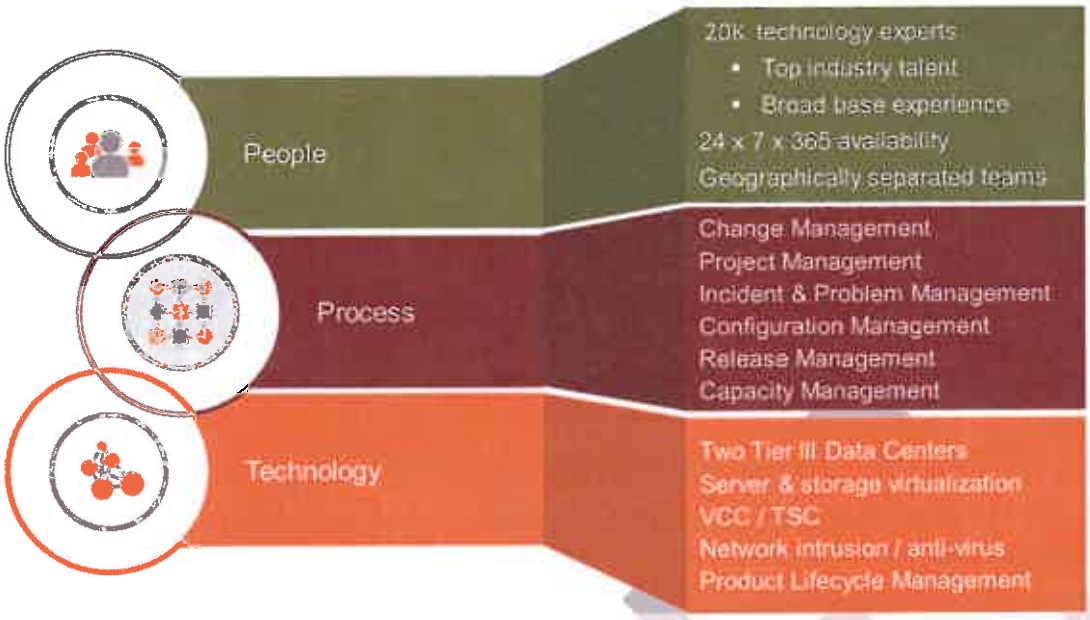


Figure 2: Optum Disaster Recovery Program Components.
People, process and technology together produce an optimized disaster recovery program.

3.5.2 People

Optum has a team of more than 20,000 Information Technology (IT) professionals responsible for computing hardware, software and communications. Our technical staff is geographically dispersed and collaborates virtually. These virtual teams strategically position Optum technical staff to be able to provide business continuity in the case of any event no matter where the location.

Optum has system operations and facilities management teams with on-call rotations providing access to technical staff at any time of the day or night. This is complemented with core off-shore technical resources which have been trained and are available to assist in an event if needed. Having trained technical employees located around the world reduces the risk of an event occurring that would disable coverage from our technical workforce.

3.5.3 Process

Optum has established formal processes that reduce the likelihood of unexpected infrastructure occurrences and make sure we are using best practices. Optum employs a formal IT Infrastructure Library (ITIL)-based service delivery model to further govern our operations reducing the risk of unplanned situations. Our Product Lifecycle Management (PLM) processes verify deployed versions of software are within the generally available support provided by our vendors. This reduces infrastructure variability and promotes standards and stability. Our patch management automation further safeguards the availability and stability of the WV IES core applications.

3.5.4 Technology

Optum leverages a number of technologies to reduce the probability of unexpected conditions from impacting WV IES services. Our concurrently maintainable Tier III data centers are certified by the Uptime Institute® for operational sustainability. This operational sustainability certification process verifies that practices and procedures are in place to avoid preventable

errors. Our highly available and resilient core infrastructure is designed to maintain acceptable levels of service and recover quickly from a degraded state. In addition, Optum uses the most current anti-viral software to prevent network intrusions that could potentially lead to disaster events.

Core to our recovery solution design is a multiple data center approach. The primary data centers are Optum-owned facilities located in the Minneapolis/St. Paul, Minnesota metro area which is not prone to large scale disasters such as hurricanes. We chose an in-region strategy as the most effective approach to providing data center redundancy:

- An in-region strategy allows for a system of data centers to be deployed that are connected with very affordable and yet high capacity, high availability networking. Although history is not an absolute indicator of future events, historical research of climatic events contributed to the careful selection of sites in order to locate data center facilities to minimize the impact potential of a single event.
- The in-region system approach allows Optum to place processing requirements in both cost-optimized and functionally-optimized configurations. Physical tape processing can be placed in a different data center than the on-line processing. This also allows for more robust disaster recovery capabilities (very low recovery time objective and recovery point objectives) provided at a fraction of the cost that would be incurred in an out-of-region or outsourced approach.

Our data centers were built to a Tier 3 level with all necessary environmental redundancies. These include critical areas of the building and the outside plant able to withstand 200 plus mph winds or the strongest F3 tornado.

The multi-data center approach includes criteria for strategic placement of the critical application's production processing as well as recovery, development and tape management environments. Each of our key data centers includes an Operational Command Center with 24x7 staff actively monitoring the components and systems. If there was an event in one of our data centers, staff located at the other data center would continue system operations. Optum has a dedicated data center facility management team that monitors, proactively maintains, and manages all aspects of these data centers. The offsite storage for tape is within an Optum-controlled data center facility located within the region that provides full environmental redundancies.

We are committed to using state-of-the-art technology. The Enterprise Disaster Recovery program surpasses other health care technology providers due to the following technology services that we have deployed:

- A Virtual Contact Center that dynamically routes a million calls daily across 40+ contact centers and 20,000 service agents. If there is a disaster or business continuity event at any of the Optum facilities, incoming calls can be immediately rerouted to alternate call centers for processing and resolution, reducing any impact to DHHR.
- Storage virtualization complements server virtualization in increasing the portability of host systems. This is accomplished through consolidation and replication allowing them to fail to an alternate site quickly, reliably, and in large numbers.
- A standard desktop is used by Optum staff across the enterprise. In case of an event, replacement laptops can be immediately dispersed to the staff. Because all staff members use the common configuration, they can be productive and resume their business process functions quickly.

3.5.5 Protection

While the Optum focus is to prevent WV IES related disasters, we also recognize that there is always the potential for a disaster to occur. As such, we developed strategies to protect the business should there be an unforeseen event. The disaster recovery program is based on anticipating and planning for common types of disasters and designing solutions to address them. Disaster protection addresses recovery from the most probable disaster scenarios, including worst case.

Our primary WV IES disaster recovery strategy involves identifying critical business processes and transitioning these critical applications, data, and supporting infrastructure to an alternate recovery location. We will accomplish this in a timely manner, thereby reducing the impact of a technology event to our critical business clients.

Some secondary disaster recovery strategies include:

- The ability for data centers to operate in a lights-out mode for up to three days without additional fuel. With fuel deliveries, generators are designed to run in this mode indefinitely. Optum has contracted for a four-hour fuel delivery guarantee
- Restoration of operational backups first using the high performance disk-to-disk copy with a second copy available on virtual tape stored at a secondary site.
- Disaster recovery plans for critical applications refreshed and tested annually.
- Metrics in the form of key performance indicators (KPIs) used to derive the health of the disaster recovery program.

Protection technologies include the failover of production processing to geographically dispersed systems and multiple data replication approaches. Our core infrastructure is designed with high availability and resiliency. Storage and server virtualization increases the portability of host systems through consolidation and replication allowing them to fail to an alternate site quickly, reliably, and in large numbers. These capabilities combine to help achieve the objective of resuming operation with limited to no data loss or disruption to stakeholders.

3.6 Business Continuity and Disaster Recovery Policy

The Business Continuity and Disaster Recovery plans are developed, exercised and maintained in order to limit losses caused by disruptions to critical business operations and to enable efficient and effective recovery. The plans include processes and controls to protect the business of WV IES and the business of Optum, the life and safety of workforce members, as well as to protect the image, reputation, assets, and resources of DHHR. This policy applies to all Optum employees.

3.7 Lifecycle Maintenance

We exercise our plans for critical information technology systems on an annual basis. The disaster recovery exercise results are documented and confidential. Application owners and the disaster recovery team jointly review plans to identify:

- Equipment updates
- Employee changes
- Changes in business requirements not reflected in specific plans
- Third-party preparedness to validate against contractual obligations

- Inaccurate assumptions or oversights
- Scheduled disaster recovery exercises

3.8 Business Continuity and Disaster Recovery Objectives

The Enterprise Disaster Recovery program utilizes a variety of recovery strategies which align to the defined criticality of the application. Business critical applications, as defined by the Business Impact Analysis (BIA) and subsequent Business Continuity Plan, are given the highest priority and generally have a 72 hour or less RTO.

The RTO is the period of time within which systems, applications or functions must be recovered after a disaster outage is declared. The RTO is measured in minutes, hours, or days and is an important consideration in recovery planning. The WV IES RPO is the point in time to which DHHR must recover data as defined by the business. This is generally a definition of what DHHR determines is an acceptable loss of data in a distressed situation. The RPO is expressed backwards in time from the instant at which the failure occurs and can be specified in minutes, hours, or days. Figure 3 illustrates the current Optum Enterprise Disaster Recovery program service capability options.

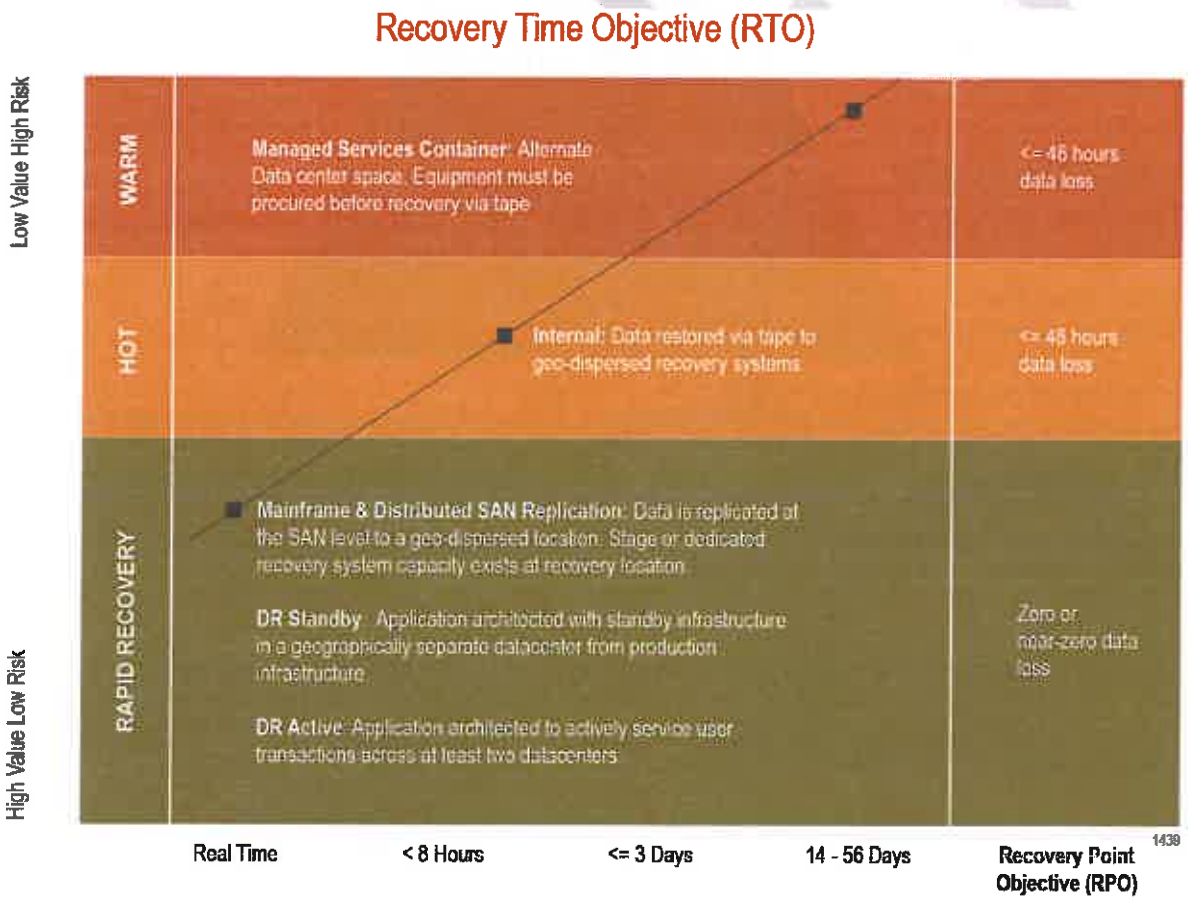


Figure 3: RTO and RPO.
RTO and RPO objectives for rapid, hot and warm recovery capabilities.

4. Roles and Responsibilities

4.1 Governance Structure

Optum utilizes a disaster recovery governance process that makes sure DHHR and Optum representatives make decisions jointly regarding the Disaster Recovery Plan and execution. Figure 4 outlines the escalation path and governance structure for the WV IES project.

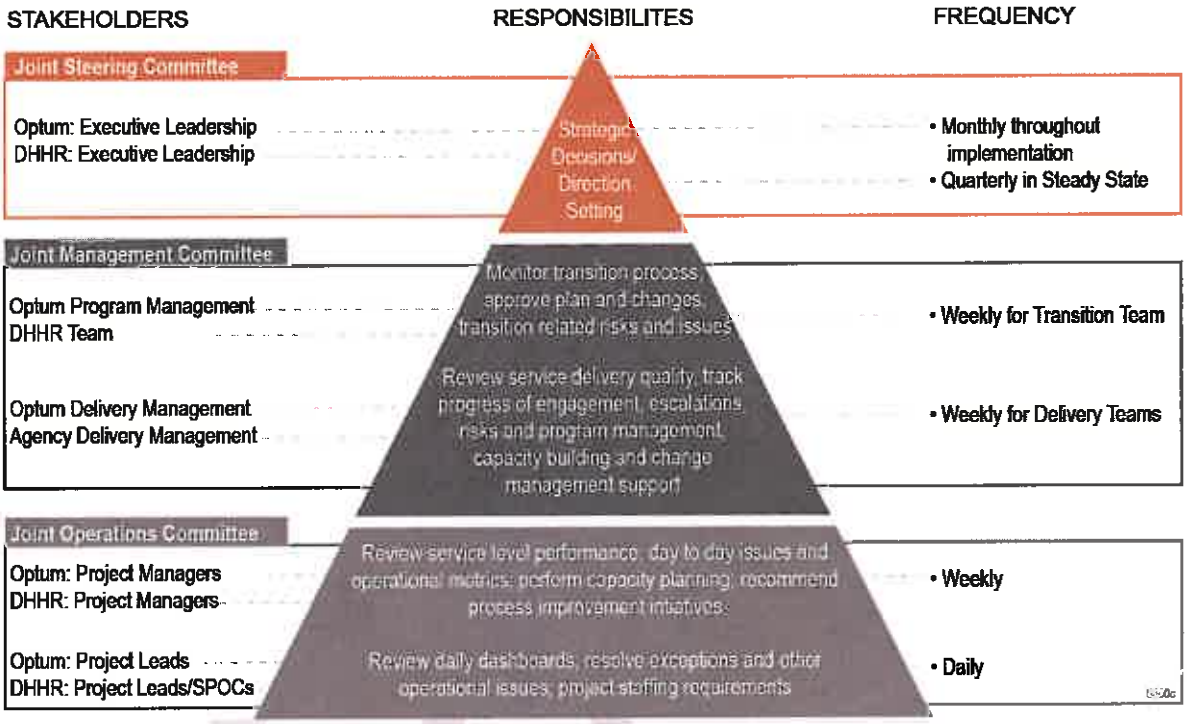


Figure 4: Disaster Recovery Escalation Path.
Our Governance approach includes DHHR and Optum representatives at multiple layers of each organization to maintain effective communication and controls

Optum has several roles designed specifically for the WV IES disaster recovery and business continuity support. Individuals or teams assigned to these roles are trained to respond to a declared disaster. The specific roles include:

- Teams:
  - **The application disaster recovery team** is responsible for overseeing the coordination of the plan, making major decisions, and ensuring the recovery requirements are met. This team is led by the enterprise disaster recovery program director.
  - **The technical recovery team** is responsible for performing the technical tasks of the recovery including making sure the results are as expected. This team is led by the application disaster recovery coordinator.
- Resources within these teams:
  - **The enterprise disaster recovery program director** is responsible for the overall management of the plan and works closely with the application disaster recovery coordinator to provide DHHR with accurate and timely status of service restoration activities.

- **The application disaster recovery coordinator** is responsible for the assessing and restoration of WV IES services. This individual makes sure problems are escalated to proper WV IES management and coordinates with all individuals involved with the disaster recovery plan.
- **Technical support team members** support the recovery and business continuity as needed within the technical components of the WV IES.
- **The application owner and infrastructure owner** are responsible for the components of the WV IES and will make decisions relating to their components, communicate with the enterprise disaster recovery program director, and perform any required testing of the system.

4.2 RACI

While Optum is primarily responsible for the functions related to disaster recovery of the applications we host, DHHR responsibilities are also key to its success. The following table outlines the RACI roles and responsibilities for DHHR and Optum team members.

It is out of scope for Optum to provide disaster recovery for all DHHR facilities and business needs. Optum anticipates that DHHR will complete their overall organizational plan and Optum will be referenced in that plan regarding the Optum supplied applications and services for WV IES. DHHR involvement is also critical during the post-recovery testing period.

Disaster Recovery Roles and Responsibilities	Optum	DHHR
R = Responsible, A = Accountable, C = Consulted, I = Informed		
Disaster recovery plans		
Creation and maintenance: DHHR all sites plan	C	RA
Creation and maintenance: Optum applications and hosting plan	RA	C
Annual update: Optum applications and hosting plan	RA	C
Disaster recovery exercise		
Creation of disaster recovery exercise plans	RA	C
Coordination of disaster recovery exercise events	RA	C
Remediation of disaster recovery exercise events	RA	C
Disaster recovery events		
Declaration of a disaster event	RA	I
Initiation of Optum hosting recovery	RA	I
Hand off application recovery and validation	RA	I
Application recovery and validation - Optum	RA	I
Application recovery and validation - DHHR	I	RA
Confirm service restoration	RA	I
Communication		
Notify DHHR of a disaster event	RA	C

Disaster Recovery Roles and Responsibilities	Optum	DHHR
Maintain call and notification lists	RA	C
Manage event to recovery	RA	I
Provide on-phone support for disaster event	RA	CI
Communication service restoration to DHHR	RA	I

4.3 Integration with Other Providers

After contract award, we will work together with DHHR to review requirements, and finalize the process/mechanisms we will use to integrate with application vendors, software-as-a-service (SaaS) products, and other hosting providers.

5. Assumptions and Risks

5.1 Key Assumptions

In addition to the plan assumptions included in Section 1.3 of the plan, the Optum disaster recovery plans are based upon the following assumptions:

- The event which prompted the recovery process affects only the WV IES primary Optum production site in Minnesota. All other public services infrastructure (e.g., fire, ambulance, police) remain intact in the surrounding area.
- Large-scale regional disasters impacting multiple processing facilities are beyond the scope of each application's disaster recovery plan. We assume this information would be covered in the DHHR Business Continuity Plan.
- The worst-case scenario is total destruction of the WV IES primary production site and all application-specific data and hardware housed there. If the actual disaster is not the worst-case scenario, application recovery and validation procedures may be modified within the appropriate strategies to only cover those critical business processes affected by the disaster-level incident.
- Backup copies of appropriate vital data records are maintained in a secure off-site storage facility. The off-site storage location is unaffected by the disaster since distance and accessibility were considered in site selection.
- The WV IES application and business owners understand the RTO and RPO for their applications including the potential data loss due to the RPO. We assume that their applications can handle potential data loss or they have methods to manually recreate the data in the impacted application following recovery.

5.2 Key Risks

Identifying and assessing key risks is driven by a project risk analysis, supporting the Optum culture, decision-making processes, and governance processes. The analysis, combined with threat and risk assessments, helps confirm that business continuity risks are appropriately prioritized and remediated by applying cost effective strategies and mechanisms to reduce risk to a tolerable level. The analysis process:

- Identifies potential impact of uncontrolled, nonspecific events on Optum business processes and our customers
- Considers all business segment functions
- Provides an estimation of maximum allowable downtime and acceptable levels of data and operational loss

Each critical function is required to perform a risk assessment utilizing the business impact analysis, threat and vulnerability assessment, and gap analysis of business continuity mechanisms currently in place. The end result of this risk assessment is a segment commitment to reduce risk to an acceptable level within reasonable resource and budgetary constraints.

This risk-based approach further optimizes business continuity planning by creating common definitions, defining standards and best practices and using common recovery strategies to meet the business requirements.

After contract award, we will work together with DHHR to complete an initial project risk analysis. These risks, along with proposed mitigation strategies for each, will be documented in this section of the plan.

6. Backup, Storage and Recovery of Backups

Optum typically does not include backup, storage or recovery of backups as part of the disaster plans, as best practice is to create a more automated process to disaster recovery.

These processes are addressed in the separate System Backup and Record Retention Plan document.

7. Disaster Recovery Plan Development

Disaster recovery plans are developed for critical business applications using standard tools and templates.

7.1 Disaster Recovery Plans

Optum application owners are responsible for the development of a disaster recovery plan for each critical business application or critical support system to meet the needs of business processes and functions in the event of a disaster. The procedures for execution of such a capability are documented in a formal disaster recovery plan. The plan is reviewed at a minimum on an annual basis and updated as necessary by the application disaster recovery coordinator in conjunction with the disaster recovery lead and the enterprise disaster recovery analyst.

The application disaster recovery plans need to be maintained to prepare for, respond to, manage, and recover from disasters affecting DHHR-system and business operations.

The objectives of the Disaster Recovery Plan include:

- Reducing the critical impact that a catastrophic disruptive occurrence can have on DHHR and DHHR customers
- Enabling the transition of critical application functions to an alternate recovery facility
- Verifying recovery of critical services to the affected business units, and providing critical services to DHHR and their customers during a survival-mode stabilization period

- Providing for time-phased restoration of critical business application processes and services after a disruption

7.2 Disaster Recovery Plan Refresh Process

Disaster recovery plans are refreshed on an annual basis at a minimum.

The application disaster recovery coordinators, in conjunction with their disaster recovery lead and enterprise disaster recovery analyst review, update and approve their plans. Once the plans have been approved, the enterprise disaster recovery analyst posts the plans on a secure internal, replicated shared storage space.

Individual disaster recovery plans are not provided to outside parties for security reasons. However, a blank template upon which the disaster recovery plans are written is available upon request.

7.3 Senior Leadership Certification

Every critical WV IES application requires a senior leadership certification of the Disaster Recovery Plan annually. Generally, the senior leader is the owner of the application within the IT organization. The Optum Enterprise Disaster Recovery program manages the process for senior leadership to review the disaster recovery plans and obtain their signoff for certification purposes. The senior leadership certification is completed on an internal, secured replicated SharePoint site.

7.4 Disaster Recovery Plan Exercise

The Optum Enterprise Disaster Recovery team facilitates the methodology to plan, conduct, evaluate, and manage disaster recovery exercises for WV IES. The objectives of the WV IES disaster recovery exercises are to enhance and maintain:

- Stakeholder and regulatory confidence
- Compliance with multiple regulatory requirements, including HIPAA, SOX and SAS 70
- Contractual commitments made to DHHR, vendors, partners and others
- Continuous improvement of the exercise methodology, procedures and deliverables
- Ability to support business continuation in the event of a disaster

Tabletop exercises use existing application disaster recovery plans only to simulate a disaster scenario and discuss participant responses. The basic premise of a recovery exercise is to identify gaps and exposures within the recovery process. If problems are found when examining the disaster recovery documentation or access to such, we have the opportunity to address and mitigate them before a real crisis occurs.

The problems experienced are recorded on the internal SharePoint site with the associated resolution timeframe:

7.5 Prior to next exercise Disaster Recovery Plan Exercise Guidelines

The tabletop exercise objectives are to review and validate the following information contained in the Disaster Recovery Plans:

- Application Recovery sections to include Critical Application Functionality, RTO and RPO
- Recovery contacts, phone numbers, critical vendors and partners, critical skills
- Recovery requirements
  - Vital records
  - Hardware required
  - Storage required
  - Application software required
- Critical Dependencies
  - Supported critical business processes
  - Infrastructure and service predecessors
  - Application source code
  - Critical application and data feed dependencies
- Recovery procedures and timelines for the applications, technical and application recovery scripts, and test plans
- Confirm that participants understand their roles and responsibilities in the event of a disaster
- Confirm understanding of communication channels during a disaster event
- Exercise objectives have been met and documented for audit and certification purposes

Application disaster recovery plans for the WV IES, defined as critical, are exercised annually. Disaster recovery exercise results are documented and classified as confidential. Exercise results are retained according to Optum and DHHR Records Retention Policies, reported to senior Optum leadership and DHHR, and include remediation plans to address identified gaps.

8. Disaster Event Declaration

8.1 Definition of a Disaster

Optum defines a disaster as an event of such magnitude that it may threaten critical WV IES business functions and/or services for an extended period. A disaster may create serious impact to human life/safety issues, security, and/or business viability.

Optum standard policies, which can be modified through mutual agreement between Optum and DHHR, classify events as follows:

- **Loss of facility:** complete interruption of facilities without access to equipment, local data, and content
- **Loss of critical resources:** complete interruption with 100 percent loss of personnel who can work within the first 24 hours and 50 percent loss of personnel who can work long term
- **Loss of critical systems:** complete interruption and/or access to critical systems and data located for an extended period of time

- **Loss of critical vendors:** complete interruption in a service or supply provided by third-party vendors

Some examples of a disaster include a full outage of a data center, where the hardware and/or infrastructure is unusable and recovery is not immediate; or a partial outage of a data center that impacts critical IT infrastructure.

8.2 Declaration of a Disaster

In order for an event to be declared a disaster, a disaster declaration must be made by Optum executive leadership. When a disaster is declared, the disaster recovery plans will be activated. A disaster declaration is the formal identification of an event of such severity as to warrant the implementation of business continuity and disaster recovery plans. A disaster declaration provides authorization to execute third party contingency contracts where applicable.

Once a disaster has been declared and plans have been activated, there are several groups and individuals who need to be notified. Additionally, individuals need to be notified if the WV IES is unavailable and given a timeframe of when it will be available for use. Notification may include staff, vendors or suppliers and DHHR and their customers.

Once a disaster has been declared, our technical resources will respond by immediately initiating the restoration of infrastructure and applications for all of the different disaster recovery capabilities. WV IES systems will be brought online according to their documented priority.

9. Recovery Contacts

9.1 Optum Contacts

We will use the following table format to identify the key individuals who would be called to assist during a recovery. Application teams and disaster recovery leads review their disaster recovery contacts regularly as part of the update process.

Plan Role	Name	Office Phone	After-Hours Phone	E-Mail
Application disaster recovery coordinator				
Alternate application disaster recovery coordinator				
Application owner				
Infrastructure owner				
Segment disaster recovery lead				
Technical support				
Technical support				
Enterprise disaster recovery program director				
Enterprise disaster recovery coordinator				

Plan Role	Name	Office Phone	After-Hours Phone	E-Mail
Intermediate reviewer				
Senior leader approver				

After contract award, we will work together with DHHR to complete, review, and finalize the designated disaster recovery contacts .We will routinely monitor the information to make sure we maintain the most up-to-date information regarding contact in case of a declared disaster.

9.1.1 Critical Required Skills

In the event the experienced technical resources for an application (e.g., application specialists, application support teams, system administrators) are unavailable to assist with the recovery, additional resources may be required. While only certain individuals as identified in the following table format are needed to complete the required tasks related to recovery and validation of the applications, Optum has many individuals who are able to perform these roles, as needed.

Description of Skill Set Required	Role	Level/Years of Experience	Resource Count

After contract award, we will complete this table, reviewing with DHHR to finalize details prior to formal submission.

9.2 DHHR Contacts

DHHR will be contacted according to the standard incident reporting procedure. The following DHHR resources, as we document in the following table format, will be notified and kept informed during a disaster.

Name	Email	Phone

After contract award, we will complete the table, reviewing with DHHR to finalize details prior to formal submission.

9.3 Critical Vendor Contacts

At the time of a disaster, it is necessary to have a complete list of application and IT vendors who have a role or component associated with the WV IES. A vendor is defined as someone from whom Optum purchases products or services, or who provides those things for Optum. The document structure seen in the following table lists the vendors for disaster recovery notification.

Vendor Name	Product Supported	Account Name/ Number	Main Contact Person	Phone Number	Support Phone Number	Support Ticket URL	Support Instructions

After contract award, we will complete the table, reviewing with DHHR to finalize details prior to formal submission.

10. Recovery Requirements

10.1 Vital Records

All systems are backed up via standard hosting procedures and tapes are stored offsite in a secure location. In the event of a disaster and the primary disaster recovery solution has failed, Optum, as the hosting provider, will recall the backup media and restore to the WV IES.

10.2 System Information Inventory

The System Information Inventory is the comprehensive listing of the production servers supporting the WV IES in this Disaster Recovery Plan. The inventory is maintained in a Configuration Management Database (CMDB) and reported on separately by individual WV IES application.

Inventory information will assist in restoration of the applications in the event of a declared disaster. After contract award, we will complete the initial system inventory in the CMDB and review it with DHHR to finalize the details prior to formal submission.

10.3 Critical Application and Data Feed Dependencies

This section lists the dependencies that each WV IES application relies upon as well as all of the applications that depend on this application. In addition, dependencies on vendor applications or data feeds are also listed in the vendor information identified in the Critical Vendor Contacts Section. Dependency information will assist in establishing priorities for WV IES application restoration in the event of a declared disaster.

After contract award, we will complete the matrix of WV IES applications and their dependencies on vendor applications or data feeds, reviewing with DHHR to finalize details prior to formal submission.

10.4 Supported Critical Business Processes

The following table format lists the critical processes supported by each WV IES application in this plan that have an impact on DHHR's ability to perform critical business functions.

Primary Users	Critical Processes Supported	Application Name

Primary Users	Critical Processes Supported	Application Name

After contract award, we will complete the critical business process table with initial application information, reviewing with DHHR to finalize details prior to formal submission.

11. Recovery and Validation Procedures

11.1 Infrastructure Procedures

11.1.1 Infrastructure Recovery Procedures

This section describes the procedures necessary to restore the WV IES infrastructure. This will include any infrastructure recovery steps or configuration modifications required for the applications to function properly.

After contract award, we will develop the draft procedures and document in this section of the plan. We will review this information with DHHR, gather feedback, and finalize the infrastructure recovery procedures prior to formal submission.

11.1.2 Infrastructure Validation Procedures

This section identifies the procedures necessary to validate that the infrastructure components have been recovered correctly. Once the infrastructure recovery is complete, certain infrastructure validation/modification procedures may need to be performed. This section will document the infrastructure validation steps necessary to confirm proper performance of infrastructure component.

After contract award, we will document the infrastructure validation procedures in this plan. We will review this information with DHHR, gather feedback, and finalize the infrastructure validation procedures prior to formal submission.

11.2 Application Procedures

11.2.1 Application Recovery Procedures

This section identifies the procedures necessary to recover application components. It will include the steps necessary to verify the applications have started properly and are ready for validation. The following table structure provides the format for documenting this information.

Application Start-Up Sequence	DR Plan Reference Document

After contract award, we will complete the table and review with DHHR prior to formal submission of the plan.

11.2.2 Application Validation Procedures

The WV IES application validation procedure documentation is stored on the shared WV IES SharePoint repository. A back up copy will be maintained on the internal Optum repository per our Documentation Management Plan. Steps have been included to start the application properly.

In general, the validation procedure is as follows:

- Log into the applications
- Verify report results
- Verify application functionality
- Validate the application is ready for business use

The following table template provides the format for summarizing the specific steps to validate complete recovery of the WV IES.

Function	Role	Validated By

We will complete this table as validation procedures are executed, reviewing results with DHHR and finalizing prior to formal submission of the plan.

11.3 Non-Production Recovery Strategy

Best efforts will be used to recover non-production environments. These environments will be recovered from backups. Any code installed in an environment needs to be checked into source control. If the backup does not have the latest code, Optum will work with release management to install code, as needed.

12. Return to Normal Operations

Restoration or replacement of the original WV IES production site and transfer back to normal production operations will be treated as a data center move and will be managed by project integrators in our technology organization.

13. Disaster Recovery Exercise Plan

After contract award, we will work together with DHHR to review disaster recovery exercise planning/execution requirements and finalize the Disaster Recovery Exercise Plan prior to formal submission of the plan.

13.1 Disaster Recovery Exercise Results Summary

As disaster recovery exercise plans are executed, we will develop the associated Disaster Recovery Exercise Results Summary Report. We will review the draft report with DHHR to collect feedback and finalize details prior to formal submission.

West Virginia Integrated Eligibility Solution (IES)

Draft Integration Management Plan

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

Signature _____ **Date** _____

xxxxxxxxx

Optum

Signature _____ **Date** _____

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DRAFT

Revision History

Version	Date	Author	Summary of Changes
1.1	8/8/2017	Optum	Initial draft release

Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 1
1.5 Related Documents 1
2. Integration Management Process 2
3. CMS Seven Conditions and Standards Alignment 3
3.1 Modularity Standard 3
3.2 MITA Condition 3
3.3 Industry Standards Condition 4
3.4 Leverage Condition 4
3.5 Business Results Condition 5
3.6 Reporting Condition 5
3.7 Interoperability Condition 5

List of Figures

Figure 1: Continuous Delivery Process 2

1. Introduction

1.1 Objective

The purpose of the Integration Management Plan is to review and confirm that the integrated solution as designed, developed, implemented and operated by the Optum West Virginia Integrated Eligibility Solution (WV IES) team aligns with and advances Medicaid Information Technology Architecture (MITA) maturity within the West Virginia Medicaid enterprise.

The plan will provide the approach that Optum will use to manage the modules that make up the complete WV IES and describe how these modules support the Seven Conditions and Standards established by CMS.

1.2 Plan Scope

The West Virginia Integration Management Plan addresses the approach that Optum will use to define, control, enhance and verify MITA alignment and maturity during the project.

1.3 Plan Assumptions

We made the following assumptions when preparing this plan:

- Optum will:
  - Submit the Integration Management Plan to DHHR for review and approval
  - Control the integration of all Optum solution components
- DHHR will:
  - Review and approved of the Integration Management Plan in a timely manner once the plan is submitted

1.4 Plan Organization

This Integration Management Plan is organized into the following sections:

- **Introduction (Section 1)** lists the objectives and scope of the Integration Management Plan, assumptions made in developing the plan, describes the plan organization, and identifies related documents.
- **Integration Management Process (Section 2)** discusses our approach to developing the project scope statement.
- **MITA - Seven Conditions and Standards Alignment (Section 3)** provides our approach to creating the Work Breakdown Structure (WBS) based on the scope statement.

1.5 Related Documents

The Integration Management Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, we will base-line the document and place it under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

2. Integration Management Process

Optum has a well-established process and standardized templates that we will use to perform integration and deployment of the WV IES. Our proven process will enable us to successfully build and deploy the solution into production. This Integration Management Plan describes the use of our continuous integration and deployment methodology as well as our adoption and awareness of the MITA framework.

Our continuous integration methodology that accelerates the release of software and digital services is described in Figure 1.

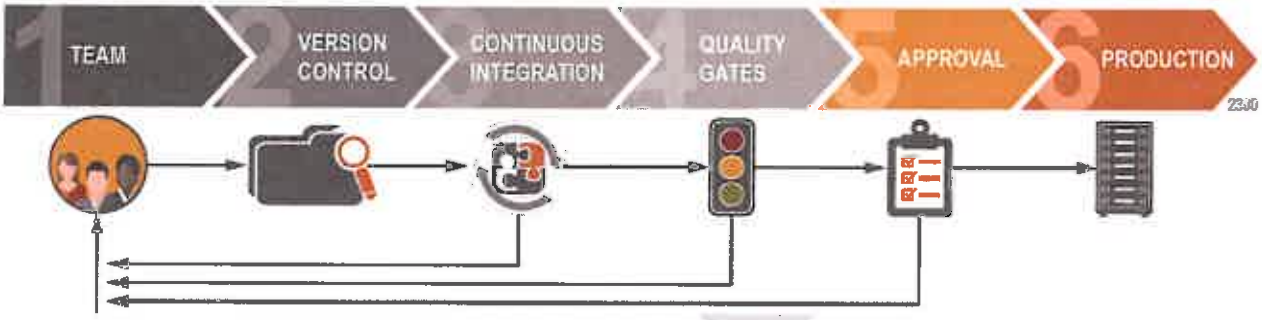


Figure 1: Continuous Delivery Process.
Optum will use an iterative process that provides continuous development and delivery of functionality to DHHR.

The continuous delivery process (Development, Test, Pre-Production, and Production Environments) will be maintained using automated build and deployment tools. This will include:

- Maintaining a single code repository
- Building process automation
- Self-testing build process to catch bugs at build time
- Making it easy to distribute the latest deliverables
- Automating deployment
- Maintaining and separately packaging environment-specific configuration files including the final deployment file for each environment

Specific integration management techniques will include:

- Deploying a release management strategy for proper sequencing of approved deliverables, including unit, system, integration, and user acceptance testing in the staging environment, prior to go/no go release decision leading to production
- Using a migration process to promote code from development, through testing, staging, and production environments
- Implementing version control to manage changes during the development, testing and deployment phases
- Providing a deployment readiness checklist that will be reviewed with DHHR to confirm acceptance criteria, prepare readiness walkthrough, and support go/no go decision making.

- Facilitating the final go/no-go decision leading to production deployment to obtain readiness acceptance by DHHR using the readiness checklist as a baseline.

By providing a rollback strategy as a contingency in the event of a no-go decision, we will reduce or prevent risks or impacts from stand-down of deployment.

The WV IES will consist of configurable modules, integrated using the healthcare and human-services specific SOA architecture of the Optum Integration Layer to provide application integration. This promotes rapid change, reusability, configurability, testing, and deployment of system modules.

3. CMS Seven Conditions and Standards Alignment

Optum is dedicated to supporting the MITA initiative driving business and information technology transformation while implementing the WV IES. The MITA initiative is a framework created and sponsored by CMS to support improved systems development and health care management for the Medicaid enterprise.

Awareness and adoption of MITA helps makes certain that stakeholders and systems across the enterprise mature and share design patterns that result in harmonized technologies, similar business processes, and common data models suitable for reporting and data exchange. Each of the seven conditions aims to promote these patterns and maturity.

3.1 Modularity Standard

Our proposed WV IES promotes modularity by its use of the Optum integration layer service architecture. All modules in the solution communicate with other modules via this layer. Providing this fabric encourages the creation and implementation of modular architecture. As the service architecture and library mature, it is even possible to create entire modules though the orchestration of services. Our integration management approach will:

- Implement the proposed modular solution
- Make certain that future enhancements designed, developed, implemented or operated by our team adhere to the modularity condition
- Facilitate collaboration with enterprise partners and stakeholders to promote modularity as other portions of the enterprise mature

3.2 MITA Condition

Our proposed WV IES promotes MITA maturity through awareness and adoption of the MITA Condition. As our solution is implemented and operated, Optum will collaborate with stakeholders to:

- Review previous MITA SS-A activities and results and apply lessons learned to the WV IES implementation
- Support and participate in ongoing SS-A activities with the latest MITA guidelines
- Collaborate with your partners and stakeholders to develop and mature the WV IES MITA maturity roadmap while continuously enhancing the WV IES
- Confirm that our solution designs implement existing proven business process models, or develop appropriate business process models prior to implementation

We take each new business process through the MITA Maturity Model (MMM) using the six measurable qualities defined by MITA:

- Timeliness of process
- Data access and accuracy
- Effort to perform, efficiency
- Cost effectiveness
- Accuracy of process results
- Utility or value to stakeholders

We also take each new business process and align each one to the five levels of maturity defined by MITA. As each process is developed we work with the business owner(s) to align each process and sub-process to the MMM level definitions. In the same way DHHR completed the MITA SS-A, we apply these definitions to each process and sub-process and score the overall business process with the lowest sub-process score.

3.3 Industry Standards Condition

The WV IES contains native service support for relevant X12 healthcare, HL7 and CMS Federal Data Services Hub (FDSH) standards. It also contains native support for translation from legacy COBOL data and batch environments to modern asynchronous services implementing these standards. As our solution is implemented and operated, Optum will collaborate with all stakeholders to:

- Implement industry standards for application program interfaces (APIs) and data models, such as X12 and HL7
- Use proxy services and wrappers as needed to translate legacy systems and data models to acceptable standards
- Promote the use of interface and data standards with enterprise partners and other stakeholders

3.4 Leverage Condition

In our solution, services and service composites are standalone components that can be re-orchestrated in infinite ways to support changing business needs, requirements, and organizations. Other business modules that are created from composites may also be reused; however, as the complexity of the module increases, the degree of reusability may diminish. As our solution is implemented and operated, Optum will collaborate with WV IES stakeholders to:

- Review and confirm that modules designed, developed, and implemented as part of the WV IES separate business logic from presentation layers and data layers
- Publish reusable services and module capabilities in a manner accessible to enterprise stakeholders so that they may be reused
- Use standard APIs or other technology wrappers around legacy systems or interfaces to allow reusability and extensibility of these systems

3.5 Business Results Condition

Our solution promotes the Business Results Condition by automating many core business processes including eligibility determination, program enrollment, financial management, customer relationship management, fulfillment, and provider management as well as other workflow and business rules automation. The WV IES provides analytical tools to promote reporting on the performance of these automated processes and other key performance indicators (KPIs). It also provides the means to tune and configure the technology to verify that performance expectations are met or exceeded. In order to achieve this, Optum will collaborate with WV IES stakeholders to:

- Apply the solution to key business processes in order to promote automation and repeatability for these processes
- Identify KPIs and performance metrics that can be used to evaluate the key business processes
- Use the solution's reporting and analytical capabilities to measure and report on these KPIs and performance metrics
- Tune or configure WV IES modules or their underlying technical architecture to meet relevant SLAs

3.6 Reporting Condition

As part of our response to the WV IES RFP, Optum has provided our roadmap to migrate from the existing collection of data marts and databases to a new data warehouse. This data warehouse will provide a single source of truth for reporting as well as a single vantage point for analysis and reporting. This will add value to the data as well as provide the automated reporting needed for program evaluation, business results evaluation, and KPI reporting, while also promoting transparency and accountability across the enterprise. In order to achieve this, Optum will collaborate with WV IES stakeholders to

- Identify data elements or analyses needed to generate relevant reports
- Build the required reporting into the solution using our data warehouse and data visibility tools; expose our existing library of reports and report analysis
- Work to automate data warehousing and reporting activities
- Use our operational expertise to assist in analysis and interpretation of the reporting
- Work to correct any plan of action items that arise from the reporting

3.7 Interoperability Condition

Using standards-based APIs and industry standard transaction formats promotes interoperability within WV IES modules. It also promotes interoperability across other WV IES enterprise partners who similarly implement standards-based APIs. For legacy modules or enterprise partners who do not implement standards-based APIs, the proxy wrapper design pattern used by the Optum Integration Layer promotes rapid integration with legacy systems. As our solution is implemented and operated, Optum will collaborate with WV IES stakeholders to:

- Review and confirm that modules designed, developed, and implemented as part of the IES separate business logic from presentation layers and data layers, as well as utilize standard APIs to promote interoperability
- Utilize the proxy wrapper design pattern to facilitate interoperability with legacy systems
- Develop data warehousing strategies that promote applicable sharing of enterprise data with State and federal partners
- Test and validate that communication technologies used by the WV IES properly interface with enterprise partners

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West Virginia Integrated Eligibility Solution (IES)

Draft Data Quality and Governance Plan

Authorized for issue by:

xxxxxxxx **West Virginia Department of Health and Human Resources**	**Signature**	**Date**
xxxxxxxxx **Optum**	**Signature**	**Date**

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Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 1
1.5 Related Documents 1
2. Data Quality and Governance Approach 2
2.1 Data Governance 2
2.2 Data Quality 3
3. Technical Infrastructure 4
4. Policies and Procedures 4
5. Data Quality Management 5

List of Figures

Figure 1: Data Quality Process Flow. 5

1. Introduction

The Data Quality and Governance Plan describes how Optum will manage program data and records for the West Virginia Integrated Eligibility Solution (WV IES) Project.

1.1 Objective

The Data Quality and Governance Plan defines the infrastructure, policies and procedures that Optum will use to meet the following objectives for WV IES data:

- Data integrity
- Data quality
- Data verification

1.2 Plan Scope

The WV Data Quality and Governance Plan address the approach that Optum will use to manage program data and records in the WV IES.

1.3 Plan Assumptions

We made the following assumption when preparing this plan.

- DHHR will work in close cooperation with Optum to determine the best option going forward when legacy data quality issues are found in the initial data conversion process.

1.4 Plan Organization

This Data Quality and Governance Plan is organized into the following sections:

- **Introduction (Section 1)** lists the objectives and scope of the Data Quality and Governance Plan, assumptions made in developing the plan, describes the plan organization, and identifies related documents.
- **Data Quality and Governance Approach (Section 2)** summarizes our approach to data quality and governance.
- **Technical Infrastructure (Section 3)** describes the technical infrastructure.
- **Policies and Procedures (Section 4)** describes the policies and procedures Optum follows to perform data quality and integrity.
- **Data Quality Management (Section 5)** describes our approach to performing data quality management throughout the project.

1.5 Related Documents

The Data Quality and Governance Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, the document is base-lined and placed under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes. Related plans include:

- Risk Management Plan
- Document Management Plan

- Issue Management Plan
- Change Management Plan

2. Data Quality and Governance Approach

The State of West Virginia has accumulated a wealth of information on its constituents, programs and benefits. Our mission and primary goal is to provide the State with the organization, tools and processes to maximize the potential of its data assets. Data governance is the essential foundation for achieving this goal.

Optum will work with the State to establish a data governance committee if one does not exist, and introduce the necessary data stewardship positions and processes to govern WV IES data assets. Data governance binds the core functions of our data quality process. It is used to identify, prioritize, track, and manage data throughout the entire data lifecycle within the WV IES environment. We will use our data management and data quality tools as part of the data governance processes to assure that data quality is optimal before we make it available within the data warehouse. The data governance program will also include enforcement policies and practices to continually maintain the integrity and meaning of WV IES data. We will use our change control and release processes to validate changes in our non-production environment before promoting changes to production.

2.1 Data Governance

Data governance is a challenging, bi-directional flow of information and organization building. Through effective data governance we facilitate improved services, planning, and policy implementation across the enterprise. We will leverage and augment existing standards and data architecture rules to manage and maintain key data assets of the State.

Data governance is a vital part of an overall governance structure, whose mission is to steer the organization toward shared vision and policy. From the perspective of strategic governance, data governance is the crucial component for establishing a common language of terms and concepts—the foundation of the shared vision and policy definition. Operational governance uses common terms and definitions to clearly communicate key process indicators and their meaning to all interested parties.

We understand our role in governance and will support DHHR by implementing data-based policies. These include gathering, harmonizing and organizing information according to that policy, and publishing performance metrics to the appropriate stakeholders.

We develop processes to maintain data integrity, consistency, accuracy, and timeliness of the State's data. This is best described in the activities below. We will work collaboratively with DHHR to:

- Arrive at enterprise-wide data architecture to achieve and support additional business processes; this will include guidelines for data interoperability and data sharing across State agencies and authorized stakeholders
- Establish and implement procedures and policies for improved quality, timeliness and reliability of DHHR data
- Attain a holistic view of a person across DHHR-targeted programs, and use that view to build single version of the truth across various reports and analytics
- Maintain industry standard and third-party reference and dimensional data as it changes, as well as compliance with federal requirements

- Maintain WV IES data governance to enable efficient, effective, correct and relevant decision-making regarding all aspects of the data, and to implement this plan so that data is properly maintained, accessible, retained, archived and protected from destruction
- Maintain a holistic view that supports emerging technologies which align with State directives, best practices, and continuous improvement associated with CMS-approved Medicaid business processes and technologies
- Develop an annual analytics report with a gap analysis of analytical needs for programs and plan for data improvement through appropriate change management
- Deliver master data capabilities related to persons across the DHHR organization; knowledge gained from this process will assist in eliminating any duplication of person records, and will increase the accuracy of associated address, relationship, and other dependent records

2.2 Data Quality

Data quality is one of the best examples of how we make the data governance feedback loop work for DHHR. Using our enterprise data quality tools, we help DHHR learn and measure the quality of the data against goals and targets. Through our participation in WV IES activities, the definition of data quality key performance indicators (KPIs) in the WV IES Information Architecture Documents, and the completion of Data Integration Reports, we will continually provide you with assessments of how WV IES data meets quality targets. As possible through iterative development, and the change management process, we will identify opportunities for DHHR to further increase data quality, both within the WV IES and elsewhere in the State enterprise.

We will work with you to identify data stewards to integrate data quality capabilities that analyze data from different systems and conform data attributes and definitions to enterprise standards. We will adapt WV IES data management functions to smoothly integrate with DHHR-conformed business entity data, such as for client and provider. This integration will be established during the Design and Development Stage and will continue throughout operations. In doing so, we will maintain:

- Data confidentiality: prevent disclosure to unauthorized persons or systems
- Data integrity: data cannot be modified
- Data quality: data accurately represents reality
- Data usability: data is business user friendly
- Data availability: access is not inappropriately blocked or denied
- Data authenticity: validation of transactions
- Data security: encryption and DHHR-approved security protocols and processes
- Non-repudiation of data: parties to a transaction cannot deny their participation in the transaction
- Encryption: all data encrypted in motion and at rest
- Media retention: verify retention of all electronic media (e.g., fax, scan, image)

3. Technical Infrastructure

The WV IES technical infrastructure that we implement to support data governance and data quality assurance includes the tools necessary to develop and publish all documents related to data governance, as well as the tools required to execute and verify the execution of controls, policies, processes and rules. The Microsoft Office suite of tools will be used to develop and publish data governance documentation.

In addition, we will employ the Informatica data quality/governance tool suite, rated as the leader in Gartner's 2016 Magic Quadrant for Data Quality Tools. The tool suite will help to manage the ongoing quality of the WV IES. Included in the tool set are the following functions:

- Informatica analyst
- Discovery search
- Data profiling
- Business rule builder
- Data quality transformation
- Reference table management
- Data quality workflow
- Identity match
- Data domain and enterprise discovery
- Universal record ID
- Business glossary
- Metadata manager

Data modeling is a key component in building and maintaining a robust and extensible data architecture. We will use ERwin Data Modeler to build conceptual, logical and physical data models that effectively communicate the underlying data structures to the business stakeholders, while enforcing strict standards of physical database design.

4. Policies and Procedures

Policies and procedures are created for data governance and executed by the data quality team. Optum will work with DHHR to define procedure format, content, applicable standards, and requirements. Policies and procedures will include:

- **Data standards:** A set of data standards that will apply on a go-forward basis and determine any transformations required from the legacy system to the WV IES.
- **Data access roles and responsibilities:** A set of roles and accompanying permissions and responsibilities for reading or updating each data element in a record, as well as creating new records or deleting records.
- **Data security policies and procedures:** Data security exists at multiple levels of the WV IES. Each level of the solution stack will invoke various methods of assuring that the data is secure, regardless if is in a temporary state, such as XML; a persisted state, such as in a database; or in transit via messages and other data transfer methods used to communicate between the various functional modules.
- **Data retention policies:** Federal and State requirements for data retention will be employed to manage historical data within the WV IES.
- **Profiling procedures and frequency policy:** We describe our extensive initial data profiling effort to determine anomalies in existing data to help understand any transformation and cleansing required.
- **Quality issue reporting and resolution procedures:** Quality issues will be promptly communicated to DHHR via agreed upon communication methods and defect tracking tools, within established timeframes for response and resolution.

- **Quality audit elements and reporting:** A set of data elements most critical for maintaining the overall quality of DHHR's information goals. Depending on criticality, that data will be audited on either a transaction basis, a daily basis, or a weekly basis, and reported to you at daily, weekly and monthly frequencies.
- **Personally Identifiable Information (PII) protection policies:** Federal and state rules governing the protection of PII data elements and combinations of data elements will be filtered on a need-to-know basis. We establish need-to-know requirements according to job access roles and responsibilities.
- **Data validation rules and origination:** Data validation will occur at the screen level, the database level, or the program/service level, depending on the type of data. In the case of identity management, Master Data Management (MDM) and the FedHub will be used to verify the identity of the DHHR clients to the various functions of the WV IES. In the case of data type and format, validation will either occur at the screen, the program, or the database level.
- **Data encryption:** Data that is in transit between functional modules, and at rest, will be encrypted.
- **Data publishing:** Informatica Data Quality Governance will be used to publish all information about the quality of data required by DHHR.

5. Data Quality Management

Our data quality team is responsible for assuring that data governance controls, policies, processes, and rules are executed according to defined and agreed to policies and procedures. Our quality data analysts will leverage the Informatica data quality/governance tool suite and experiential lessons learned to support the data quality management process.

The primary focus of the Optum data quality management process is the continuous improvement of data quality, as illustrated in Figure 1 below:



Figure 1: Data Quality Process Flow.
Our approach to managing data quality includes a continuous monitoring process to make certain that defined rules are followed, and reviewed to maintain accuracy and continued improvement.

Our data quality management tools and quality processes facilitate root cause analyses of data problems/issues before they can affect operational data, the data warehouse, and analytical results. The WV IES profiles and discovers the structure, data anomalies, and overall suitability before the data migration effort begins. It matches records and identifies relationships across multiple clients, providers, and other data domains.

Our data quality process will score the perceived quality of data elements and the relevance of business rules to gauge the overall health of data that feed data quality metrics and KPIs. We will apply reusable data quality rules and processes to master enterprise data across multiple sources, applications and systems in batch, in real time, or by using web services. The WV IES will correct misplaced, misspelled and misfielded data to capture valuable information that would otherwise be lost.

Precise and consistently reliable data will help us provide more accurate operational models, projections and analysis to DHHR. Quality data equals trusted results. Data quality management deliverables and processes include:

- Business rules and standards administration plan
- Data quality metrics, sample sizes and scorecards
- Data quality audit workflow scripts
- Issue Management Plan
- Documented interfaces to other workflows and methodologies
- Risk Management Plan
- Document Management Plan
- Regular communications and collaboration with State counterparts

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West Virginia Integrated Eligibility Solution (IES)

Draft System Backup and Record Retention Plan

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

_____ Signature

_____ Date

xxxxxxxx

Optum

_____ Signature

_____ Date

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Revision History

Version	Date	Author	Summary of Changes
1.1	8/8/2017	Optum	Initial draft release

Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 1
1.5 Related Documents 1
2. System Backups and Schedules 2
2.1 Media Tracking 2
2.2 Data Center Backups 2
2.3 Destruction Processes 3
2.4 Testing of Restores 3
2.5 Backup Success 3
2.6 Database Synchronization and Transaction Logging 3
2.7 Back-up and Retention Policies 4
2.7.1 Back-up Policy 4
2.7.2 Retention Policy 4
2.8 Data Retention Schedules 5
2.9 Operational Backup Standards 6
3. Retention Methodology by Project Phase 6

List of Figures

Figure 1: The Optum Media Destruction Process 3

1. Introduction

1.1 Objective

The System Backup and Record Retention Plan defines the system backup and retention processes and schedules Optum will follow to recover the system and data should any problems arise for the West Virginia Integrated Eligibility Solution (WV IES) Project.

1.2 Plan Scope

The WV IES System Backup and Record Retention Plan provides the approach Optum will use to conduct system back-ups so all records are retained on a schedule that aligns with State and federal regulations. This plan excludes information related to disaster recovery. Disaster recovery information is located in a separate plan, Disaster Recovery and Business Continuity Plan.

1.3 Plan Assumptions

We made the following assumptions when preparing this plan:

- This document is being prepared as part of the RFP response process for the State of West Virginia. As a result, details specific to the West Virginia infrastructure build are not available at this time and will be added once the contract is awarded and build components are finalized.
- The term "indefinite" as it pertains to the retention of WV IES records equates to the lifetime of the contract. At contract turnover and closeout, designated WV IES records will be turned over to DHHR. Any records not turned over will be destroyed.

1.4 Plan Organization

This System Backup and Record Retention Plan is organized into the following sections:

- **Introduction (Section 1)** lists the objectives and scope of the System Backup and Record Retention Plan, documents the assumptions made in developing the plan, describes the plan organization, and identifies related documents.
- **System Backups and Schedules (Section 2)** discusses the methodology and planned schedule of system backups.
- **Retention Methodology by Project Phase (Section 3)** provides our approach to record retention within each project phase.

1.5 Related Documents

The System Backup and Record Retention Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, the document is base-lined and placed under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

Related plans include:

- Disaster Recover and Business Continuity Plan
- Documentation Management Plan

2. System Backups and Schedules

The Optum data protection and recovery procedures cover the full lifespan of every data element retained in our solutions. The WV IES is designed to detect and prevent potential issues through data management functions. If any data becomes corrupted, the database management system (DBMS) backup/archive/recovery (BAR) capabilities provide critical functions to quickly restore clean data and return to normal operations. These capabilities include:

- Block-level corruption detection during backup and restore
- Optimize performance and space consumption during backup with file multiplexing and backup set compression
- Account for database procedures before and after backup or restore, freeing dependency on OS and SQL*Plus scripts
- Provide a common user interface for backup tasks across different host operating systems
- Parallelization of backup/restore data streams, backup files retention policies, and detailed backup histories

We typically maintain up to three copies of the data at a given time depending on customer requirements and the mission-critical nature of the data. In addition to the active copy of production data, the most current and accessible copy is maintained in mirrored storage. Daily and incremental backups of data are maintained onsite in the event of hardware failures. When data is more than two weeks old (or a duration mutually defined during the requirements and design stages of the project), it is archived to the data center archival system, which may include secure, off-site storage. We also back up operating systems and application data on a regularly scheduled basis. All production backups are performed during off-hours. Backup processes do not impact production functionality in most applications.

2.1 Media Tracking

All media used for backup processes utilize radio frequency identification (RFID) tracking. As soon as media is received, RFID labels are applied and scanned into the Maximo application. Maximo tracks if the tapes are in the library racks, in the tape juke boxes and in transport It also tracks tapes pending eradication, pending destruction, eradicated, destroyed and all approvals to move them from one status to the next.

2.2 Data Center Backups

Our Optum enterprise backup strategy is used to protect against data loss by maintaining a minimum of two copies of operational data within the secured technology centers. A virtual tape library system is maintained at the primary data center. This system emulates physical tape and stores data on hard drives for daily operational recovery in case of data corruption or accidental deletion. The data then transmits electronically to an additional disk-based array located in another of the Optum geographically-dispersed data centers located in the United States.

2.3 Destruction Processes

Optum follows specific controls to facilitate the safe and appropriate distribution of media, once stipulated criteria are met. Figure 1 shows the processes used to correctly dispose of media. Certificates of destruction and accompanying serial number report are stored for auditing purposes.

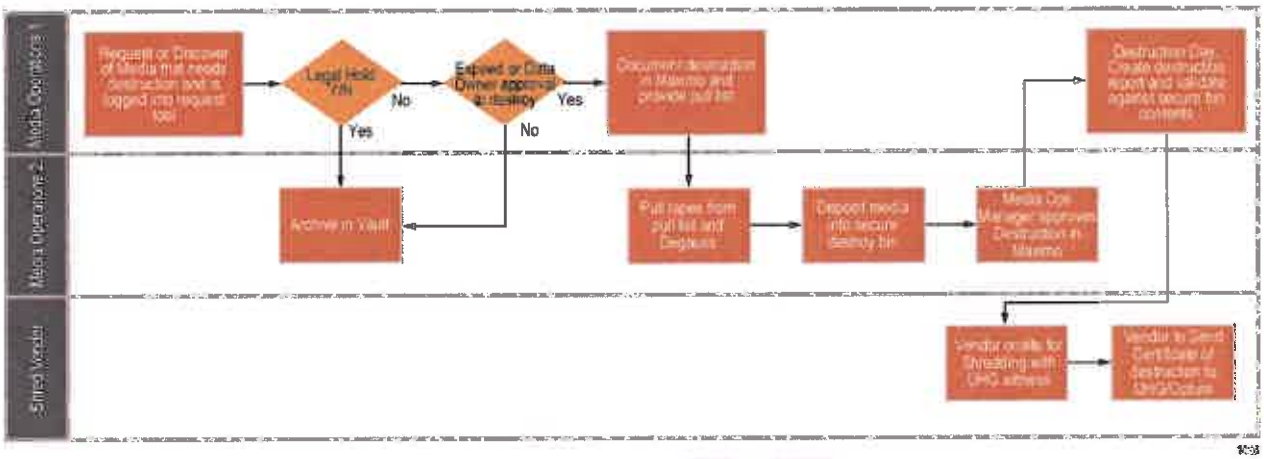


Figure 1: The Optum Media Destruction Process
Destruction of media is carefully controlled.

2.4 Testing of Restores

Due to the scale of information stored in Optum data centers, Optum restores information for specific WV IES components on a daily basis. As a result, there is no need for specific backup testing as we are performing the function on a real-world basis daily.

2.5 Backup Success

WV IES backup up processes are tracked through a variety of systems and scripts. Information from these various systems is consolidated into a custom database. This database collects the success and failure of each backup. Daily operational success failure reporting is created, which allows staff to remediate specific files and determine root causes for prevention. Data protection meets daily with the various operational teams to monitor the status of the remediation efforts.

The Optum data protection team provides a link to internal staff to review the status of backups for the applications and systems in their area of responsibility. The Optum WV IES processing team will be able to access any backup failures and participate in the remediation process, as well as supply reporting to the DHHR.

2.6 Database Synchronization and Transaction Logging

After contract award and once the build process is started, this section will be completed with details regarding the specific database synchronization processes employed for the WV IES. In addition, an analysis of the transaction logging and commit processes employed by the applications will also be documented.

2.7 Back-up and Retention Policies

During the WV IES Project phases we will generate project documentation, key project artifacts, deliverables, operational data and backups, and other items as appropriate. This documentation will be stored in the shared WV IES SharePoint repository so that the information is easily available to DHHR and Optum staff. Throughout the project life cycle, we maintain compliance with records retention policies and standards driven by regulatory requirements and contractual agreements.

2.7.1 Back-up Policy

Our corporate policies dictate that system and database backups are performed daily and weekly. We retain five versions of a file and 21 versions of databases for operational recovery reasons. Deleted files are retained 90 days. Daily backups are incremental and held for 21 days and weekly backups are full system backups and are held for four weeks.

In addition to the backup environment, Optum maintains a robust security program to protect member data. This includes the following:

- Security Access Tracking System (SATS)
- Active directory and password authentication specifications
- Data center facilities access and security systems
- In-sourcing of the tape management facilities
- In-sourcing of information technology (IT) engineering, maintenance and administrative functions
- Onsite data eradication, to Department of Defense standards, of disk drives when replaced or decommissioned

2.7.2 Retention Policy

Our corporate data retention policy satisfies three primary considerations:

- **Operational Recovery:** Daily backups to be used for file/database restoration
- **Regulatory Requirements:** Records Information Management establishes the policies necessary to meet regulatory requirements such as HIPAA, SOX, contracts, and financial. These retention periods range from three to 10 years depending on the content or requirements for the data
- **Legal Holds:** Process driven by our corporate legal department and supersedes all other retention specifications when initiated

Data retention requirements are driven by laws, regulations, State requirements and Optum corporate policy. The National Archives and Records Administration (NARA) records schedule is usually the default/minimum requirement; backups themselves can be deleted as soon as another full backup has been proven to be successful. [Link for NARA: **https://www.archives.gov/about/records-schedule/chapter-08.html#0813**]. After contract award we will work together with DHHR to review corporate policies, federal standards and State requirements, creating the baseline retention requirements for WV IES.

Because of the expandable and extensible nature of the WV IES infrastructure, we have the capability to retain growing volumes of project records indefinitely. Within the Optum storage

infrastructure, file systems established as a data repository to support WV IES application or business needs have an indefinite life span and will only be removed or deleted upon request from the owning entity. Once the data files have been established, operational backups are executed on a daily basis to protect against the loss of data. This loss may be due to operational incidents; as long as the application does not have a periodic deletion process or data is deleted by the application owner. The data in these files will remain intact indefinitely throughout the duration of our contract, which meets the indefinite requirement.

2.8 Data Retention Schedules

The following table lists the general schedules for backups and retention used within Optum facilities. After contract award, we will work collaboratively with the DHHR to review these retention metrics and establish WV IES retention schedules that fully align to State and federal standards and best practices.

Optum Backup and Retention Schedules			
DBMS Production Environment			
Frequency	Weekly full	Daily incremental	Ad hoc
Retention	28 days	28 days	90 days
DBMS Stage Environment (pre-production)			
Frequency	No weekly full	No incremental	Ad hoc
Retention	N/A	N/A	90 days
DBMS Development and Test			
Frequency	Weekly full	No incremental	Ad hoc
Retention	28 days	N/A	90 days
DBMS Non-production Environment*			
Frequency	Weekly full	No incremental	Ad hoc
Retention	28 days	N/A	90 days
Email Production - managed by Exchange team			
Frequency	No weekly full	No incremental	Uses MS Exchange DP
Retention	N/A	N/A	Uses MS Exchange DP

**Databases – Production ONLY backups are copied offsite for disaster recovery purposes. Operational Backup Retention (Oracle, Sybase, SQL Server, DB2, RDB)*

2.9 Operational Backup Standards

The following table lists the backup standards Optum will use for the WV IES Project. After contract award, we will work collaboratively with the DHHR to review and verify these backup standards fully align to State and federal standards and best practices.

Operational Backup Standards				
Production Environment				
OS Files	VERExists	VERDeleted	RETExtra	RETOnly-last copy of deleted file
Versions & Retention	5 Versions	1 Version	45 Days	90 Days
Frequency	Daily			
Non-Production Environment				
OS Files	VERExists	VERDeleted	RETExtra	RETOnly
Versions & Retention	3 Versions	1 Version	45 Days	45 Days
Frequency	Daily			
Production and Non-Production				
TSM for Virtual Environments				
Versions	45			
Frequency	Daily			
NAS (Networked Attached Storage) NAS Uses NetApp Internal Data Protection				
Frequency	N/A			
Version & Retention	90 Days			

3. Retention Methodology by Project Phase

Optum will generate various documents and data records during each of the project life cycle phases: DDI, Operations, and Turnover/Closeout. Upon contract award, we will work together with DHHR to review and finalize the project data/artifacts that will be developed during each project phase, and assign applicable record retention requirements, e.g., storage media, timeframes, accessibility, etc. This retention strategy will be an input to our project turnover and closeout process.



West Virginia Integrated Eligibility Solution (IES)

Draft Turnover and Closeout Management Plan

Authorized for issue by:

xxxxxxxx **West Virginia Department of Health and Human Resources**	**Signature**	**Date**
xxxxxxxxx **Optum**	**Signature**	**Date**

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DRAFT

Revision History

Version	Date	Author	Summary of Changes
1.1	8/8/2017	Optum	Initial draft release

Table of Contents

1. Introduction 1
1.1 Objective 1
1.2 Plan Scope 1
1.3 Plan Assumptions 1
1.4 Plan Organization 1
1.5 Related Documents 2
2. Turnover and Closeout 2
2.1 Turnover Schedule 3
2.2 Turnover Management Team 3
2.3 Turnover Approach 3
2.3.1 Step 1: Turnover Initiation and Planning 4
2.3.2 Step 2: Turnover and Training 5
2.3.3 Step 3: Prepare for Cutover 6
2.3.4 Step 4: Turnover Closeout 6
2.3.5 Knowledge Transfer Approach 6
2.3.6 Turnover Transition Execution Approach 8
2.3.7 Continuous Transition Governance and Monitoring 10
2.3.8 Turnover Roles and Responsibilities 10
2.3.9 Turnover Tools 13
3. Project Documentation 13
4. Asset Transfer 14
5. Final Administrative Items 15
5.1 Escrow 15
5.2 Data Transfer 15
5.3 Certificates of Destruction 15
5.4 Turnover Transition Closeout Report 17

List of Figures

Figure 1: Optum Approach to Turnover. 4
Figure 2: Optum Knowledge Transfer Approach. 7
Figure 3: Sample Knowledge Transfer Report 10
Figure 4: Optum Media Destruction Process. 16
Figure 5: Sample Certificate of Destruction. 16

1. Introduction

1.1 Objective

The Turnover and Closeout Management Plan describes our approach for turnover and closeout for the West Virginia Integrated Eligibility Solution (WV IES) project. The plan defines the collaborative processes that will be implemented between Optum, the DHHR and/or the successor vendor to transfer the system, data, assets and so forth. The objective is to enable DHHR or a successor vendor to effectively operate and maintain the WV IES.

1.2 Plan Scope

The West Virginia Turnover and Closeout Management Plan provides the approach we will use to transition the operations and maintenance of the WV IES to the successor vendor or DHHR when the contract comes to a close.

1.3 Plan Assumptions

We made the following assumptions when preparing this plan:

- The successor vendor will make adequate transition staff available for tasks and for full duration defined in the plan.
- The successor vendor will attend all DHHR-specific training sessions so they can attend the detailed Optum knowledge transfer sessions.
- The successor vendor will be responsible for confirming their staff skills are aligned to the scope of work and technology stack used in the WV IES Project.
- Optum will only be responsible for providing access to the systems under Optum control that does infringe upon Optum intellectual property.
- Optum will act as a single point of contact for Optum project partners and will be responsible for aligning Optum partners to assist during transition.
- The successor vendor resources will be dedicated to transition activities.
- Knowledge transfer and shadow sessions will be performed at an agreed upon location.
- DHHR will assist with transition oversight and provide a single point of contact with decision-making authority to facilitate decision-making and to reduce bottle necks.
- Once final, completing the activities outlined in this plan constitutes the full scope of turnover responsibilities. The turnover will be considered complete when Optum and/or partner teams complete the specific activities defined in the work plan and DHHR accepts our final deliverables.

1.4 Plan Organization

This Turnover and Closeout Management Plan is organized into the following sections:

- **Introduction (Section 1):** lists the objectives and scope of the Turnover and Closeout Management Plan, assumptions made in developing the plan, describes the plan organization, and identifies related documents.

- **Turnover and Closeout (Section 2):** discusses our overall approach to turnover and transferring knowledge to the DHHR and/or successor vendor. This includes scheduling job shadows and reverse shadows to facilitate the knowledge transfer process.
- **Project Documentation (Section 3);** discusses the transfer of all relevant project documentation.
- **Asset Transfer (Section 4):** discusses the transfer of assets (e.g., software, hardware, furniture) to the DHHR or successor vendor.
- **Final Administrative Items (Section 5):** discusses final disposition items of the Turnover Phase, including escrow, data transfer, certificates of destruction, and the project closeout report.

1.5 Related Documents

The Turnover and Closeout Management Plan is subordinate to the overall Project Management Plan (PMP). Once the plan is approved, the document is baselined and placed under configuration management control. All subsequent updates will require DHHR and Optum management approval and will be performed according to the approved change management processes.

Related plans include:

- Quality Management Plan
- Risk Management Plan
- Schedule Management Plan
- Document Management Plan
- Configuration Management Plan

2. Turnover and Closeout

The Turnover and Closeout Plan describes the activities that will occur during the transition-out period. It details the turnover team, turnover methodology, overall turnover schedule, operational activities, and equipment associated with the turnover tasks. This plan is reviewed annually and updated as needed to prepare for each significant system release throughout the contract and or upon request by the DHHR project manager or designee. During turnover and closeout, this plan will serve as the blueprint and reference document for all knowledge transfer activities performed with the DHHR and/or our successor.

The work and schedule associated with the Turnover and Closeout Plan will be documented using Microsoft Project. Microsoft Project lets us track the progress of related activities, monitor and evaluate resource allocation, and produce work plan reports, including:

- Project schedule
- Work Breakdown Structure (WBS) with task assignment
- Critical path
- Milestone dates
- Deliverable dates
- Gantt chart

2.1 Turnover Schedule

Upon receiving the notification that you intend to re-procure services, we will update this plan and submit it for DHHR approval nine months prior to contract term or within three months upon DHHR request. This plan will detail the updated schedule, updated work plan activities, and resources associated with the identified turnover tasks. Along with the Turnover and Closeout Management Plan we will provide a detailed Microsoft Project work plan, subject to review and approval by the DHHR. This work plan, called the Turnover Schedule, will govern the execution of turnover activities and enable DHHR and other WV IES stakeholders to continue providing services without interruption. We will provide trainings and execute subsequent turnover activities as outlined in the Turnover Schedule.

2.2 Turnover Management Team

Optum will provide the resources necessary for the transition to our successor. We will appoint a senior manager from our WV IES operations team as a turnover manager. This individual will own the end-to-end turnover activities. The turnover manager will be the single point of contact for all turnover activities representing, Optum and our subcontractors. The turnover manager will work closely with DHHR leadership and our successor to come to an agreeable solution on conflicts that arise during turnover and closeout. We will produce the turnover organization chart during the Turnover Phase initiation step.

Optum will provide key WV IES functional and technical subject matter experts to train our successor. Retaining key staff throughout the Turnover Phase allows us to promote continuity of service. During the Turnover Phase, in the event that replacement of a key staff member is necessary, we will notify the DHHR in advance to help minimize turnover impact.

The Optum turnover manager will oversee the implementation of the turnover tasks listed in the Turnover Schedule so that the tasks are performed in accordance with the contract requirements. This includes assessing and updating documentation, the submitting a Turnover Schedule, and the transferring contract operations.

2.3 Turnover Approach

Our turnover and closeout approach will be executed in four phases as shown in Figure 1.

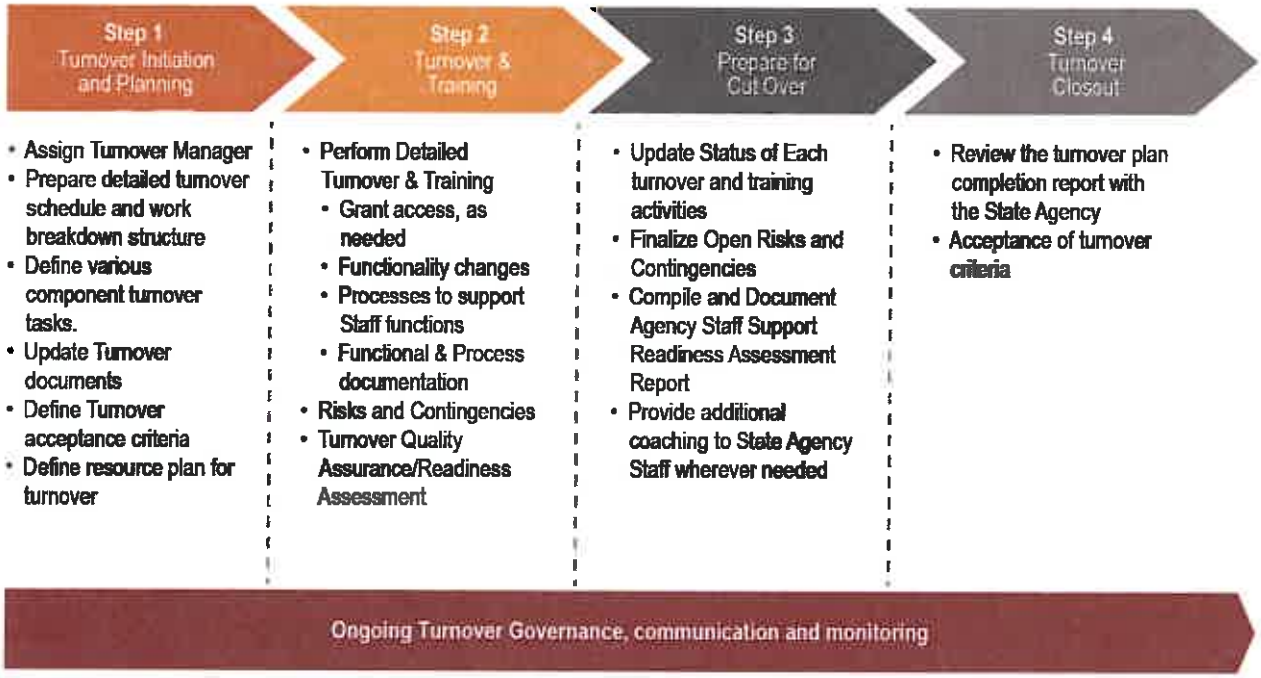


Figure 1: Optum Approach to Turnover.
We follow a prescribed process to verify complete and efficient turnover of the WV IES.

2.3.1 Step 1: Turnover Initiation and Planning

The Turnover Initiation and Planning step establishes the foundation for the entire WV IES transition. This will start within 30 days of DHHR notification of intent to re-procure services. We will plan the entire turnover during this phase in collaboration with the DHHR. Optum will be accountable for turning over the operations to the successor. We will be responsible for working with our subcontractors during turnover and closeout to perform their required activities. The following activities will be completed during this phase:

- Prepare a detailed Turnover Schedule (work plan) with inputs from Optum partners that addresses/includes:
  - Data turnover tasks
  - Custom interface turnover tasks
  - Custom code turnover tasks
  - Documentation regarding files, interfaces and workflows not considered to be part of the COTS proprietary documentation tasks
- Develop a timeline of tasks and activities (defined using a WBS) leading to required turnover deliverables and milestones. This includes the tasks and activities representing the four steps of our methodology: Initiation and Planning, Execution (includes transition and training and prepare for cutover phases), Monitoring (throughout all phases), and Transition Closeout. We will perform the following:
  - Create a detailed knowledge transfer work plan
  - Document gaps and an action plan to address stability during turnover
  - Define data migration and turnover acceptance criteria

- Establish lines of communication and reporting relationships
- Establish meetings and communication methods related to regular and on-going coordination activities during the transition and cutover periods
- Identify key subject matter experts to participate in the migration/turnover effort (Shadow and Reverse Shadow)
- Establish a resource plan for turnover
- Finalize a list of DHHR-specific deliverables and other materials to be turned over (e.g., existing incident, problem and change management tickets)
- Establish a data migration strategy for application data (e.g., members, claims, transactions and more)
- Define tools required for turnover and closeout
- Leverage the deliverable review process with the DHHR
- Establish turnover performance measurements and critical success factors
- Establish turnover quality checkpoints and milestones
- Assess and update furniture and hardware turnover requirements

Step 1 ends with the DHHR approving the final Turnover and Closeout Management Plan, and agreeing to the milestones and detailed work streams outlined in the Turnover Schedule.

2.3.2 Step 2: Turnover and Training

This step starts at four months prior to the end of the contract or at a time agreed upon with the DHHR. This phase is also known as the Knowledge Transfer Phase. It is imperative that the successor staff be present for this phase. We will work with DHHR and successor team management to maximize participation. The following activities will be performed during this phase:

- Establishing turnover governance
- Introducing Optum teams and successor teams
- Defining roles and responsibilities of successor and Optum
- Establishing format and protocol for status meetings and reporting
- Establishing format and tools for knowledge transfer sessions
- Establishing lines of communication and reporting relationships
- Establishing the deliverable review process with successor
- Discussing Issues, Risks, Actions, Assumptions and Decisions (IRAAD) strategies with successor
- Finalizing milestones with DHHR and all stakeholders
- Providing building access for appropriate resources for transition planning and status meetings
- Conducting knowledge transfer sessions according to the approach described later in section 2.3.5 – Knowledge Transfer Approach

Optum will use latest tools and technologies to conduct these training sessions. We will provide pre-requisite learnings, documentation reviews, questions and answers discussion forums and

dedicated knowledge transfer sessions. These sessions are conducted in person and online using tools like WebEx.

2.3.3 Step 3: Prepare for Cutover

This turnover phase is also called the reverse shadow phase. The successor vendor will serve as the primary WV IES support provider. They will monitor the project service level agreements (SLAs) and continue to adjust the system to perform at the defined level. We will provide coaching as needed. Our resources will be available to answer questions. The successor vendor will deliver the metrics and reports on the WV IES to the State.

We will continue to perform enhancement activities during this phase. We will review the key deliverables that the successor vendor delivers to you, if required.

Major activities during this phase:

- Optum provides coaching to successor vendor as needed
- Optum reviews key deliverables to DHHR
- Successor vendor drives the project and has prime responsibility for operations and maintenance
- Successor vendor monitors SLAs and system metrics to perform to the defined level
- Successor vendor publishes reports and dashboards

2.3.4 Step 4: Turnover Closeout

During this phase, the successor vendor will already be performing the full array of WV IES maintenance and operation activities. Optum access to the project artifacts and assets will be removed.

We will produce the closeout report during this step. Please see section 5.4 of this plan for Closeout Report details. Optum will receive sign-off from DHHR for materials specific to WV IES, data dumps, data mapping, batch job schedule, and vendor SLA transition to our successor.

DHHR will also be responsible to provide a sign-off that all turnover activities have been successfully completed. The Optum team is disengaged from the project after the DHHR sign off is received.

2.3.5 Knowledge Transfer Approach

Our approach to accomplishing complete and effective knowledge transfer to the successor vendor occurs across the four knowledge transfer phases shown in Figure 2.

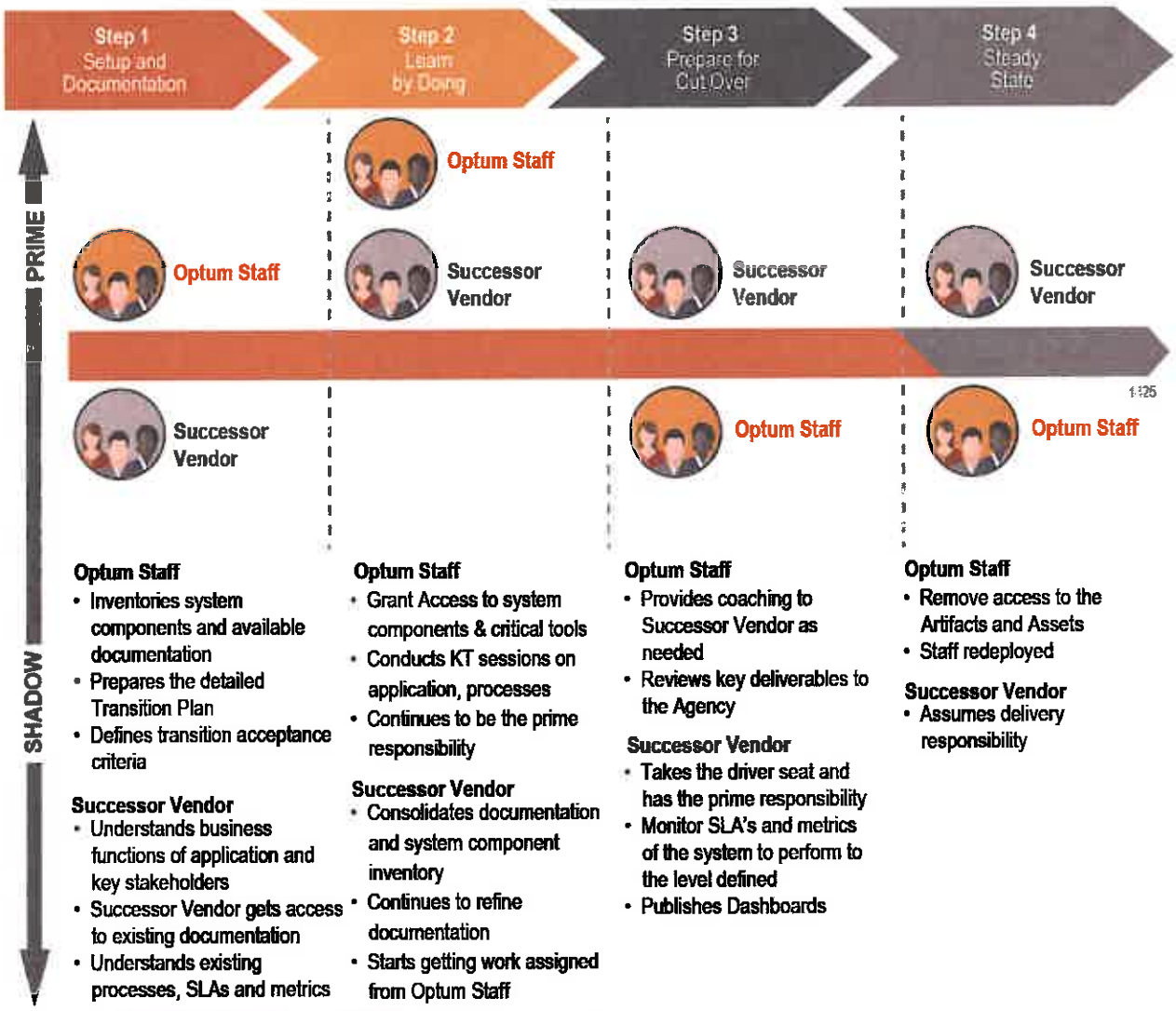


Figure 2: Optum Knowledge Transfer Approach.
Our methodical process for transferring knowledge to the successor vendor will help continued operations of the WV IES without interruption.

Phase 1 – Setup and Documentation: This is the planning phase of turnover where Optum staff inventories and transfers project assets to the successor vendor. These assets come in multiple forms, which are categorized as either artifacts or digital assets.

Artifacts include various project documents that are stored in the DHHR SharePoint repository. DHHR will be responsible for providing access to the DHHR SharePoint repository to successor vendor. The successor vendor will be responsible for cataloging and organizing transitioned artifacts. The successor vendor and DHHR will be responsible for acknowledging that they are able to access the transitioned artifacts.

For digital assets, the repositories will remain in place at Optum and we will provide DHHR content from such repositories as part of Phase 1. This content will be limited to the artifacts which are not considered to be a part of the proprietary Optum WV IES.

Phase 2 – Learn By Doing: Optum establishes a buddy system with the successor vendor, laying the foundation for knowledge transfer during the Turnover and Training (shadow) and Prepare for Cutover (reverse shadow) turnover phases. The successor vendor is responsible for attending scheduled knowledge transfer sessions conducted by the Optum team. Knowledge transfer Phase 2 can begin in parallel with Phase 1. Optum grants access to the digital assets, tools, and resources that are needed to perform successful knowledge transfer. These include run books, known error database, entity relationship diagrams, batch jobs, workarounds and contact lists. The successor vendor also receives access to the service management tool, as necessary.

During Phase 2, the successor vendor shadows the Optum team and actively participates in the execution of project tasks. We believe that hands-on experience for the successor vendor helps fill any gaps in knowledge. Knowledge transfer sessions are designed to provide enough information so that qualified professionals will know how components interact and where to find additional detail when needed. Optum executes knowledge transfer over several iterations starting with the low-impact items, progressing to highly critical items as determined by our EquiKNOX criticality score (ECS). The successor vendor starts working on low-impact items and moves on gradually to the highly critical items, providing stability to the transition activities and maintaining continuity of services. Each iteration ends with our successor presenting "playback" to demonstrate for stakeholders understanding of what they have learned.

Phase 3 – Prepare for Cutover: This is the reverse shadow phase where the successor vendor takes the primary responsibility of the system and continues to do the maintenance and operations. The successor vendor monitors the SLAs and continues to adjust the system to perform at the prescribed level. Optum will provide coaching as needed. Our resources will be available to address queries and handle any critical issues that arise during this period.

Phase 4 – Steady State: This is the phase in which the successor vendor performs the full array of WV IES maintenance and operation activities. Because the successor vendor will be fully trained, our knowledge transfer role diminishes significantly. The successor vendor removes Optum access to the artifacts and digital assets. The Optum team is disengaged at this point.

2.3.6 Turnover Transition Execution Approach

In order to facilitate the turnover transition, all parties need to understand the comprehensive set of WV IES system elements that are to be transitioned to our successor.

These elements are grouped into functions as shown in the following table.

Function Area	Description
Tools and technologies	Tools and technologies used
Infrastructure	Current infrastructure, environments and servers, and other infrastructure components that make up the system
Application architecture	Enterprise application architecture, design patterns, frameworks, tools and other architectural aspects
Database	Database application interactions, important tables, database management process
Project management	General project management processes pertaining to the WV IES
Middleware	Middleware framework and tools used

Function Area	Description
Configuration and change management	Responsibilities, policies, procedures, and activities used in managing change and in confirming the integrity of hardware, software, network components, and documentation
Operations processes	Processes such as ticket management, different service requests categories, and mass changes
Batches	Batch framework, batch schedule, interfaces
Interfaces	Interface architecture and technologies, mode and schedule of interface interactions, file and data exchanges with interfaces.

All parties must understand the relative criticality of each transition element (within the function as well as overall criticality) as determined by the ECS analysis. This determines where to concentrate time and effort.

EquiKNOX Criticality Score (ECS)

Optum assesses each functional element based on the following weighted criteria

- Technical complexity
  - How complex is the element to understand and execute from a technical perspective?
  - Does the element involve new or leading edge technology that requires significant ramp up time for a new resource to learn?
- Multidisciplinary resource requirement
  - Is this element currently performed by a single type of resource (i.e., skill set) or does it require resources from multiple disciplines to execute?
- Documentation
  - How accurately does the current documentation support the transition and execution of the element?
- Impact to operations
  - To what extent could the incorrect transition and execution of this element impact daily system and business operations?
- Maturity and stability
  - What is the current maturity and stability of the element being transitioned?
  - What level of supplemental activity is required to bolster stability?
- Schedule
  - Are there critical business or system milestones that depend on the early (and/or timely) transition of an element that would cause it to increase in priority?

This model provides data-driven prioritization and grouping of critical functional elements. It enables the transition team to focus more resources and efforts on critical elements. Optum further categorizes the score in specific tiers, such as High = Tier1, Medium-High/Medium = Tier 2, and Low = Tier 3.

2.3.7 Continuous Transition Governance and Monitoring

We will closely monitor and control the turnover of the WV IES to meet the turnover objectives. We will establish recurring touch points with stakeholders. We will receive buy-in from stakeholders for regular meeting cadence and IRAAD review sessions during turnover. We will also develop and deliver a Turnover Results Report to DHHR, as described in a later section. This is a key document that we will produce during each phase of the turnover. We will provide support for any readiness assessment report that you or a successor vendor might prepare for the turnover period. We provide a sample knowledge transfer status report in Figure 3.

Overall Status

Date & Time Stamp 10/29/2016 17:03

Transition Status Report

Transition Phase

Function	KT			Shadowing					Reverse Shadowing					Cut-Over Date	RAG Status
	Plan	Done	% KT Done	Plan	WIP	Done	% Shad Done	Cancel	Plan	WIP	Done	% RShad Done	Cancel		
Functional Designs	10	10	100%	4	0	4	100%	6	4	0	4	100%	6		G
Security	1	1	100%	1	0	1	100%	0	1	0	1	100%	0		G
Incident Mgt	3	3	100%	3	0	3	100%	0	3	0	3	100%	0		G
Release Mgt	6	6	100%	3	0	3	100%	3	3	0	2	67%	3		G
Infrastructure	13	13	100%	3	0	3	100%	10	3	0	3	100%	10		G
Development	14	14	100%	4	0	4	100%	10	4	0	0	0%	10		G
Configuration Mgt	5	5	100%	4	0	4	100%	1	4	0	2	50%	1		G
Testing	13	13	100%	7	0	7	100%	6	7	0	4	57%	6		G
Data Integrity	8	8	100%	0	0	0	0%	8	0	0	0	0%	8		G
Kick Off	2	2	100%	0	0	0	0%	0	0	0	0	0%	0		G
	75	76	100%	29	0	29	100%	44	29	0	19	66%	44		

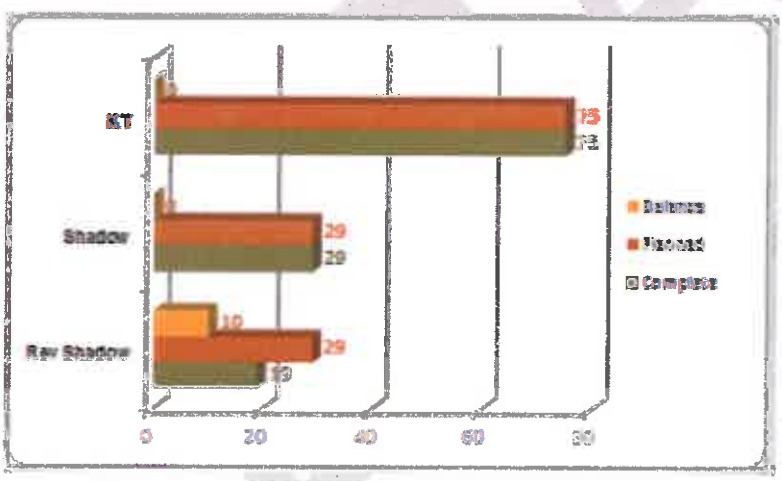


Figure 3: Sample Knowledge Transfer Report.

The Optum knowledge transfer progress chart is generated for monitoring and controlling the knowledge transfer activity.

2.3.8 Turnover Roles and Responsibilities

This section defines the responsibilities of Optum, the successor vendor, and DHHR during each phase of turnover. This list will be reviewed and updated yearly during the contract execution.

Turnover Phase 1: Initiation and Planning

Optum responsibilities include the following:

- Prioritize the turnover elements; allocate appropriate time based on priority (per track)
- Provide a detailed knowledge transfer plan for each transition element with dates, names of subject matter experts, mode, transition track, and other necessary information
- Provide access to DHHR staff and successor vendor to download the project artifacts
- Conduct knowledge transfer planning kick-off meeting with Optum and DHHR

The successor vendor's responsibilities include the following:

- Obtain the readiness guidelines from DHHR and Optum
- Obtain the application access request list
- Identify and onboard staff per the transition schedule
- Complete necessary background checks and training per agreements with DHHR
- Submit access requests

DHHR will complete the following tasks:

- Facilitate communication within the successor vendor and Optum
- Review the transition approach document
- Acknowledge receipt in writing of project artifacts and digital assets
- Approve requests for access to support schedule
- Review all requests for access to verify required training is complete and in place (for example, HIPAA)

Turnover Phase 2: Shadow

Optum responsibilities include the following:

- Schedule knowledge transfer sessions and publish time and location in advance of the meetings
- Deliver knowledge transfer sessions as scheduled
- Provide list of staff to be shadowed for each activity and form buddy system
- Monitor and report on completion of tasks per the schedule
- Communicate in writing to DHHR when knowledge transfer sessions or shadowing activities are not attended by the successor vendor
- Maintain Transition Issue Tracker in collaboration with the successor vendor
- Perform daily checkpoint and periodic reviews for knowledge transfer session effectiveness
- Address open issues in Transition Issue Tracker
- Extend all engagement meetings to successor vendor

The successor vendor's responsibilities include the following:

- Identify and schedule skilled staff to attend scheduled knowledge transfer meetings and buddy assignments
- Make skilled staff available to shadow Optum or partner staff at the meeting locations
- Identify and onboard (minimally) one team lead and one subject matter expert for each task identified in the Turnover Schedule
- Review the list of historical IT service management tickets
- Attend engagement meetings
- Schedule playback session and present to the stakeholders
- Conduct playback session for each business area per iteration
- Identify gaps in training or areas where coaching may be needed

DHHR will complete the following tasks:

- Assist in verifying a smooth transition
- Provide a single point of contact with decision-making authority on behalf of DHHR to promote effective and productive decision-making and reduce bottlenecks
- Collaborate with the successor vendor and identify and communicate priority tasks for releases, maintenance activities, and defect corrections
- Provide Go/No-Go for shadow activities based on the playback sessions per track

Turnover Phase 3: Reverse Shadow

Optum responsibilities include the following:

- Provide guidance and coaching as needed
- Review critical deliverables as needed

The successor vendor's responsibilities include the following:

- Be responsible for the tasks and own primary M&O responsibility
- Create and host the engagement meetings
- Deliver the Operations deliverables to DHHR
- Communicate schedule of activities to Optum to enable the Optum team to effectively reverse shadow
- Monitor SLAs and metrics
- Perform operational readiness checklist and criteria (if any)
- Conduct playback session for each business area per iteration
- Work with DHHR to identify and communicate priority tasks for releases and defect corrections

DHHR will complete the following tasks:

- Assist in verifying a smooth turnover

- Provide a single point of contact with decision making authority on behalf of the DHHR to promote effective and productive decision-making and reduce bottlenecks
- Collaborate with the successor vendor to identify and communicate priority tasks for releases and defect corrections
- Approve start of steady state phase, Turnover Closeout

Turnover Phase 4: Transition Closeout

Optum responsibilities include the following:

- Provide Turnover Transition Completion Report

The successor vendor's responsibilities include the following:

- Revoke all Optum access to project information and systems
- Work with DHHR directly on all WV IES tasks

DHHR will complete the following tasks:

- Sign off on the Optum Turnover Transition Completion Report
- Work directly with the successor vendor on all WV IES tasks

2.3.9 Turnover Tools

Turnover Schedule (Work Plan)

Our Turnover Schedule expands upon the high-level turnover strategy. It identifies and schedules turnover tasks, subtasks, and interdependencies. It also includes the list and descriptions of milestones and deliverables mutually agreed between DHHR and Optum. We use the Turnover Schedule to monitor, track, and report turnover progress to DHHR.

The approved Turnover Schedule is a living document. The elements of the approved work plan may be adjusted or updated as part of turnover execution. This living document will be managed by Optum and accessible to all authorized parties.

Issues, Risks, Actions, Assumptions and Decisions (IRAAD) Tracking Tool

IRAAD is an Optum-proprietary tool we use throughout WV IES Project life cycle to identify, track and report on WV IES issues, risks, resolution, and corrective actions. The IRAAD tool is a workbook designed to help Optum teams and project managers drive more predictable outcomes by identifying, ranking and addressing key risk areas across a project. The IRAAD tool is also used to document and track project assumptions, issues, dependencies, and corrective action items. We will use our IRAAD spreadsheet for problem management and capturing and tracking problems to resolution. It will also help us recognize recurring problems and address procedural issues as needed to prevent recurrence.

3. Project Documentation

Project documentation will be turned over to our successor as a part of turnover.

Artifacts include various project documents that are stored in the DHHR SharePoint repositories. The DHHR is responsible for providing the successor vendor with access to your SharePoint repository. It is the successor vendor's responsibility to catalogue and organize transitioned artifacts. The successor vendor and DHHR are responsible for acknowledging that

they are able to access the transitioned artifacts. Optum can provide the process to request access; however actual provisioning will be DHHR's responsibility.

Optum will provide documents that are relevant to operations of the WV IES but are not Optum proprietary product information. The following table lists sample documents and the document category of typical documents we will provide.

Document	Category
Requirement documents	System
System design document	System
Database management document	System
Interface design document	System
Data transfer document	System
Interface control document	System
Data security document	System
Business process mapping document	System
System training documents	System
Various plans	PMP
Data conversion	System
Data warehouse documents	System
Backup strategy documents	System
Reporting and analytics documents	System
Process diagrams related to M&O services	Operations
Production runbooks	Operations
Known issues and workarounds	Operations
Current SLAs and metrics	Operations
Operations runbooks	Operations
Production support roaster	Operations
Escalation processes	Operations
Batch stream schedules and timings	Operations
Change management documents	Operations

4. Asset Transfer

We will transfer the following assets during turnover and closeout:

- **Software:** Optum will transfer code, configurations and other artifacts which are State-specific and not proprietary products owned by Optum or our partners. Optum will work with DHHR to transfer such artifacts to the secure location designated by DHHR.

- **Hardware:** As specified in the RFP, DHHR wants the WV IES to be hosted at our vendor location. All hardware and licensing will be owned by Optum and partners. In case DHHR wants the hardware to be turned over to our successor, Optum will initiate discussions with DHHR and our successor to determine specific requirements.
- **Furniture:** We will work with DHHR to transition the project office furniture and general office equipment, where appropriate, to DHHR at the end of the contract.

5. Final Administrative Items

5.1 Escrow

Optum agrees that DHHR retains ownership of all data, procedures, applications, licenses, and all materials developed during DDI and Operations. In its answers to bidder questions set forth in Addendum 5 to the RFP, DHHR confirmed that it was acceptable for licensing for commercial off-the-shelf (COTS) software to be held by the vendor on behalf of DHHR and offered as a Software as a Service (SaaS) model. Therefore, we agree that our solution includes licenses held by Optum for the benefit of DHHR for the term of contract.

5.2 Data Transfer

During the WV IES Implementation Phase, we will establish a comprehensive inventory of all data and reference tables, data-related documentation, and associated relevant operational information. This will help us maintain a configuration-controlled baseline throughout the contract. For turnover, we will review, update (as needed), and submit the data inventory list to DHHR for approval. After receiving DHHR approval, we will include these items in the detailed functional element list that will be prepared during turnover planning and initiation, as described in Section 2.3.6–Turnover Transition Execution Approach. We will transfer the State-owned data to the federated storage or a secure-State FTP site as agreed and approved by the DHHR. After we transfer these elements, we will provide regular updates to identify changes to your WV IES data infrastructure from that date forward through the end of our operations period. As turnover is completed, we will transfer all residual inventory and records to the successor vendor.

5.3 Certificates of Destruction

Client data confidentiality is a key concern for Optum. We secure protected information through the life of the contract to turnover and closeout. Following our established media destruction process, we log each media destruction request. We check for legal holds or lack of data owner approval before proceeding with destruction. If we do not receive data owner approval or identify legal holds, we archive the media. Otherwise, we proceed with the destruction request and pull requested tapes and degauss them to make them unusable. We then deposit the tapes into secure bins and indicate in Maximo they are pending destruction.

All media used for backup processes utilize radio frequency identification (RFID) tracking. As soon as media is received, RFID labels are applied and scanned into the Maximo application. Maximo tracks if the tapes are in the library racks, in the tape juke boxes and in transport It also tracks tapes pending eradication, pending destruction, eradicated, destroyed, and all approvals to move them from one status to the next.

On the day of destruction, we create a destruction report and validate it against the bin contents. We are on-site with our partner vendor when the media is destroyed. Figure 4 shows our media destruction process.

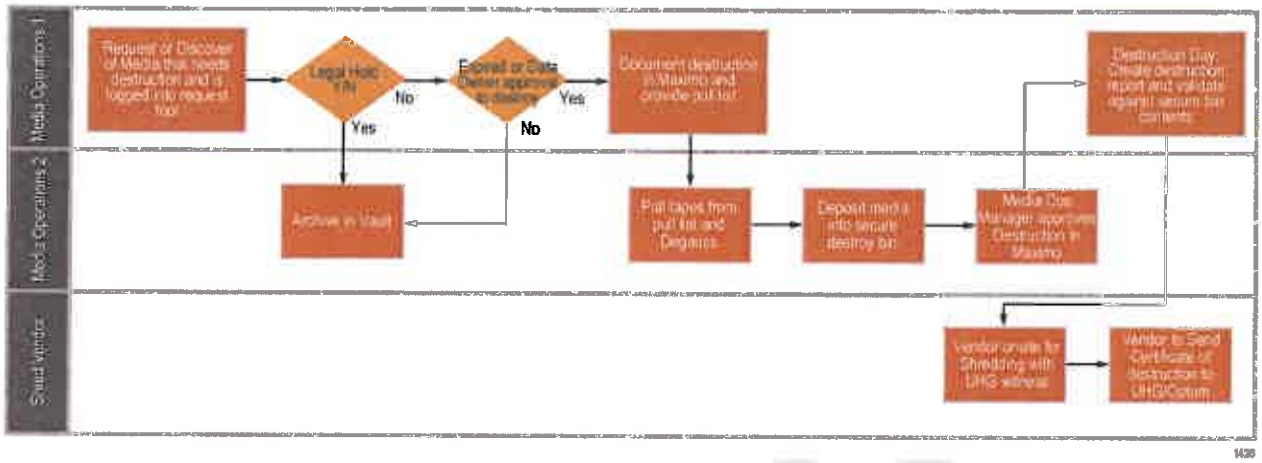
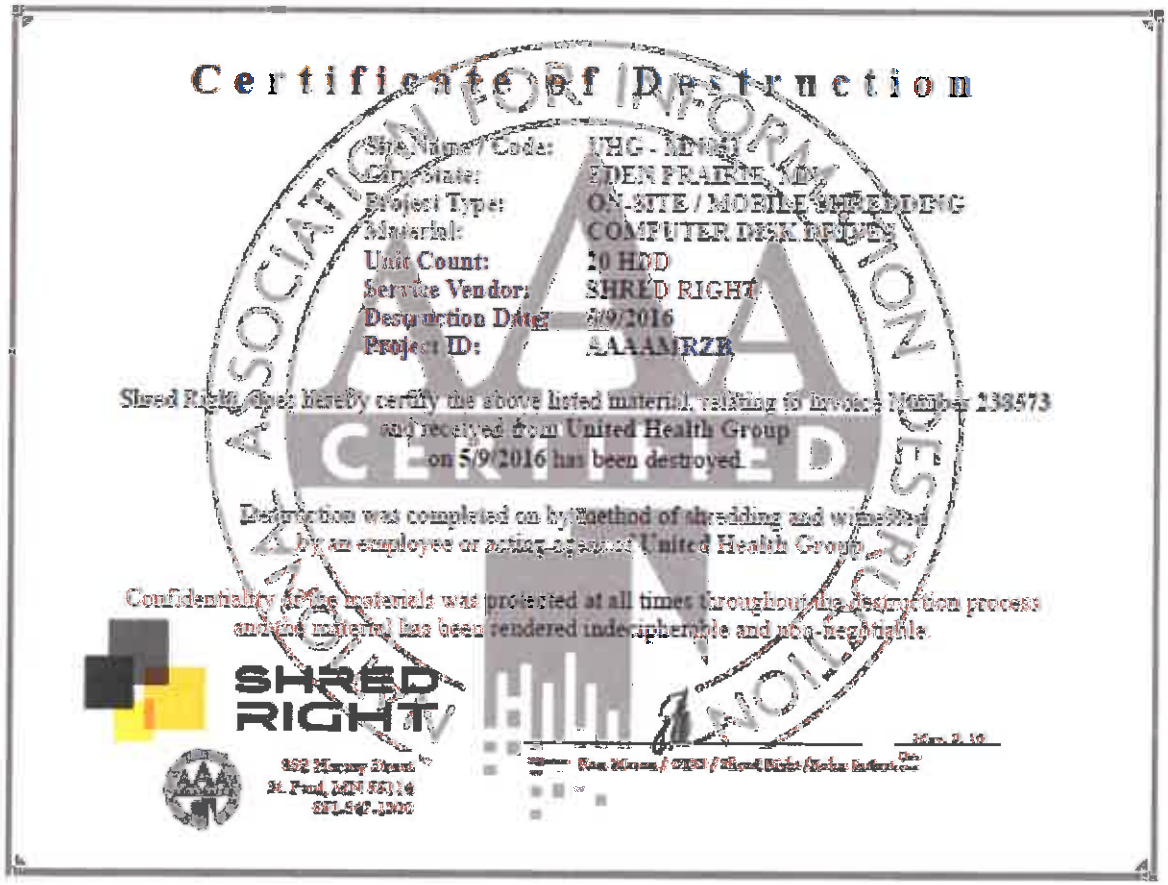


Figure 4: Optum Media Destruction Process.
Our established process will verify the destruction of identified information in order to maintain confidentiality.

Our partner vendor produces the certificate of destruction after media is destroyed. Optum will provide that certificate to DHHR to demonstrate compliance with destruction requirements. Figure 5 shows a sample certificate of destruction.


Certificate of Destruction

Site Name / Code: UHG - MINN
City, State: EDEN PRAIRIE, MN
Project Type: ON-SITE / MOBILE SHREDDING
Material: COMPUTER DESK DRIVES
Unit Count: 20 HDD
Service Vendor: SHRED RIGHT
Destruction Date: 5/9/2016
Project ID: AAAAMRZR

Shred Right, Inc. hereby certify the above listed material, relating to Invoice Number 238573 and received from United Health Group on 5/9/2016 has been destroyed.

Destruction was completed on by method of shredding and witnessed by an employee or acting agent of United Health Group.

Confidentiality of the materials was protected at all times throughout the destruction process and the material has been rendered indecipherable and non-negotiable.

SHRED RIGHT

892 Hamm Street
St. Paul, MN 55114
651.647.1300

ASSOCIATION FOR INFORMATION DESTRUCTION
CERTIFIED

Figure 5: Sample Certificate of Destruction.
We verify confidentiality of our destruction process through documented evidence received by our partner vendor.

5.4 Turnover Transition Closeout Report

We will produce the Turnover Results Report, a key document, at each phase of turnover to document the achievements during that phase. The report delivered at the end of Turnover Phase 4 is a summary turnover results report, the Turnover Transition Closeout Report. It requires DHHR sign-off for acceptance.

The closeout report consists of the following items as applicable:

- **Schedule of completed activities:** Contains a dated list of key milestones and activities or tasks related to the WV IES turnover and closeout
- **Inventory of assets transferred:** Contains a list of all transferred assets to the DHHR and dates delivered. Assets may include digital media, tools, licenses, configuration information, operational runbooks, IT Service Management data exports and catalogs, and access authentication credentials
- **Knowledge transfer summary:** Contains a list and schedule of all knowledge transfer sessions conducted
- **Compilation of documentation:** References the documentation delivered as part of the knowledge transfer process and operational turnover
- **Catalog of physical assets:** Includes a catalog and receipt of each physical asset delivered during turnover including furniture, hardware, digital media, and keys, as applicable.
- **Data disposal:** Contains a list of records and assets that were destroyed during turnover.
- **Regulatory compliance:** Contains an inventory of documentation regarding regulatory or government compliance that occurred during the execution of service implementation and operations
- **Conclusion:** Contains an overall conclusion of all the turnover activity. The Optum turnover manager and DHHR are required to sign off on the Turnover Transition Closeout Report.
- **Billing:** Includes the final list of outstanding financial items and billing terms related to contract closeout

OPTUM™

West Virginia
Integrated Eligibility Solution
Weekly Status Report
Week Ending {MM/DD/YYYY}

West Virginia Integrated Eligibility Solution

Weekly Status Report

Week Ending MM/DD/YYYY

Accomplishments

- **DDI Accomplishments**
  - Accomplishment #1
  - Accomplishment #2
- **Hosting Accomplishments**
  - Accomplishment #1
  - Accomplishment #2
- **M&O Accomplishments**
  - Accomplishment #1
  - Accomplishment #2
- **PMO Accomplishments**
  - Accomplishment #1
  - Accomplishment #2

Key Upcoming Activities

- *Insert commentary related to upcoming activities and target completion dates*

Color Status (Green, Yellow, Red)

Scope	Schedule	Benefit	Quality
Green	Yellow	Green	Green
	Reason		

Key Upcoming Milestones (Next 4-6 Weeks)

Action Item	Date
• Action Item #1	MM/DD/YYYY
• Action Item #2	MM/DD/YYYY
• Action Item #3	MM/DD/YYYY

Risks

Key Risk	Mitigation Strategy
• Risk #1	*Identify methods to reduce risk*
• Risk #2	*Identify methods to reduce risk*
• Risk #3	*Identify methods to reduce risk*

Overall Status Key G Y R

WV IES - Project Status Report - DDI

Week Ending MM/DD/YYYY

G	Summary Status
	Provide a 1-2 sentence statement on the overall status of the DDI component of the project

Topics for Discussion

Accomplishments for this Week

- Accomplishment #1
- Accomplishment #2
- Accomplishment #3

Activities for Next Week

- Activity #1
- Activity #2
- Activity #3

Issues/Risks	Mitigation Strategy	Due Date
Issue/Risk #1	*Identify methods to reduce or eliminate issue/risk #1*	MM/DD/YYYY
Issue/Risk #2	*Identify methods to reduce or eliminate issue/risk #2*	MM/DD/YYYY
Issue/Risk #3	*Identify methods to reduce or eliminate issue/risk #3*	MM/DD/YYYY

Upcoming Milestones

Milestone	Due Date	Revised Date	Status	Status Comments
Milestone #1	MM/DD/YYYY	MM/DD/YYYY	TBD	*Provide any commentary specific to milestone #1*
Milestone #2	MM/DD/YYYY	MM/DD/YYYY	TBD	*Provide any commentary specific to milestone #2*

Overall Status Key G | Y | R

WV IES - Project Status Report - Hosting

Update: MM/DD/YYYY

Y	Summary Status
	Provide a 1-2 sentence statement on the overall status of the hosting component of the project

Topics for Discussion

Accomplishments for this Week

- Accomplishment #1
- Accomplishment #2
- Accomplishment #3

Activities for Next Week

- Activity #1
- Activity #2
- Activity #3

Issues / Risks	Mitigation Strategy	Due Date
Issue/Risk #1	*Identify methods to reduce or eliminate issue/risk #1*	MM/DD/YYYY
Issue/Risk #2	*Identify methods to reduce or eliminate issue/risk #2*	MM/DD/YYYY
Issue/Risk #3	*Identify methods to reduce or eliminate issue/risk #3*	MM/DD/YYYY

Upcoming Milestones

Milestone	Due Date	Revised Date	Status	Status Comments
Milestone #1	MM/DD/YYYY	MM/DD/YYYY	TBD	*Provide any commentary specific to milestone #1*
Milestone #2	MM/DD/YYYY	MM/DD/YYYY	TBD	*Provide any commentary specific to milestone #2*

Overall Status Key G | Y | R

WV IES - Project Status Report - M&O

Update: MM/DD/YYYY

Y	Summary Status
	Provide a 1-2 sentence statement on the overall status of the M&O component of the project

Topics for Discussion

Accomplishments for this Week

- Accomplishment #1
- Accomplishment #2
- Accomplishment #3

Activities for Next Week

- Activity #1
- Activity #2
- Activity #3

Issues/Risks	Mitigation Strategy	Due Date
Issue/Risk #1	*Identify methods to reduce or eliminate issue/risk #1*	MM/DD/YYYY
Issue/Risk #2	*Identify methods to reduce or eliminate issue/risk #2*	MM/DD/YYYY
Issue/Risk #3	*Identify methods to reduce or eliminate issue/risk #3*	MM/DD/YYYY

Upcoming Milestones

Milestone	Due Date	Revised Date	Status	Status Comments
Milestone #1	MM/DD/YYYY	MM/DD/YYYY	TBD	*Provide any commentary specific to milestone #1*
Milestone #2	MM/DD/YYYY	MM/DD/YYYY	TBD	*Provide any commentary specific to milestone #2*

Overall Status Key G | Y | R

WV IES - Project Status Report - PMO

Update: MM/DD/YYYY

G	Summary Status
	Provide a 1-2 sentence statement on the overall status of the PMO component of the project

Topics for Discussion

Accomplishments for this Week

- Accomplishment #1
- Accomplishment #2
- Accomplishment #3

Activities for Next Week

- Activity #1
- Activity #2
- Activity #3

Issues / Risks	Mitigation Strategy	Due Date
Issue/Risk #1	*Identify methods to reduce or eliminate issue/risk #1*	MM/DD/YYYY
Issue/Risk #2	*Identify methods to reduce or eliminate issue/risk #2*	MM/DD/YYYY
Issue/Risk #3	*Identify methods to reduce or eliminate issue/risk #3*	MM/DD/YYYY

Upcoming Milestones

Milestone	Due Date	Revised Date	Status	Status Comments
Milestone #1	MM/DD/YYYY	MM/DD/YYYY	TBD	Provide any commentary specific to milestone #1
Milestone #2	MM/DD/YYYY	MM/DD/YYYY	TBD	Provide any commentary specific to milestone #2

Overall Status Key G | Y | R

WV IES - Issues

Overall	Corrective actions are in place to address the issues below.	Update: MM/DD/YYYY
		Y

Issues

(#XXX) Issue #1 *(High, Medium, or Low)*
Action: Provide d*etail on the corrective action that will take place to address the issue detailed above.*

(#XXX) Issue #2 *(High, Medium, or Low)*
Action: Provide d*etail on the corrective action that will take place to address the issue detailed above.*

(#XXX) Issue #3 *(High, Medium, or Low)*
Action: Provide d*etail on the corrective action that will take place to address the issue detailed above.*

WV IES - Risks

Overall	Corrective actions are in place to address the risks below.	Update: MM/DD/YYYY
		Y

Risks – Urgent and High

(#XXX) Risk #1 ***(Urgent or High)***
Mitigation: *Identify methods to reduce or eliminate the risk detailed above.*

(#XXX) Risk #2 ***(Urgent or High)***
Mitigation: *Identify methods to reduce or eliminate the risk detailed above.*

(#XXX) Risk #3 ***(Urgent or High)***
Mitigation: *Identify methods to reduce or eliminate the risk detailed above.*

Overall Status Key G | Y | R

WV IES - Risks

Overall	Corrective actions are in place to address the risks below.	Update: MM/DD/YYYY
		Y

Risks – Medium and Low

(#XXX) Risk #1 ***(Medium or Low)***
Mitigation: *Identify methods to reduce or eliminate the risk detailed above.*

(#XXX) Risk #2 ***(Medium or Low)***
Mitigation: *Identify methods to reduce or eliminate the risk detailed above.*

(#XXX) Risk #3 ***(Medium or Low)***
Mitigation: *Identify methods to reduce or eliminate the risk detailed above.*

Overall Status Key G | Y | R

WV IES - Closed Risks/Issues

Overall	Closed risks and issues are listed below.	Update: MM/DD/YYYY
		Y

Closed Risks/Issues

(#XXX) Risk #1 ***(Urgent, High, Medium, or Low)***
Mitigation: *Identify methods to reduce or eliminate the risk described above.*

(#XXX) Risk #2 ***(Urgent, High, Medium, or Low)***
Mitigation: *Identify methods to reduce or eliminate the risk described above.*

(#XXX) Issue #1 ***(High, Medium, or Low)***
Action: *Detail what corrective action will take place to address the issue described above.*

(#XXX) Issue #2 ***(High, Medium, or Low)***
Action: *Detail what corrective action will take place to address the issue described above.*

Overall Status Key G | Y | R

WV IES – PMO – Change Request Summary

Overall	A description of current change request items are noted below along with a summary of next steps for each change request.	Update: MM/DD/YYYY
		Y

Approved Change Requests	New/Pending Change Requests
(#XXX) Approved Change Request #1 Next Step: *Provide next step for Approved Change Request #1* **(#XXX) Approved Change Request #2** Next Step: *Provide next step for Approved Change Request #2* **(#XXX) Approved Change Request #3** Next Step: *Provide next step for Approved Change Request #3*	**(#XXX) Pending Change Request #1** Next Step: *Provide next step for Pending Change Request #1* **(#XXX) Pending Change Request #2** Next Step: *Provide next step for Pending Change Request #2* **(#XXX) New Change Request #3** Next Step: *Provide next step for Pending Change Request #3*

Rejected Change Requests	Deferred Change Requests
(#XXX) Rejected Change Request #1 Next Step: *Provide next step for Rejected Change Request #1* **(#XXX) Rejected Change Request #2** Next Step: *Provide next step for Rejected Change Request #2* **(#XXX) Rejected Change Request #3** Next Step: *Provide next step for Rejected Change Request #3*	**(#XXX) Deferred Change Request #1** Next Step: *Provide next step for Deferred Change Request #1* **(#XXX) Deferred Change Request #2** Next Step: *Provide next step for Deferred Change Request #2* **(#XXX) Deferred Change Request #3** Next Step: *Provide next step for Deferred Change Request #3*

Change Requests as of MM/DD/YY					
New	Pending	Deferred	Closed		
1	2	3	6		
			Accepted	Rejected	Withdrawn
			3	3	0

Overall Status Key G Y R

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WV IES - Appendix

The following slides are for reference only.

They are not intended for discussion at the weekly review.

WV IES - M&O

Overall Summary	Out of 95 outstanding incidents, 13 are pending closed / restored and 26 are waiting client.	Update: MM/DD/YYYY
		Y

Incidents

Outstanding Breakdown

Assigned Workgroup	In Process	Waiting IT	Waiting Client	Restored	Pending Closed	Grand Total
Workgroup Name #1	4		17			21
Workgroup Name #2	7	3			2	12
Workgroup Name #3	9			4		13
Workgroup Name #4	2		9		6	17
Workgroup Name #5	24	2				26
Workgroup Name #6	5			1		6
Grand Total	51	5	26	5	8	95

Problems

Outstanding Breakdown

Assigned Workgroup	In Process	Cause Known	Fix Known	Restored	Grand Total
Workgroup Name #1	6			1	7
Workgroup Name #2	12		3		15
Workgroup Name #3	3	19		2	24
Workgroup Name #4	1		7		8
Workgroup Name #5	4	6			10
Workgroup Name #6	2		1	5	8
Grand Total	28	25	11	8	72

Overall Status Key: G | Y | R

WV IES - M&O

Overall Summary	Outstanding Ticket by Age Summary	Update: MM/DD/YYYY
		Y

Incident - Outstanding By Age

Ticket Age Category	In Process	Waiting IT	Waiting Client	Restored	Pending Closed	Grand Total
0-15	105	3	20	8	32	168
16-30	33	1	21	2	8	65
31-60	64	14	31	8	15	132
61-90	40	4	36	11	2	93
90+	62	27	86	13	6	194
Grand Total	304	49	194	42	63	652

Problem - Outstanding By Age

Ticket Age Category	In Process	Cause Known	Fix Known	Resolved	Grand Total
0-15	9			2	11
16-30	32				32
31-60	8		1	1	10
61-90	5	1	1		7
90+	41	30	17	1	89
Grand Total	95	31	19	4	149

Service Request - Outstanding By Age

Ticket Age Category	In Process	Waiting IT	Waiting Client	Restored	Pending Closed	Grand Total
0-15	191		5	4	55	255
16-30	41		4	2		47
31-60	20		1	1		22
61-90	19	2	1	1		23
90+	50	6	12	2		70
Grand Total	321	8	23	10	55	417

Overall Status Key: G | Y | R

WV IES - PMO

Overall Summary	Hosting Deliverables Summary	Update: MM/DD/YYYY
	(# Total Deliverables)	Y

Hosting Deliverables Summary (As of MM/DD/YYYY)					
Pending Completion		In Review		Sign-Off Received	
ID	Description	ID	Description	ID	Description
D###	*Deliverable Name*	D###	*Deliverable Name*	D###	*Deliverable Name*
D###	*Deliverable Name*	D###	*Deliverable Name*	D###	*Deliverable Name*
D###	*Deliverable Name*	D###	*Deliverable Name*		
D###	*Deliverable Name*				
D###	*Deliverable Name*				
D###	*Deliverable Name*				
Total Pending Completion - 6		Total In Review - 3		Total Sign-Off Received - 2	

Overall Status Key: G | Y | R

WV IES - PMO

Overall Summary	M&O Deliverables Summary	Update: MM/DD/YYYY
		Y

M&O Deliverables Summary (As of MM/DD/YYYY)			
Pending Completion		Sign-Off Received	
ID	Description	ID	Description
D###	*Deliverable Name*	D###	*Deliverable Name*
D###	*Deliverable Name*	D###	*Deliverable Name*
D###	*Deliverable Name*		
D###	*Deliverable Name*		
D###	*Deliverable Name*		
D###	*Deliverable Name*		
Total Pending Completion - 6		Total Sign-Off Received - 2	

Overall Status Key | G | Y | R |

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West Virginia
Integrated Eligibility Solution
Monthly Status Report
{Month, Year}

West Virginia Integrated Eligibility Solution

Monthly Status Report

Month, Year

Accomplishments

- **DDI Accomplishments** *(Copy content from DDI weekly slides)*
  - Accomplishment #1
  - Accomplishment #2
- **Hosting Accomplishments** *(Copy content from Hosting weekly slides)*
  - Accomplishment #1
  - Accomplishment #2
- **M&O Accomplishments** *(Copy content from M&O weekly slides)*
  - Accomplishment #1
  - Accomplishment #2
- **PMO Accomplishments** *(Copy content from PMO weekly slides)*
  - Accomplishment #1
  - Accomplishment #2

Key Upcoming Activities

- *Insert commentary related to upcoming activities and target completion dates*

Color Status (Green, Yellow, Red)

Scope	Schedule	Benefit	Quality
Green	Yellow [1]	Green	Green
	Reason		

Key Upcoming Milestones (Next 4-6 Weeks)

Action Item	Date
• Action Item #1	MM/DD/YYYY
• Action Item #2	MM/DD/YYYY
• Action Item #3	MM/DD/YYYY

Risks

Key Risk	Mitigation Strategy
• Risk #1	*Identify methods to reduce risk*
• Risk #2	*Identify methods to reduce risk*
• Risk #3	*Identify methods to reduce risk*

Overall Status Key G Y R

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Sample Templates / Forms / Reports

SAMPLE

West Virginia Integrated Eligibility Solution Deliverable						FORMAL DELIVERABLE REVIEW PROCESS - 10 Day Cycle								
Unique ID	Deliverable Description	WV DHHR Signers	Contract Submission Timeframe	Owner	Due Date	Draft in Review Queue	Feedback Received from WV DHHR	Revised Draft in Review Que	Feedback Received from WV DHHR	Revised Draft in Review Que	Sign-off Sent Date	Sign-off Complete Date	Comments	SharePoint Location
DED-001 D001	Establishment of Facility													
DED-002 D002	Project Kickoff Meeting within 10 Calendar Days of Contract Execution													
DED-003 D003	Project Charter													
DED-004 D004	Stakeholder Analysis													
DED-005 D005	Stakeholder Management Plan													
DED-006 D006	Facility Management Plan													
DED-007 D007	Staffing Management Plan													
DED-008 D008	Documentation Management Plan													
DED-009 D009	Training Management Plan													
DED-010 D010	Testing Management Plan													
DED-011 D011	Scope Management Plan													
DED-012 D012	Deliverable Dictionary													
DED-013 D013	Schedule Management Plan													
DED-014 D014	Project Schedule													
DED-015 D015	Cost Management Plan													
DED-016 D016	Quality Management Plan													
DED-017 D017	Human Resources Management Plan													

SAMPLE

SAMPLE

West Virginia Integrated Eligibility Solution Deliverable						FORMAL DELIVERABLE REVIEW PROCESS - 10 Day Cycle								
Unique ID	Deliverable Description	WV DHHR Signers	Contract Submission Timeframe	Owner	Due Date	Draft in Review Queue	Feedback Received from WV DHHR	Revised Draft in Review Que	Feedback Received from WV DHHR	Revised Draft in Review Que	Sign-off Sent Date	Sign-off Complete Date	Comments	SharePoint Location
DED-018	Communication Management Plan													
D018														
DED-019	Risk Management Plan													
D019														
DED-020	Issue Management Plan													
D020														
DED-021	Change Management Plan													
D021														
DED-022	Security, Privacy and Confidentiality Management Plan													
D022														
DED-023	Configuration Management Plan													
D023														
DED-024	Data Conversion Management Plan													
D024														
DED-025	Disaster Recovery and Business Continuity Plan													
D025														
DED-026	Integration Management Plan													
D026														
DED-027	Data Quality and Governance Plan													
D027														
DED-028	System Back-Up and Record Retention Plan													
D028														
DED-029	Turnover and Closeout Management Plan													
D029														
DED-030	Weekly Project Status Report Template													
D030														
DED-031	Monthly Project Status Report Template													
D031														
DED-032	Weekly Project Status Report													
D032														
DED-033	Monthly Project Status Report													
D033														
DED-034	Completion of Project Management Plan													

SAMPLE

SAMPLE

West Virginia Integrated Eligibility Solution Deliverable						FORMAL DELIVERABLE REVIEW PROCESS - 10 Day Cycle								
Unique ID	Deliverable Description	WV DHHR Signers	Contract Submission Timeframe	Owner	Due Date	Draft in Review Queue	Feedback Received from WV DHHR	Revised Draft in Review Que	Feedback Received from WV DHHR	Revised Draft in Review Que	Sign-off Sent Date	Sign-off Complete Date	Comments	SharePoint Location
D034														
DED-035	Requirements Traceability Matrix (RTM)													
D035														
DED-036	Requirements Specification Document (RSD)													
D036														
DED-037	Overall Completion of Requirements Validation													
D037														
DED-038	Requirements Gap Analysis Document													
D038														
DED-039	Business Process Models													
D039														
DED-040	Detailed System Design (DSD) Document													
D040														
DED-041	Data Dictionary													
D041														
DED-042	Data Models													
D042														
DED-043	Reports Inventory													
D043														
DED-044	Correspondence Inventory													
D044														
DED-045	Forms Inventory													
D045														
DED-046	Interface Inventory													
D046														
DED-047	Data Cleansing and Conversion Requirements Document													
D047														
DED-048	Data Cleansing and Conversion Specification Document													
D048														
DED-049	Overall Completion of Design Phase													
D049														
DED-050	System Documentation													
D050														
DED-051	System Security Plan (SSP)													

SAMPLE

S A M P L E

West Virginia Integrated Eligibility Solution Deliverable						FORMAL DELIVERABLE REVIEW PROCESS - 10 Day Cycle								
Unique ID	Deliverable Description	WV DHHR Signers	Contract Submission Timeframe	Owner	Due Date	Draft in Review Queue	Feedback Received from WV DHHR	Revised Draft in Review Que	Feedback Received from WV DHHR	Revised Draft in Review Que	Sign-off Sent Date	Sign-off Complete Date	Comments	SharePoint Location
D051														
DED-052	Safeguard Procedures Report (SPR)													
D052														
DED-053	User Documentation													
D053														
DED-054	Data Conversion System Integration Test Cases													
D054														
DED-055	Data Conversion System Integration Test Results													
D055														
DED-056	System Integration Test Cases													
D056														
DED-057	System Integration Test Results													
D057														
DED-058	Regression Test Cases													
D058														
DED-059	Regression Test Results													
D059														
DED-060	Load/Stress Test Cases													
D060														
DED-061	Load/Stress Test Results													
D061														
DED-062	Capacity Analysis Report													
D062														
DED-063	Overall Completion of System Testing													
D063														
DED-064	User Acceptance Test Cases													
D064														
DED-065	User Acceptance Test Results													
D065														
DED-066	Overall Completion of User Acceptance Testing													
D066														

S A M P L E

SAMPLE

West Virginia Integrated Eligibility Solution Deliverable						FORMAL DELIVERABLE REVIEW PROCESS - 10 Day Cycle								
Unique ID	Deliverable Description	WV DHHR Signers	Contract Submission Timeframe	Owner	Due Date	Draft in Review Queue	Feedback Received from WV DHHR	Revised Draft in Review Que	Feedback Received from WV DHHR	Revised Draft in Review Que	Sign-off Sent Date	Sign-off Complete Date	Comments	SharePoint Location
DED-067 D067	Operational Readiness Plan													
DED-068 D068	Operational Readiness Test Scripts													
DED-069 D069	Operational Readiness Test Results													
DED-070 D070	Updated Training Management Plan													
DED-071 D071	Training Schedule													
DED-072 D072	Training Materials													
DED-073 D073	Training Report													
DED-074 D074	Implementation Plan													
DED-075 D075	Cut-Over Play Book													
DED-076 D076	Report Distribution Schedule													
DED-077 D077	Operations Project Management Plans													
DED-078 D078	Solution Health Monitoring Plan													
DED-079 D079	Overall Completion of Implementation Readiness													
DED-080 D080	Federal Certification and Review Management Plan													
DED-081 D081	ACF Certification Documentation													
DED-082 D082	Federal Review Supporting Documentation													
DED-083 D083	Social Security Administration Certification Documentation													

SAMPLE

S A M P L E

West Virginia Integrated Eligibility Solution Deliverable						FORMAL DELIVERABLE REVIEW PROCESS - 10 Day Cycle								
Unique ID	Deliverable Description	WV DHHR Signers	Contract Submission Timeframe	Owner	Due Date	Draft in Review Queue	Feedback Received from WV DHHR	Revised Draft in Review Que	Feedback Received from WV DHHR	Revised Draft in Review Que	Sign-off Sent Date	Sign-off Complete Date	Comments	SharePoint Location
DED-084	Implementation Certification Letter													
D084														
DED-085	Overall Completion of Deployment to Production													
D085														
DED-086	Turnover and Closeout													
D086														

S A M P L E

West Virginia Integrated Eligibility Solution (IES)

Draft Functional Design Specification (FDS) [Enhancement] Document ID: DXXX Version 1.0

Authorized for issue by:

xxxxxxxx

West Virginia Department of Health and Human Resources

Authorized Project Manager

_____ _____

Signature **Date**

xxxxxxxxx

Optum

IES Project Manager

_____ _____

Signature **Date**

August 8, 2017

Document No. <nnnn> Version <1.1>

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DRAFT

Revision History

Version	Date	Author	Summary of Changes
1.0	8/8/2017		Initial draft release

Instructions: The purpose of Revision History is to catalog all changes made to the document and its owner. Each update to the document should be listed in this section. Use the table to provide the version number, the date of the version, the author/owner of the version, and a brief description of the reason for creating the revised version.

DRAFT

Table of Contents

1. Introduction 1
1.1. Intended Audience 1
1.2. Purpose 1
1.3. Defined Terms and Acronyms 1
1.4. System Overview 2
1.4.1. Business Process Flow 2
1.4.2. System Users 2
1.4.3. Functional Purpose and Synopsis 2
1.4.4. Dependencies, Limitations, Constraints, and Prerequisites 2
1.4.5. Use Cases and User Stories 2
1.4.6. Functional Design Specifications 2
1.5. Data Specifications 2
1.5.1. Logical Data Model 2
1.5.2. Data Dictionary 2
1.6. User Interface Design 2
1.7. System Interface Design 3
1.8. Security Structure and Application Roles 3
2. Assumptions, Constraints, and Risks 4
2.1. Constraints 4
2.2. Risks 4
3. Referenced Documents 5

List of Figures

None

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1. Introduction

1.1. Intended Audience

This document is intended for use by Optum and the West Virginia Department of Health and Human Services (WV DHHR). It provides detailed functional specification for ***<<requirement and description>>***. This document will lead to the development of the Technical Design Document (TDD) and also be used as a basis for the validation activities.

1.2. Purpose

Instructions: Describe how this document is to be used, (i.e. this document is intended to be used by the above stakeholders in order to complete solution design, technical design, testing, and implementation of the requirement).

1.3. Defined Terms and Acronyms

Term	Description

Provide clear and concise definitions for terms and acronyms with associated literal translations used in this document that may be unfamiliar to readers of the document. Terms are to be listed in alphabetical order.

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1.4. System Overview

1.4.1. Business Process Flow

The Business Process Flow should be a high-level process flow with primary focus on the processes that will be supported by the system. It should list organizational functions or business processes that will be served by the system (e.g. payroll, human resources, licensing) and indicate what portion of a process currently, or is to be, automated and what portion is currently, or is to be, manual.

1.4.2. System Users

1.4.3. Functional Purpose and Synopsis

This section should identify the potential system users, at a high level. It should also list the departments, agencies, specific groups, or other external clients that will use the system, whether at the state, federal, or local level and indicate if the system will be open to the public and the specific groups that are targeted.

1.4.4. Dependencies, Limitations, Constraints, and Prerequisites

Dependencies, limitations, and/or prerequisites that could affect the design of the software should be listed in this section (e.g. dependencies on external databases, web services, screen size limitations within a browser, budget and schedule constraints.

1.4.5. Use Cases and User Stories

1.4.6. Functional Design Specifications

1.5. Data Specifications

1.5.1. Logical Data Model

A logical data model should include data specifications sufficient enough to develop physical data specifications, outline data dependencies, relationships, and integrity rules, and specify the attributes for each data element. Additionally, it should identify especially sensitive or critical data and indicate data and transaction volumes.

1.5.2. Data Dictionary

A data dictionary is useful for developing context-sensitive help. Initiation of the data dictionary should begin here (in the functional design) and then get finalized in the System Design Stage.

1.6. User Interface Design

A User Interface Design should:

- *Include use cases*
- *Include the User Interface/screen design, unless it is already included in the use cases*
- *Indicate enterprise, agency or project-specific "user interface standards" that should be compiled with (e.g., web interface standards)*
- *Link the use cases to the associated requirements in the Requirements Traceability Matrix (RTM)*

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1.7. System Interface Design

A System Interface Design should specify how the product will interface with other systems. This may include items like the elements of the inputs from and outputs to the interface and the frequency of transmission. Also, the use cases document may be tailored to capture system interface requirements.

1.8. Security Structure and Application Roles

This section should identify detailed access requirements and the application roles that will be required for each business process (this can also be captured in the individual use case). It should also specify data communication requirements (e.g., SSL, encryption).

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2. Assumptions, Constraints, and Risks

Instructions: Describe any assumptions or dependencies regarding the requirements. The assumptions can be divided into "General Assumptions", "Technical Assumptions", and "Development, Test and Production Assumptions". If none exist, state: "There were no assumptions identified for this project."

Assumptions *listed below are the assumptions that guided the identification and development of the requirements stated in this document. These assumptions are intended to promote mutual understanding, partnership, and quality communication.*

2.1. Constraints

Instructions: Describe any limitations or constraints that have a significant impact on the requirements or the system design. If none exist, state: "There were no constraints identified for this project."

Listed below are the constraints that exist for this project. These constraints may prevent or restrict reaching the desired results (e.g., satisfying requirements, meeting project goals and priorities, achieving measures of success) stated in this document.

2.2. Risks

Instructions: Describe any risks associated with the requirements and proposed mitigation strategies. If none exist, state: "There were no risks identified for this project."

Listed below are the risks that can create issues for the project. These risks may create issues that have an uncertain effect on the project which in turn affect achieving the desired results (e.g., satisfying requirements, meeting project goals and priorities, achieving measures of success) stated in this document.

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3. Referenced Documents

Document Name/ Description	Location and/or URL
Business Area Context Diagram (BACD)	
System Area Context Diagram (SACD)	
For Release 2 Reference Documents use this row as an example for proper link and path	Link to the Reference Document folder. Path:
For Release 2 Deliverable Documents use this row as an example for proper link and path	Link to Document folder Path:

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WEST VIRGINIA INTEGRATED ELIGIBILITY SOLUTION
[Meeting Name] Meeting Minutes

DATE:	<Date of meeting>	**TIME:**	<Time of meeting>
LOCATION:	<Location of meeting>		
DIAL-IN #	<Dial-in number>	**ACCESS CODE:**	<Dial-in access code>
CHAIR:	<Name>	**RECORDER:**	<Name>

ATTENDEES:			
ABSENTEES:			

MEETING AGENDA

MINUTES

DECISIONS MADE

1.	
2.	
3.	

ISSUES

1.	
2.	
3.	

AI#	ACTION ITEMS	RESPONSIBLE PERSON	DUE DATE

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PROJECT MANAGER PRODUCTION DEPLOYMENT CHECKLIST

Project: _____ Project Manager: _____ Deployment Date: _____

	Pre Deployment Task	When	Notes	Who	Complete?	Date Completed:
1	Discuss with development and determine if system downtown will be needed.	1 month prior	• Some systems require 1 month prior notice for downtime • If the system is client facing, [External Communications Dept.] must be contacted. • **THE SOONER YOU SEND NOTIFICATION TO EVERYONE ABOUT DOWNTIME, THE BETTER** • When possible and if schedules permit, try to use DDI/M&O scheduled downtime for your deployment	PM, Dev	☐	
2	Create a Rally ticket and forward the ticket to the IT Owner	1 month prior		PM	☐	
3	Send Email notification to Release Management, DBA Mgr, informing them to expect a release to Production on 99/99/9999	1 Month Prior		PM	☐	
4	Send email to Business Owner / Application owner to determine if any overtime is expected for the deployment date	1 Month Prior		PM	☐	
5	Contact Infrastructure team to inform them of deployment. They may need to participate if any infrastructure changes are needed. (i.e. - Server reboots)	1 Month Prior		PM	☐	
6	If the downtime is client facing, CONTACT [DEPT NAME]	1 month prior		PM	☐	
7	If downtime is necessary, confirm Business Application owner's approval to bring app down during deployment time, as well as other business owners who may be impacted by the change	1 month prior		PM	☐	
8	Contact business owner to determine who from the business group will be available to test the implementation after it's been deployed to production	2-3 weeks prior	• They should also be listed within the deployment document	PM	☐	
9	Create Deployment document	2-3 weeks prior	• Make sure that there is a Roll Back option for deployment, should anything go wrong	Dev Lead	☐	
10	IT owner review and approves deploy document	2-3 weeks prior		IT Owner	☐	

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PROJECT MANAGER PRODUCTION DEPLOYMENT CHECKLIST

	Pre Deployment Task	When	Notes	Who	Complete?	Date Completed:
11	Conduct a deployment prep meeting with your entire deployment team and their leads (if applichange control boardle)	Minimum 2 weeks prior	• Remember to set up bridge conference call line • If you deployment impacts multiple applications, coordinate deployment with other PMs who may be working on projects for that app or also have a deployment scheduled. • Review deployment document • Review individual responsibilities and timing for those responsibilities • Create a call sheet with everyone's home and/or cell numbers.	PM	☐	
12	Obtain FORMAL SIT, UAT and Business Owner approvals	Minimum 1 week prior	• Verbal approvals are nice but Release Management doesn't take verbal approvals. It must be FORMAL. • Approvals must be forwarded to the Release Management no later than the by noon on the Wednesday prior to CHANGE CONTROL BOARD meeting (deployment week)	PM	☐	
13	Forward QA and UAT formal approvals to Release Management and attach it to the ticket as well.	1 week prior		PM	☐	
14	Confirm ticket is listed correctly on the CHANGE CONTROL BOARD schedule	1 week prior	• Release Management sends out the agenda to the meeting each Thursday and another one immediately after the Friday morning meeting with changes that were discussed during the meeting	PM	☐	
15	Schedule final deployment confirmation meeting with your deployment team	Thursday or Friday prior	• Final confirmation of everyone's tasks and schedules for deployment	PM	☐	

	Pre Deployment Task	When	Notes	Who	Complete?	Date Completed:
16	Attend CHANGE CONTROL BOARD meeting to confirm CHANGE CONTROL BOARD approval	Friday prior to deploy	• Be prepared to answer questions regarding your deployment • Your ticket status should state "Pending change control board approval" prior to meeting. Following the meeting, if approved, it will read "Pending Implementation". This means you have official Release Management approval for deployment.	PM, DEV	☐	
17	Send email to full stakeholder list and executive management reminding them of the deploy	Friday prior to deploy		PM	☐	

DEPLOYMENT DAY

	Deployment Day Task	Notes	Who	Complete?
1	Stay in constant contact with your developer.		PM	☐
2	Deploy release to production		Dev	☐
3	Smoke test the deployment, confirm no issues		Dev	☐
4	Inform business that they can proceed with testing		Business	☐
5	Send confirmation (via email) that testing was completed and successful		Business	☐
6	If issues arise, coordinate the resolution of the issue as needed	If an escalation is required, contact your Lead Project Manager immediately. If the LPM is not available, contact the Mgr, PM	PM, Dev	☐
7	Obtain final approval from testers and business owner		PM	☐
8	Send email notification announcing deployment and	Should go to all stakeholders, IT, PMO, Release management and Exec Mgmt. This is the same list that you forwarded in item 17 above	PM	☐
9	Post announcement to SharePoint site		PM	☐



West Virginia Integrated Eligibility Solution (IES)

Requirements Document

[Enhancement] Doc ID: DXXX Version 1

Authorized for issue by:

xxxxxxxx	Signature	Date
West Virginia Department of Health and Human Resources		
Authorized Project Manager		
xxxxxxxxx	Signature	Date
Optum		
IES Project Manager		

August 8, 2017

Document No. <nnnn> Version <1.1>

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DRAFT

Revision History

Version	Date	Author	Summary of Changes
1.0	8/8/2017		Initial draft release

DRAFT

Table of Contents

1. Overview **1**
1.1. Intended Audience 1
1.2. Purpose 1
1.3. Defined Terms and Acronyms 1
2. Business Requirement **2**
2.1. Business Purpose 2
2.2. Functional Purpose and Synopsis 2
2.3. Detailed Requirements 3
2.3.1. Detailed Requirements for 2017.AA.XXX 3
2.3.2. Detailed Non-Functional Requirements for 2017.AA.XXX 3
3. Sub-Systems Involved **4**
4. Rules **5**
4.1. System rules identified for the requirement 5
4.2. Business rules identified for the requirement 5
5. Assumptions, Constraints, and Risks **6**
5.1. Assumptions 6
5.2. Constraints 6
5.3. Risks 6
5.4. Issues 6
6. Reference Documents **7**

List of Figures

None

DRAFT

1. Overview

1.1. Intended Audience

This document is intended for use by Optum and West Virginia Department of Health and Human Services (WV DHHR). This document will lead to the development of the Technical Design Document (TDD) and also be used as a basis for the validation activities.

1.2. Purpose

Instructions: Describe how this document is to be used, (i.e. this document is intended to be used by the above stakeholders in order to complete solution design, technical design, testing, and implementation of the requirement.)

1.3. Defined Terms and Acronyms

Term	Description

Provide clear and concise definitions for terms and acronyms with associated literal translations used in this document that may be unfamiliar to readers of the document. Terms are to be listed in alphabetical order.

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2. Business Requirement

2.1. Business Purpose

Instructions: Describe the business capabilities and business processes that will be addressed.

2.2. Functional Purpose and Synopsis

Instructions: Provide a one sentence description of the Requirement Request and any key context needed for its understanding or impact, and complete the tables.

This document specifically addresses the following request received and approved from State of West Virginia:

Request #	Description	System Component	Responsible for Fulfillment	Requestor

As part of joint requirement sessions with State of West Virginia and Optum, the following high level business requirements were identified. These requirements have been detailed in subsequent sections for input into the development, quality assurance, and training delivery streams.

BR Identifier	Business Requirement	Category	Scope
	<<System shall provide.. >>	*<<Compliance and Audit>>*	*In-scope*

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2.3. Detailed Requirements

Instructions: This section captures detailed requirements for each of the high level requirements identified in the table located in Section 2.2.

Provide detailed requirements as determined by the joint application design and review sessions, architectural design, business analysis, or systems analysis. Repeat each high level requirement from the HLRD, and provide detailed requirements below. Each detailed requirement shall be enumerated with lower case letters, eg., a,b,c …aa,ab,ac…zzz

2.3.1. Detailed Requirements for 2017.AA.XXX

<<2017.AA.XXX: Insert shall statement>>

BR Identifier	Type	Gist	Functional Description	Value / Quality Measurement	Priority
	Functional				Critical

2.3.2. Detailed Non-Functional Requirements for 2017.AA.XXX

<<2017.AA.XXX: Insert shall statement>>

BR Identifier	Type	Gist	Functional Description	Value / Quality Measurement	Priority
	Non-Functional				Critical

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3. Sub-Systems Involved

Following sub-systems will participate in fulfillment for each of the detail requirement.

System Name	Requirements impacting system

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4. Rules

4.1. System rules identified for the requirement

Instructions: Summarize any System Rules needed to fulfill the requirement

4.2. Business rules identified for the requirement

Instructions: Summarize any regulatory, legal, or business process rules that are needed to fulfill the requirement

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5. Assumptions, Constraints, and Risks

Instructions: Describe any assumptions or dependencies regarding the requirements. The assumptions can be divided into "General Assumptions", "Technical Assumptions", and "Development, Test and Production Assumptions". If none exist, state: "There were no assumptions identified for this project."

Listed below are the assumptions that guided the identification and development of the requirements stated in this document. These assumptions are intended to promote mutual understanding, partnership, and quality communication.

5.1. Assumptions

5.2. Constraints

Instructions: Describe any limitations or constraints that have a significant impact on the requirements or the system design. If none exist, state: "There were no constraints identified for this project."

Listed below are the constraints that exist for this project. These constraints may prevent or restrict reaching the desired results (e.g., satisfying requirements, meeting project goals and priorities, achieving measures of success) stated in this document.

5.3. Risks

Instructions: Describe any risks associated with the requirements and proposed mitigation strategies. If none exist, state: "There were no risks identified for this project."

Listed below are the risks that can create issues for the project. These risks may create issues that have an uncertain effect on the project which in turn affect achieving the desired results (e.g., satisfying requirements, meeting project goals and priorities, achieving measures of success) stated in this document.

5.4. Issues

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6. Reference Documents

Instructions: Summarize the relationship of this document to other relevant documents. Provide identifying information for all documents used to arrive at and/or referenced within this document (e.g., related and/or companion documents, prerequisite documents, relevant technical documentation, etc.).

Document Name/Description	Location and/or URL
Requirements Traceability Matrix (RTM)	
Business Area Context Diagram (BACD)	
System Area Context Diagram (SACD)	
For Release # Reference Documents use this row as an example for proper link and path	Link to the Reference Document folder. Path:
For Release # Deliverable Documents use this row as an example for proper link and path	Link to Document folder Path:

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SAMPLE

WV IES Issue/Risk Tracking Log

ID #	Status	Priority	Category	Date Opened	Title	State Owner	Optum Owner	Assigned To	Description	Resolution/ Mitigation Plan	Impact	Risk Probability	Target Resolution/ Closure Date	Date Closed	Risk Response	Closure Details	Associated Change Request (If Applicable)

West Virginia Integrated Eligibility Solution (IES)

Solution Architecture Document

[Enhancement] Doc ID: DXXX Version 1

Authorized for issue by:

xxxxxxxx	_____	_____
	Signature	**Date**
West Virginia Department of Health and Human Resources		
Authorized Project Manager		
xxxxxxxxx	_____	_____
	Signature	**Date**
Optum		
IES Project Manager		

August 8, 2017

Document No. <nnnn> Version <1.1>

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DRAFT

Revision History

Version	Date	Author	Summary of Changes
1.0	8/8/2017		Initial draft release

Instructions: The purpose of revision history is to catalog all changes made to the document, and its owner. Each update to the document should be listed in this section. Use the table below to provide the version number, the date of the version, the author/owner of the version, and a brief description of the reason for creating the revised version.

DRAFT

Table of Contents

1. Overview 1
1.1 Intended Audience 1
1.2 Purpose 1
1.3 Defined Terms and Acronyms 1
2. Solution Overview 2
2.1 Current State 2
2.1.1 Existing Business Process Model 2
2.1.2 Manual Workarounds to be Retired 2
2.2 Gap Analysis 2
2.3 Proposed State 2
2.3.1 Requirements not Addressed by Proposed Solution 2
2.3.2 Proposed State Business Area Context Diagram 3
2.3.3 Features 3
2.3.4 Proposed State System Area Context Diagram 3
2.3.5 Conceptual Data Model 4
2.3.6 Business Process Model 4
2.3.7 Business Use Cases and Diagrams 4
2.3.8 System Infrastructure 4
2.3.9 Performance Architecture 4
2.3.10 Security Architecture 4
2.3.11 Disaster Recovery / Continuity Architecture Plan 4
2.3.12 Interface Architecture 4
3. Operational Implementation Considerations 5
3.1 Documentation Plan 5
3.2 Training Impact 5
3.3 Operational Impacts 5
3.4 Test Plan 5
3.4.1 Secure Code Analysis 5
3.4.2 Performance Testing 5
3.5 Support Plan 5
3.5.1 Early Life Support 5
3.5.2 On-Going Support 5
4. Deployment Considerations 6
4.1 Deployment Strategy 6
4.2 Deployment Constraints 6

DRAFT

5. Assumptions, Constraints, Risks, and Issues 7
5.1 Assumptions 7
5.2 Constraints 7
5.3 Risks 7
5.4 Issues 7
6. Reference Documents 8

List of Figures

None

DRAFT

1. Overview

Instructions: Provide identifying information for the existing and/or proposed automated system or situation for which the Solution Architecture Document (SAD) applies (e.g., the full names and acronyms for the development project, the existing system or situation, and the proposed system or situation, as applicable), and expected evolution of the document. Also describe any security or privacy considerations associated with use of this document.

2. Intended Audience

Instructions: Provide a description of the current and/or future stakeholders (e.g., identities of the users, as well as their interactions with the solution and their functional user roles, as well as lead development, testing, release, documentation, training, and operational owners). Some portions of this document may on occasion be shared with the client/user, and other stakeholder whose input/approval is needed.

3. Purpose

Instructions: Provide the purpose of the SAD. Describe how this document is to be used, (i.e. this document is intended to be used by the above stakeholders in order to complete detailed requirements gathering, solution design, technical design, testing, and implementation of the requirement.)

The SAD documents and tracks the necessary information required to effectively define architecture and system design in order to give the development team guidance on architecture of the system to be developed. Design documents are incrementally and iteratively produced during the system development life cycle, based on the particular circumstances of the IT project and the system development methodology used for developing the system.

The SAD describes how (1) the functional and nonfunctional requirements recorded in the Requirements Document, (2) the preliminary user-oriented functional design, and (3) the preliminary data design from which the system will be built.

The SAD describes design goals and considerations, provides a high-level overview of the system architecture, and describes the data design associated with the system, as well as the human-machine interface and operational scenarios. The high-level system design serves as primary input to technical design document (TDD).

4. Defined Terms and Acronyms

Term/Acronym	Description

Provide clear and concise definitions for terms and acronyms with associated literal translations used in this document that may be unfamiliar to readers of the document. Terms are to be listed in alphabetical order.

5. Solution Overview

The Solution Overview summarizes the chosen solution and the rationale for the selection. It describes the general nature of the solution, and identifies the impacted business areas, impacted applications, impacted interfaces, and design patterns.

6. Current State

Instructions: Describe the system or situation (either automated or manual) as it currently exists.

The business area context diagram represents the entire set of business processes, areas, resources, functionality components and systems (if known) within the scope of the solution. Include the current state business area context diagram (BACD) or other visual aid to help clarify the current solution.

6.1.1 Existing Business Process Model

6.1.2 Manual Workarounds to be Retired

7. Gap Analysis

The Gap Analysis is part of the Gap Analysis deliverable.

8. Proposed State

The Proposed State describes the chosen solution in detail, including the following, as appropriate:

- *The operational environment and its characteristics*
- *Major system components and the interconnections among these components, usually depicted in the proposed state BACD below*
- *Proposed high-level data architecture*
- *Proposed or changed process/functions to the current processes*
- *Interfaces to external systems or procedures*
- *Capabilities or functions of the proposed solution*
- *Operational risk factor*
- *Provisions for safety, security, privacy, integrity, and continuity of operations in emergencies*

In the sub-sections that follow, use any tools and/or techniques that will help describe the proposed solution and how it should operate. It is important that the description of the solution be simple enough and clear enough that all intended readers of the document can fully understand. Useful graphical tools include, but are not limited to: work breakdown structure (WBS) charts, sequence or activity charts, functional flow block diagrams, structure charts, storyboards, and entity relationship diagrams (ERDs).

8.1.1 Requirements not Addressed by Proposed Solution

If there are any requirements that are not being addressed as part of the solution, list them here. Include the rationale for not addressing them.

Any requirements not addressed should be updated in the requirement traceability matrix (RTM) to reflect Status as "Deferred". If all requirements are addressed, enter "Not Applicable" for this section.

8.1.2 Proposed State Business Area Context Diagram

The BACD shows the interfaces between the core business functionality and external entities with which it communicates.

The BACD should contain:

- *Core business function(s) of the project central to the diagram*
- *Preceding events, data, and resources depicted to left of center*
- *Succeeding events, data, and resources depicted to right of center*
- *Arrange the diagram so that the features which are within project scope can be differentiated from those that are only related to the project as preceding or succeeding events data or resources*

Insert proposed state BACD here.

8.1.3 Features

A feature is a component of functionality or capability of a solution option. (For example, if you were naming the features of MS Word, you might list Print Capability as a feature or Mail Merge as a feature.)

The features serve three main purposes:

- *It helps define the components of a solution to verify understanding across level/teams*
- *It defines how value is delivered within a solution, and can be used to assess a solution's total value*
- *It provides a mechanism for prioritizing and planning by providing defined chunks of work and solution patterns that provide value.*

Features can start at a high level and can be broken down into sub-features as required to implement the solution. Solution specifications should be tied to the feature they support.

8.1.4 Proposed State System Area Context Diagram

The system area context diagram (SACD) is intended to show how applications interact with one another. Typically the SACD is drawn as a hub and spoke style diagram with the central application in the middle that the diagram describes and the applications it interacts with organized around it. Typically the applications are grouped together by domain or capability.

- *The SACD should focus on the scope of the program or project as appropriate.*
- *A SACD represents the entire set of processes and applications relevant to a specific business, domain (or capability), and product.*
- *The SACD is an end-user's view of how data flows between applications.*
- *The SACD shows how applications are configured to support businesses, products, and processes.*
- *The SACD does not show who owns the applications.*

8.1.5 Conceptual Data Model

A conceptual data model is a high-level data architecture that translates and communicates the data requirements of a business initiative into data specific subject areas. It reflects the high-level business needs and relationships within the organization, independent of any specific application or database management system.

8.1.6 Business Process Model

There are several ways the business processes can be displayed. The minimum required is the process steps, user by process and processes in sequential order. Activity diagrams, swim lanes and other process flow diagrams are preferred.

8.1.7 Business Use Cases and Diagrams

When business use cases are used to document the functional requirements, this section and business use cases section should be completed. If completed as part of the accompanying project requirement document (PRD), a reference is sufficient.

8.1.8 System Infrastructure

Document any proposed changes or additions to the system platform, off-the-shelf stack components, data center services, communication fabric(s) virtual or physical server configuration or sizing, etc. that will be needed to support the solution. A context diagram or other visual artifact should be used or referenced if possible.

8.1.9 Performance Architecture

Document any proposed changes or additions to system capacity or throughput needed to meet the proposed solution's service-level agreements (SLAs) or other similar non-functional requirements (NFRs). Explain the relevant SLAs or NFRs and how the proposed system will meet these requirements. List any changes to the system, i.e. addition of user interface (UI) elements, increases in database schema size, new service integrations that may change system performance.

8.1.10 Security Architecture

Document how the proposed system changes or additions impact security NFRs or other security frameworks, i.e., HIPAA, HITECH, SOX, PCI, NIST 800-53, MARS-E, or IRS publication 1075 to which the system must comply. Indicate how the architecture will meet these requirements, as well as any considerations needed to verify this, including any security scanning, penetration testing, or auditing required, as defined in the 'Tailoring Items' section of the accompanying high level requirement document (HLRD).

8.1.11 Disaster Recovery / Continuity Architecture Plan

8.1.12 Interface Architecture

Describe any new internal or external interface integrations, i.e., web services, electronic data interchange (EDI) transactions, representational state transfer (RESTful) transactions, service oriented architecture (SOA) composites, file transfers, proprietary communication protocols or other interfaces that are part of the solution. Refer to interface control documents, application programming interfaces (API) specifications, companion guides, or similar documents if they exist. Include any system context diagrams or connection figures if needed.

9. Operational Implementation Considerations

10. Documentation Plan

Define the operational documentation that will be created and updated in support of the implementation of the new functionality. A list of pertinent documents that describe how the functionality will be used must be provided. If completing this template at the program level and this information is not yet known, just indicate 'not yet known'.

Examples of the documentation that must be defined or updated include: training manuals, operations manuals, guidelines, policies and procedures, on-line documentation, and end-user manuals.

11. Training Impact

Consider training and documentation for new screens, new business processes, reading and using new reports. Define mechanism for training and training documentation requirements – who will deliver the training and the timing required.

(Internal customers (all or a particular type?), external customers (all or a particular type?), partners)

12. Operational Impacts

Identify the impacted operational areas and the changes that need to be planned for relative to the activities that those areas perform. What changes must be implemented to support the new workflows associated with this effort? Are there resource shifts or additional positions that need to be added to support the new business functionality defined in this document? Will there be any new policies and procedures that need to be developed in support of this functionality? Will customer notifications need to be sent relative to the changes being implemented? Are there manual business set-up activities that need to occur before this functionality can be implemented?

13. Test Plan

13.1.1 Secure Code Analysis

13.1.2 Performance Testing

14. Support Plan

14.1.1 Early Life Support

14.1.2 On-Going Support

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15. Deployment Considerations

16. Deployment Strategy

This section can reference or embed a deployment strategy or approach document, such as phased implementation, piloting, and any timing considerations.

17. Deployment Constraints

Identify any activities or dependencies that need to be taken into account for the deployment plan. Are there any special weekend checkout procedures or end of month / quarter considerations? Are there any external parties that need to be included in the deployment considerations?

Example: resource availability during end of year enrollment period.

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18. Assumptions, Constraints, Risks, and Issues

19. Assumptions

Instructions: Describe any assumptions or dependencies regarding the requirements. The assumptions can be divided into "General Assumptions", "Technical Assumptions", and "Development, Test and Production Assumptions". If none exist, state: "There were no assumptions identified for this project."

20. Constraints

Instructions: Describe any limitations or constraints that have a significant impact on the requirements or the system design. If none exist, state: "There were no constraints identified for this project."

Listed below are the constraints that exist for this project. These constraints may prevent or restrict reaching the desired results (e.g., satisfying requirements, meeting project goals and priorities, achieving measures of success) stated in this document.

21. Risks

Instructions: Describe any risks associated with the requirements and proposed mitigation strategies. If none exist, state: "There were no risks identified for this project."

Listed below are the risks that can create issues for the project. These risks may create issues that have an uncertain effect on the project which in turn affect achieving the desired results (e.g., satisfying requirements, meeting project goals and priorities, achieving measures of success) stated in this document.

22. Issues

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23. Reference Documents

Instructions: Summarize the relationship of this document to other relevant documents. Provide identifying information for all documents used to arrive at and/or referenced within this document (e.g., related and/or companion documents, prerequisite documents, relevant technical documentation, etc.).

Document Name/Description	Location and/or URL
Business Area Context Diagram (BACD)	
System Area Context Diagram (SACD)	
For Release # Reference Documents use this row as an example for proper link and path	Link to the Reference Document folder. Path:
For Release # Deliverable Documents use this row as an example for proper link and path	Link to Document folder Path:

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West Virginia Integrated Eligibility Solution (IES)

Technical Design Document

[Enhancement] Doc ID: DXXX Version 1

Authorized for issue by:

xxxxxxxx	Signature	Date
West Virginia Department of Health and Human Resources		
Authorized Project Manager		
xxxxxxxxx	Signature	Date
Optum		
IES Project Manager		

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August 8, 2017

Document No. <nnnn> Version <1.1>

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Revision History

Version	Date	Author	Summary of Changes
1.0	8/8/2017		Initial draft release

Instructions: The purpose of Revision History is to catalog all changes made to the document, and its owner. Each update to the document should be listed in this section. Use the table below to provide the version number, the date of the version, the author/owner of the version, and a brief description of the reason for creating the revised version.

DRAFT

Table of Contents

1. Overview **1**
1.1 Intended Audience 1
1.2 Purpose 1
1.3 Defined Terms and Acronyms 1
2. Design Summary **2**
2.1 Technical Design Considerations 2
2.2 System Components 2
2.3 Requirements Met 2
2.4 Requirements Not Met 2
3. Technical Design **3**
3.1 Designed Component 1 3
3.1.1 Presentation layer 3
3.1.2 Business rules and rules engine 3
3.1.3 Business integration and middleware layers 3
3.1.4 External integrations and boundaries modified 3
3.1.5 Data structures, data access and data storage layers 3
3.1.6 Use of Infrastructure, communication, and stack elements 3
3.1.7 Other technical design elements or layers 3
4. Resolution of Solution Design **4**
4.1 Business Area Context Diagram 4
4.2 Features 4
4.3 System Area Context Diagram 4
4.4 Conceptual Data Model 4
4.5 System Architecture 4
4.6 Performance Architecture 4
4.7 Security Architecture 4
4.8 Interface Architecture 4
5. Assumptions, Constraints, Risks, and Issues **5**
5.1 Assumptions 5
5.2 Constraints 5
5.3 Risks 5
5.4 Issues 5
6. Operational, Deployment and Implementation Considerations **6**
6.1 Operational Impacts 6
6.2 Deployment Considerations 6
6.3 Implementation Considerations 6
7. Reference Documents **7**

List of Figures

None

1. Overview

Instructions: Provide identifying information for the existing and/or proposed automated system or situation for which the Technical Design Document (TDD) applies (e.g., the full names and acronyms for the development project, the existing system or situation, and the proposed system or situation, as applicable), and expected evolution of the document. Also describe any security or privacy considerations associated with use of this document.

1.1 Intended Audience

Instructions: Provide a description of the current and/or future stakeholders (e.g., identities of the users, as well as their interactions with the solution and their functional user roles, as well as lead development, testing, release, documentation, training, and operational owners). Some portions of this document may on occasion be shared with the client/user, and other stakeholder whose input/approval is needed.

1.2 Purpose

Instructions: Provide the purpose of the TDD. Describe how this document is to be used, (i.e. this document is intended to be used by the above stakeholders in order to complete detailed, technical design, development, testing, and implementation of the requirement.)

The TDD describes the design of the various component layers of the system that will be implemented or refactored. As it describes the flow and modification of information through the layers, the technical design document describes the use of the stack, design patterns, languages, and off-the-shelf software.

In doing so, The TDD describes how the system meets the functional and nonfunctional requirements recorded in the high level requirement document (HLRD) and project requirement document (PRD) are met using the system design described in the Solution Summary Document (SSD).

1.3 Defined Terms and Acronyms

Term/Acronym	Description

Provide clear and concise definitions for terms and acronyms with associated literal translations used in this document that may be unfamiliar to readers of the document. Terms are to be listed in alphabetical order.

2. Design Summary

2.1 Technical Design Considerations

Briefly describe the system layers created or modified as part of the technical design as well as any design patterns, languages and tools used. These will be discussed later in the document in detail.

2.2 System Components

Briefly list all system components added, modified, or removed as part of the technical implementation of the solution.

2.3 Requirements Met

List all high level and detailed requirements that are met by the technical design. Refer to the corresponding HLRD and PRD as needed.

Requirement ID	Requirement Name

2.4 Requirements Not Met

List any high level or detailed requirements not met by the technical design, along with the reason they are not met by the solution, e.g., de-scoped after design, not feasible due to technical or schedule constraints, not needed.

Requirement ID	Requirement Name	Reason Not Met

DRAFT

3. Technical Design

3.1 Designed Component 1

Describe the designed component in terms of layers, patterns, and elements. Include mock ups, wire frames, function or class prototypes, pseudo-code, code snippets, code structures, data definitions, data structures, data queries, relationship diagrams, context diagrams, and swim lanes. Also note Information and program flow models, batch or real time job execution, workflows, runtime events, etc. Use tabular or bulleted formatting as often as possible.

Be sure and describe:

- *Any and all programming languages, process execution languages, domain specific language (DSL) frameworks, application programming interfaces (APIs), or interface specifications used*
- *Descriptions of the development tool chain and environment used*
- *Description of commercial off-the-shelf (COTS) or government off-the-shelf (GOTS) products used, including their major, minor, and patch levels*
- *Interaction of the design components with the COTS or GOTS products*
- *Adoption of design patterns, i.e., service oriented architecture (SOA), session façade, data access object (DAO), front controller, object broker models, data transfer object*
- *User communities supported or affected by the component*
- *Source control branches or repositories used*

For each layer below created or modified as part of the technical design, include the elements and descriptions from above as applicable.

3.1.1 Presentation layer

3.1.2 Business rules and rules engine

3.1.3 Business integration and middleware layers

3.1.4 External integrations and boundaries modified

3.1.5 Data structures, data access and data storage layers

3.1.6 Use of Infrastructure, communication, and stack elements

3.1.7 Other technical design elements or layers

Repeat this section as many times as needed to describe design components.

4. Resolution of Solution Design

For each portion of the system solution proposed in the SSD, describe how the technical design meets each solution component.

4.1 Business Area Context Diagram

Insert a copy of the business area context diagram (BACD) Here. Below the BACD, list each component modified or created as part of the technical design.

4.2 Features

Explain how each feature from the SSD is created by the technical design.

4.3 System Area Context Diagram

Insert a copy of the system area context diagram (SACD) here. For each hub and spoke element affected by the technical design, briefly explain how the technical design creates or modifies the element.

4.4 Conceptual Data Model

Describe how the conceptual data model is resolved in to actual schemas, tables, objects, and relationships by referencing entity relationship diagram (ERDs) and operational readiness documents (ORDs) included in Section 3.

4.5 System Architecture

Document changes or additions to the system infrastructure, hosting, communications, or other tier 1 components required to meet the technical design.

4.6 Performance Architecture

Indicate how the technical design will meet the performance needs of the system.

4.7 Security Architecture

Indicate how the technical design meets the system's security frameworks.

4.8 Interface Architecture

Describe how the technical design creates or modifies system interfaces that are part of the solution.

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5. Assumptions, Constraints, Risks, and Issues

5.1 Assumptions

Instructions: Describe any assumptions or dependencies not previously listed in the HLRD, PRD or SSD.

Listed below are the assumptions that guided the identification and development of the requirements stated in this document. These assumptions are intended to promote mutual understanding, partnership and quality communication.

5.2 Constraints

Instructions: Describe any limitations or constraints that have a significant impact on the requirements or the system design. If none exist, state: "There were no constraints identified for this project."

Listed below are the constraints that exist for this project. These constraints may prevent or restrict reaching the desired results (e.g., satisfying requirements, meeting project goals and priorities, achieving measures of success) stated in this document.

5.3 Risks

Instructions: Describe any risks associated with the requirements and proposed mitigation strategies. If none exist, state: "There were no risks identified for this project."

Listed below are the risks that can create issues for the project. These risks may create issues that have an uncertain effect on the project which in turn affect achieving the desired results (e.g., satisfying requirements, meeting project goals and priorities, achieving measures of success) stated in this document.

5.4 Issues

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6. Operational, Deployment and Implementation Considerations

6.1 Operational Impacts

Briefly describe any operational impacts not already listed in the SSD that have changed as part of the technical design.

6.2 Deployment Considerations

Briefly describe any deployment strategies, considerations, or constraints not already listed in the SSD that have changed as part of the technical design.

6.3 Implementation Considerations

Briefly describe any other impacts on system implementation not already listed in the SSD that have changed as part of the technical design.

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7. Reference Documents

Instructions: Summarize the relationship of this document to other relevant documents. Provide identifying information for all documents used to arrive at and/or referenced within this document (e.g., related and/or companion documents, prerequisite documents, relevant technical documentation, etc.).

Document Name/Description	Location and/or URL
Business Area Context Diagram (BACD)	
System Area Context Diagram (SACD)	
For Release # Reference Documents use this row as an example for proper link and path	Link to the Reference Document folder. Path:
For Release # Deliverable Documents use this row as an example for proper link and path	Link to Document folder Path:

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OPTUM™

West Virginia Integrated Eligibility

Testing ALM Reports

{Week Ending MM/DD/YYYY}

Test Execution by Test Type

Optum Tech Intermediary

Resp.		File	Source	Target	Test Required (x)												Test Completed (Pending, In-Progress, Complete)											
					Unit & Smoke	System	Integration	Regression	Performance/Load/Stress	Parallel	User Acceptance	Deployment & Oper. Readiness	Interface	Security	Pilot	Data Conversion	Usability/Accessibility	Unit & Smoke	System	Integration	Regression	Performance/Load/Stress	Parallel	User Acceptance	Deployment & Oper. Readiness	Interface	Security	Pilot	Data Conversion	Usability/Accessibility
	WV Feature/Capability 1	Eligibility File Feed 1	TBD	TBD	x	x	x	x	x	x		x	x	x		x		C	C	C	C	C	IP		C	IP	P		P	
	WV Feature/Capability 2	User Interface Comp.	TBD	TBD	x	x	x	x	x		x	x	x	x			x	C	C	C	C	C		IP	C	IP	P			IP
	WV Feature/Capability 3	Eligibility File Feed 2	TBD	TBD	x	x	x	x	x	x		x	x	x		x		C	C	C	C	C	IP		C	IP	P		P	
	WV Feature/Capability 4	Eligibility Rule 1	TBD	TBD	x	x	x	x	x		x	x		x			x	C	C	C	C	C		IP	C		P			P
	WV Feature/Capability 5		OIL	OIL	x	x						x						C	C	C					C					
	WV Feature/Capability 6	Provider File	ECG	OIL	x	x	x	x	x			x						C	C	C	C	C			C					

Sample Test Overall Status

Test Cycle:	Cycle 1 (Build 8.1)	Reporting Date/Time:	7/27/16 11:38 AM	Overall Status:	

Summary

- Enter summary comments here.

Test Progress

No. of Tests	Executed	%Executed	% Passed	% Blocked	Passed	Failed	Blocked	Not Run	In Progress
750	520	69%	55%	24%	409	111	177	2	21

Defect Summary (Status / Priority)

	1 - Critical	2 - High	3 - Medium	4 - Low	5 - Undefined	Totals
Open	84	114	62	13	13	286
Closed	112	150	30	10	172	474
Total	196	264	92	23	185	760

R9.0 Testing Schedule

Cycle	Milestone	Start Date	End Date
Cycle 1	~~Code Drop 1~~	~~13-Jun-16~~	~~13-Jun-16~~
Cycle 1	~~System / Integration Testing (SIT)~~	~~14-Jun-16~~	~~7-Jul-16~~
Cycle 1	~~Defect Cutoff~~	~~29-Jun-16~~	~~29-Jun-16~~
Cycle 2	~~Code Drop 2~~	~~8-Jul-16~~	~~8-Jul-16~~
Cycle 2	System / Integration Testing (SIT)	11-Jul-16	25-Jul-16
Cycle 2	UAT	11-Jul-16	25-Jul-16
Cycle 2	Defect Cutoff	22-Jul-16	22-Jul-16
Cycle 3	Code Drop 3	1-Aug-16	1-Aug-16
Cycle 3	System / Integration Testing (SIT)	3-Aug-16	11-Aug-16
Cycle 3	UAT	3-Aug-16	11-Aug-16
	GO NO GO	15-Aug-16	15-Aug-16
	Production Deployement	16-Aug-16	16-Aug-16

Defect Reporting

Provisional Release	2 - High	1 - Critical	4 - Low	3 - Medium	Grand Total
9.0.2	50	25	4	20	99
9.0.1	10	12		6	28
9.0.3	68	71	1	36	176
9.0.2.1	2	2			4
8.0.0	134	86	18	211	449
Grand Total	**264**	**196**	**23**	**273**	**756**

Priority	BA Triage	New	Open	nding Closu	Re-Open	Re-Test	Grand Total
2 - High	3		75	2	18	16	114
1 - Critical	2		64	1	9	8	84
4 - Low			9		4		13
3 - Medium	7	1	46	4	10	7	75
Grand Total	**12**	**1**	**194**	**7**	**41**	**31**	**286**

Assigned To	1 - Critical	2 - Major	3 - Medium	4 - Minor	5 - Enhancement	Grand Total
Tech Team 1	2	4		3		9
Tech Team 2	1			1		2
Tech Team 3		1				1
Tech Team 4				1		1
Tech Team 5	2	4	1	4	2	13
Tech Team 6		1				1
Tech Team 7	2	3	2			7
Grand Total	**7**	**13**	**3**	**9**	**2**	**34**

Sample Test Execution Progress

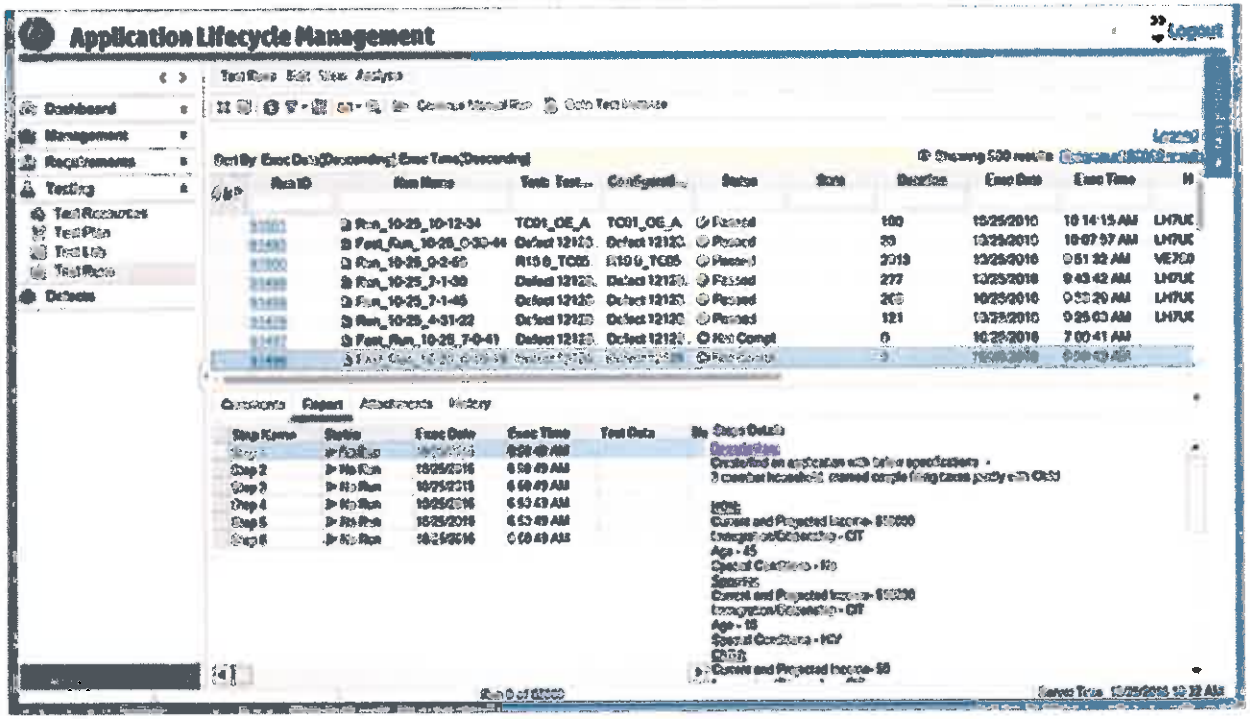
Day Over Day Plan						
Schedule		Outstanding Test Cases	Cumulative Progress		DOD Progress%	
Week	Date	Total	Planned	Actual	Planned	Actual
Week 1	11-Jul	707	43	60	6%	8%
	12-Jul	664	86	123	11%	16%
	13-Jul	615	135	181	18%	24%
	14-Jul	552	198	231	26%	31%
	15-Jul	483	267	265	36%	35%
	16-Jul	483	267	295	36%	39%
	17-Jul	483	267	306	36%	41%
Week 2	18-Jul	412	338	336	45%	45%
	19-Jul	334	416	390	55%	52%
	20-Jul	251	499	419	67%	56%
	21-Jul	169	581	449	77%	60%
	22-Jul	84	666	461	89%	61%
	23-Jul	84	666	463	89%	62%
	24-Jul	84	666	476	89%	63%
Week 3	25-Jul	0	750	482	100%	64%
	26-Jul	0	750	516	100%	69%
	27-Jul	0	750	520	100%	69%
	28-Jul	0	750	520	100%	69%
	29-Jul	0	750	520	100%	69%
	30-Jul	0	750	520	100%	69%
	31-Jul	0	750	520	100%	69%

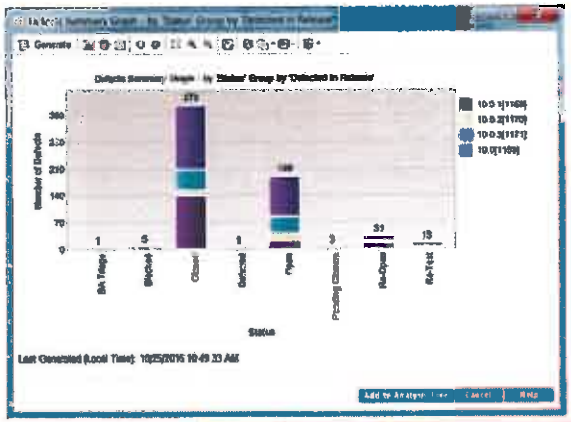
Test Case Prioritization Execution Summary					
Test Case Priority	Total Count	Executed	Blocked	N/A	Coverage Percent
P1	433	290	124	19	96%
P2	276	213	52	11	96%
P3	0	0	0	0	0%
Totals	709	503	176	30	96%

Functional Areas	Total Test Cases	Total Completed	Passed	Failed	Blocked	Day Over Day: In Progress	Not Run	Total N/A	Plan by Functionality grou: 11-Jul P	12-Jul P	13-Jul P	14-Jul P	15-Jul P	16-Jul P	17-Jul P	18-Jul P	19-Jul P	20-Jul P	21-Jul P	22-Jul P	23-Jul P	24-Jul P	25-Jul P
Renewals	158	91	64	27	67	0	0	0	10	10	10	10	12	0	0	14	16	18	18	20	0	0	20
SEP	58	48	41	7	7	0	0	3	3	3	4	6	6	0	0	6	6	6	6	6	0	0	6
More User Roles PA	30	19	14	5	11	0	0	0	2	2	2	2	2	0	0	2	2	4	4	4	0	0	4
OE Repairs	28	25	21	4	3	0	0	0	1	1	2	2	2	0	0	2	2	4	4	4	0	0	4
Spanish Notices	129	103	69	34	22	0	0	4	8	8	8	14	14	0	0	14	14	13	12	12	0	0	12
Application Reactivation	48	25	13	12	23	0	0	0	3	3	3	3	3	0	0	3	6	6	6	6	0	0	6
MMIS	51	24	18	6	20	0	0	7	0	0	0	6	6	0	0	6	6	6	7	7	0	0	7
More User Roles Non-PA	32	20	18	2	6	0	0	6	4	4	3	3	3	0	0	2	3	2	2	3	0	0	3
Shopping Overhaul	38	32	23	9	3	0	0	3	3	3	3	3	3	0	0	3	4	4	4	4	0	0	4
Plan Management	20	16	15	1	4	0	0	0	1	1	1	1	1	0	0	2	2	3	3	3	0	0	2
Agent Portal Logging	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
USPS Address Standardization	70	53	53	0	10	0	0	7	5	5	7	7	7	0	0	7	7	7	6	6	0	0	6
UI/UX Display Updates to Enrollment Page	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Print Vendor Notices Testing	47	47	46	1	0	0	0	0	3	3	3	3	5	0	0	5	5	5	5	5	0	0	5
Dell Integration	41	17	14	3	1	21	2	0	0	0	3	3	5	0	0	5	5	5	5	5	0	0	5
Totals	750	520	409	111	177	21	2	30															

P = Planned Cumulative Executed Test Cases for that Feature

ALM Report


Application Lifecycle Management
Logout
Dashboard
Management
Requirements
Testing
Test Resources
Test Plan
Test Lab
Test Runs
Defects



Appendix 7: Exceptions and Clarifications

Section II, Instructions To Vendors Submitting Bids, Number 11, Exceptions and Clarifications provides that vendors are to "clearly mark any exceptions, clarifications or other proposed modifications in its bid". Optum proposes the following clarifications and modifications to its general terms and conditions for State consideration. We also request that these become part of the eventual contract awarded as a result of the RFP. Optum has proposed specific wording to address the clarification and modification, and in several places proposes the same language as accepted in our current contract with the State. However, Optum is prepared to negotiate mutually acceptable alternatives to the wording as proposed. Optum does not propose any exceptions to the Mandatory Requirements found in RFP Section 5.

Section III, General Terms and Conditions:

No. 4, Notice to Proceed. After an award is made, and prior to performance by Optum, Optum expects that parties will negotiate and execute a definitive contract that contemplates clarifications and modifications contained herein.

No. 19, Cancellation. Consistent with what the State has similarly agreed to in prior contracts, Optum requests both a cure period to be added to this provision, as well as a clarification that Contractor will be paid for costs incurred, so that it is modified as follows:

"The Purchasing Division Director reserves the right to cancel this Contract ~~immediately~~ upon written notice to the vendor if the materials or workmanship supplied do not conform to the specifications contained in the Contract provided that Contractor is given thirty (30) days to cure the non-conforming materials and/or workmanship. The Purchasing Division Director may also cancel any purchase or Contract upon 30 days written notice to the Vendor in accordance with West Virginia Code of State Rules § 148-1-6.1.e., provided that Contractor shall be paid for costs incurred upon notice of termination.

No. 20, Time. Consistent with what was previously agreed to by the State in prior contracts, Optum requests that this provision be deleted in its entirety because it would mean that any breach, no matter how small or immaterial, would be cause for breach of contract.

No. 26, Subsequent Forms. The RFP and contract terms do not contain terms that would be found typically in a Software as a Service solution. As the State confirmed that vendors "may propose licensing to the State under a Software as a Service model", Optum's proposed Software as a Service solution includes certain software from third party, commercial, off the shelf (COTS) vendors where such COTS Software is to be used by the State subject to the State agreeing to such vendors' terms and conditions regarding access and usage of such third party COTS products and/or service providers. In such an instance, the resulting contract will need to include terms around such agreements. Upon contract award, Optum can provide the license or access terms as part of the project management deliverable for the state's review and acceptance. It the case of services procured by Optum from a cloud service provider, there may be Terms of Use ("TOU") required by the State to agree to when such services are being procured by Optum and these, too, would become part of the resulting contract.

No. 28, Warranty. Optum requests an opportunity to discuss this provision with the State during contract discussions. The current standard warranty provision does not address the overall complexity of the solution. Consistent with what was previously agreed to by the State in our M&O contract, Optum is willing to provide up to 90 days warranty for each of the releases under a resulting contract, allowing that to the extent the solution leverages software as a service, warranty support will be provided as offered by third party providers. The following is from our existing contact, but we welcome the ability to discuss this language in more detail:

"Vendor warrants that each of Vendor's employees, agents and subcontractors assigned to perform any services under the Contract shall have the proper skill, training, and experience to perform the services, and the services will be performed in a competent and professional manner. Vendor agrees to re-perform any services not in compliance with this warranty that are brought to its attention in writing within thirty (30) days after those services are delivered to Agency. Additionally, Vendor warrants that its mutually agreed upon Deliverables shall conform in all material respects to their relevant specifications and/or published documentation for a period of ninety (90) days after each Release beginning with the Pilot release to the Agency. Vendor agrees to correct any such deliverables not in compliance with this warranty brought to its attention in writing within ninety (90) days after each release.

Except as expressly provided in this Agreement, VENDOR MAKES NO OTHER WARRANTIES OR REPRESENTATIONS RELATING TO THE SOFTWARE, THE DATA PRODUCTS, THE SERVICES, OR THE DELIVERABLES, EXPRESS OR IMPLIED, AND SPECIFICALLY DISCLAIMS THE WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE."

No. 31, Privacy, Security and Confidentiality. Optum seeks mutual protection of any of our confidential information that State will have access to under the project.

No. 37, Indemnification. Optum is generally agreeable to this section with the understanding that Vendor's indemnification obligation will not include acts and omissions attributable to the State and its representatives, which would include modifications to any deliverables made by the State. Further, Optum requests that additional language is added to clarify that Optum is provided prompt notice and has sole control and authority to defend or settle any such claims. As such, Optum proposes the following language at the end of the section:

"The parties agree that Vendor's indemnification obligations do not apply to acts and omissions attributable to the State and its representatives, which shall include any acts and omissions that pertain to the State's modification of deliverables. Further, the State shall promptly notify Contractor of any claim giving raise to the indemnity, and in the event a third-party claim is made, Contractor shall have the right and option to undertake and control such defense of such action with counsel of its choice".

No. 39, Additional Agency and Local Government Use. Optum understands the State's desire for an extendable solution, and Optum's solution can meet this need. Pricing in our response is specific to the scope as outlined in the RFP. Any additional scope will be subject to the Change Management process, with pricing for additional entities to be based on the hourly rate as included in our proposal. Pursuant to this provision in the RFP, our response to this section shall not impact or influence the award of this Contract in any manner.

No. 41, Reports. Optum requests confirmation from the State that this provision is tied to administrative reporting only.

No. 42, Background Checks. Optum requests opportunity to clarify with the State the process and the scope of the background checks during contract discussions.

Supplemental Clarifications. The following are additional clarifications that Optum proposes to be included in any resulting contract.

1. In furtherance of the State's goal to promote reuse, Optum requests that State grant Optum an irrevocable, non-exclusive, perpetual, royalty-free, world-wide license to use, have used,

improve, further develop and sub-license any software and work product developed under the Contract on behalf of the State for any legal business purpose.

2. Third Party COTS products compliance under a resulting contract will be subject to their respective licensing agreements. Additionally, any resulting contract will further define ownership and licensing rights as they pertain to each component of the solution, including COTS and pre-existing IP.
3. References to various phrases as found in Appendix VI: Business and Technical Specifications, Optum interprets "all" as meaning "all appropriate", and "including but not limited to" as meaning not additive to scope than what is currently in scope in the Appendix.
4. Optum agrees to the SLAs as being part of the resulting contract, understanding that Service Level Agreements and Key Performance Indicators (KPIs) will include adjustments via the Periodic Review Process, of which the first Periodic Review will be prior to the first release go-live.
5. Any requirement for access to systems, source code and facilities will need to exclude Third Party COTS products.
6. FedRAMP certification. Optum's IES is a Software as a Service. There is currently a component of IES that is cloud based. Such component is currently FedRAMP certified, where such certification is valid for three years. FedRAMP certifications can only be valid for three year increments and may not necessarily be in effect for the life of the contract. Should Optum elect to change this component at any time during the term of the life of the Contract to become non-Cloud based, while the FedRAMP certification would no longer apply, Optum would continue to abide by other security based controls required under this RFP for such non-cloud based components. Should Optum continue to use a cloud based solution, Optum will provide West Virginia with a cloud based solution that either meets FedRAMP certification or its replacement or provides a level of security that will not materially decrease over those captured by the current FedRAMP certification requirements, in all cases for the life of the contract. This approach supports the cloud lock-in prevention strategy West Virginia desires as part of the new WV IES.
7. Issue Escalation Process. Optum requests, given the multiple parties and the complexity of this procurement, a dispute resolution and escalation process be discussed and included in a resulting contract. Such a provision will further define State's responsibilities around project execution.
8. Enhanced Staffing. Optum agrees to increase staffing in the event Optum is failing to meet contractual requirements, and such increased staffing will allow Optum to become compliant. We do request the opportunity to discuss this provision in more detail and to add to a resulting contract language around the process to help ensure overall services are not disrupted.
9. Change Management. Optum requests the change management process be discussed and included in a resulting contract. Additionally, to further clarify, change management process would be used to address changes to requirements from those as currently found in the RFP, including changes to all applicable federal, state and agency rules, regulations, polices, laws, guidelines, including also those not yet known or published. Optum understands that it will be given the opportunity to assess the applicability of modified or new policies and if such changes increase cost for compliance, such compliance costs will be covered under the change management process.
10. Deliverable Acceptance Process. Parties will discuss and come to mutual agreement on a deliverable sign-off process, which will be added to a resulting contract, which will include the process around solution sign-off.

11. Limitations on Liability. Per the State's answers to vendor's questions, Optum understands that "Vendors are free to propose limitations on liability". Optum is proposing that the eventual contract contain language to address both limitations around Optum's overall liability, as well as clarifying that Optum is assessed penalties only if and to the extent Optum is at fault.

Regarding Optum's limitations around liability, Optum is proposing the following commercially reasonable limitations for the State's consideration:

"The aggregate liability of the Contractor, which shall include any penalties arising from service level agreement defaults, under the agreement for claims, other than bodily injury (including death) and damage to tangible personal property, shall be limited as follows:

i. Liability of the Contractor that arises out of Design, Development and Implementation (DDI) services performed during the DDI Phase shall not exceed the value of the total DDI contract price for this phase, excluding any amounts added by amendment. In no event, shall the Contractor be responsible for any indirect, punitive or consequential damages.

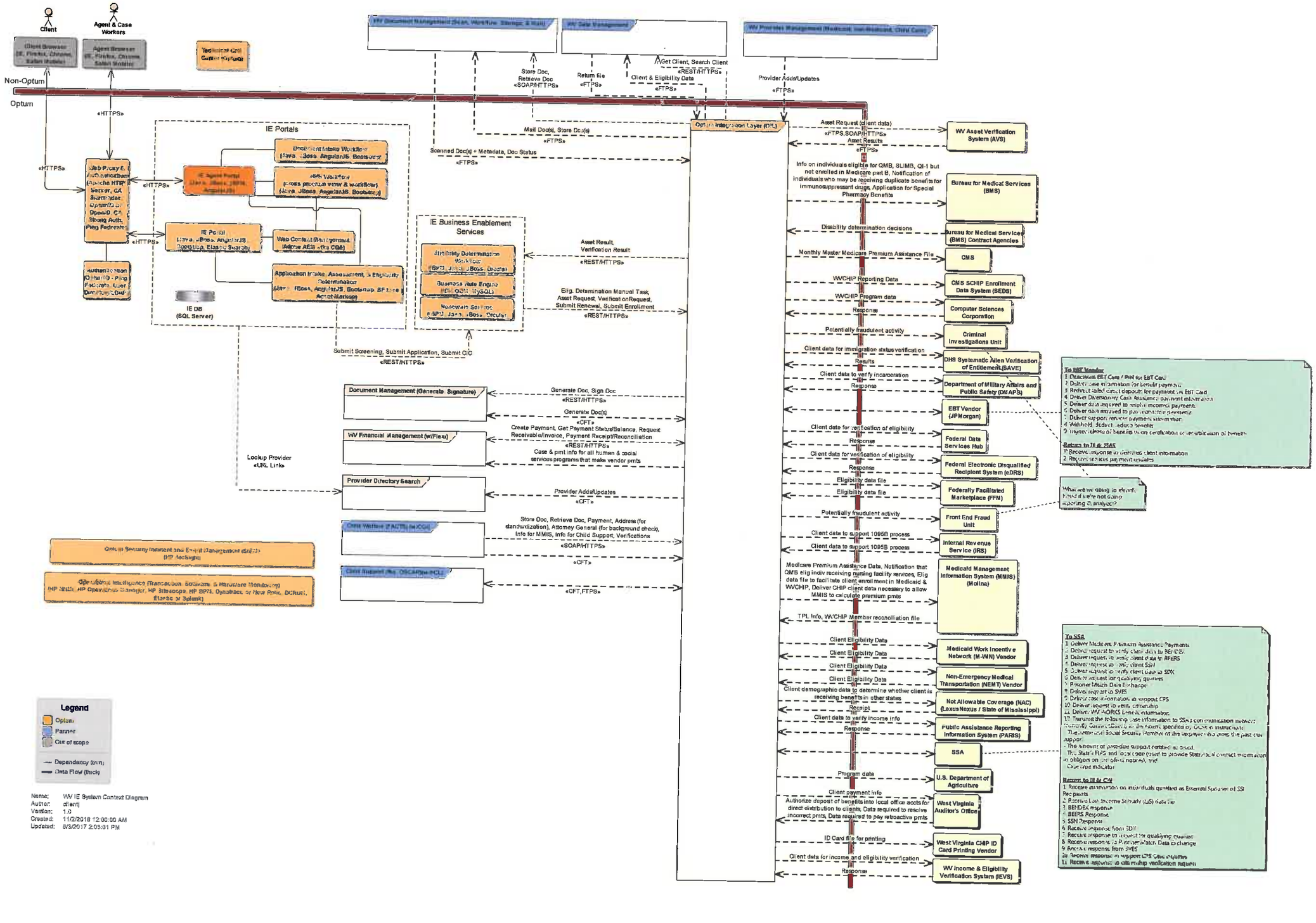
ii. Liability of the Contractor that arises out of Maintenance and Operations (M&O) services performed during the M&O Phase shall not exceed the value of the total M&O contract price for this phase, excluding any amounts added by amendment. In no event shall the Contractor be responsible for any indirect, punitive or consequential damages.

Regarding Optum's being assessed penalties for which it is responsible for, the following is suggested language around excused performance:

"Service Level penalties shall only be assessed if and to the extent that Contractor has caused the deliverable to be late or the SLA not to have been met. If State or any third party (where such third party is not a subcontractor of the Contractor) has caused the deliverable to be late or the SLA not to have been met, including, without limitation, the failure of State or a third party (where such third party is not a subcontractor to Contractor) to meet a condition that is a prerequisite to Contractor being able to provide the deliverable in accordance with the then current, mutually agreed upon project plan or in accordance with the applicable SLA, Contractor shall not be liable for the penalty. If Contractor and State and/or one or more third parties have caused the event giving rise to the penalty to have occurred, then Contractor shall be liable for the service level penalty amount only in proportion to the percentage of Contractor's fault.

To the extent that any Service Level penalty is attributable to other acts outside of Contractor's control, either solely or partially, then the corresponding Service Level penalty shall be excused, either entirely or partially."

Further, with respect to any liability related to system deficiencies including service level penalties, we request that the resulting contract contain language around the escalation process.


Client
Agent & Case Workers
Client Browser (IE, Firefox, Chrome, Safari Mobile)
Agent Browser (IE, Firefox, Chrome, Safari Mobile)
Technical Call Center (Optum)
Non-Optum
Optum
«HTTPS»
IE Portals
Web Proxy & Authentication (Apache HTTP Server, CA Siteminder, OpenID or OpenID_CA, Strong Auth, Ping Federate)
Authentication (Okta/IdP - Ping Federate, User Directory, DaP)
IE Agent Portal (Java, JBoss, JBPM, AngularJS)
IE Portal (Java, JBoss, AngularJS, Bootstrap, Elastic Search)
BPM Workflow (cross process view & workflow) (Java, JBoss, AngularJS, Bootstrap)
Web Content Management (Adobe AEM via CMS)
Application Intake, Assessment, & Eligibility Determination (Java, JBoss, AngularJS, Bootstrap, SF Lore Accept Markup)
IE DB (SQL Server)
IE Business Enablement Services
Eligibility Determination Workflow (BPM, Java, JBoss, Drools)
Business Rule Engine (Drools, MySQL)
Renewals Service (API, Java, JBoss, Oracle)
Lookup Provider «URL Link»
Document Management (Generate Signature)
WV Financial Management (w/Flexi)
Provider Directory Search
Optum Security Intranet and Portal Management (SiteMinder, HP ArcSight)
Optum Operational Intelligence (Transaction, Software & Hardware Monitoring) (HP Nnm, HP OpenView Storeglor, HP Sitescope, HP BPM, Dynatrace, or New Relic, DCRUM, Elastic or Splunk)
WV Document Management (Scan, Workflow, Storage, & Mail)
WV Data Management
WV Provider Management (Medicaid, non-Medicaid, Child Care)
Store Doc, Retrieve Doc «SOAP/HTTPS»
Return file «FTPS»
Get Client, Search Client «REST/HTTPS»
Client & Eligibility Data «FTPS»
Provider Adds/Updates «FTPS»
Optum Integration Layer (OIL)
Mail Doc(s), Store Doc(s) «FTPS»
Scanned Doc(s) + Metadata, Doc Status «FTPS»
Asset Result, Verification Result «REST/HTTPS»
Elig. Determination Manual Task, Asset Request, VerificationRequest, Submit Renewal, Submit Enrollment «REST/HTTPS»
Submit Screening, Submit Application, Submit CIC «REST/HTTPS»
Generate Doc, Sign Doc «REST/HTTPS»
Generate Doc(s) «CFT»
Create Payment, Get Payment Status/Balance, Request Receivable/Invoice, Payment Receipt/Reconciliation «REST/HTTPS»
Case & pmt info for all human & social services programs that make vendor pmts
Provider Adds/Updates «CFT»
Store Doc, Retrieve Doc, Payment, Address (for standardization), Attorney General (for background check), Info for MMIS, Info for Child Support, Verifications «SOAP/HTTPS»
«CFT»
«CFT,FTPS»
Asset Request (client data) «FTPS,SOAP/HTTPS»
Asset Results «FTPS»
WV Asset Verification System (AVS)
Info on individuals eligible for QMB, SLIMB, QI-1 but not enrolled in Medicare part B, Notification of individuals who may be receiving duplicate benefits for immunosuppressant drugs, Application for Special Pharmacy Benefits
Bureau for Medical Services (BMS)
Disability determination decisions
Bureau for Medical Services (BMS) Contract Agencies
Monthly Master Medicare Premium Assistance File
CMS
WVCHIP Reporting Data
CMS SCHIP Enrollment Data System (SEDS)
WVCHIP Program data
Response
Computer Sciences Corporation
Potentially fraudulent activity
Criminal Investigations Unit
Client data for immigration status verification
Results
DHS Systematic Alien Verification of Entitlement (SAVE)
Client data to verify incarceration
Response
Department of Military Affairs and Public Safety (DMAPS)
EBT Vendor (JPMorgan)
Client data for verification of eligibility
Response
Federal Data Services Hub
Client data for verification of eligibility
Response
Federal Electronic Disqualified Recipient System (eDRS)
Eligibility data file
Eligibility data file
Federally Facilitated Marketplace (FFM)
Potentially fraudulent activity
Front End Fraud Unit
Client data to support 1095B process
Client data to support 1095B process
Internal Revenue Service (IRS)
Medicare Premium Assistance Data, Notification that QMB elig indiv receiving nursing facility services, Elig data file to facilitate client enrollment in Medicaid & WVCHIP, Deliver CHIP client data necessary to allow MMIS to calculate premium pmts
Medicaid Management Information System (MMIS) (Molina)
TPL Info, WVCHIP Member reconciliation file
Client Eligibility Data
Medicaid Work Incentive Network (M-WIN) Vendor
Client Eligibility Data
Client Eligibility Data
Non-Emergency Medical Transportation (NEMT) Vendor
Client Eligibility Data
Client demographic data to determine whether client is receiving benefits in other states
Receipt
Not Allowable Coverage (NAC) (LexusNexus / State of Mississippi)
Client data to verify income info
Response
Public Assistance Reporting Information System (PARIS)
SSA
Program data
U.S. Department of Agriculture
Client payment info
Authorize deposit of benefits into local office accts for direct distribution to clients. Data required to resolve incorrect pmts. Data required to pay retroactive pmts
West Virginia Auditor's Office
ID Card file for printing
West Virginia CHIP ID Card Printing Vendor
Client data for income and eligibility verification
Response
WV Income & Eligibility Verification System (IEVS)
To EBT Vendor
1. Deactivate EBT Card / PIN for EBT Card
2. Deliver case information for benefit payment
3. Redirect failed direct deposit for payment on EBT Card
4. Deliver Diversion/ Cash Assistance payment information
5. Deliver data required to resolve incorrect payments
6. Deliver data required to pay retroactive payments
7. Deliver support services payment information
8. Withhold, deduct, reduce benefits
9. Trigger closure of benefits upon certification or identification of benefit
Return to IE & STARS
1) Receive response w/ identified client information
2) Receive services payment updates
What are we doing to record, track if we're not doing reporting & analysis?
To SSA
1. Deliver Medicare Premium Assistance Payments
2. Deliver request to verify client data to BENDEX
3. Deliver request to verify client data to BPERS
4. Deliver request to verify client SSN
5. Deliver request to verify client data to SDX
6. Deliver request for qualifying quarters
7. Prisoner Match Data Exchange
8. Deliver request to SVES
9. Deliver case information to support CPS
10. Deliver request to verify citizenship
11. Deliver WV WORKS Limit information
12. Transmit the following case information to SSA's communication network currently connected to the extent specified by OCSE in instructions:
- The name and Social Security Number of the taxpayer who owes the past due support
- The amount of past-due support certified as owed
- The State's FIPS and locate code (used to provide State/local contact information to obligors on their office nearest), and
- Case type indicator
Return to IE & CM
1. Receive information on individuals qualified as Essential Spouses of SSI Recipients
2. Receive Low Income Subsidy (LIS) data file
3. BENDEX response
4. BEERS Response
5. SSN Response
6. Receive response from SDX
7. Receive response to request for qualifying quarters
8. Receive response to Prisoner Match Data Exchange
9. Receive response from SVES
10. Receive response to support CPS case activities
11. Receive response to citizenship verification request
Legend
Optum
Partner
Out of scope
Dependency (thin)
Data Flow (thick)
Name: WV IE System Context Diagram
Author: client]
Version: 1.0
Created: 11/2/2016 12:00:00 AM
Updated: 8/3/2017 2:03:01 PM

OPTUM®

Optum and State of Vermont forge health exchange success.

Stable, reliable Vermont Health Connect provides increased health care access for Vermonters; drives down State's uninsured rate



It is entirely appropriate that Vermont Governor Pete Shumlin has called Optum "a dream" to work with. After all, he was describing the company's Herculean effort, beginning in mid-2014, to help the state awaken from a nightmare that had begun the previous year — the unsuccessful launch of its health care exchange, Vermont Health Connect (VHC).

The previous VHC general contractor — whom Shumlin acknowledged "did not deliver on the promises that they made" — had exited the scene after a frustrating open enrollment period, marked by application backlogs, failed technology, and unhappy customers and partners. Shumlin called on his former commerce secretary, Lawrence Miller, to repair both the VHC and the relationships that had suffered because of the exchange's poor performance. Miller joined VHC in early 2014, quickly assessed the situation and determined how to move forward.

The administration hired Optum — Shumlin noted that the company had "bailed out the president," referring to the successful work Optum had done on healthcare.gov — which began a long-term and fruitful relationship that has resulted in a stable, high-performing, continuously improving health care exchange for Vermont residents.

"Optum has actually delivered on the promises they have made," Shumlin announced publicly.

Indeed, since its arrival at VHC, the company that Shumlin called a dream to work with has helped state officials — and Vermonters seeking health care — sleep considerably better.

Optum hits ground running

Optum was not new to the Green Mountain State when it began work on VHC. It had been working with the Department of Vermont Health Access (DVHA) since 2008 as a program integrity contractor. Optum had performed well as a statewide analytics contractor with Green Mountain Care Board, which was created by the Legislature to oversee regulation, innovation and evaluation of health care in Vermont.

But when the state called for help on VHC in 2014, the exchange was in crisis and the governor's vision for improved access to care was in jeopardy.

Shumlin had been leading an ambitious effort to invest in VHC as a way to implement and administer the tenets and policies embodied in the Affordable Care Act (ACA), while preserving Vermont's unique and progressive health care heritage. But almost from the outset, VHC encountered numerous technical and governance issues, and Shumlin faced fierce backlash from political opponents, who urged him to scrap VHC and either sign on to the federal exchange or start anew.

Even after the previous contractor was terminated, Shumlin continued to believe that VHC held the answer for Vermont's health care needs. He turned to Optum to correct the exchange's initial problems, put VHC on solid footing, and implement tools and functions that would provide easy-to-use and ongoing access to Vermont health care consumers.

Optum hit the ground running — and running hard — when it began work on VHC in May of 2014. Working side-by-side with state staff, a hallmark of the Optum business approach, the company quickly mobilized and trained 180 staff members to handle operational issues and trained another 220 agents on processing change-of-circumstances (COC) requests. Together, Optum and the state handled more than 51,000 outbound calls and 22,000 inbound calls, and processed more than 21,000 COC requests, in less than five months. Meanwhile, Optum worked with the outgoing vendor on 56 separate technical sessions and assembled a design, development and implementation team of more than 50 people in the fall of 2014 — to prepare for 2015 Open Enrollment.

In all, Optum put together a team or more than 300 staff members to handle that critical "first" open enrollment in which it was involved.

In addition, Optum remediated a number of critical security issues so VHC could conform to CMS regulations and established a project management office (PMO) staff, working with the state to develop an assessment document, make recommendations for the future, develop a quality assurance program and build a governance structure for the exchange.

The remarkable efforts paid off. On opening day of 2015 Open Enrollment (November of 2014), Lawrence Miller described VHC as "so far, coming up roses." He added, "Things are marvelously boring. A few minor issues were resolved quickly. Most notably, the teams — State of Vermont, Optum and subcontractors — are working together as one. There is a confidence at VHC that has been absent for a long time."

Miller's optimism was reflected by the results of the critical open enrollment period. VHC effectuated coverage for more people in one day — "opening Monday" of 2015 Open Enrollment — than it had in nearly three months the previous year. By mid-December of 2014, nearly 22,000 Vermonters had been renewed into 2015 health plans, and more than 4,000 new individuals had signed onto health plans for 2015. Miller was particularly pleased at the improved renewal process. "The impact of a smooth renewal process cannot be overstated," he said. "For too long, this project has been measured solely by the IT piece, and by that measure, has been considered a failure or incomplete. Delivering the customer service that Vermonters deserve, while progressing on the IT in a way that doesn't affect them, is the key."

Together, Optum and the state handled more than **51,000** outbound calls and **22,000** inbound calls, and processed more than **21,000** COC requests, in less than five months.

Having Optum's IT and operational support has been a critical difference in delivering this customer service.

— Lawrence Miller

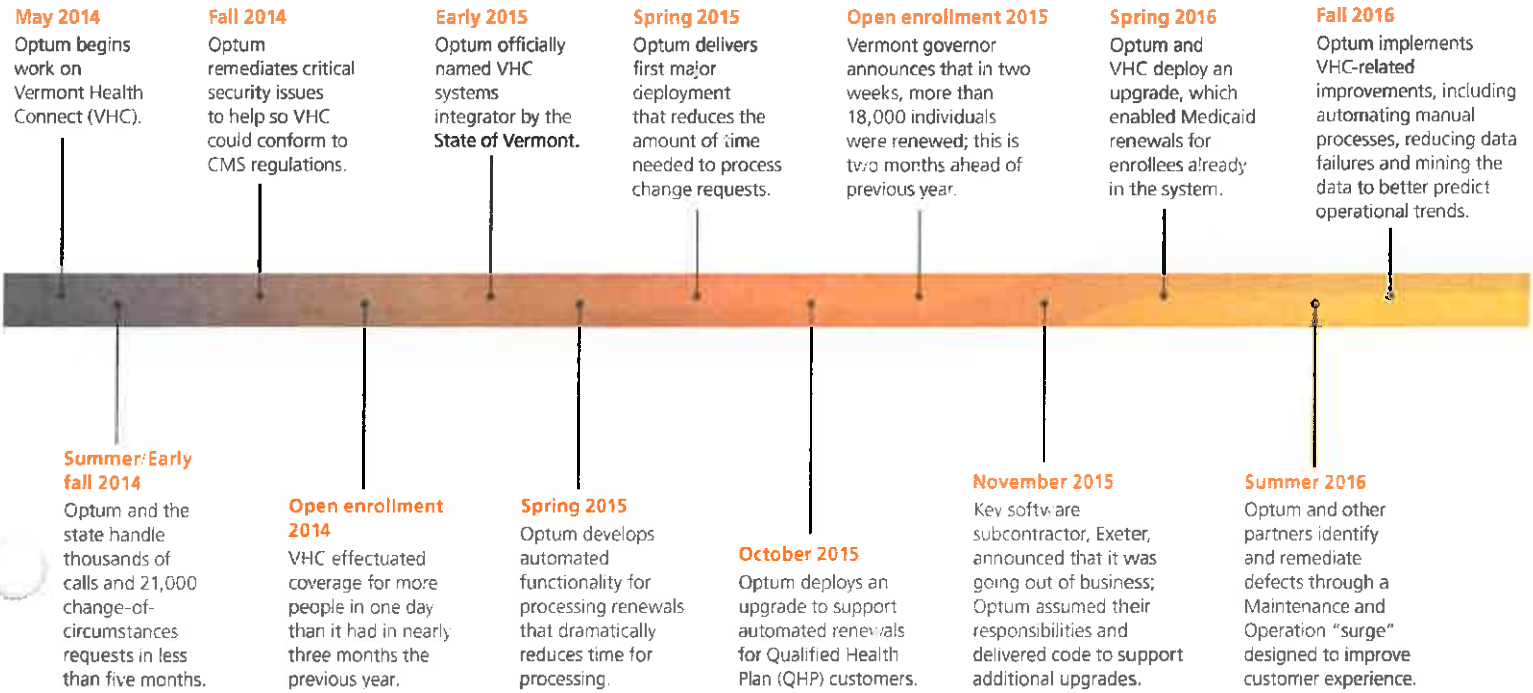
Strong performance continues in 2015

Optum continued its strong performance into 2015 and was officially named VHC systems integrator by the State of Vermont. The company's first real challenge: developing automated functionality for processing renewals.

The year had started with time-intensive contingencies for processing renewals and making painstaking changes to accounts through a manual process. By May, the queue of customers awaiting change requests topped 10,000. Fortunately, in the same month, Optum delivered its first major deployment and system upgrades that supported automated COC updates. VHC staff members now were able to enter changes into the VHC system and those changes were updated automatically in the insurance carriers' and payment processor's systems. Prior to the upgrade, requested changes required staff to re-enter the entire health insurance applications — often more than 100 fields of data — and then work with additional teams of workers to transmit and update the information into as many as six different systems over a period of weeks. The new functionality Optum provided — again, working closely in conjunction with the State and insurance carriers in Vermont — dramatically reduced the amount of time it took to process change requests.

In addition, in October 2015, in time for 2016 Open Enrollment, Optum deployed another upgrade to support automated renewals for Qualified Health Plan (QHP) customers, which took care of 80 percent of renewing households (state staff assisted with the remainder of the cases, which typically needed additional information before they could be processed into 2016 health plans). Another milestone: Because of Optum stabilization efforts in the VHC production environment throughout 2015, the exchange website experienced only 46 minutes of downtime in more than 15 months of operation!

Because of Optum stabilization efforts in the VHC production environment throughout 2015, the exchange website experienced only **46 minutes of downtime in more than 15 months of operation!**



Just two weeks into 2016 Open Enrollment — the third annual open enrollment period for VHC — Governor Shumlin announced that more than 18,000 individuals were completely through the renewal process and had their 2016 plans confirmed with VHC's payment processor and insurance carrier partners; the milestone was reached two months ahead of the previous year, when VHC had not processed 18,000 people until late January. "The number of Vermonters who are completely through the renewal process at this point is very encouraging," Gov. Shumlin said.

And yet, even as VHC achieved stability and more consistent operations in late 2015, even as automated COC requests and renewals were now possible, even as Vermont health consumers experienced a more satisfying customer experience when they logged on to VHC — Optum and the State of Vermont soon encountered another major challenge that threatened to derail progress and jeopardize 2016 Open Enrollment.

> This year is a totally different ballgame, and I am pleased with the progress that is being made.
>
> — Governor Shumlin

Surge leads to greater improvements

In early November of 2015, virtually without warning, VHC's key software subcontractor, Exeter, announced that it was going out of business.

The State quickly secured the licensing to the company's OneGate software and moved to transition key Exeter personnel to Optum and other contractors. Before Exeter closed its doors, Optum assumed the responsibility of teaming with the software company to deliver code to support additional upgrades, such as Medicaid redetermination integration, Department of Labor verification, and billing and payment functionality. The State and

Since 2014, a relationship highlighted by extraordinary effort and results

May 2014 to 2015 Open Enrollment

The effort

- Optum began work on Vermont Health Connect (VHC), replacing previous contractor.
- The State contracted with Optum to correct VHC start-up problems, put VHC on solid footing, and implement tools and functions that would provide easy-to-use, ongoing access to Vermont health care consumers.
- Working side-by-side with state staff, Optum mobilized and trained 180 staff members to handle operational issues; trained another 220 agents on processing change-of-circumstances (COC) requests — Optum and state handle more than 51,000 outbound calls, 22,000 inbound calls, 21,000 COC requests in less than five months.
- Optum assembled design, development, and implementation team of more than 50 people in the fall of 2014 to prepare for 2015 Open Enrollment.
- In all, Optum put together team of more than 300 staff to handle the critical first open enrollment in which it was involved.
- Optum also remediated a number of critical security issues so VHC could conform to CMS regulations and established a project management office (PMO) staff.

The results

- VHC effectuated coverage for more people in one day — "opening Monday" of 2015 Open Enrollment — than it had in nearly three months the previous year.
- By mid-December of 2014, nearly 22,000 Vermonters had been renewed into 2015 health plans, and more than 4,000 new individuals had signed onto health plans for 2015.

The response

"So far, we're coming up roses and things are marvelously boring," said Lawrence Miller, chief of Health Care Reform in Vermont on day one of open enrollment. "Most notably, the teams — State of Vermont, Optum, and subcontractors — are working together as one. There is a confidence at VHC that has been absent for a long time."

Later in the process, Miller said: "For too long, this project has been measured solely by the IT piece, and by that measure, has been considered a failure or incomplete. Delivering the customer service that Vermonters deserve, while progressing on the IT in a way that doesn't affect them, is the key … Having Optum's IT and operational support has been a critical difference in deliver this customer service."

Optum focused on testing the code and preparing multiple deployments to continue to improve VHC and deliver the best service for Vermonters.

Again, this all-out effort allowed Optum to deploy a final major upgrade to VHC in March of 2016, which allowed Medicaid renewals for enrollees already in the system. Optum and other partners could now focus on identifying and remediating defects and making process improvements with a stable system. The State of Vermont labeled this ongoing effort the Maintenance and Operations (M&O) Surge.

Optum led this "surge" effort, designed to address remaining technical issues and continuously improve the customer experience through more efficient enrollment and renewals, better billing accuracy (and thus reduced customer inquiries on billing) and helping to ensure correct coverages.

Lawrence Miller noted in an August report to the Legislature: "Our M&O partner, Optum, stepped up to the plate with a series of initiatives and deployments throughout the spring and early summer. Optum's dedication, along with that of state staff and other partners, is the reason we have seen this improvement. We are grateful that they have brought our system to a steady state, and we will not rest until every customer gets the service they deserve."

The company is now working with the state on several VHC-related improvements, including automating manual processes, eliminating manual review steps, reducing data failures, providing assistance on 2017 Open Enrollment, providing detailed operational reporting and mining the data to better predict operational trends.

May 2014 to 2015 Open Enrollment

The effort

- Optum officially named VHC systems integrator by the State of Vermont.
- Company's first real challenge: developing automated functionality for processing renewals — manual process had resulted in 10,000-customer queue for awaiting change requests by May of 2015.
- Also in May, Optum delivers first major deployment and system upgrades that supported automated COC updates; new functionality Optum provided — again, working closely in conjunction with the State and insurance carriers in Vermont — dramatically reduced the amount of time it took to process change requests.
- In addition, in October 2015, in time for 2016 Open Enrollment, Optum deployed another upgrade to support automated renewals for Qualified Health Plan (QHP) customers, which took care of 80 percent of renewing households.

The results

- Because of Optum's stabilization efforts in the VHC production environment throughout 2015, the exchange website experienced only 46 minutes of downtime in more than 15 months of operation.
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The response

"The number of Vermonters who are completely through the renewal process at this point is very encouraging," Gov. Shumlin said. "This year is a totally different ballgame, and I am pleased with the progress that is being made."

He added: "Optum has been a dream to work with. They have actually delivered on the promises they have made."

State's uninsured rate cut in half

Optum's work on VHC over the past two years has resulted in much more than a stable, reliable exchange from which Vermont residents can select health coverage — it also has helped Vermont drive down its already low uninsured rate, one of the state's most important goals.

At the start of 2015, the Vermont Household Health Insurance Survey revealed that Vermont's uninsured rate was cut nearly in half from the fall of 2012 to the fall of 2014 — from 6.8 percent to 3.7 percent — a number of officials attribute both to increased access provided by VHC and broadened Medicaid coverage offered by the ACA. In early 2016, the National Center for Health Statistics used U.S. Census Bureau data to estimate that Vermont's uninsured rate fell even lower by the end of 2015 — to 2.7 percent, passing Hawaii and Washington, D.C., to attain one of the two lowest uninsured rates in the nation (Massachusetts is the other). More than one in three Vermonters is now covered by a VHC plan, either a qualified health plan or Medicaid for Children and Adults (MCA).

Further, according to Lawrence Miller, VHC enrollment data shows that Vermont is also reaching the challenging "young invincible" demographic — more than 20 percent of new VHC enrollees are in the 26–34 age group, compared to just 12 percent of the renewing population.

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November 2015 to Summer 2016

The effort

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- The State quickly secured the licensing to the company's OneGate software and moved to transition key Exeter personnel to Optum and other contractors.
- Before Exeter closed its doors, Optum assumed the responsibility of teaming with the software company to deliver code to support additional upgrades, such as Medicaid redetermination integration, Department of Labor verification, and billing and payment functionality.
- The State and Optum focused on testing the code and preparing multiple deployments to continue to improve VHC and deliver the best service for Vermonters.
- This all-out effort allowed VHC to deploy a final major upgrade in March of 2016, which enabled Medicaid renewals for enrollees already in the system.
- Optum and other partners could focus on identifying and remediating defects and making process improvements with a stable system.
- The State of Vermont labeled this ongoing effort the Maintenance and Operations (M&O) Surge. Optum led this "surge" effort, designed to address remaining technical issues and continuously improve the customer experience.
- In addition, Optum is now helping the state on several VHC-related improvements, including automating manual processes, eliminating manual review steps, reducing data failures, providing assistance on 2017 Open Enrollment, providing detailed operational reporting and mining the data to better predict operational trends.

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- At the start of 2015, the Vermont Household Health Insurance Survey revealed that Vermont's uninsured rate was cut nearly in half from the fall of 2012 to the fall of 2014 — from 6.8 percent to 3.7 percent.

The results to this point clearly show that Vermont's commitment to VHC — and to Optum's leadership in improving the exchange's performance — was the right decision for the state. "The seemingly easy path would have been to call it quits," Lawrence Miller wrote, "go to the federal marketplace, and let customers deal with higher fees, inconvenience of multiple applications and frustration of out-of-state customer service."

Instead, he pointed out, the increase in Vermont's number of insured residents can be attributed to the work of state staff, contractors and others who worked "tirelessly to make sure every Vermonter who needed health coverage was able to find and enroll in the right plan."

He thanked Vermonters for their patience with VHC and added: "You are the reason we will achieve virtually universal coverage."

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Optum Vermont partnership includes a healthy commitment to community.

Optum has brought more than strong technical leadership and project management expertise to Vermont as general contractor of Vermont Health Connect.

As has been its practice across the country, Optum has "given back" to the community in Vermont, part of its commitment to contribute to organizations in states where it does business and in which its employees reside.

In 2015, for example, Optum donated 45 refurbished laptop computers to five libraries across Vermont, part of the company's effort to support the state's goal of bringing online access and Internet-based services to as many residents as possible. Optum donated nine laptops each to Rutland Free Library in Rutland, Aldrich Public Library in Barre, Essex Free Library, Springfield Town Library, and Cobleigh Public Library in Lyndonville.

"Libraries are vital community information centers, and part of their mission is to provide their patrons with health education and information, which is increasingly becoming web-based. We are grateful to Optum for this generous donation, which will allow greater citizen access to the wealth of information online," said Martha Reid, state librarian.

> Vermont has made it a priority to connect residents to the Internet regardless of their geographic locations or income.
>
> –– Martha Reid, state librarian

The laptops support individual and group trainings at the libraries, expand technology programs for seniors and children, assist with home-schooling programs, and enhance access to technology and the Internet to the many residents of Essex and the surrounding towns who lack a computer in their home.

To learn more, please contact us at **innovate@optum.com** or **1-800-765-6092.**

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