Optum

State of West Virginia

Department of Human Services

Optum Response to Maintenance and Operations Services for WV PATH RFP

Part One: Technical Proposal
Solicitation No. CRFP 0511 HHR2600000001

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Date
August 13, 2026

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August 13, 2026

Crystal G Hustead
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RE: Optum response to Maintenance and Operations Services for WV PATH RFP Solicitation No. CRFP 0511 HHR2600000001

Dear Crystal:

On behalf of Optum, I am pleased to offer the following response to the Maintenance and Operations Services for WV PATH RFP Solicitation No. CRFP 0511 HHR2600000001.

Our partnership with West Virginia began more than a decade ago, when we competed for and were awarded maintenance and operations responsibility for the former RAPIDS eligibility and enrollment system, transitioning the work from Deloitte in 2016. At that time, DHHR faced significant concerns with the incumbent vendor's price and performance. Within days of contract execution, Optum mobilized resources to West Virginia, assumed responsibility for a critical benefits system, and stabilized services for West Virginians most in need, despite receiving no transition support from the outgoing vendor.

In 2016, Optum again competed against Deloitte and won the WVIES procurement. WVIES represented a transformational modernization effort. Since then, we have not only sustained eligibility and enrollment operations but also advanced an ambitious modernization program that now includes eligibility and enrollment, SNAP, TANF, Medicaid, Child Welfare, Child Support, and Child Care under our current contract.

We have been honored to serve the State of West Virginia and the Department of Human Services (DoHS) across two administrations and five DoHS leadership transitions. Throughout the past decade, Optum has remained a steady, consistent and committed partner. We will continue to meet our commitments under the current contract and, if selected, under the new WV PATH Maintenance and Operations Services.

Our mission is to help people live healthier lives. As operators of health and human services systems, we are committed to improving how these systems serve the people, programs, and agencies that depend on them. In West Virginia, this mission is especially meaningful, as Medicaid and HHS programs are essential lifelines for rural and underserved communities statewide. We are not a consultancy driven by incentives to build systems or maintain the status quo.

We are proud of our performance in 2016, and we are equally proud of our performance today. We believe our work with DoHS is not yet complete. For more than a decade, Optum has been a dedicated partner to West Virginia, successfully supporting eligibility and enrollment services through some of the most challenging periods in the history of health and human services programs. We desire to continue our mission with the State of West Virginia and DoHS.

Thank you for your consideration.

Best regards,

Michael Miller

SVP, Business Development

Department of Administration
Purchasing Division
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

State of West Virginia
Centralized Request for Proposals
Info Technology

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Date Issued	**Solicitation Closes**	**Solicitation No**	**Version**
2026-06-24	2026-08-13 13:30	CRFP 0511 HHR2600000001	7

BID RECEIVING LOCATION

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DEPARTMENT OF ADMINISTRATION
PURCHASING DIVISION
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CHARLESTON WV 25305
US

VENDOR

Vendor Customer Code: 000000184667
Vendor Name : Optum
Address :
Street : 1 Optum Circle
City : Eden Prairie
State : Minnesota **Country :** USA **Zip :** 55344
Principal Contact : Michael Miller, SVP Business Development
Vendor Contact Phone: 508-308-2085 **Extension:**

FOR INFORMATION CONTACT THE BUYER
Crystal G Hustead
(304) 558-2402
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Vendor Signature X [signature] FEIN# 41-1858498 DATE 8/11/26

All offers subject to all terms and conditions contained in this solicitation

ADDITIONAL INFORMATION

THE STATE OF WEST VIRGINIA PURCHASING DIVISION FOR THE AGENCY, WEST VIRGINIA DEPARTMENT OF HUMAN SERVICES (DOHS), IS SOLICITING PROPOSALS TO ESTABLISH AN OPEN-END CONTRACT FOR MAINTENANCE AND OPERATIONS (M&O) SERVICES FOR THE WEST VIRGINIA (WV) INTEGRATED ELIGIBILITY SYSTEM (IES), ALSO KNOWN AS PEOPLE'S ACCESS TO HELP (WV PATH) SYSTEM PER THE ATTACHED DOCUMENTS.

QUESTIONS REGARDING THE SOLICITATION MUST BE SUBMITTED IN WRITING TO CRYSTAL.G.HUSTEAD@WV.GOV PRIOR TO THE QUESTION PERIOD DEADLINE CONTAINED IN THE INSTRUCTIONS TO VENDORS SUBMITTING BIDS

ONLINE RESPONSES ARE PROHIBITED FOR THIS SOLICITATION

INVOICE TO	SHIP TO
HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE ONE DAVIS SQUARE, RM 211 CHARLESTON WV 25301 US	HEALTH AND HUMAN RESOURCES MANAGEMENT INFORMATION SERVICE 321 CAPITOL ST, STE 200 CHARLESTON WV 25301 US

Line	Comm Ln Desc	Qty	Unit of Measure	Unit Price	Total Price
1	Maintenance or support fees				

Comm Code	Manufacturer	Specification	Model #
81112201			

Extended Description:
Maintenance or support fees

SCHEDULE OF EVENTS

Line	Event	Event Date
1	VENDOR QUESTION DEADLINE	2026-04-24

ADDENDUM ACKNOWLEDGEMENT FORM
SOLICITATION NO.: HHR260000001

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	[ ]	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 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 11, 2026
Date

NOTE: This addendum acknowledgement should be submitted with the bid to expedite document processing.
Revised 6/8/2012

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Certification and Signature

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, Inc.
(Company)

Ben Eklo, Chief Financial Officer
(Representative Name, Title)

(952) 931-4168
(Contact Phone/Fax Number)

8/11/26
(Date)

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Part One: Technical Proposal

Attachment A: Vendor Response Sheet

Vendor Instructions:

Provide the information requested in this form following the order of all items listed below and submit it to the State of West Virginia as part of your Request for Proposal (RFP response. All answers should be provided within this form and its designated attachments where applicable, unless otherwise specified.

Business Organization Overview *Section 4.3.2.3*

Provide details concerning the Vendor's business structure.

- **Business/Company Name, Headquarters Location, and Date Established**

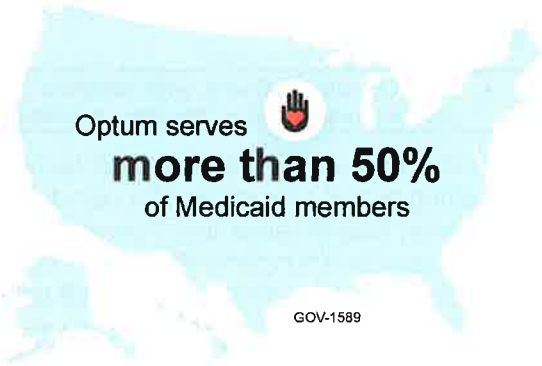
Our business structure details:

Business/Company Name: OptumInsight, Inc. (Optum)
Headquarters Location: Eden Prairie, Minnesota
Date Established: Optum was established and incorporated in the State of Delaware in 1993

Optum has a longstanding commitment to State government services, innovative technology and deep subject matter knowledge, enabling us to consistently exceed qualification and experience requirements. We provide reliable, integrated solutions that improve health outcomes and streamline operations. Advancing health and human services (HHS) systems and supporting the needs of agencies, providers and members nationwide is a core focus at Optum.

Our commitment to State government services, innovative technology and deep subject matter knowledge has been demonstrated in West Virginia since 2016 when we assumed responsibility for your (RAPIDS) eligibility system. While the prior vendor provided no transition or knowledge transfer to Optum or the State at the time, our experience, knowledge and ability to effectively work with multiple WV agencies governing these programs demonstrated that we have the qualifications, knowledge and technology to be WV's partner for the future.

For more than 30 years, clients have relied on us for technology solutions, operations experience and in-depth HHS knowledge. Our solutions help clients manage programs for over half of the U.S. Medicaid population, including supporting millions of members, their families and providers. This distinguishes us from other vendors who focus mainly on technology or boutique services.



We serve Medicaid and HHS agencies with skilled leadership, innovative technology, eligibility expertise, policy knowledge and a deep commitment to client satisfaction.

Optum is unmatched in scale and a committed, strong and reliable vendor for implementing, maintaining and enhancing solutions and services that modernize the nation's HHS systems. With our experience supporting clients, including state agencies of all sizes such as West Virginia DoHS, Optum has the resources and expertise to help agencies improve health outcomes and reduce costs.

- **Current Ownership and any changes within the past five years**

We have not had a change in ownership within the previous 5 years.

- **Company background, including parent and/or subsidiary information, primary business areas, and personnel/technical resources**

OptumInsight, Inc., (Optum), was established in 1993 to provide innovative technical and administrative solutions for HHS agencies and has had no major business or organizational structure changes. Unlike some bidders who may be bought, sold, reorganized and restructured frequently, we have remained financially sound and structurally solid for more than 30 years under the same ownership. Our mission is: "To help people live healthier lives and help make the health system work better for everyone." This means supporting all human services programs and understanding social determinants of health are a key determinant of an individuals and family's health and helping to promote solutions that lead to better outcomes. The UnitedHealth Group and Optum mission - to help the health system work better for everyone - takes on particular meaning in West Virginia, where Medicaid and HHS programs serve as a lifeline for rural and underserved communities across the state. Our commitment goes beyond sentiment; it is reflected in the partnership, WV PATH modernization and community investment we bring to the West Virginia Department of Health and Human Resources and the members it serves.

Optum has had an office supporting RAPIDS and subsequently the PATH project since 2016 at 700 Washington Street E in Charleston, WV with over 100 employees at this location during our Design, Development and Implementation phase of PATH. It continues to be the base of our operations supporting DoHS.

Optum is a leader in HHS platforms for information and technology-enabled health services business, dedicated to modernizing the system and improving the health of people and communities. Optum has a workforce of nearly 128,574 employees.

Our parent company is UnitedHealth Group, Inc., a publicly traded Minnesota corporation with shares listed on the New York Stock Exchange (NYSE: UNH). UnitedHealth Group includes approximately 1,772 West Virginia employees within our 3 offices, 2 in Charleston and 1 in Morgantown, who are engaged across our business organizations.

Optum has the size, scale and resources to support Maintenance and Operations Services for WV PATH.

- **Total Employee Count, with specifics on the number of employees dedicated to human services system maintenance, transfer, and development**

OptumInsight has more than 14,802 technology professionals and 78,196 employees supporting global operations. We can draw on our total 78,196 employees of OptumInsight for the support Maintenance and Operations Services for WV PATH. Our operating model and client alignment engagements with human service system maintenance and transfer and development staff consists of over 668 staff.

- **Professional Liability History, including any litigations or claims within the past three years, and collection of performance bonds, if applicable**

As a Fortune 4 organization, we are periodically subject to litigation and claims in the normal course of business. We do not have any material professional liability claims or litigation within the past 3 years that are relevant to or would impact our ability to perform the services contemplated by this RFP. Our public financial disclosures provide a summary of material litigation. We have not had a claim against any of our performance bonds.

- **Details on operational sites, including locations for both the Vendor and subcontractors**

Our primary base of operations for this engagement will be our 700 Washington Street E, Charleston, WV location where we have based our support to DoHS since 2016. We will also support the contract and WV PATH applications with team members located in other Optum locations, including our headquarters in Eden Prairie, Minnesota. We will host certain solution components within the Optum FISMA-high Environment (OFE) in our data centers in Chaska and Elk River, Minnesota.

Optum has a base of operations for this engagement at 700 Washington Street E, Charleston, WV location where we have based our support to DoHS since 2016. This is directly across the street from the DoHS office at one Davis Square. This facilitates strong collaboration with DoHS, including our regularly scheduled PATH governance meetings where DoHS and Optum collaborate on priorities and key decisions.

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Vendor Capacity and Experience Profile *Section 4.3.2.4*

Optum delivers unparalleled maintenance and operational expertise to a diverse range of clients, from large state agencies to smaller programs across the nation.

Optum qualifications and experience includes developing, maintaining, modernizing, hosting, operating and enhancing highly integrated and complex eligibility, client and case management systems. We support multiple eligibility programs, integrated eligibility and enrollment systems, and federal public assistance programs at the state level.

Our current portfolio includes Vermont, Massachusetts and West Virginia, where we oversee, manage, design and implement eligibility system integration projects. These integrated programs cover members in **Supplemental Nutrition Assistance Program** (SNAP), **Temporary Assistance for Needy Families** (TANF), the **Children's Health Insurance Program** (CHIP), **Aged, Blind and Disabled** (ABD), **Long Term Care** (LTC), **Special Supplemental Nutrition Program for Women, Infants, and Children** (SSWIC) and **Dual Eligible** (Medicare-Medicaid enrollees) plans.

We have also led federal projects as the prime contractor and operator of the Federal Data Services Hub for HealthCare.gov, as well as with Medicaid eligibility exchange projects for Maryland and D.C, as well as New Mexico's State-based marketplace. After seeing our success with the HealthCare.gov project, several states engaged us to help resolve issues with their eligibility and enrollment platforms as illustrated in **Figure 1**.

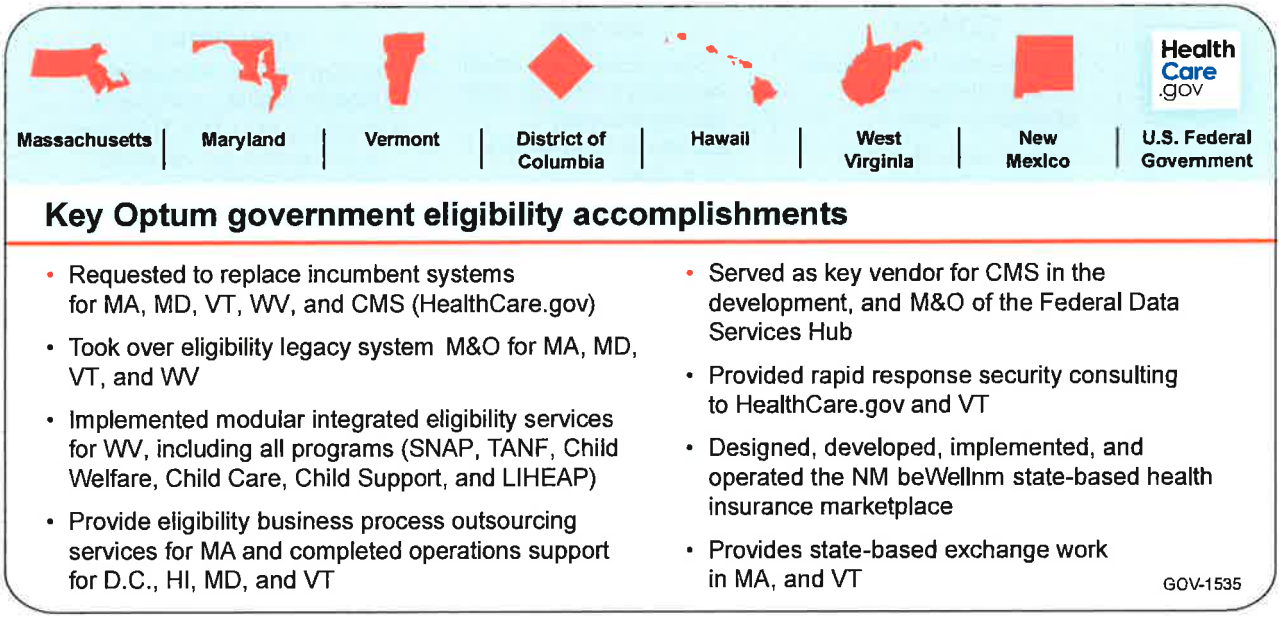

Figure 1: Optum eligibility accomplishments.

Serving federal and state agencies with skilled leadership, innovative technology, eligibility expertise, policy knowledge and a deep commitment to client satisfaction.

Throughout our proposal response we provide details on how our portfolio of work managing maintenance and operations (M&O) with government entities helps you achieve similar goals and objectives, including:

- ✔ Well-coordinated transition of operations
- ✔ Effective M&O management

- ✔ Project management and documentation
- ✔ Modernization and scalability
- ✔ Process automation and operational efficiency
- ✔ Continuous improvement and adaptability

Organizational profile

As a comprehensive healthcare and human services (HHS) company, Optum connects the entire HHS system and is uniquely positioned to bring together advanced data and technology capabilities with industry expertise. We will leverage our cross-industry relationships to help you achieve goals and objectives and share insights that are embedded in our culture, teams and technology. Shown in **Figure 2**, our people serve the entire healthcare and HHS system, providing technology modernization, operational efficiency, innovation and thought leadership.

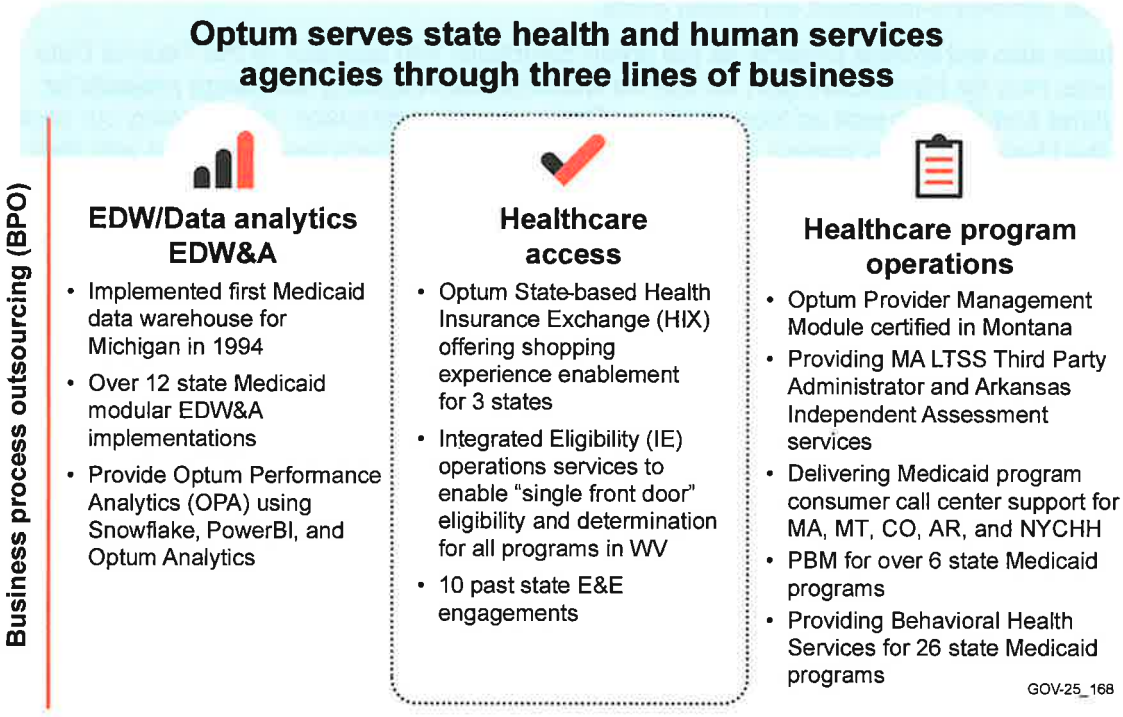

Figure 2: Optum primary business products and services.

Our HHS portfolio is comprised of healthcare program access which is a primary business pillar within Optum Insight's solutions and services.

Optum delivers a comprehensive portfolio of services that support integrated eligibility, child welfare, TNAP, SNAP, child support, child care, federal systems services, health insurance exchanges and data and analytics solutions. Together, we provide services that help our clients support key services like benefit applications, eligibility assessments, case tracking, case management, service delivery, financial management and provider management while helping them meet State and federal goals, access and cost containment.

We also have the option to seek additional input from the Optum Advisory Board and the Lewin Group as needed. The former Advisory Board organization and the Lewin Group are part of Optum and provide research, executive insights, events, healthcare leadership networking and

policy consulting. This may be useful, particularly if DoHS considers developing new approaches or solutions or responses to new regulations or mandates. Both teams use data-driven guidance, program design and continuous performance improvement to support government clients navigate evolving policy landscapes, enhance service delivery and achieve measurable results aligned with public health objectives.

Optum Differentiator

The **Optum Advisory Board and the Lewin Group** bring deep industry expertise, strategic insight and proven best practices to support government-focused Optum contracts. Drawing on a **network of seasoned health and human services leaders, policy experts, and operational specialists, these organizations help translate complex regulatory requirements into actionable strategies** that improve program performance, cost efficiency and member outcomes.

Management structure and ownership information

Our parent company is UnitedHealth Group, Inc., a publicly traded Minnesota corporation with shares listed on the New York Stock Exchange (NYSE: UNH).

Optum has 3 primary business and delivery units: Optum Health, Optum Insight and OptumRx, as shown in **Figure 3.** Optum Insight is the business unit that will support the WV PATH M&O.

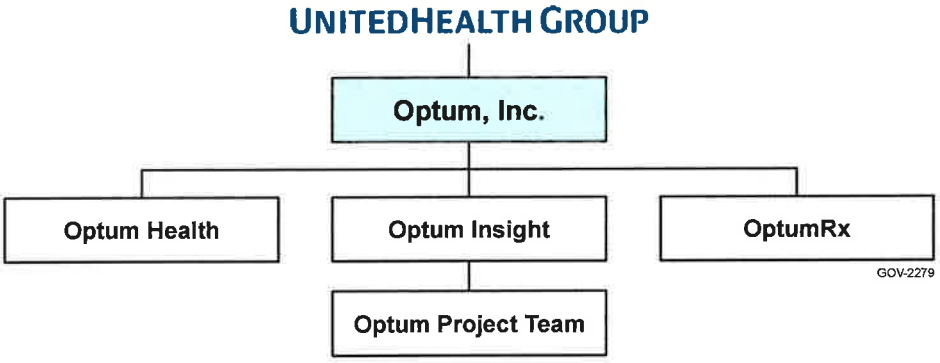

Figure 3: Optum corporate organization chart.

The family of Optum organizations helps make the HHS system work better for everyone.

As shown in **Figure 4**, the West Virginia PATH program is supported by a comprehensive governance structure that combines executive sponsorship, information technology leadership, operational oversight, and dedicated account management, ensuring effective decision-making, issue resolution, and program accountability.

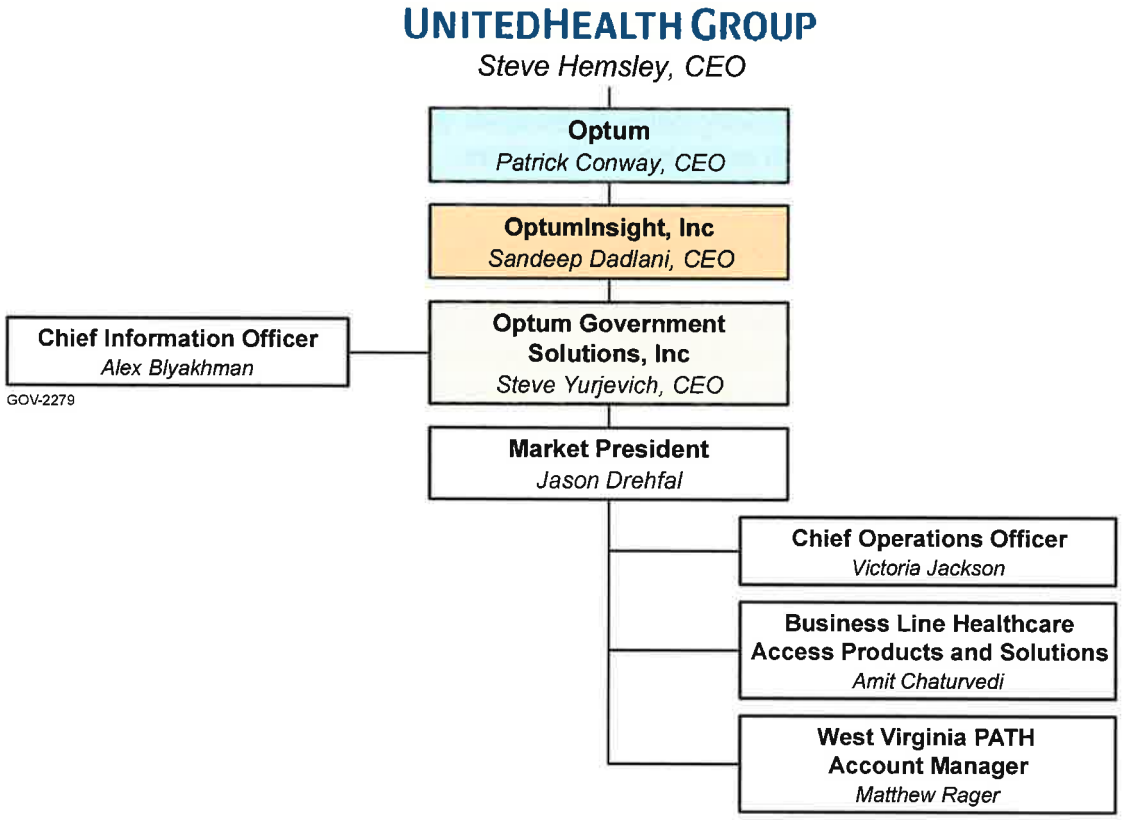

Figure 4: Optum management structure.

Executive management and oversight of the WV PATH M&O will provide leadership focused on strategic direction, operational improvements and innovation initiatives.

Capacity and experience profiles

In the following table, we provide detail of 3 successful projects implementing and/or maintaining one or more of the following: Integrated Eligibility, Comprehensive Child Welfare Information System (CCWIS), Child Support or Child Care solutions.

Project 1: Massachusetts Health Insurance Exchange/Integrated Eligibility System (HIX/IES)	
Description and system scope	Integrated Eligibility for Medicaid (MAGI and non-MAGI, CHIP, QHP) • State-based Marketplace and Medicaid eligibility platform • Integrated eligibility intake and determinations • Interfaces with CMS FDSH, MMIS, carriers, SNAP systems **Applications/Modules**: • Consumer, agent, assister portals • Business rules engine • Reporting and business intelligence • Notice generation and enrollment processing • State-based Marketplace and Medicaid eligibility platform • Integrated eligibility intake and determinations

Project 1: Massachusetts Health Insurance Exchange/Integrated Eligibility System (HIX/IES)	
	Scope elements of the Commonwealth's HIX/IES include: • Case management back office, case management front office • Enterprise content management • Core modules: Eligibility, Enrollment, Quotes, User Management, Plans, Notices • Enterprise APIs for inter-system integration • Enterprise Service Bus and service architecture • Integration with CMS FDSH and external verification systems • EDI integration with carrier and trading partners • Integration with the Commonwealth's financial system • Identity and access management • Customer and case management portals • Business and eligibility rules engine IBM Process Automation Manager (PAM) • Oracle database • Business intelligence and reporting • Disaster recovery • 24/7 monitoring
Project measurements	**Records maintained:** 20 billion plus **Reports:** 141 **Number of applications/modules:** 6 (Eligibility, Enrollment, Quotes, User Management, Plans, Notices) **Number of portals:** 3 (Individual, Agent, and Assister portals) **Average member/provider/customer records maintained:** 1.5M Medicaid/CHIP members; 400K+ QHP members **Key performance measures:** SLA measurements include: • New release implementation • Operational impact analysis • Successful code deployment • Release baseline performance • Contractor technical services manual (CTSM) updates • 24/7 support • Incident ticket resolution • Issue notification • Standard operations reporting • Security incident notification • Systems operation support for job scheduling, backup scheduling and processing • Root cause remediation support Optum met 100% of the goals and measurements in 2025. **Number of years providing each service:** Since 2014 we have provided DDI, maintenance and support services.

Project 2: Vermont Health Connect (VHC)	
Description and system scope	Optum maintains, operates and hosts the Vermont Health Connect (VHC), built on the State's Health Services Enterprise Platform (HSEP). Optum has led technology development and continues operations for Vermont Health Connect (VHC), the State's healthcare eligibility system. VHC performs eligibility and enrollment for Medicaid, CHIP and QHPs. Optum provides ITSM processes, including incident, problem, change, release, event and configuration management. We also provide application maintenance, business intelligence and reporting, system monitoring, identity and access management, security wrapper services, enhancement services and policy expertise for enrollment and eligibility. VHC is hosted in Optum data centers, where we support nearly 200 servers spanning 7 environments.
Project measurements	**Number of state resident user accounts:** 100k+ (Number of Active accounts) **Average member/provider/customer records maintained:** 152k members **Average applications submitted annually:** 185k (includes all benefit determinations) **Reports:** 110+ unique reports **Key performance measures:** SLA measures include: • 24/7 Application availability (PRD/NON-PRD) • 24/7 Environment availability • Application incident restoration • Root-cause debrief and analysis • Transaction performance • Disaster recovery • POAM remediation • Network availability Optum met 100% of the SLAs for the year 2025 and through May of 2026. **Number of years providing each service:** Since 2014, we have provided Hosting, DDI, maintenance and support services.

Project 3: West Virginia PATH	
Description and system scope	West Virginia Department of Health and Human Resources (DHHR), now Department of Human Services (DoHS), engaged Optum in 2016 to take over operations and IT maintenance of their legacy Deloitte eligibility system, Recipient Automated Payment and Information Data System (RAPIDS). In 2017, Optum was selected to design, develop and implement an Integrated Eligibility System, now known as WV PATH, for the State of West Virginia. The project scope required transition of its 4 previous information technology systems that support public assistance programs (child welfare, Medicaid and CHIP eligibility, child support and childcare) to an IES that would streamline services for both applicants and providers to enhance the delivery of vital support across West Virginia. By first integrating the PATH Public Portal with the State's legacy applications in 2020, we were able to implement the portal in less than 3 years, while also working in parallel to replace and modernize the legacy systems with WV PATH.

Project 3: West Virginia PATH	
	In 2023, Optum delivered the Child Welfare release of WV PATH including a portal for Agency workers and a provider portal. Through the Agency module, workers manage intakes, cases and financials for Child Protective Services, Foster Care, Adoption and Adult Protective Services. The Child Welfare Provider Portal is integrated with the Agency portal and allows child welfare providers, such as foster care agencies, to manage clients in their care and their financials. In 2024, Optum delivered the Family Assistance (Integrated Eligibility), Child Support and Child Care releases. The Agency portals are all connected through a Common Landing Portal. State workers can access Family Assistance, Child Support, Child Care, Child Welfare, Reports and Financials through role-based access controls from the Common Landing Portal. The Agency portals are integrated with the PATH Public Portal. With the Child Care release, the provider portal was also enabled to allow Child Care providers to manage their clients and financials within WV PATH. The WV PATH solution includes associated back-end business functions such as an eligibility determination rules engine, benefits issuance, forms and notices framework, reporting and MDM modules, Client Scheduling module, and various interfaces to multiple State and federal systems. In agreement with the State, WV PATH was delivered in phases to provide modernization without disruption with the timely delivery as follows: • Public Portal: live as of 02/2020 • Child Welfare: live as of 01/2023 • Family Assistance: FNS (now FNA) required pilot as of 12/2023 • Family Assistance: Statewide rollout 04/2024 • Child Support: live as of 07/2024 • Child Care: live as of 07/2024
Project measurements	**Number of Client Portal state resident user accounts:** 456,000+ **Average applications submitted annually:** 175,000 **State Agency users/providers:** 5,000+ / 850+ **Reports:** 810+ unique reports; 44,000+ reports generated annually **Family Assistance cases count/annual eligibility processed count/annual payments processed** 352,000+/ 9.3 million+ / $593 million **Child Care eligible case counts and annual payments processed:** 16,000+ and $94 Million **Average annual Child Welfare intake records and payments processed:** 72,000+ and $484 Million **Average annual Child Support cases and orders created:** 10,000+ and 3500+ **Key performance measures:** SLA measures include: • 24/7 availability of Client Portal and less than 1% downtime for all other portals • Performance metrics on inquiries and update transactions and portal responses • Incident restoration goals on Critical and Serious business impacts • Database updates and backup completion • 100% compliance with timely delivery on reports **Number of years providing each service:** We have provided DDI, maintenance, and support services since 2016, for more than 9 years.

Successful federal system certifications and/or activities

Optum has extensive experience across multiple federal system certifications and/or activities for State engagements. We have achieved CMS certifications and received certification retroactive to the earliest possible date, enabling the state agencies to receive the full Federal Financial Participation (FFP) amount available. We have certified provider services, program integrity, data warehouse and integrated eligibility systems under the Streamlined Modular Certification (SMC) framework. We have a 100% success rate on the first try. We have participated in over 20 successful CMS certifications and are participating in 8 ongoing certifications.

For Child Support (Title IV-D), Child Welfare (CCWIS), and/or Centers for Medicare & Medicaid Services (CMS) certification details include:

Successful federal system certifications and/or activities	
Child Support activities	• WV PATH Child Support System – Ongoing support for CS Certification by creating evidence documents to show compliance with each certification objective
CCWIS activities	• WV PATH Child Welfare System – Successful TA Monitoring Reviews in August 2023 and October 2024 – Ongoing assistance providing updates to system improvements for the Data Quality Plan
CMS activities	• WV PATH Eligibility and Enrollment – CMS SMC Certified in September 2025 – Ongoing delivery of monthly operational reporting for applicable eligibility and enrollment CMS-required measures and metrics • Montana Provider Management System – CMS SMC Certified in July 2025 – Ongoing delivery of monthly operational reporting for provider management CMS-required and State-specific measures and metrics • Virginia Enterprise Data Warehouse and Program Integrity – CMS SMC Certified in August 2022 – Ongoing delivery of monthly operational reporting for applicable decision support system and program integrity CMS-required measures and metrics and State-specific measures and metrics • Tennessee Pharmacy Benefit Management – CMS OBC Pilot Certified in December 2020 – Ongoing delivery of monthly operational reporting for applicable pharmacy benefit management CMS-required measures and metrics • Alaska, Arkansas, California, Colorado, Georgia, Indiana, Michigan, Mississippi, New Hampshire, North Dakota and Washington Enterprise Data Warehouse and Program Integrity – CMS MECT Certified in 2015 through 2019 • Georgia, Indiana, Nevada, South Dakota and Washington Pharmacy Benefit Management – CMS MECT Certified in 2015 through 2019

Successful federal system certifications and/or activities	
	• Hawaii Integrated Data Analytics Platform – CMS ORR successful completion in November 2025 – Ongoing CR activities for October 2026 and delivery of monthly operational reporting for applicable decision support system CMS-required measures and metrics and State-specific measures and metrics • Iowa Pharmacy Benefit Management – CMS ORR successful completion in July 2026 – Ongoing CR activities for April 2027

We take an industry-standard, comprehensive approach to adopting, designing and implementing regulatory and CMS outcomes and requirements for each of our state government solutions. We work side-by-side with governing bodies to understand, direct and implement new standards that emerge. Our teams have worked extensively with CMS on modernization efforts, MITA maturity and other initiatives, giving us an advantage over our competitors. Our experts consult with CMS on policy and practices, which drives MITA maturity improvements.

Our approach is based on the CMS Certification Center of Excellence (CoE) team's SMC process experience collaborating with several states on various modular solutions. In multiple cases, we transitioned from MECT 2.3 to the original Outcomes Based Certification (OBC) pilot to a SMC pilot when CMS refined the process through feedback during the early OBC pilot phase to the official SMC.

We collaborated with states, CMS and MITRE to help refine provider management, pharmacy, program integrity, enterprise data warehouse, fraud and abuse detection, enterprise (later termed CEFs), and State-specific outcomes, as well as metrics for ongoing reporting to CMS to make certain the business needs of the State and CMS continue to be met.

During our April 2025 Certification Review, MITRE praised the evidence packets:

"Great presentation of evidence. Comprehensive information that was very helpful in our pre-assessment of the provider solution."

Optum provides a Certification Center of Excellent (COE) to advise, collaborate and prepare DoHS for any certification activities. We work with CMS, ACF, and FNS and other agencies to understand certification protocols and procedures and partner with DoHS on certification activities.

As additional information regarding Optum supporting the CMS certification process, please see the positive commentary on the following page from former Secretary Meyer.

Good afternoon everyone,

I want to take a moment to recognize and celebrate the incredible achievement, which surrounded our Medicaid Eligibility & Enrollment Certification Review. This success is a direct reflection of your dedication, coordination, and professionalism.

Throughout this effort, you brought clarity, precision, and purpose to every step—from preparation and system demonstrations to timely follow-up and effective communication. There were consistent set backs, new deadlines, last minute requests, and other situations that could have derailed the process. In the face of all this adversity, you worked collaboratively, keeping your focus on the bigger goal.

CMS expressing their confidence in our work, stating plainly that they viewed this as a successful certification effort, is a true testament to this team's incredible effort. That's not just a passing comment—it's a strong endorsement of the standard we have set.

While a few final items remain to close out, this review clearly marked a win for the Department, and for the thousands of individuals who rely on our Medicaid program every day.

Thank you for your tireless work and commitment to excellence. I'm proud of what you've accomplished, and even more proud of how you came together to do it.

With sincere gratitude,
Alex

Alex J. Mayer
Cabinet Secretary
West Virginia Department of Human Services

Response to Project Goals and Objectives Section 4.2

Vendor should describe its approach and methodology to providing the service or solving the problem described by meeting each of the goals/objectives identified below. Vendor's response should include any information about how the proposed approach is superior to other possible approaches.

Goal 1: Seamless Transition of Operations

- **Goal 1: Seamless Transition of Operations *Section 4.2.1.1***

Transition approach and service continuity

Incumbent continuity and stability

As the incumbent vendor for the West Virginia People's Access to Help (PATH) program, our transition approach is intentionally designed to confirm uninterrupted operations, sustained system stability and continuity of services from contract commencement through ongoing M&O activities. This continuity enables DoHS and Optum to advance the planned strategic enhancements for PATH, including increased automation, improved system performance and ongoing modernization efforts. By maintaining momentum on these forward-looking initiatives, the partnership will continue to drive operational efficiency, system scalability and long-term platform sustainability.

Continuing the modernization journey with Optum eliminates the risk, cost and disruption of a traditional vendor turnover or system handoff. Instead, the State retains the value of an established, fully operational program supported by personnel, processes and tools already deeply embedded in West Virginia's human services operations. Optum has supported PATH and DoHS through major operational and policy events, including COVID-related continuity of benefits and unwinding of federal provisions, the restructuring of WV Department of Health and Human Resources into three departments, federal government shutdowns affecting SNAP issuances, and now HR1. Through regularly scheduled executive steering meetings, we have worked collaboratively with DoHS to set priorities and deliver on key commitments, including transitioning the Technical Call Center (TCC) to the OMIS team, fulfilling a goal former Secretary Persily made to the West Virginia legislature in 2024.

We continue to demonstrate our ability to deliver stable and reliable operations. We have worked effectively with many State organizations that rely on PATH and their federal partners, as indicated in the following table.

Program	State org	Federal org
Medicaid	BMS	CMS – Centers for Medicare and Medicaid Services
SNAP	BFA	FNA – Food and Nutrition Administration
TANF	BFA	ACF – Office of Family Assistance
LIEAP	BFA	ACF – Office of Community Services

Program	State org	Federal org
Child Welfare	BSS	ACF – Children's Bureau
Child Support	BCSE	ACF – Office of Child Support Enforcement (OCSE)
Child Care	BFA	ACF – Office of Child Care
Vital Statistics	Bureau of Public Health	
Infrastructure Support, Child Support and TCC	OMIS	

Optum Differentiator

These work groups and working structure with the State will remain in place working with Optum. Prior to 2016 when Optum started supporting DoHS there was limited collaboration and State involvement with the previous vendor. Through collaboration and partnership, DoHS and Optum continue to work as one team for the State. We focus on DoHS priorities for the benefit of West Virginians.

Our team brings extensive institutional knowledge across all PATH-supported domains, including Child Welfare (CCWIS), Child Support (Title IV-D), Family Assistance and Child Care. This knowledge spans system architecture, interfaces, data exchanges, federal reporting obligations, operational workflows and State-specific business rules developed and refined over multiple contract years. Because the incumbent team, guided by Account Manager Matthew Rager, continues to operate, support and enhance PATH. This reduces the need for staff transitions, reconstitution of operational knowledge, or implementation of core system capabilities. System integrity, interface stability, reporting continuity and day-to-day service delivery remains intact on Day One of the new contract.

Optum Key Personnel

Matthew Rager PATH Account Manager

Matthew brings more than **20 years** of management and account leadership expertise and government collaboration that includes:

- ✔ Led the **WV** Optum DDI team to design, develop and deploy the IES
- ✔ Led DDI, system deployment and M&O activities for the State of **Indiana's** IES system
- ✔ Program Manager **Hawaii** Health Analytics Program

Targeted transition activities: scope of change

Transition activities under the new contract are focused, controlled and tied to contract readiness. Optum will complete a contract-to-operations mapping to confirm how new or revised requirements are addressed. These activities are not associated with relearning the PATH system, re-stabilizing environments, integrating new staff and personnel to WV, PATH and the State's program personnel, or re-establishing operational baselines.

Instead, transition efforts are scoped to incorporate:

- New or refined contractual requirements introduced through the current solicitation and addenda

- Updated reporting, oversight or documentation expectations reflected in revised contract language and appendices
- Revised and newly defined Service Level Agreements (SLAs) and performance measures

All foundational PATH services, including core eligibility processing, case management, interfaces, correspondence generation and federal data exchanges, continue uninterrupted using existing, proven business and operational practices. Transition activities are executed in parallel with ongoing operations to avoid service disruption and maintain performance continuity. With Optum, transition activities focus on moving the project immediately into the new contract framework, terms and conditions and expectations, rather than spending time onboarding new organizations and staff. This lessens the demands placed on State staff and provides system business and operations that are consistent for West Virginians that are current or future beneficiaries of the PATH programs.

New reporting and oversight enhancements

Where the new contract introduces enhanced reporting, oversight and transparency requirements, these are integrated into existing reporting and governance mechanisms rather than established as standalone or parallel processes. We will leverage current reporting inventories, operational dashboards and analytics platforms already supporting extensive program, operational and federal reporting to satisfy new contract expectations.

As noted above, Optum currently manages over 800 unique reports via PATH and generates over 44,000 reports annually. Our focus during the transition is to align new reports and modifications to existing reports with the existing inventories to allow design and development to proceed expeditiously. We have created a reporting directory where the reports can be easily accessed via single sign-on. Through self-service, Optum has also made customizable reports across all the major modules. Operational Data Stores (ODS) is in place for Child Welfare with a 24-hour refresh cycle for most recent data.

Specific enhancements may include refinement of report formats, dashboards or delivery cadence to align with contract appendices related to operations specifications, performance measures or governance reporting. These updates are implemented through existing tooling and data pipelines, assuring consistency, auditability and traceability. Governance cadence is adjusted as required to provide the State with clear visibility into performance, risks, trends and corrective actions, while maintaining established escalation and accountability models familiar to State stakeholders.

We have integrated some PATH data with your Enterprise data system (EDS). Moving forward we plan on exploring opportunities with DoHS and IBM to consolidate reporting for DoHS into a more self-service model, utilizing your EDS where possible.

Service Level Agreement (SLA) alignment

We acknowledge and support revised and newly defined SLAs included in the contract. We have demonstrated our ability to operate PATH for years in a manner that meets and exceeds SLAs that govern operations today and will continue to operate PATH to deliver services in compliance with the new SLAs. Because PATH operations are already governed by mature monitoring, incident management and escalation practices, SLA alignment focuses on configuration and calibration rather than operational redesign. Monitoring thresholds, tracking mechanisms and reporting views are updated in advance of contract effective dates to confirm compliance from Day One.

Existing operational discipline covering incident response, root cause analysis, corrective action management and continuous improvement will remain intact. SLAs are measured using the same reliable data sources and workflows currently in place, reducing risk and making sure performance commitments are met without introducing operational uncertainty.

Contractual change management

Beyond reporting and SLAs, the new contract introduces updates to performance metrics, governance structures, compliance obligations and audit expectations. These changes will be absorbed into existing operations through structured management processes that include controlled configuration updates, documentation alignment and stakeholder communication.

Because the incumbent team already maintains the PATH deliverable library, operational procedures and governance artifacts, incorporating contractual changes does not require process redesign. With the oversight of our Deputy Account Manager, Richelle Garlow, adjustments are version-controlled, traceable to contract language, and validated through established quality and oversight mechanisms to minimize disruption and confirm compliance.

Optum Key Personnel

PATH Deputy Account Manager/Operations Manager
Richelle Garlow

Richelle brings more than **10 years** of expertise in management for HHS and public health. As current Deputy Account Manager, **WV IES Project** additional highlights include:

- ✔ **5 years** of expertise supporting **WV DHHR** engagements
- ✔ Active PMI Project Management Professional **(PMP)** Certification
- ✔ **Juris Doctor,** West Virginia University College of Law

Risk mitigation and operational assurance

The incumbent continuity model inherently reduces transition risk by preserving institutional knowledge, maintaining operational muscle memory, and avoiding the disruption typically associated with vendor turnover. System integrity is protected by retaining the same technical resources, support workflows and environment management practices that currently sustain PATH operations. The disruption associated with vendor turnover is neutralized, avoids duplication of stabilization activities, and reduces transition risk introduced by parallel operational models.

By maintaining continuity of people, processes and tools, while incorporating contractual updates, the State receives the benefits of contractual evolution without the operational risk of vendor transition. This approach focuses on PATH services remain stable, compliant and responsive throughout contract commencement and beyond, while positioning the program to meet evolving oversight, performance and compliance expectations with confidence and speed. Prior to transition completion, a formal Transition Closeout and Operational Readiness Review will be conducted to verify operational preparedness and continuity. The review will confirm contract-to-operations alignment, SLA readiness, staffing continuity, an updated governance calendar, refreshed procedures and runbooks, and an up-to-date risk and issue register. It will also validate completion of all State-approved follow-up actions and outstanding transition commitments, assuring readiness for steady-state operations and uninterrupted PATH service delivery.

Objective: Transition Planning and Governance

Continuing WV PATH M&O services with Optum will significantly minimize administrative expense, staff time, and transition complexity for the State of West Virginia while allowing the PATH project to continue to focus on modernization efforts.

Our demonstrated experience with the WV PATH systems enables us to bring immediate operational knowledge and continuity to this engagement. Supported by our scale, financial stability and sustained investment in innovation, we are well positioned to continue to support a program of this scope and complexity, providing the State with a zero-risk transition and maximum value through system modernization. This reduces the transition workload on State staff and provides a seamless system operation for WV citizens that rely on SNAP, TANF, Medicaid, Child Support, Child Welfare, Child Care and related programs delivered by PATH.

Takeover, transition, and modernization

"

The transition to WV PATH, made possible with the partnership of our vendor, Optum, provides an improved system for our employees and strengthens the streamlining of critical services for residents.

– Secretary Cynthia A. Persily, Former Cabinet Secretary, State of West Virginia, Department of Human Services.

The Optum team is purposefully structured to align with the State's specific objectives and operational requirements. This combination of system knowledge and operational excellence enables a low-risk continuation of services while delivering long-term value for State staff and improved access and outcomes for citizens seeking and receiving benefits. Our established knowledge allows the team to create the Transition Plan quickly, confirm roles and responsibilities, identify dependencies, and maintain production support while new-contract activities are aligned.

Optum will use existing WV PATH processes and operational knowledge to develop a comprehensive Transition Plan that includes all RFP-required activities, defined tasks, phases, milestones, entry and exit criteria, assigned owners, roles and responsibilities, dependencies, schedules and completion timelines. The Transition Plan will address critical transition components such as ongoing production support, documentation updates, readiness assessments, parallel and interface testing, and provider training requirements to deliver seamless and uninterrupted services throughout the transition period.

Within 5 business days of project kickoff, Optum will submit the Transition Plan required by RFP Appendix III, Table 8 for State review. The plan will serve as the baseline transition schedule and will be maintained as a living document through transition closeout. This will include phases, key milestones, roles, responsibilities and timelines. The kickoff will confirm scope, phases, milestones, roles and responsibilities, governance cadence, communication protocols, escalation paths, key risks, dependencies, decisions and immediate next steps.

Optum will establish a formal transition governance structure with State representatives, current operational leadership and awarded vendor leadership. The current vendor and awarded vendor responsibilities will be integrated under one accountable Optum transition structure, while maintaining clear visibility into current operations, new-contract readiness activities, decisions, risks and action items. We can continue the productive work with the executive steering committee currently in place and leverage transition time to progress with the WV PATH modernization agenda.

Continuing WV PATH M&O services with Optum will significantly minimize administrative expense, staff time, and transition complexity for the State of West Virginia while allowing the PATH project to continue to focus on modernization efforts. We can continue the productive work with the executive steering committee currently in place and leverage transition time to progress with the WV PATH modernization agenda.

Objective: Knowledge and Data Transfer

Optum reduces traditional vendor-to-vendor knowledge transfer risk, but will still conduct formal, role-based knowledge validation sessions to confirm architecture, operations, workflows, documentation, configurations, interfaces, reports and support procedures are current and understood.

To validate and sustain knowledge throughout transition, Optum will conduct structured, role-based knowledge transfer and validation sessions covering system architecture and environments, application operations, eligibility and program workflows, interfaces and data exchanges, batch processing, reporting and federal submissions, security and access management, configuration management, release and change management, incident and problem management, service-level monitoring, operational dashboards, documentation, and production runbooks. Participants will include State subject matter experts, Optum operations and technical leads, reporting and data specialists, security personnel, and awarded-contractor transition leadership, as appropriate.

Consistent with the State's transition approach, these activities will be limited, targeted, and incremental, focusing on onboarding new personnel, incorporating updated contractual requirements, validating operational readiness, and supporting any State-directed transition activities. As part of this process, Optum will review and validate key operational assets, including architecture diagrams, interface inventories, data exchange specifications, batch schedules, configuration baselines, report inventories, federal reporting calendars, security and access documentation, escalation procedures, operational runbooks, and deliverable libraries.

Session outputs will include attendance records, reviewed materials, action items, documentation updates, readiness confirmations, and identified gaps requiring follow-up. Together, these activities enable knowledge continuity, operational readiness, and uninterrupted service delivery without introducing unnecessary transition overhead.

From a data perspective, if Optum is awarded as the contractor, no bulk production data migration is anticipated because the current environments, data stores, interfaces, and integrations will remain in place. Instead, Optum will perform comprehensive data, documentation, configuration, and interface revalidation activities to confirm operational continuity and confirm all information remains accurate, secure, and fully traceable throughout the transition period.

Should the State direct any data movement, extraction, archival activity, interface modification, environment update, or configuration transfer, Optum will execute those activities through established governance, security, and change-management processes. These processes include approved change-control procedures, role-based access controls, encryption and secure transmission protocols, chain-of-custody controls for transferred artifacts, source-to-target validation where applicable, reconciliation reviews, audit logging, defect tracking, rollback planning, and formal State review and acceptance.

Leveraging the same controls routinely applied in production support, compliance, and audit operations, Optum will validate data completeness, accuracy, and integrity before and after any approved changes. This minimizes operational risk while ensuring all data-related activities whether validation, configuration updates, interface alignment, or State-directed enhancements are performed in a controlled, secure, and auditable manner, maintaining continuity of operations and full compliance with State requirements.

Optum will continue to rely on a staffing model that emphasizes cross-training, documented procedures, and knowledge sharing across functional and technical teams, reducing single points of failure and strengthening operational resilience. During transition, we will validate key-person dependencies for critical business, technical, reporting, and operational processes and document designated backup owners to enable continuity of support and decision-making. Familiarity with system integrations, eligibility workflows, batch operations, and federal reporting timelines further supports ongoing stability and compliance. As a result, knowledge and data transfer activities remain low risk, controlled, and minimal, preserving the stability, operational integrity, and ongoing compliance of PATH operations while ensuring continuity of services throughout the transition period.

Objective: Operational Continuity

Optum is uniquely positioned to deliver a transition with uninterrupted service delivery that introduces no new risks to PATH customers. Optum has consistently exceeded all contractual SLAs in the current contract, demonstrating sustained operational excellence, reliability and a strong commitment to performance outcomes. Given our deep institutional knowledge, established processes and existing infrastructure supporting current operations, the transition to the new contract requirements will focus on enhancements rather than replacement, minimizing risk and disruption.

Figure 5: Performance excellence across all key performance measures.

Uninterrupted service delivery

Optum will maintain continuous, compliant operations throughout the transition period, assuring no adverse impact on eligibility determinations, benefits issuance and customer support services. To achieve this, Optum will:

- Leverage existing operational teams, systems, processes, and workflows that currently support WV PATH operations and meet or exceed performance expectations.

- Maintain business-as-usual operations while incrementally implementing approved contractual, governance, and reporting updates through a DoHS approved dashboard reporting process.
- Align operational performance with the Service Level Agreements (SLAs) defined in Appendix IX, using SLA attainment and operational metrics as primary measures of uninterrupted service delivery.
- Maintain full production support coverage, including incident and escalation management and established operational governance processes. Maintain business-as-usual operations while incrementally implementing approved contractual, governance, and reporting updates.
- Continuing proactive monitoring of batch processing, benefit issuance activities, system interfaces, and critical application services to identify and address issues before they impact operations.
- Apply established release, change, and configuration management controls to confirm all updates are implemented in a controlled manner with appropriate testing, approvals, validation, and rollback procedures.

Transition approach (6-month phased model)

As the incumbent, the Optum transition approach for the new contractual period renews our partnership and collectively resets the team on the modernization journey ahead. Keeping our teams focused on delivering uninterrupted service while we collaboratively define the future PATH roadmap requires a focused approach. Throughout the transition period, Optum will protect eligibility determinations, benefit issuance, and customer support services through daily operational monitoring, proactive batch and interface controls, priority incident and escalation management, and State-visible SLA and performance reporting that provide continuous transparency into operational health and service delivery.

As your selected partner, the first 6 months are focused on PATH's future rather than time spent transitioning business, technical, and operational activities. This 6-month period is not a stabilization phase for basic service delivery; rather, it is a contract-alignment and operational optimization period conducted while PATH operations continue uninterrupted and performance against the Appendix IX Service Level Agreements (SLAs) is maintained. The Transition Team includes members from each organization to actively participate in the following 6-month transition plan activities:

Phase 1: Initiation and Planning (Month 1)

- Confirm governance structure, stakeholders and communication protocols
- Conduct Day One readiness reviews to confirm production support coverage, critical batch and interface monitoring, benefit issuance schedules, customer support staffing, SLA dashboard/reporting availability, escalation contacts, and immediate risk and issue management processes.
- Conduct detailed gap analysis between current operations and new contract/SLA requirements
- Finalize transition workplan, risk register and success metrics

Phase 2: Design and Readiness (Months 2–3)

- Update SOPs, workflows and reporting mechanisms to align with new SLAs and program requirements in the RFP
- Configure system updates (if applicable) and update reporting dashboards
- Train staff on updated requirements and performance expectations
- Define and implement interim processes for any identified gaps, as needed, including temporary reporting workarounds approved by the State, increased monitoring frequencies, daily reviews of high-risk items, priority routing and escalation procedures for benefit-impacting issues, contingency procedures for batch or interface disruptions, temporary staffing adjustments, and documented workarounds with assigned owners, remediation plans, and defined sunset dates.

Phase 3: Controlled Implementation (Months 4–5)

- Roll out updated processes in a phased and controlled manner
- Run parallel monitoring against existing processes to validate outcomes
- Continuously measure SLA adherence and service quality indicators

Phase 4: Stabilization and Optimization (Month 6)

- Fully transition to new SLA-driven operations
- Conduct performance audits and process refinements
- Confirm steady-state operations with consistent SLA performance

Commitment to SLA compliance

Optum recognizes that meeting the SLAs defined in Appendix IX is the State's standard for uninterrupted service delivery. Optum already operates within an established performance framework and will align existing processes to meet or exceed the revised SLA requirements under the new contract.

During the 6-month transition period, Optum will maintain applicable SLA performance while implementing enhancements to reporting, monitoring, governance, and continuous improvement practices aligned to the updated SLA structure. This phased approach allows for operational stability to be maintained while new metrics, reporting structures and process refinements are introduced in a controlled manner.

Optum understands that transitions inherently involve calibration of performance baselines and operational adjustments.

Key commitments include:

- **Baseline alignment:** establish current performance benchmarks against new SLA requirements early in the transition.
- **Day One SLA continuity:** maintain applicable SLA performance from contract commencement, with transition activities focused on validating measurement methods, reporting views, escalation paths, and improvement opportunities.
- **Transparent reporting:** provide regular reporting on SLA performance, transition progress and risk mitigation activities.
- **Continuous improvement:** implement process optimizations to not only meet but exceed SLA thresholds in steady-state operations.

Objective: Resource Coordination and Training

Staffing and resource availability

We will leverage our position as the incumbent to maintain the alignment of our staff and resources to deliver services with no disruption to ongoing operations. Because our personnel already operate and support the system, no transition-related staffing gaps or relearning curve exist; instead, we will coordinate directly across our existing delivery teams to validate role alignment, confirm resource availability, and deliver continuous coverage of all critical functions throughout the transition period. We will introduce new staff members, upgrade in-place staffing as necessary while synchronizing any targeted adjustments with the State's priorities, assuring uninterrupted support, continuity of knowledge and operational stability. Through this continuity of resources, institutional knowledge and proactive coordination, we eliminate traditional transition risks and deliver a seamless handover from Day One.

In parallel with the continuation of our current M&O services, we will add project team members responsible for migration and code conversion activities. Our current staff provide a uniquely qualified and knowledgeable team to integrate and inform the new project members onto the project and guide their orientation and planning for migration and code conversion activities.

Training for key personnel

Optum brings an experienced team already integrated into the program, with institutional knowledge and continuity that a new vendor could not quickly replicate. Most current Optum professionals will remain in place, preserving key relationships, business, policy and technical expertise, and operational insight gained throughout the contract.

For any transitioning positions, Optum maintains a proven Knowledge Transfer Plan designed to systematically identify, document and transition each individual's tasks, activities and key contacts to incoming resources, assuring no loss of institutional knowledge and a seamless handoff. We will use these same tools for onboarding IBM for mainframe migration and any resources that may be added to support the enhancement pool work.

Beyond team stability, Optum has assessed the key differences between the current contract and the new RFP requirements and includes, but is not limited to, updated compliance standards such as:

- 508-compliance aligned to WCAG 2.1 with support for WCAG 2.2
- Newly established deliverable timelines and reporting requirements
- New and modified SLAs
- Emerging technical and operational requirements

This forward-looking assessment positions Optum to transition to the new contract terms efficiently and without delay, reducing risk to the State and accelerating time to full operational compliance. No ramp-up period is needed: Optum is ready to perform on Day One.

Objective: Testing and Validation

DoHS deserves assurance that both the WV PATH platform and the operational support organization are fully prepared to perform successfully under the next contract term. Optum brings extensive knowledge of the system architecture, business processes, integrations, operational cycles, workload patterns and performance characteristics across Integrated Eligibility, Child Welfare, Child Care and Child Support programs. Over the past several years,

we have conducted the full spectrum of testing as discussed below, in a manner tailored to DoHS and PATH. This testing experience and success demonstrates our readiness and capability for continued testing and validation responsibilities. This experience enables immediate and uninterrupted execution of testing, validation and operational readiness activities without the delays, disruption or knowledge-transfer risks and burdens associated with a vendor transition. The result is a lower-risk approach that supports continuity of operations while providing the State with measurable evidence that both the technology platform and operational support model are prepared to meet contractual performance expectations from Day One.

Our validation approach extends beyond traditional functional testing. We validate the complete operational ecosystem that supports PATH, including business workflows, interfaces, data exchanges, batch processing, security controls, reporting capabilities, monitoring tools, incident management procedures, support processes and service delivery operations. Validation activities are aligned with Medicaid Enterprise Systems (MES) testing guidance, CCWIS expectations, Child Support requirements, federal compliance standards, and PATH's existing operating model. This comprehensive approach provides DoHS with objective evidence that the solution can support normal operations, peak demand periods, regulatory requirements and ongoing maintenance and enhancement activities.

Readiness validation framework

Optum employs a structured 4-phase validation framework that systematically confirms technical quality, operational readiness, performance, security and contractual compliance.

Phase	Purpose	Exit Criteria
Phase 0 — Test Planning & Baseline Establishment (Week 1–Week 4)	During this phase, we will develop and obtain approval for the Master Test Plan, establish requirements traceability, validate test environments and test data, and confirm performance targets and non-functional requirements with DoHS.	• Approved Master Test Plan • Completed Requirements Traceability Matrix (RTM) • Validated test environments and test data strategy • Agreed-to entry and exit criteria for all testing phases
Phase 1 — System & Regression Validation (Week 5–Week 10)	This phase focuses on validating core business functions, interfaces, data processing activities, batch operations and end-to-end program workflows across all supported modules.	• All critical and high-priority test cases executed • No open Severity 1 or Severity 2 defects • Overall test pass rate of at least 95%
Phase 2 — Performance, Security & Resilience (Weeks 8–12 overlapping)	Testing activities include load, stress, endurance, failover, security, accessibility and disaster recovery validation to confirm the platform can support operational demands while maintaining compliance with applicable federal and State requirements.	• Performance targets achieved • Security findings addressed in accordance with approved risk criteria • Successful disaster recovery and failover testing accessibility compliance verified
Phase 3 — Operational Readiness & KPI Validation (Weeks 12–16)	This phase validates the operational model that will support PATH after contract transition. Activities include incident management exercises,	• Joint review of operational readiness results • KPI performance validated against agreed targets

Phase	Purpose	Exit Criteria
	help desk simulations, operational reporting, monitoring validation and measurement of performance against contractual service levels.	• Acceptance of readiness scorecard and transition recommendation

All phase-completion criteria are jointly reviewed with DoHS. Any deficiency identified during validation is subject to corrective action, retesting and verification prior to advancement.

Comprehensive testing and validation coverage

Our testing approach spans the entire WV PATH ecosystem, including the Client Portal, Family Assistance, Child Care, Child Welfare (CCWIS), Child Support (IV-D), Administrative Portals, Common Landing Portal, shared services, integrations, infrastructure components, reporting solutions and operational support processes. Testing activities are scaled according to business risk, assuring appropriate rigor while maintaining delivery efficiency.

Core validation areas

- **End to End Regression Testing:** Client approved regression library spanning application intake, screening, eligibility determination, benefit issuance, case maintenance, renewals/redeterminations, correspondence, hearings and claims across all programs — executed via our automated Selenium suite plus targeted manual exploratory testing for complex casework scenarios.
- **Interface Testing:** Validation of every external interface including federal data services hub, SSA/SVES, IRS (FTI), SNAP EBT processor, MMIS/Medicaid systems, employment and wage data, financial institutions data match, courts (child support), and provider payment channels — including negative testing, file-drop timing and reconciliation controls.
- **Batch Validation:** Execution of the full nightly/weekly/monthly/annual batch calendar in a production-scale environment, verifying completion within the contracted batch window, restart/recovery behavior and downstream file accuracy.
- **Data Integrity Validation:** Automated reconciliation of case counts, benefit amounts, payment ledgers and interface balances between source and target; 100% programmatic tie-out plus statistically sampled field-level verification, with special focus on child support distribution ledgers and foster care payment records.
- **Performance Testing:** Load (normal + peak day), stress (to failure, to prove headroom), endurance/soak (72-hour sustained), and spike testing (e.g., first-of-month issuance, disaster SNAP scenarios) using production-shaped, fully de-identified data volumes; batch and online tested concurrently as production actually occurs.
- **Security and Compliance Testing:** Vulnerability scanning, independent penetration testing and controls verification against MARS-E 2.x, ARC-AMPE, IRS Pub 1075 (FTI), SSA TSSR, HIPAA, and NIST 800-53; evidence packaged to support State and federal audit.
- **Accessibility Testing:** Automated (axe-core in the CI pipeline) plus manual assistive-technology testing (JAWS/NVDA) of worker and citizen portals against Section 508/WCAG 2.1 AA.
- **Disaster Recovery Exercise:** A full failover and failback test with measured RTO/RPO results reported to DoHS before assumption of control, then repeated annually.

Testing incorporates automated regression capabilities, AI-assisted impact analysis and continuous validation practices that support both maintenance and enhancement activities while minimizing operational disruption.

Program-specific validation scenarios

Program-specific testing scenarios are incorporated throughout validation activities to confirm that the business processes most critical to stakeholder function as expected.

Domain	Representative Validation Scenarios
Integrated Eligibility (Medicaid/CHIP, SNAP, TANF, Child Care, LIEAP)	MAGI and non-MAGI Medicaid determinations incl. spend-down and long-term care; SNAP expedited (7-day) and standard (30-day) timeliness; combined-program households; mass change execution (FPL, COLA); renewal/ex parte processing; EBT issuance accuracy; notice/correspondence correctness and language access.
Child Welfare	Centralized intake to CPS referral timelines; safety and risk assessment workflows; foster care placement and — critically — provider payment generation, adjustment and timeliness end-to-end to warrant/EFT; IV-E eligibility determination and claiming accuracy; AFCARS/NCANDS/NYTD federal file generation; CCWIS data quality and bidirectional data exchange requirements.
Child Support Enforcement	Parent Locate via federal and State interfaces; paternity and order establishment; income withholding; enforcement triggers (license suspension, tax offset); distribution hierarchy accuracy and disbursement within 2 business days per 45 CFR 302.32; OCSE 157/34a federal reporting accuracy.

Because provider payment timeliness remains a critical operational measure, Optum includes a dedicated payment assurance validation stream that traces transactions end-to-end to confirm accuracy, timeliness and compliance with program requirements.

User acceptance testing and State collaboration

DoHS participation is integrated throughout the testing lifecycle. State stakeholders review and approve testing artifacts, participate in readiness reviews, monitor validation progress, and conduct User Acceptance Testing (UAT) using supported environments and approved test scenarios.

Optum supports UAT through:

- Test planning and coordination
- Environment preparation and management
- Test data provisioning
- Access management
- Technical support during execution
- Defect triage and remediation coordination
- Reporting and status monitoring
- Post-UAT reviews and lessons learned

All testing activities maintain full traceability to business and technical requirements using the Requirements Traceability Matrix (RTM), assuring complete visibility into validation coverage and readiness status.

Defect management, governance and quality controls

Quality assurance (QA) activities are governed through clearly defined entry and exit criteria, shared defect management processes and comprehensive reporting. Every requirement, interface, service level objective and business process is mapped to specific validation scenarios and documented results through the RTM.

Defects are prioritized and managed using established governance processes with full transparency to DoHS. Severity 1 and Severity 2 defects must be resolved before progression through readiness gates, while lower-severity items require documented disposition and approval. Agency stakeholders maintain visibility into defect status, testing results, backlog trends and overall readiness metrics through routine reporting and governance reviews.

Operational readiness and KPI validation

A key differentiator of our approach is Operational Readiness Testing (ORT), which validates not only the system but also the operational model supporting it. During ORT, the M&O organization performs under production-like conditions while contractual service levels are measured and reported.

Operational readiness metrics

Key Performance Metric (illustrative, finalized with WV DoHS)	Performance Target	Validation Method in ORT
System availability (online portals and worker application)	≥99.9% excl. approved maintenance	Synthetic + real-user monitoring, 24×7
Online transaction response time	≤3 sec for 95th percentile	APM instrumentation under production-shaped load
Batch cycle completion	By 6:00 AM ET daily, ≥99% on-time	Batch calendar executed in ORT; window measured
Severity 1 incident restoration	≤4 clock hours	Live incident drills with timed response
Severity 2 incident restoration	≤8 clock hours	Live incident drills with timed response
Interface file timeliness/accuracy	≥99% on schedule, zero unreconciled	Automated interface reconciliation reports
Child support disbursement timeliness	Within 2 business days (45 CFR 302.32)	Payment tracing sample, 100% programmatic check
Provider/foster care payment timeliness	≥98% within contracted cycle	Dedicated payment assurance thread (2.4)
Defect leakage to production	<2% of release defects	Measured across ORT change windows
Help desk first-contact resolution	≥70%	Simulated + live ticket sampling

Results are documented in an Operational Readiness Scorecard jointly reviewed with DoHS. Any gap identified results in corrective action, retesting and formal verification before readiness approval. Following transition, these same measures become part of the ongoing operational

governance framework, assuring continuity between testing, readiness validation and production support.

Proven delivery performance

Our approach is supported by demonstrated results within the existing WV PATH environment. Since PATH implementation, Optum has successfully delivered 37 Maintenance Releases and more than 300 Hot Fix releases while maintaining a consistent pattern of minimal production impact. This proven performance demonstrates the effectiveness of our testing, release management, automation, operational controls and continuous quality practices in a large, highly integrated environment.

Backlog management, defect remediation and enhancement delivery are performed through established governance processes that prioritize issues based on business impact, regulatory requirements, operational risk, and stakeholder priorities. Weekly release cycles provide a controlled mechanism for addressing defects and enhancements while maintaining service continuity and system stability.

Our testing, validation and operational readiness approach combines proven WV PATH experience, disciplined quality management, comprehensive automation, risk-based validation and strong State collaboration to provide measurable evidence that the platform, operations organization and support processes are prepared to successfully meet the performance, reliability, security and service expectations of DoHS throughout the next contract term. By eliminating transition-related risk while maintaining rigorous validation standards, Optum enables the State to achieve continuity, stability and confidence from Day One of contract execution.

Objective: Transition Metrics and Reporting

Transition metrics and reporting

We provide a structured, transparent and governance-driven approach to Transition Metrics and Reporting that supports effective oversight, accountability and risk management throughout the transition lifecycle. The metrics framework will provide the State with visibility into transition progress, highlighting schedule performance, emerging risks and issues, mitigation activities and decisions requiring State review or action.

Defined and measurable KPIs

We will collaborate with the State to define, baseline and approve a comprehensive set of Key Performance Indicators (KPIs) aligned to transition objectives, contractual milestones and continuity of operations. This KPI framework is designed to enable traceability, transparency, measurability and actionable insight.

Key KPI categories will include:

- Transition milestone completion and schedule adherence
- Milestones and progress reporting on design, development and implementation of new and modified reports
- Knowledge transfer progress, validation and acceptance
- Staffing readiness, onboarding and resource alignment
- System, process and operational readiness
- Risk and issue identification, aging and resolution effectiveness

KPIs will include clearly defined thresholds to identify variances and will be aligned to governance review points. Monitoring will occur through weekly governance-level reporting, with urgent risks and issues escalated immediately when they could affect schedule, service delivery or SLA performance.

Structured reporting cadence and deliverables

We will deliver consistent, accurate and decision-ready reporting through a formal reporting cadence and dashboard capabilities aligned with State expectations.

Deliverables will include:

- **Weekly transition status reports** detailing progress against milestones, KPI performance, completed activities, decisions and upcoming priorities.
- **Weekly risk and issue logs** with clearly defined ownership, impact/severity classification, mitigation plans and target resolution dates.
- **Weekly schedule submission** with upcoming milestones, work activity and critical path analysis.
- **Monthly executive-level summaries and dashboards** highlight key achievements, critical challenges and items requiring State awareness or action.

Reports will be structured to support both operational execution and executive-level decision-making. Standardized templates will be used to support consistency, clarity and ease of review across reporting periods. The templates include accomplishments, planned work, milestone status, KPI status, risks/issues, mitigation actions, decisions needed, dependencies, schedule variance, and next steps.

Proactive risk and issue management

Our approach embeds proactive risk identification and disciplined issue management into all reporting activities. We will maintain a centralized risk and issue repository to track all transition-related items through resolution.

We will use the risk and issue templates and processes that have been refined, customized and used on the PATH project for the last several years to communicate, track and resolve issues and risks. Each risk and issue will include:

- Clear description and categorization
- Impact assessment across schedule, scope and service delivery with affected critical path
- Defined mitigation and remediation strategy
- Assigned owner and target resolution timeframe
- Probability, severity and priority

Formal escalation protocols will be established within the State's transition governance structure to support timely resolution of high-priority items, with risks reviewed regularly in governance forums.

Governance integration and accountability

Transition Metrics and Reporting will be fully integrated into the overall existing PATH governance framework to support alignment between reporting, decision-making and accountability.

Regular status review meetings will be held with State stakeholders including:

- Executive governance sessions for oversight and key decision points
- Documentation of meeting agendas, minutes, action items, decisions and approvals to maintain a clear audit trail

Reporting will distinguish between items that are informational, items requiring State decision, items requiring escalation, items that may affect schedule or service continuity to support timely decision-making throughout the transition.

Commitment to transparency and continuous improvement

Our approach provides the State with clear, reliable and actionable insight into transition progress. Through structured metrics, schedule status, milestone health and proactive risk management, we support effective oversight and help maintain alignment to transition objectives and timelines. Our transition metrics framework is designed to align with readiness-based oversight and the operational priorities of the WV PATH's multiple programs. These include assuring uninterrupted support for eligibility and enrollment functions, maintaining stable interface and batch processing, delivering timely issue resolution and documented progress toward documentation and security readiness. Through this structured approach, Optum will provide the State with clear, objective evidence that transition activities are progressing successfully, services remain stable, and the program is positioned for a low-risk, high-value continuation of M&O services. We will continue to identify variance, assign owners, implement mitigation, track closure, and report results back to the State.

Objective: Final Handoff and Post-Transition Support

Our approach to the final handoff and post-transition support phase reflects the continuity and institutional knowledge that distinguishes this engagement from a traditional vendor-to-vendor transition. The WV PATH environment is not undergoing a transfer of operational responsibility; rather, the State benefits from the continuation of an established, fully operational program supported by personnel, processes and tools already deeply embedded in WV's human services operations.

Optum has proactively developed a contract-alignment approach that compares current WV PATH operations, existing contractual obligations, and State policies supported by WV PATH against the requirements contained in the RFP and subsequent addenda. This analysis identifies new, modified, and expanded requirements across operational, technical, governance, security, reporting, and service-level performance domains. Optum has already begun evaluating many of these requirements within the context of existing operations, enabling accelerated planning, informed prioritization, and opportunities to advance certain enhancements and operational improvements earlier in the contract period than may be possible under a traditional vendor transition.

During transition, Optum expects to maintain a contract-alignment crosswalk to support planning, governance, and tracking of identified requirements and operational changes. The crosswalk may be used to document applicable requirements, associated activities, progress, dependencies, and readiness considerations, while supporting collaboration with the State throughout the transition period. Transition-related documentation is expected to include appropriate records of completed activities, readiness assessments, open items, and other materials necessary to support contract alignment and operational continuity.

Given the continuity of our team, the transition period will span the six months required by the State, during which Optum will validate alignment with the requirements of the new contract.

This timeframe reflects compliance with State RFP requirements rather than full transition complexity, as activities remain focused on contract alignment, operational refinement, governance, and implementation planning. Transition efforts are not associated with relearning the WV PATH system, restabilizing environments, or reestablishing operational baselines. Instead, Optum can focus on advancing contractual priorities and selected enhancements while continuing day-to-day operations and maintaining performance against Appendix IX SLA requirements for West Virginians, clients, and providers.

Near the conclusion of the transition period, Optum and the State may conduct a transition closeout review to assess progress against identified contract-alignment activities, operational readiness, and any transition-related actions undertaken during the six-month period. Transition documentation may be used to summarize completed activities, readiness considerations, outstanding items, and planned next steps.

Any remaining items can be tracked through established governance processes and documented with appropriate ownership, priorities, and follow-up actions, as applicable. Ongoing M&O services will continue without interruption, with contract-alignment activities managed through existing operational, performance-monitoring, and governance processes. This approach promotes continuity, transparency, and accountability while providing the State visibility into transition outcomes and ongoing WV PATH operations under the new contract.

Why Optum

Optum provides West Virginia with a low-risk, continuity-first transition approach that preserves current WV PATH operations while aligning the program to the new contract. As the incumbent, Optum sustains institutional knowledge, existing governance, proven operational controls, established reporting practices and experienced PATH resources to support uninterrupted service delivery and ongoing modernization.

- **Alignment with Goal 1:** Seamless Transition of Operations through incumbent continuity and stability: Optum avoids the cost, disruption and risk of a traditional vendor turnover by keeping experienced PATH teams, tools, processes and operational knowledge in place from contract commencement.
- **Focused contract alignment:** Transition activities are targeted to new or refined contract requirements, reporting expectations, SLAs, governance updates and readiness validation rather than relearning or restabilizing PATH operations.
- **Uninterrupted service delivery:** Optum maintains eligibility determinations, benefits issuance, customer support, interfaces, reporting, batch processing and production support while incrementally implementing approved contract updates.
- **Transparent governance and reporting:** Optum uses established governance forums, KPI reporting, risk and issue tracking, dashboards and executive summaries to give the State clear visibility into transition progress, readiness and mitigation activities.
- **Long-term modernization value:** By preserving operational stability and reducing transition burden on State staff, Optum enables WV PATH to continue advancing modernization, reporting, compliance and service improvement priorities.

Goal 2: Effective Maintenance and Operations Management

Optum understands that effective M&O is not only about keeping the system available, it is about helping West Virginia and DoHS operate a complex, federally regulated human services platform every day while also supporting policy changes, operational improvements, change requests, enhancements, and new priorities. We understand that system availability is also key to the citizens of West Virginia to be able to apply for and maintain the many benefits that are managed by the WV PATH system.

WV PATH supports critical functions across Family Assistance (including Medicaid/CHIP, SNAP, TANF and multiple other programs), Child Welfare, Child Support, and Child Care, including eligibility, case management, benefits issuance, financial processing, portals, reports, correspondence, interfaces, batch operations, and federal data exchanges. A change in one area can affect downstream reports, notices, interfaces, payments, user workflows, or federal reporting. That is why WV PATH M&O must be disciplined, transparent, and tightly governed.

Drawing on our eligibility and enrollment experience, we understand that many WV PATH requirements in Addendum 6 span multiple programs. We have reflected this in our WV PATH Base maintenance and operations pricing. Other vendors may miss this nuance and treat requirement ambiguity as justification for a change request, rather than as a base maintenance and operations responsibility.

Optum brings this approach to an operating environment we know firsthand. WV PATH currently supports multiple program areas, client and provider-facing portals, worker workflows, eligibility rules, notices, reporting, interfaces, batch processes, and financial functions that must operate together reliably. That operational knowledge allows Optum to identify dependencies early, reduce avoidable rework, and help the State make informed decisions about priorities, risks, timing, and capacity.

Our approach gives the State a proven, structured operating model for managing daily operations, incidents, defects, requirements, design, testing, implementation, service levels, change requests, and enhancements. We use the institutional knowledge gained from operating PATH today, and pair that knowledge with documented processes, State review points, measurable service expectations, and capacity controls so the State has visibility and confidence in how work is managed.

Optum manages PATH work through an end-to-end M&O lifecycle: intake, triage, prioritization, requirements analysis, impact assessment, design, configuration or development, testing, release readiness, implementation, post-release validation, stabilization, and continuous improvement. This lifecycle applies to incidents, defects, service requests, CRs, enhancements, policy-driven updates, reporting changes, interface updates, correspondence updates, and operational improvements.

Each work item is reviewed for business impact, technical impact, compliance impact, SLA risk, benefit issuance impact, federal or State deadline impact, resource capacity, dependencies, and State priority. This matters because PATH is a shared operational environment where a change to eligibility logic, reports, notices, portals, interfaces, batch processing, or financial outputs can affect multiple programs and users.

Optum manages the PATH lifecycle using documented artifacts and review points, including intake records, requirements, business rules, impact assessments, design specifications, test

plans and results, defect logs, release readiness checklists, deployment plans, rollback or contingency plans, change approvals, and post-implementation review notes.

Optum uses a structured intake and prioritization process. Work enters the process through State requests, production incidents, help desk trends, audit findings, federal or State policy changes, user feedback, SLA reviews, operational reporting, or continuous improvement analysis. Each item is assessed using consistent criteria, including severity, urgency, client and provider impact, worker impact, benefit issuance or payment impact, compliance risk, SLA risk, federal or State deadline, technical dependency, estimated level of effort, available capacity, and State priority.

Optum regularly reviews the M&O backlog with the State through established governance. These reviews show what is in progress, what is pending, what is blocked, what decisions are needed, what risks or dependencies exist, and how available capacity is being applied. Capacity for CRs and enhancements is consistently reviewed against available resources, release timing, operational demand, dependencies, and competing priorities so approved work can be sequenced realistically and delivered without compromising daily operations.

Optum manages service level performance as a core M&O discipline. We monitor applicable service levels, review trends with the State, document variances, assign corrective actions, and report progress through established governance. For WV PATH, daily operations include monitoring application availability, State and federal interfaces, batch schedules, benefit issuance processes, reports, correspondence, incidents, worker and client-facing queues, job failures, data exceptions, help desk trends, and SLA indicators. Operational cadence includes daily production health checks, incident and defect reviews, SLA trend reviews, release readiness meetings, and State coordination when issues may affect program operations or service delivery.

For WV PATH, daily operations also require close coordination with the State teams and partners that support the broader West Virginia operating environment. Optum works with DoHS program and policy teams, WV OMIS, WVOT, BMS, BFA, BSS, CSE, and other State agencies and stakeholders as needed to support PATH production operations, interfaces, security and access needs, batch schedules, benefit issuance timing, reporting, incident response, and release readiness. This coordination helps keep technical operations aligned with program priorities, State technology requirements, federal timelines, and the day-to-day needs of workers, clients, and providers.

When issues occur, Optum uses structured triage, escalation, root cause analysis, corrective action tracking, and State communication to limit impact and reduce recurrence. Operational trends, incident patterns, defect aging, backlog health, release outcomes, and SLA performance have been and will continue to be used to identify where process improvements, additional controls, or capacity adjustments are needed.

Bringing unmatched capabilities

We understand the State's requirements and differentiate ourselves by tailoring our technical support model for your unique needs. Optum brings an operationally ready support model that aligns with the existing environment and can continue to support the State without disruption. We will bring the following technical support offerings under this contract to the State.

Our technical support service offerings for West Virginia PATH

- **24/7 coverage** enabling State staff to engage Optum for high priority incident resolution
- **IT infrastructure library (ITIL)** best practices providing a mature approach to incident management, resolving incidents quickly
- **Eyes-on-glass** monitoring solutions help to reduce the time IES solution is impacted when there is an event
- Initiate **High Priority Teleconference Bridge** to engage all necessary personnel to restore critical or high priority incidents quickly
- **Knowledge management** approach proactively building, maintaining, and updating key support knowledge in a searchable and easy-to-understand database, which includes FAQs, solutions to common issues, and key process documentation
- **Cross-trained resources** with subject-matter knowledge of your systems and people

Technical support interface

The State Help Desk will log and assign incidents and service requests to Optum within our ServiceNow platform as part of the established support workflow. Optum will utilize ServiceNow to manage investigation, tracking, status updates and resolution activities, assuring full visibility and alignment with the State's ticket management and reporting processes.

Ticket intake, triage and handoff from the State

The State Help Desk will serve as the point of contact to receive user inquiries, perform initial triage, assign severity and priority, and log incidents and service requests in accordance with Appendix VI: Business and Technical Specifications, Table 12. Optum will receive tickets submitted by the State and will operate fully within the State's intake, categorization, escalation and severity definitions.

Optum has successfully supported this model in multiple State environments where the State Help Desk or Call Center serves as the central point of contact for all requests. In those models, Optum functions as an extension of the State's support organization, accepting assigned tickets, validating intake details, and coordinating with State staff when additional clarification is required. This collaborative intake approach reduces rework, accelerates resolution and preserves end-to-end visibility for the State. Optum also provides critical escalation support when the system experiences an issue that impacts the users.

Optum remains the technical point of contact for the State throughout the incident lifecycle and provides timely status updates to support State-led communications and ticket closure.

Figure 6 shows the Optum technical support process flow, beginning when the State makes a support request through resolution.

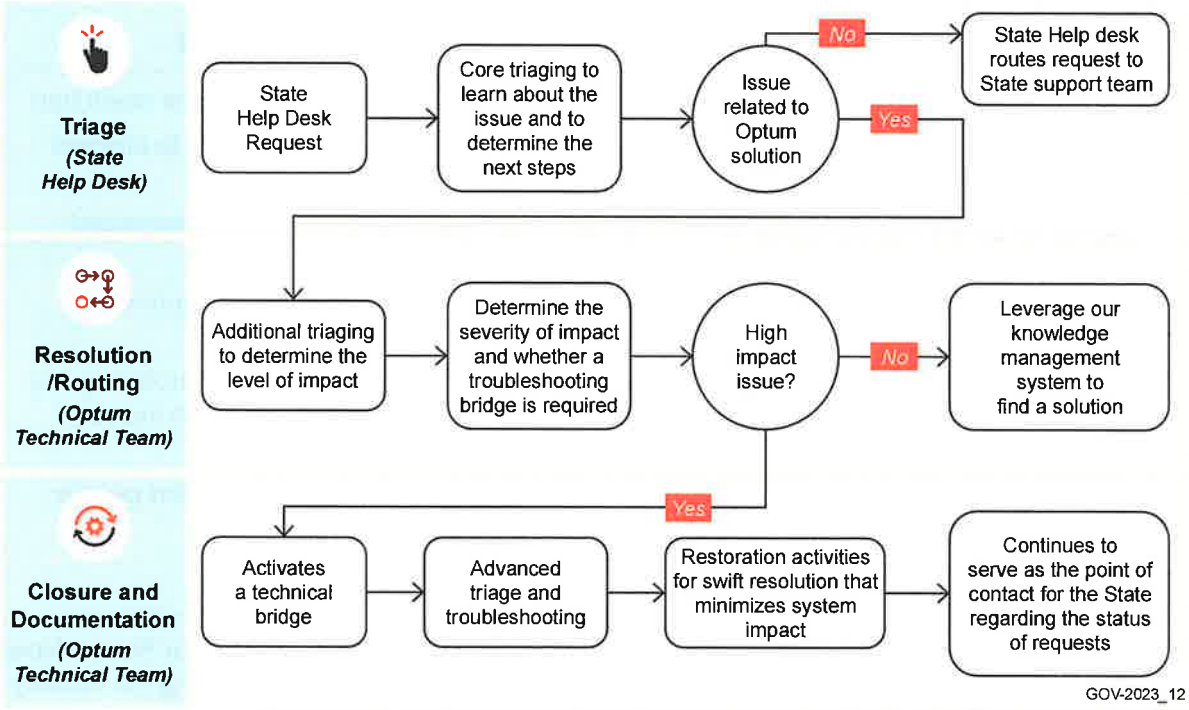

Figure 6: Technical support process flow.

Our technical support delivers incident management and issue resolutions for the solution.

Our technical support process depicts our ticket handling process that effectively channelizes the flow of support service from the time the State submits a support request until it is resolved.

Steps	Description
Step 1. Triage	• Upon receipt of a State-submitted ticket, Optum performs technical triage to determine scope and next steps. • Issues are assessed for impact and urgency, and high-priority incident procedures are invoked when required.
Step 2. Resolution / routing	• Optum leverages its knowledge base and technical expertise to resolve issues. • When needed, tickets are escalated to the appropriate technical teams for advanced investigation.
Step 3. Engaging next level for resolution	• Optum remains the technical point of contact for the State throughout resolution. • High-priority issues are addressed through coordinated restoration efforts to minimize system impact.

Investigation and technical resolution

Upon receipt of State-submitted ticket, Optum initiates technical investigation using a structured, ITIL-aligned incident management process focused on restoring service as quickly as possible while minimizing business disruption. Optum assigns tickets to appropriately skilled resources based on the nature, severity and impact of the issue and engages the appropriate Level 2 and Level 3 technical teams as required.

The Optum investigation process includes:

- Validation of reported symptoms
- Review of recent changes, releases, batch activity and integrations
- Technical troubleshooting across applications, data and infrastructure layers
- Coordination with State technical teams or external vendors as needed

All activities are executed in accordance with the service level requirements defined in Appendix IX, Table 17: SLA 003. Optum tracks progress against SLA thresholds from ticket assignment through resolution and prioritizes restoration activities based on business impact and urgency.

Ongoing communication and State coordination

Optum maintains consistent and timely communication with the State throughout investigation and resolution. This includes requesting additional information when needed, providing interim status updates and confirming resolutions before ticket closure. Optum recognizes that clear, predictable communication is essential to State operations and uses the State's preferred communication channels and formats.

For complex or extended issues, Optum partners with the State to align on next steps, dependencies and anticipated resolution actions. This collaborative approach supports transparency, shared understanding and effective decision-making across technical and business stakeholders.

Documentation and ticket updates

Optum documents all actions taken to investigate and resolve incidents and service requests. Documentation includes investigation steps, troubleshooting activities, remediation actions, timestamps and final resolution details. This information is recorded directly in the ticket management system or provided to the State in a format compatible with the State's ticket management process.

We leverage ServiceNow as our platform for managing requests, incidents and problems. The workflow and reporting capabilities route, monitor and track tickets. The State will be able to review progress and resolution information about requests and incidents. The reporting features will enable us to share information with you on the status and disposition of tickets.

As we address an issue or problem, we update the ticket in ServiceNow. Key information captured in the support ticket includes:

- Complexity and severity level
- Automatic date and time stamp of the initial request, all responses and any updates that take place
- Pre-populated user information, such as email address, telephone number and unit based on the user's State ID, if available; if this information is not systemically available it is captured in designated fields to confirm we have key contact information documented.
- All correspondence received. All emails sent or received for a specific ticket will be readily available and all actions, any attachments and all conversations will be documented. This provides a complete audit trail of the technical support ticket from inception to final resolution.

Optum provides status updates for open issues in accordance with the required response time SLAs based on severity codes. We provide status updates either through a reply within the ticket tracking system or by telephone, with contact details noted on the ticket.

Figure 7 is an example of a user request logged and tracked into the ServiceNow system.

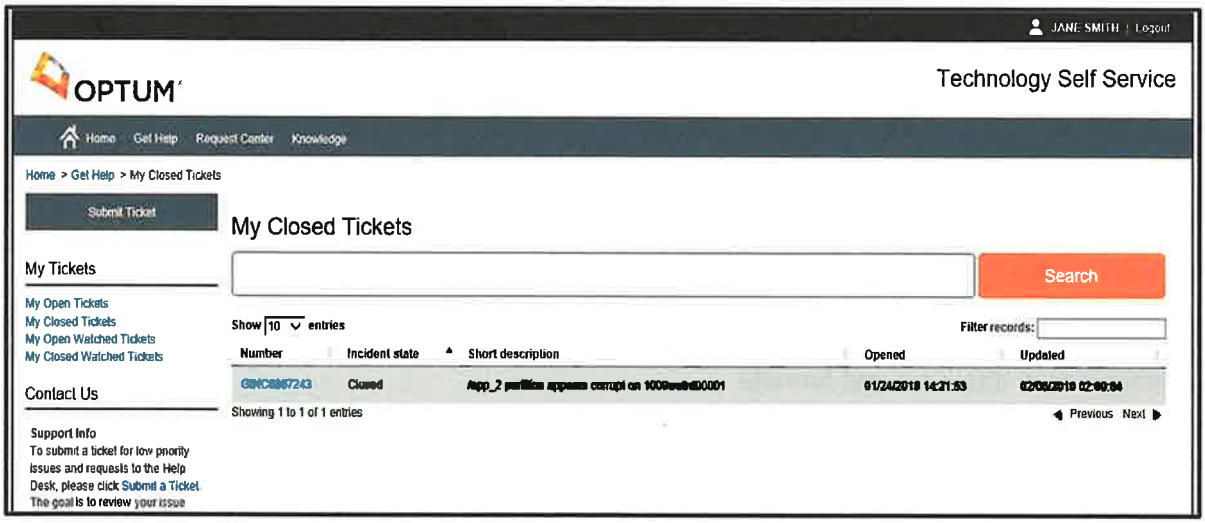

Figure 7: ServiceNow software – technical support request.

User requests will be logged and tracked from submission to resolution.

While the State maintains ownership of ticket updates and closure, Optum will provide clear resolution summaries and supporting details to support timely updates and confirmation of resolution. This approach provides a complete audit trail from intake through closure and supports reporting, trend analysis and continuous improvement activities.

Problem management and continuous improvement

For high-priority, recurring or systemic issues, Optum follows a standardized problem management process to identify root causes and implement corrective actions. Root cause analysis (RCA) is performed for qualifying incidents and shared with the State as appropriate. Optum focuses on reducing repeat incidents and improving overall stability and availability of the PATH system.

Insights from incident and problem trends are used to strengthen monitoring, refine support processes, and improve operational outcomes. Our experience supporting eligibility and integrated systems enables proactive identification of patterns that could become future incidents, supporting ongoing service reliability.

Technical support best practices

Our familiarity with the PATH system, existing workflows and State processes enable continuity of operations and minimizes transition-related risk. Our technical support approach strives to provide a core set of standards that minimize downtimes, reduce operational costs and continuously improves the user service. In support of this goal, we follow a defined set of best practices as shown in **Figure 8**.

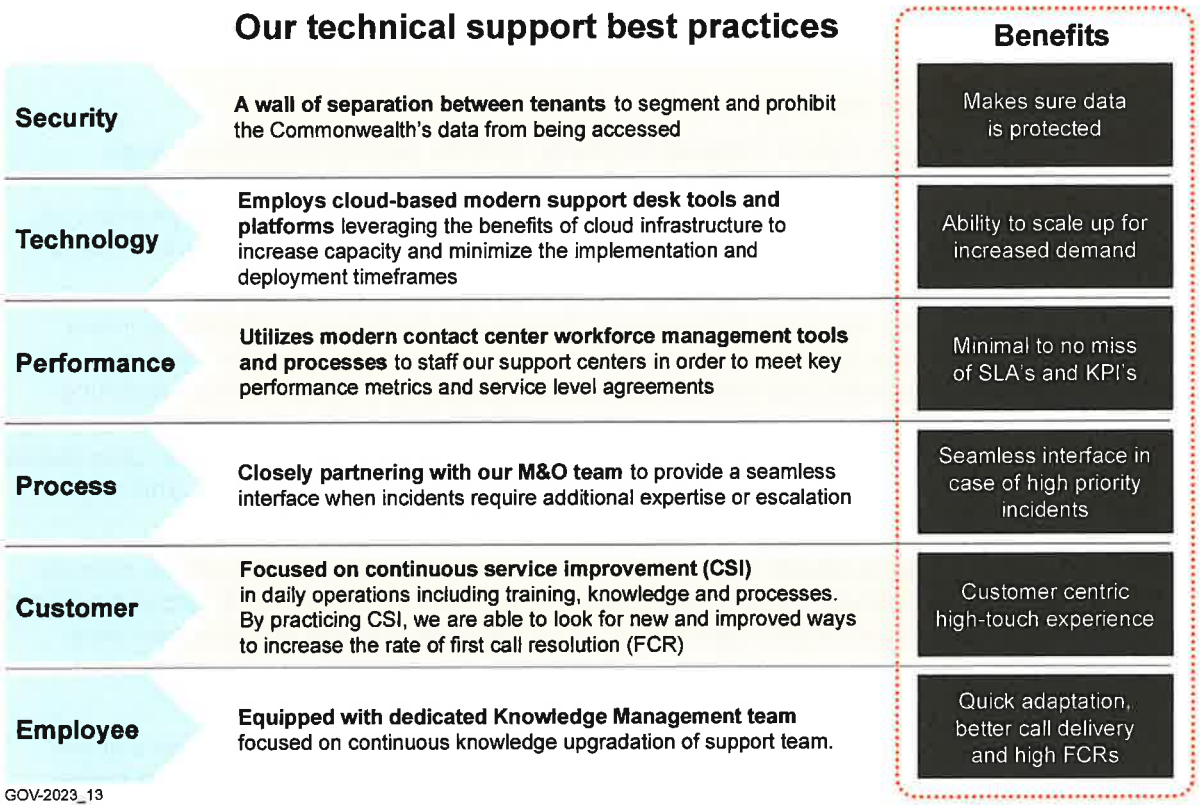

Figure 8: Technical support best practices.

Our technical support approach is focused on providing a scalable, automated, knowledgeable and transparent support model.

Through this disciplined M&O approach, Optum will continue to keep PATH stable, responsive, and sustainable while continuing to deliver the changes and enhancements needed for long-term success. As a result of our approach and M&O discipline, program administrators receive reliable daily operations and a clear path for policy and operational changes. Similarly, technology leaders receive lifecycle controls, testing rigor, release readiness, and system integrity, while procurement and contract managers receive visibility into SLAs, backlog, capacity, risks, and performance against commitments.

Objective: Comprehensive M&O Process Management

Comprehensive M&O process management

Optum manages WV PATH through a structured, documented M&O lifecycle that gives the State visibility and control from initial intake through implementation and post-release validation. The lifecycle covers requirements analysis, impact assessment, design, configuration or development, testing, implementation, stabilization, and continuous improvement.

Because PATH supports multiple programs and shared technical services, M&O work must be managed as an integrated process, not as isolated tasks. A change to eligibility logic will often affect notices, reports, interfaces, batch schedules, worker tasks, benefits issuance, financial outputs, or federal reporting. The Optum process is designed to identify those impacts early,

document decisions, validate readiness, and protect daily operations while approved changes move forward.

Documented lifecycle controls

Intake and prioritization. Optum captures incidents, defects, service requests, change requests, enhancements, policy updates, and operational improvements through a documented intake process. Each item is reviewed for severity, urgency, program impact, compliance risk, service level risk, dependencies, and State priority. This gives the State visibility into what is being worked, why it matters, and how priorities are being managed.

Requirements analysis. Requirements analysis begins with business or operational need. Optum works with State subject matter experts to confirm policy intent, program impact, acceptance criteria, upstream and downstream dependencies, and compliance or reporting implications. Requirements are reviewed against approved WV PATH artifacts, including design specifications, interface inventories, report inventories, correspondence inventories, operational procedures, and production standards. This reduces ambiguity, prevents rework, and helps confirm requirements are completed before design begins.

Design and impact assessment. Optum documents design decisions and evaluate impacts across eligibility rules, notices, reports, interfaces, portals, batch processing, financial functions, worker workflows, and downstream operations. Cross-program impacts are reviewed when changes affect shared data, eligibility logic, correspondence, reporting, interfaces, batch schedules, financial outputs, or user workflows.

Testing and validation. Design, testing, and implementation are managed through defined quality gates, including requirements review, design validation, test readiness, defect triage, release readiness, go/no-go review, production validation, and post-implementation review. Testing is scaled to the risk and complexity of the change and may include unit, system, integration, regression, user validation, accessibility, security, interface, batch, report, correspondence, and downstream operational testing as applicable.

Implementation and stabilization. Optum uses release readiness checklists, deployment plans, rollback or contingency plans, change approvals, implementation communications, production validation, and post-release monitoring to support and control implementation. These controls help maintain system integrity before, during, and after release.

Compliance and audit support. Compliance is built into the lifecycle rather than reviewed only at the end. Optum reviews applicable Agency policies, State IT requirements, security standards, accessibility needs, privacy requirements, federal program rules, and reporting obligations during requirements analysis, design, testing, and implementation. Where applicable, requirements are traced to design decisions, test cases, approvals, implementation evidence, and retained artifacts for audit and oversight support.

Collaboration and governance

Optum aligns M&O work with Agency priorities through regular engagement with Department of Human Services (DoHS) program and policy teams, including the Bureau for Family Assistance (BFA), Bureau for Social Services (BSS), Bureau for Child Support Enforcement (BCSE), Bureau for Medical Services (BMS), OMIS, WVOT, and other State stakeholders as needed.

These forums support requirements review, prioritization, design validation, release planning, issue resolution, and readiness decisions. They also give the State visibility into process discipline, approvals, risks, dependencies, and performance.

Performance and continuous improvement

Optum will monitor the health of the M&O lifecycle through measures such as requirement approval timeliness, defect aging, test completion, release readiness, post-release defects, rework, and recurring issue trends. These measures help identify where the process is working well and identify additional refinement, training, documentation, or controls may be needed.

Objective: Timely and Accurate Requirements Gathering

Optum uses a structured requirements management process for WV PATH that helps the State capture, prioritize, document, validate, and track requirements as program, policy, technical, regulatory, and operational needs emerge. This process is already in place for PATH and was developed with the State and reviewed and approved as Deliverable D026 under the current contract. That gives West Virginia a proven requirements foundation rather than a process that must be created after award.

This provides the State requirements processes that reduces rework, improves decision-making, protects program alignment, and helps approved changes move forward with clearer scope, ownership, and readiness.

Requirements intake and capture

Requirements may come from State requests, policy changes, federal or State guidance, operational needs, defect trends, audit findings, reporting needs, interface updates, user feedback, modernization priorities, or approved change requests. Optum works with State subject matter experts to capture the business need, policy intent, impacted programs, affected users, expected outcome, acceptance criteria, dependencies, and any compliance or reporting considerations.

Optum also uses regular collaboration with Optum subject matter experts, including business analysts, developers, testers, and policy SMEs, to review new requirements and proposed, planned, and ongoing changes. These discussions help identify cross-program concerns, risks, issues, and opportunities that may not be visible from the initial request alone.

Prioritization and readiness

Optum works with the State to prioritize requirements based on program impact, client and provider impact, worker impact, compliance or federal deadline, service level risk, benefit issuance or payment impact, operational urgency, technical dependency, level of effort, and release timing. This gives the Agency a clear basis for deciding what should move forward, what requires more analysis, and what should be sequenced for a later release or enhancement cycle.

As requirements are evaluated, Optum also considers cross-program impacts and secondary program benefits. Because WV PATH supports connected programs and shared services, a requirement that begins in one program may affect another program's workflow, reports, notices, interfaces, data, security/access controls, batch processes, financial outputs, or downstream operations. The Optum cross-functional team helps identify those impacts early so they can be discussed with the appropriate State partners and incorporated into final designs, as appropriate.

Documentation and traceability

Requirements are documented in approved requirements management tools and supporting artifacts. Where applicable, requirements are linked to business rules, design decisions,

interface impacts, report or correspondence updates, test cases, defects, implementation activities, training or communication needs, and operational support artifacts.

The Requirements Traceability Matrix (RTM) supports version history, change control, success criteria, dependencies, testability criteria, and traceability to design and test artifacts. This helps reduce ambiguity, supports auditability, and gives the State visibility into how a requirement progresses from initial request through implementation.

Optum will maintain the RTM as the authoritative source for tracking requirements throughout the project lifecycle, from definition and validation through testing and defect resolution. The RTM will identify coverage gaps, document test outcomes, including pass/fail status, and establish bidirectional traceability among business, system, and interface requirements. Optum will use the RTM to define and validate application-specific requirements. The Application Lifecycle Management (ALM) tool will support requirements management, test traceability, and defect tracking. Optum has successfully implemented ALM solutions for state clients, including PATH, to link requirements directly to related test cases and defects. **Figure 9** highlights key Opentext ALM capabilities:

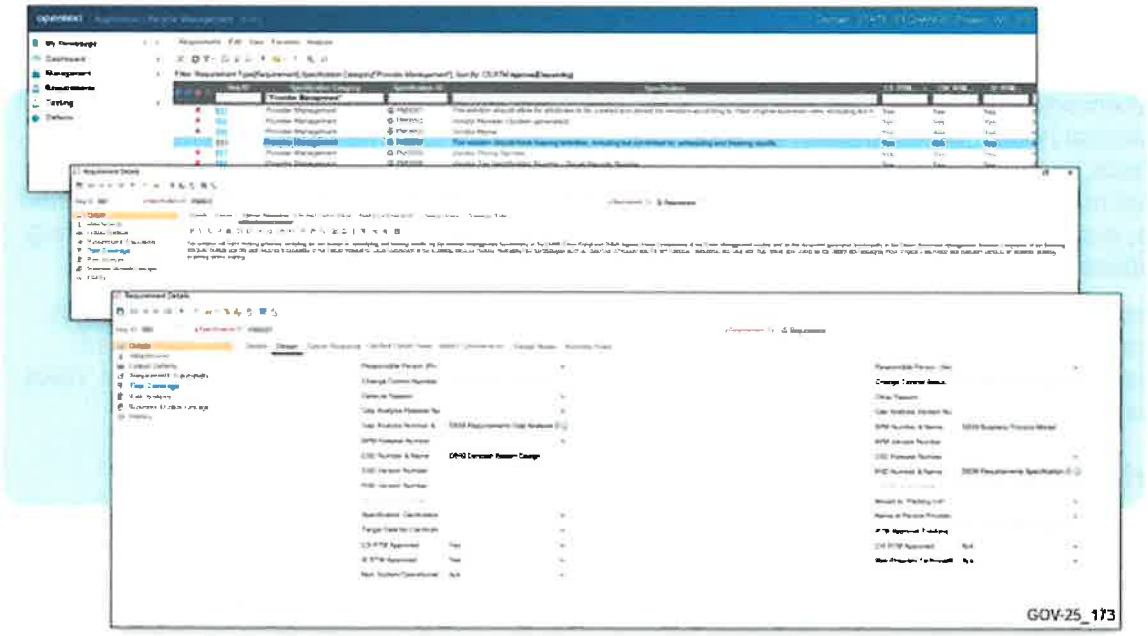

Figure 9: Opentext ALM tool.

The Optum Opentext ALM tool helps confirm that downstream testing and implementation activities remain tied to the approved business need.

Stakeholder engagement and validation

Optum conducts regular stakeholder engagement with Department of Human Services (DoHS) program and policy teams, including the Bureau for Family Assistance (BFA), Bureau for Social Services (BSS), Bureau for Child Support Enforcement (BCSE), Bureau for Medical Services (BMS), OMIS, WVOT, and other State stakeholders as needed. These sessions support requirements review, policy clarification, prioritization, design alignment, dependency review, release planning, and decision tracking.

Optum also supports West Virginia's established executive governance and escalation structure, including the Executive Steering Committee (ESC), when requirements affect schedule, scope, risk, cross-program priorities, policy direction, or executive decision-making. When requirements require prioritization decisions, policy clarification, cross-bureau alignment, or escalation beyond the working-team level, Optum will prepare the necessary status, options, impacts, risks, and recommendations for State review through the appropriate governance forum.

These sessions provide a structured way to confirm that requirements align with evolving program needs. State stakeholders can review requirement status, clarify intent, raise concerns, confirm dependencies, identify cross-program impacts, and resolve or escalate decisions before requirements move too far into design or build.

Visibility into requirements progression

Optum gives the State visibility into requirements status through established governance and reporting, including working sessions, program-level reviews, and executive governance through the ESC when escalation or executive decision-making is needed. Requirements are tracked through intake, analysis, validation, prioritization, approval, design, build/configuration, testing, implementation, and post-release validation.

Status reporting identifies items in progress, items awaiting State decision, open questions, dependencies, risks, changes in scope, release impacts, downstream readiness considerations, and items escalated for ESC awareness or decision. This gives the Agency a clear view of requirement progression and helps prevent requirements from becoming disconnected from program priorities, release planning, or implementation readiness.

Optum Key Personnel

PATH FA/Medicaid Line of Business Manager Raghuram (Raghu) Mekala

Raghu is the Medicaid business manager with over **20 years** of enterprise IT and HHS program management leading / supporting implementation and M&O activities. Highlights include:

- ✔ **WV IES** support for nearly **10** years, **25 years** leadership
- ✔ Active PMI Project Management Professional (**PMP**) Certification
- ✔ **Master of Science**, Technology, Marshall University

Quality and continuous improvement

Optum reviews requirements for completeness, clarity, testability, feasibility, policy alignment, and downstream impact before they are baselined. As requirements are clarified or changed, updates are managed through change control, so decisions remain traceable.

Optum may also use responsible automation or AI-enabled delivery practices to support activities such as summarizing stakeholder discussions, identifying duplicate or conflicting requirements, highlighting gaps in acceptance criteria, or supporting first-draft user stories. Any AI-assisted output will remain subject to Optum and State review, validation, governance, and approval before use in project decisions or deliverables.

This requirements approach gives West Virginia a controlled, transparent, and auditable way to manage both ongoing and new requirements. Program leaders gain confidence that requirements reflect evolving policy and operational needs. Technology leaders gain traceability from requirements to design, testing, implementation, and post-release validation. Procurement and contract stakeholders gain visibility into status, decisions, dependencies, change control, and escalation. Most importantly, the State retains clear control over what is prioritized, approved, and delivered for PATH, reducing rework, avoiding late surprises, and helping the right changes move forward at the right time.

Objective: Scalable Testing and Implementation Approach

Scalable testing and implementation approach aligned to the Agency vision

Optum combines extensive knowledge of PATH's architecture, integrations, business processes and regulatory requirements with a mature, scalable quality engineering framework that actively supports production operations today. Our approach enables DoHS to implement emergency fixes, policy updates, federal mandates, modernization initiatives, and large-scale enhancements while maintaining operational stability, data integrity, system performance and regulatory compliance.

WV PATH is a highly integrated, mission-critical ecosystem supporting complex eligibility determinations, financial transactions, external interfaces and sensitive constituent information. To manage this complexity, Optum employs a proactive risk-based testing and implementation framework that scales validation activities according to the business, technical and operational risk associated with each change.

Testing scope is determined through objective evaluation of functional impact, data sensitivity, interface dependencies, transaction volumes, regulatory exposure and potential effect on constituent services. This allows critical production fixes to be delivered rapidly while assuring major enhancements receive comprehensive validation before deployment. Optum applies a scalable, risk-based testing and implementation framework that supports minor updates, emergency fixes, policy changes, federal mandates, modernization initiatives, and large-scale enhancements while protecting daily operations.

PATH is a mission-critical environment supporting eligibility determinations, financial transactions, portals, reports, correspondence, batch processing, interfaces, and sensitive client and provider information. Testing and implementation cannot be one-size-fits-all. Optum scales validation activities based on the business, technical, operational, security, regulatory, and user impact of each change.

This approach allows lower-risk changes to move through focused testing and controlled implementation, while higher-risk or cross-program enhancements receive broader validation before release. In each case, the goal is the same: maintain system integrity, protect service continuity, and give the State clear evidence that changes are ready before they are deployed.

Optum Key Personnel

Test Manager
Anil Kumar Verma

Anil is a quality engineering leader with more than **20 years of** experience in QA, test management and automation for large-scale public sector, and healthcare technology and projects. His highlights include:

- ✔ **18 years** of leadership and management of DDI & M&O services
- ✔ **12 years** managing end-to-end testing lifecycle on an integrated
- ✔ **Graduate of Computer Engineering**, Institution of Engineers

Risk-tiered release and testing framework

Every change entering the delivery pipeline is classified using a standard risk assessment method. The assigned risk tier determines the level of testing, review, governance, implementation planning, and post-release monitoring required.

Risk factors include client and provider impact, worker impact, benefit issuance or payment impact, data sensitivity, interface dependency, batch processing impact, reporting or correspondence impact, compliance exposure, transaction volume, security or accessibility impact, rollback complexity, and potential effect on State operations.

Lower-risk changes may use targeted regression, focused validation, and streamlined release controls. Higher-risk changes may require broader system, integration, regression, user acceptance, accessibility, security, performance, interface, batch, report, correspondence, and downstream operational testing.

Tier	Change Type (examples)	Mandatory Test Package	Typical Cycle
Tier 0: Emergency	Sev-1 production fix, payment-blocking defect	Automated impact analysis combined with critical-path regression and smoke testing	Same day–2 days
Tier 1: Minor	Config, correspondence, reference-table, report changes	Automated targeted regression selected by AI impact analysis and module smoke; accessibility scan on changed screens	1–2 weeks
Tier 2: Policy/Cyclical	FPL/COLA/SUA mass changes, LIEAP open, federal reporting updates	Full program-area regression + mass-change parallel run comparing before/after benefit results at scale and batch window re-verification	2–4 weeks
Tier 3: Major Enhancement	New functionality, federal mandates, module-level change, tech refresh	Full SDLC V-model: unit→system→integration→full automated and manual regression, performance re-baseline, security scan, 508 re-verification, WV DoHS UAT, ORR, pilot/phased rollout option	Per release plan

Automation-first quality engineering

A cornerstone of our approach is a continuously expanding automation-first testing program designed to improve scalability while reducing delivery risk.

Automation is applied extensively across eligibility processing, financial transactions, batch operations, interfaces, reporting, API **transactions, and reconciliation processes. This increases consistency, improves auditability, accelerates validation cycles and enables testing scalability without increasing implementation timelines**.

Area	Approach
UI Regression Testing	Selenium-based automation framework with Page Object Model and parallel execution grid
API Testing	Automated validation of interfaces, rules services and integrations

Area	Approach
Batch Validation	Automated verification of completion status, record counts, reconciliations and financial balances
Performance Testing	JMeter-based load, stress and volume testing suites integrated into release processes
Accessibility Testing	Automated and manual Section 508/WCAG validation
Continuous Regression	Expanding reusable regression suite covering PATH business-critical functionality

AI-enabled quality engineering (human-governed)

Optum uses automation to improve testing repeatability, coverage, and speed, particularly for regression testing, interface testing, data validation, API testing, and smoke testing. Automation helps the team execute routine checks consistently and identify release risk earlier.

Where appropriate and approved, Optum may also use AI-enabled quality engineering as an accelerator for activities such as impact analysis, draft test scenario generation, regression coverage recommendations, synthetic test data support, defect pattern analysis, and execution analytics. These capabilities support tester efficiency and risk identification; they do not approve releases, promote code, replace user acceptance testing, or replace State review. All AI-assisted outputs remain subject to Optum and State validation, governance, auditability requirements, and applicable security policies.

AI Assisted Capabilities	Purpose
Impact Analysis	Identifies change impacts and recommends regression coverage
Test Generation	Drafts candidate test scenarios and Gherkin-based business-readable test cases
Synthetic Data Generation	Creates realistic test data without exposing sensitive information
Self-Healing Automation	Improves automation resilience following UI changes
Defect Analysis	Identifies recurring patterns, clusters failures and accelerates triage
Execution Analytics	Detects anomalies and highlights higher-risk areas requiring investigation

Environments, data and configuration control

- **Environment Strategy:** Segregated, production-like streams, development, system test, integration/interface test, performance (production-scale), UAT/training and staging — with documented refresh cadence and automated environment health checks; parallel streams are what allow minor and major work to proceed simultaneously without disruption.
- **Test Data Management:** Masked/synthetic data policy enforced in all non-production environments per IRS Pub 1075, MARS-E→ARC-AMPE, SSA and HIPAA requirements; automated masking verification runs with every refresh.
- **Configuration and Release Control:** All code, rules, test scripts and environment definitions under version control; CI/CD pipeline (build → static analysis/security scan → automated unit and smoke → deploy to test) gives every change an auditable path to production; releases governed through the joint WV DoHS/vendor Change Advisory Board with expedited path for Tier 0.

Operational readiness and production validation

Operational readiness is embedded throughout the release lifecycle rather than treated as a final deployment checkpoint.

For major releases, operational readiness reviews evaluate runbooks, support procedures, training readiness, monitoring capabilities, escalation processes, rollback plans and production support preparedness. Hypercare activities provide enhanced monitoring and accelerated issue resolution immediately following deployment.

Stage	Quality Controls
Before (readiness)	Tier-based entry/exit criteria; code review + static analysis gates; RTM updated per release; Operational Readiness Review (ORR) for Tier 2/3 covering runbooks, rollback plan, monitoring, help desk scripts and DoHS UAT sign-off; go/no-go with DoHS.
During (deployment)	Deployments in DoHS-approved low-impact windows; blue-green or canary deployment for Tier 3 where architecture permits; automated post-deployment smoke suite executes before the window closes; rehearsed, tested rollback/backout plan for every release — practiced, not theoretical.
After (verification and hypercare)	Production verification checklist with DoHS concurrence; hypercare period (up to 30 days for Tier 3) with elevated monitoring, daily defect triage with DoHS, and first-batch-cycle watch; 30-day post-implementation review feeding lessons learned into the framework.

Mainframe modernization and cloud transformation testing

Our testing framework is specifically designed to support PATH modernization initiatives, including retirement of legacy mainframe components and migration to modern cloud-based platforms.

Testing Domain	Validation Focus
Data Migration	Data quality, transformation accuracy, reconciliation, referential integrity
Application Modernization	Functional equivalency between legacy and modernized systems
Batch Processing	Job execution, dependencies, restart capabilities, processing performance
Interface Validation	APIs, file exchanges, messaging systems, external integrations
End-to-End Testing	Validation of complete business workflows
Parallel Testing	Legacy-to-modern production result comparison and variance analysis
Performance Testing	Response time, throughput, scalability and workload validation
Security and Compliance	Authentication, authorization, vulnerability management, audit readiness
User Acceptance Testing	Business process validation and formal stakeholder acceptance

This disciplined approach reduces transformation risk while helping DoHS achieve modernization objectives without disrupting critical services. Automated comparison techniques, reconciliation processes, and parallel validation activities provide confidence that modernized functionality meets or exceeds legacy system performance and accuracy.

Quality metrics and continuous improvement

Optum measures testing and release quality using objective indicators reviewed with the State through governance. Measures may include defect leakage to production, regression coverage, regression cycle duration, requirements-to-test traceability, release rollback rate, UAT defect trends, deferred defects, post-implementation incident trends, automation coverage, and recurring issue patterns.

Quality Metric	Performance Target	Purpose
Defect leakage to production	<2% per release	Ultimate test-effectiveness measure
Automated regression coverage	≥85% of regression-eligible cases	Guards framework scalability
Regression cycle duration (full suite)	≤48 hours	Guarantees responsiveness at scale
Severity 1/2 defects found in production per quarter	Declining trend	Reliability trajectory
Requirements-to-test traceability	100%	Nothing ships untested
Release rollback rate	<2% of releases	Deployment safety
UAT defect discovery rate	Declining trend	Upstream quality improvement
Post-implementation incident rate (30-day)	Declining trend	After quality control effectiveness

Certification and compliance

Our comprehensive and structured testing approach confirms that the transformation from a legacy mainframe environment to AWS and Java-based applications is executed with minimal risk, high confidence and full business continuity.

By combining deep domain expertise, robust validation techniques and modern automation practices, we deliver a testing framework that assures the modernized platform is functionally equivalent, performance-optimized, secure and ready for future scalability.

As the incumbent vendor with extensive knowledge of WV's child welfare and child support ecosystems and direct experience deploying, testing and supporting both systems we propose a unified, certification-driven compliance strategy designed to achieve full alignment with CCWIS requirements under 45 CFR §1355.50–57 and OCSE certification requirements under 45 CFR §307. Building on successful system implementations, prior certification readiness activities and deep institutional knowledge, we are uniquely positioned to partner with the State to validate compliance, close remaining gaps and deliver audit-ready evidence supporting timely and successful federal certification outcomes.

Our approach is grounded in a compliance-first philosophy, making sure all system validation, testing and documentation activities are explicitly aligned with applicable federal regulations,

Advanced Planning Document (APD) commitments and program objectives. This alignment is operationalized through a robust, bidirectional RTM that maps CCWIS and OCSE regulatory requirements to system functionality, user stories, test cases, execution results, defects and audit artifacts.

With oversight from our PATH CW Line of Business Manager, Jana Patchen, this unified traceability framework promotes complete coverage, transparency and auditability while enabling efficient identification and remediation of certification gaps across both programs.

We will leverage a coordinated governance model built on our existing partnerships with both child welfare and BCSE stakeholders. Dedicated CCWIS Compliance and Alignment and OCSE Alignment Workgroups will operate in a coordinated manner, assuring program-specific regulatory interpretations remain intact while promoting consistency in execution, reporting and issue resolution. These forums will include program leadership, technical teams and QA stakeholders, and will:

- Validate regulatory interpretations specific to CCWIS and OCSE
- Review and prioritize gap remediation activities
- Track certification readiness milestones
- Confirm alignment with federal expectations and program operations

Optum Key Personnel

PATH CW Line of Business Manager Jana Patchen

Jana brings over **40 years** of business, technology, and leadership experience, that includes direct experience child welfare systems. Highlights include:

- ✔ **27 years** in the state government setting
- ✔ **5** years in support of SACWIS and CCWIS child welfare systems in **Ohio** and **West Virginia**
- ✔ **MBA, Executive Management,** from Ashland University

Weekly working sessions and monthly executive reviews will provide continuous visibility, proactive risk mitigation and timely decision-making, supported by clearly defined entry/exit criteria and formal State approvals.

Given that both systems are already deployed, our strategy emphasizes certification validation and targeted gap remediation rather than foundational system testing. We will build upon prior CCWIS assessments and OCSE objective reviews, maintaining a unified Certification Gap Register and Risk Heat Map that distinguishes program-specific requirements while enabling enterprise-level prioritization.

Testing activities will be purpose-built to align with each program's certification expectations.

CCWIS validation focus

- Scenario-based testing aligned to child welfare functional domains (intake, investigations, case management, placements, provider management, outcomes tracking)
- Validation of CCWIS principles including modularity, interoperability and data quality
- Verification of data exchanges using standards such as NIEM (where applicable) and integration with external partners (courts, Medicaid, education systems)
- Validation of federal reporting readiness (AFCARS, NCANDS, NYTD) with emphasis on data completeness, accuracy, timeliness and consistency
- Assessment of system support for child welfare practice and outcome measurement

OCSE validation focus

- Execution of the OCSE Distribution Test Deck as the primary driver for test scenarios and evidence collection
- End-to-end validation of the full child support lifecycle, including collections, distributions, disbursements, enforcement and interstate processing
- Rigorous financial integrity validation, including reconciliation across sub-ledgers, general ledgers and disbursement outputs
- Validation of federal reports such as OCSE-34, OCSE-157 and OCSE-396
- Testing of interfaces with federal partners (FPLS, IRS, SSA) and State systems, assuring transaction accuracy and compliance

System integration, data and user validation

Across all programs, System and Integration Testing (SIT) will confirm the stability, scalability and accuracy of system components and interfaces within production-aligned environments. Testing will include real-time and batch integrations, focusing on data integrity, accuracy of output, sequencing and error handling.

UAT will be conducted in close collaboration with State SMEs to validate that system changes support real-world policy, operational workflows and program outcomes, assuring compliance is both technically sound and operationally effective.

Certification readiness and audit preparation

To minimize certification risk, we will conduct structured Certification Readiness Reviews tailored to each program:

- CCWIS mock assessments aligned with ACF evaluation expectations
- OCSE certification readiness cycles aligned to the OCSE testing deck

These readiness activities will verify all required scenarios are executed successfully, evidence is captured, and any remaining gaps are resolved prior to formal review. An independent QA layer will verify completeness and audit readiness.

A centralized, well-organized evidence repository will support both certifications, with clearly indexed and cross-referenced artifacts including:

- Test execution results
- Traceability matrices
- Financial reconciliations (OCSE-specific)
- Interface validation logs
- Data quality reports (CCWIS-specific)
- Design and policy alignment documentation

This structure enables clarity, completeness and ease of navigation for federal reviewers.

Risk management, security and performance tracking

Risk management is embedded across all activities, leveraging our deployment experience and prior review insights to proactively address certification risks such as:

- Data quality and reporting discrepancies (CCWIS)
- Financial accuracy and reconciliation issues (OCSE)

- Interface reliability and integration performance
- Documentation completeness and audit readiness

Testing environments will remain production-aligned and compliant with applicable security standards, including IRS Publication 1075 and child welfare confidentiality requirements.

Progress will be monitored through comprehensive metrics, including requirement coverage, test execution status, defect trends and evidence completeness. A unified Certification Readiness Index (CRI) will provide a real-time, consolidated view of readiness across both CCWIS and OCSE efforts, enabling informed decision-making and executive transparency.

Optum advantage and conclusion

Optum brings unparalleled institutional knowledge, proven testing accelerators and direct experience from system deployments, prior readiness assessments and ongoing operations. This positions us to efficiently validate compliance, close remaining gaps and accelerate certification timelines with minimal disruption to ongoing program operations.

In summary, our integrated CCWIS and OCSE strategy delivers a cohesive yet program-specific, compliance-centered approach that combines rigorous traceability, targeted validation, financial and data integrity assurance, and comprehensive audit preparation. By maintaining the distinct regulatory and operational requirements of each program while leveraging shared processes and efficiencies, we provide WV with a clear, low-risk path to achieving and sustaining full federal certification compliance.

Optum employs a controlled, phased release approach consistent with commonly accepted enterprise and public-sector system implementation practices. Releases are implemented incrementally to reduce operational risk and support continuity of services. Incremental deployments, limited-scope pilots and structured cutover planning allow the Agency to implement system changes in manageable segments while supporting timely realization of business value.

Phased deployment approach

Releases are planned and executed using a phased strategy designed to limit disruption to program operations. Deployment activities may include pilot implementations, staggered rollouts, and configuration-based activation of new functionality. Rollback and contingency procedures are developed and validated prior to production implementation. This approach supports orderly system modernization while maintaining stability of WV PATH operations.

Release readiness validation

Each release is subject to a readiness review before deployment. The review provides a documented decision point for confirming whether the release is ready for production, whether additional remediation is needed, or whether mitigation steps are required before proceeding.

Readiness review factors include:

- Completion of planned testing
- Unresolved defects and residual risk
- Requirements-to-test traceability
- User acceptance testing results
- Performance, stability, security, and accessibility findings
- Implementation communications

- Help desk and operational support readiness
- Batch and interface timing
- Report, correspondence, and downstream operational impacts
- Rollback or contingency readiness
- State approval or direction

Go/no-go checkpoints give the State clear visibility before production deployment. If readiness concerns remain, Optum works with the State to determine whether to remediate before release, defer selected items, apply mitigation steps, adjust the release schedule, or proceed with documented State awareness and an approved support plan.

Operational readiness integration

Operational readiness activities are integrated throughout the system development lifecycle. Testing results, defect trends and UAT outcomes are used to inform training materials, operational documentation and support procedures. This integration prepares production support team's readiness to support the system at the time of release.

Incident and problem management

Production incidents and problems are managed using ServiceNow in alignment with ITIL-based incident and problem management practices. ServiceNow provides a centralized mechanism to:

- Record, categorize and track incidents and problems
- Prioritize issues based on severity and business impact
- Perform root cause analysis
- Identify trends and recurring issues

Incident and problem records are reviewed jointly with the State to support transparency, shared prioritization and agreement on remediation activities. Information derived from ServiceNow is incorporated into future testing, regression planning and release scheduling activities.

Deployment planning and coordination

For each release, Optum develops a deployment plan and release schedule aligned with the State's release planning process, including RFP Attachment J – Latest Release Schedule. Optum coordinates with DoHS program and policy teams, MIS, OT, BMS, and other WV PATH stakeholders as applicable, incorporating State input into implementation planning.

Deployment plans identify task sequencing, dependencies, estimated durations, start and end times, required approvals, communications, environment migration steps, rollback or contingency procedures, and post-release validation activities. Release timing is planned to reduce operational impact, including consideration of benefit issuance schedules, batch windows, interface timing, high-volume business periods, reporting deadlines, and State readiness.

Approvals and environment migration

Following successful UAT validation, Optum obtains required approvals prior to migrating release packages to the applicable environment. Required approvals include confirmation that hybrid SDLC processes and associated quality controls were followed throughout the lifecycle of the release. These approval steps support adherence to established governance and quality management processes.

Organizational change management

The Optum organizational change management activities support release readiness by coordinating communications with designated State staff. Communications are structured to provide timely and consistent information to State staff, IES stakeholders and program beneficiaries who may be affected by system changes.

Release scheduling and business considerations

Release timing is planned to minimize operational impact. Deployments are scheduled during non-peak hours when feasible and planned to avoid periods of anticipated high call volume or critical business activities. Go/no-go checkpoints are used to confirm readiness prior to proceeding with production deployment.

Roles and responsibilities

Optum responsibilities

- Designate a release manager and deployment staff
- Develop and maintain deployment and launch plans
- Conduct final requirements traceability reviews
- Facilitate joint deployment review sessions with the State
- Execute approved deployment and rollback procedures
- Perform code analysis and security scans prior to release
- Coordinate knowledge transfer with M&O staff
- Support transition to ongoing M&O

State responsibilities

- Participate in release planning and review activities
- Review and provide feedback on deployment plans and readiness checklists
- Support go/no-go decision-making activities
- Review training materials to confirm alignment with release scope

Deployment review gates

Deployment review gates include:

- Go/no-go checklist
- User acceptance test results summary
- Deferred defect listings and mitigation plans

State review and approval of these items support the final deployment decision.

Post-deployment monitoring and closure

After deployment, Optum will monitor each release through a defined stabilization period before it is considered complete. During this period, the release remains under active review so Optum and the State can confirm that the change is operating as intended and has not created unintended impacts on PATH operations.

Immediately after deployment, Optum will complete production checkout and application verification activities. These may include confirming application availability, validating core navigation and role-based access, verifying deployed functionality, checking configuration

changes, reviewing batch and interface status, confirming report and correspondence outputs where applicable, validating logs and error queues, and confirming that monitoring alerts and operational dashboards are functioning as expected. For releases that affect State users or business workflows, Optum will also support User Verification Testing in production, allowing designated State users to confirm that key functions are operating as expected after deployment.

Post-deployment monitoring will include production incidents, release-related defects, user-reported issues, batch and interface performance, report and correspondence outputs, benefit issuance or payment impacts, help desk trends, system performance, data exceptions, queue behavior, and any downstream operational effects. For higher-risk releases, Optum may increase monitoring frequency, hold focused release check-ins, or provide targeted status updates until the release is stable.

Issues identified during production checkout, User Verification Testing, or stabilization monitoring will be triaged, prioritized, assigned owners, and tracked through resolution using established incident, defect, and corrective action processes. Items that may affect service levels, benefit issuance, program operations, security, reporting, or State commitments will be escalated through the appropriate governance path with clear mitigation steps and State communication.

Optum will conduct a post-implementation review to document release outcomes, production checkout results, User Verification Testing results where applicable, unresolved or deferred items, operational impacts, lessons learned, training or documentation updates, and improvement actions for future releases. After stabilization, issue disposition, and State review, the release will be submitted for closure or approval as appropriate.

This approach gives the State visibility after implementation, supports faster response to post-release issues, and helps confirm that each release delivers its intended value without compromising system integrity or daily operations.

Continuous improvement

Optum applies a continuous improvement approach that incorporates analysis of defect trends, ServiceNow data, release outcomes and operational metrics. This information is used to refine testing scope, automation coverage and deployment practices over time. This approach supports the Agency's ability to respond to policy changes, program updates and fluctuations in demand while maintaining system reliability and compliance.

In summary, our scalable testing and implementation approach for WV PATH is proven, operational and built to support the Agency's mission-critical objectives. Grounded in deep system knowledge and refined through years of successful delivery, our methodology combines rigorous, risk-based testing, disciplined phased implementation, strategic automation and AI-enabled quality engineering to help the State modernize with confidence. This approach strengthens regression protection, accelerates analysis, improves testing efficiency and traceability, and provides earlier visibility into risk, allowing enhancements to be delivered faster without sacrificing stability, compliance or service continuity. By continuously applying operational feedback, defect trends and release outcomes to future planning, we provide the State with a low-risk, scalable path to sustain reliable operations while advancing modernization objectives.

Objective: Capacity Management for Modifications and Enhancements

Capacity management for modifications and enhancements

In support of the State's objectives for effective operations, modernization and scalability, Optum will implement a disciplined and transparent capacity management framework governing the annual pool of modification and enhancement hours. This framework aligns resource allocation to Agency priorities while enabling the incremental modernization of legacy Ensono-hosted COBOL and Natural applications into Java-based services.

Our approach integrates business demand management, service capacity planning, and technical resource optimization into a unified operating model. All change activities including enhancements, defect remediation, regulatory updates and modernization increments are evaluated for their operational and performance impact across application, batch, integration and data layers. This enables the State to prioritize high-value initiatives while maintaining stable, predictable system performance.

Annual capacity allocation and prioritization

Optum will operationalize the annual hours allocation through a structured governance model that promotes transparency, predictability and Agency control:

- **Centralized demand intake:** All requests are captured through a standardized intake process with clearly defined objectives, scope and success criteria.
- **Structured triage and estimation:** Each request is assessed for effort, complexity, dependencies and capacity impact using consistent estimation methods.
- **Agency-driven prioritization:** Optum partners with the Agency to rank requests based on regulatory deadlines, constituent impact, operational efficiency and risk reduction.
- **Capacity segmentation:** The annual hours pool is proactively allocated across:
  - Federally and State-mandated changes
  - Agency-prioritized enhancements
  - Incremental modernization (COBOL/Natural to Java)
  - Operational maintenance and minor improvements
- **Rolling release planning:** Monthly and quarterly planning cycles align approved work with available capacity, supporting predictable delivery and proactive backlog management.

This model gives the Agency clear control over how capacity is used while balancing competing priorities and maintaining forward momentum.

Monitoring, reporting and transparency

Optum will provide comprehensive, decision-ready visibility into the use of modification and enhancement hours:

- **Capacity management dashboard:** Provides near real-time visibility into allocated hours, consumption, in-flight work, backlog status and remaining capacity.
- **Monthly operational reporting:** Details usage by category, program area and release, including planned versus actual effort and variance insights.

- **Forecasting and trend analysis:** Identifies emerging demand patterns, potential constraints and opportunities to rebalance priorities before capacity pressures materialize.
- **Executive governance reviews:** Quarterly summaries highlighting utilization trends, delivery outcomes, risks and recommended adjustments.

This reporting framework enables proactive management of the annual allocation and supports informed, data-driven decision-making by the Agency.

Scalable capacity and contingency planning

Optum recognizes that demand may fluctuate due to legislative, regulatory or programmatic drivers and provides flexible options to address these shifts:

- **Elastic resource model:** Cross-trained resources can be deployed to augment delivery teams during periods of elevated demand.
- **Defined surge triggers:** Pre-established thresholds (e.g., regulatory mandates, backlog growth, critical program initiatives) initiate capacity expansion actions.
- **Workload rebalancing:** Lower-priority work can be re-sequenced to accelerate delivery of urgent or high-impact changes.
- **Specialized resource pools:** Targeted expertise (e.g., Java modernization, integrations, data services, rules engines) is available for complex or time-sensitive initiatives.

These mechanisms allow the State to respond quickly to changing priorities while maintaining consistent delivery performance.

Incremental modernization and capacity optimization

Optum will modernize Ensono-hosted mainframe workloads through a phased, incremental transformation strategy, converting COBOL and Natural codebases into modular Java services. This approach avoids lift-and-shift migration and instead aligns modernization with business priorities and capacity planning.

Key elements include:

- **Dedicated modernization capacity:** A defined portion of the annual hours pool is reserved to sustain steady progress toward modernization objectives.
- **Component-based transformation:** Business functions are modernized in prioritized increments, reducing technical debt while delivering measurable value.
- **Parallel operations planning:** Capacity planning accounts for periods where legacy and modernized components operate concurrently.
- **Re-baselined capacity models:** As Java components are introduced, capacity assumptions are recalibrated to leverage cloud-native scaling and improve efficiency.

This approach reduces delivery risk while steadily improving system flexibility, maintainability and long-term cost efficiency.

Approach to optional services (Appendix VIII, Table 14)

Optum will incorporate Agency-prioritized Optional Services within the same governed capacity management framework:

- **Unified intake and evaluation:** Optional Services are assessed using the same prioritization, estimation and impact analysis criteria as other enhancements.
- **Flexible capacity allocation:** The Agency may allocate a portion of annual hours or authorize supplemental capacity depending on scope and urgency.
- **Impact and dependency analysis:** Each request includes evaluation of system interactions, operational considerations and downstream effects.
- **Adaptive delivery models:** Services can be delivered through standard release cycles or expedited pathways aligned to business need.

This integrated approach allows Optional Services to be delivered efficiently without disrupting planned work or exceeding capacity constraints.

Continuous improvement and optimization

Optum will continuously refine capacity utilization and delivery performance through:

- **Demand pattern analysis:** Identification of recurring workload drivers and opportunities to reduce avoidable demand.
- **Automation expansion:** Increased use of automated testing, deployment and monitoring to improve throughput and reduce manual effort.
- **Performance optimization:** Ongoing tuning of applications, batch processes and integrations to improve efficiency and reduce capacity strain.
- **Feedback-driven planning:** Continuous improvement of estimation, prioritization and delivery practices based on actual performance data.

These practices improve long-term capacity efficiency and allow more effort to be directed toward high-value enhancements.

Our capacity management approach delivers a controlled, transparent and adaptable framework that:

- Aligns annual modification and enhancement hours with Agency priorities
- Provides clear, real-time visibility into capacity consumption and future demand
- Supports incremental modernization from COBOL and Natural to Java
- Enables scalable response to fluctuating demand through defined contingency options
- Integrates Optional Services into a consistent, governed delivery model

This approach positions the State to manage ongoing change with confidence while advancing toward a modern, cloud-based PATH ecosystem capable of supporting evolving program and policy needs.

Objective: Proactive Issue Resolution and Continuous Improvement

Proactive issue resolution and continuous improvement

Optum maintains a proactive operational posture designed to identify, analyze and resolve issues before they affect Agency operations or the West Virginians who depend on WV PATH. Under continued M&O services, Optum will advance that posture from reactive support to a governed, AI-assisted intelligent operations model that strengthens detection, correlation, triage, communication and measurable continuous improvement. Operational signals from applications, infrastructure, integrations, batch processes, portals and service workflows are continuously monitored and correlated so issues are surfaced earlier, alert noise is reduced, and corrective action begins before a service disruption occurs.

This model applies directly to the WV PATH operational areas where timely detection and coordinated response matter most, including eligibility operations, case management, benefit issuance, notices and correspondence, client and provider portals, State and federal interfaces, batch processing, reporting and SLA-bound communications. Each capability is evaluated against Agency priorities, data availability, integration readiness, and security and privacy controls so adoption remains practical, measurable and aligned to program needs rather than driven by technology availability.

Real-time monitoring and predictive analytics

Full-stack observability and predictive reliability. Dynatrace provides full-stack observability across applications, services and infrastructure, continuously monitoring response times, throughput, user actions and session characteristics. Automated baselining detects anomalies at a granular level and notifies operations teams in real time, and domain-specific anomaly detection rules built on time-series data can trigger automated workflows. Davis AI adds automated problem correlation and root-cause context: events sharing the same root cause are correlated into a single trackable problem instead of a flood of individual alerts, performance issues can be identified before end users are affected, and problems are prioritized based on actual impact.

Operational intelligence and event correlation. Splunk AI consolidates operational, application, infrastructure and security data to support detection, investigation, response and service health monitoring. Capabilities include anomaly and outlier detection, dynamic and adaptive thresholding, predictive analytics, alert correlation, event prioritization, AI-guided root cause analysis and suggested responders. Machine learning correlates related notable events into episodes, reducing alert fatigue while enabling automated alert monitoring and event actions. Splunk is already established within the Optum environment supporting WV PATH for centralized log, security and event monitoring across application logs, server logs, API gateway, message queue, ESB and business rules engine layers, with automated alerting and anomaly and error trend analysis.

Complementary coverage, confirmed against the current stack. Dynatrace and Davis AI serve as the primary layer for application and infrastructure observability and automated root-cause correlation, while Splunk AI provides log, security and cross-system event correlation. The two layers are complementary rather than duplicative. Final tool allocation will be confirmed against the current PATH monitoring stack, so any instrumentation or data-onboarding gaps are addressed as a foundational step rather than assumed as a day-one capability.

AI-assisted triage and accelerated resolution

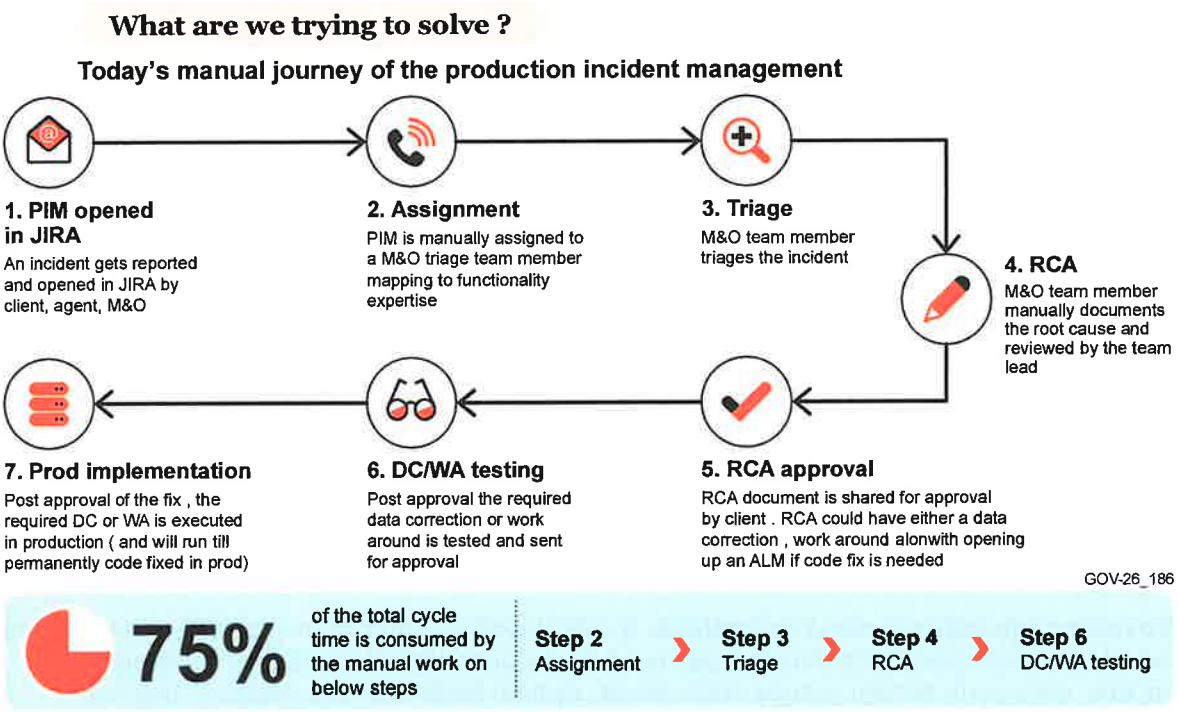

Figure 10: Current manual process.

Manual assignment, triage, RCA, and testing consume 75% of the incident management lifecycle.

Detection alone does not restore service. When an issue is identified, Optum will apply an AI-assisted incident triage capability that accelerates investigation through intelligent issue intake, contextual knowledge retrieval, automated evidence synthesis and guided root cause analysis. Using retrieval-augmented generation grounded in approved PATH knowledge sources such as incident and ticket history, runbooks, and design and configuration documentation, the capability produces initial analysis, root-cause hypotheses, supporting technical evidence, confidence context and draft resolution write-ups for engineer validation. Role-based interaction patterns support business users, triage engineers, quality engineers and administrators, while orchestration controls, quality gates and persistent audit history maintain traceability.

For PATH, this means incidents affecting eligibility processing, enrollment, notices, portals, batch operations, interfaces and service workflows are analyzed with operational context rather than through isolated log review or informal knowledge. The result is faster investigation, reduced dependency on scarce subject matter experts, more consistent triage output and more repeatable incident response across applications.

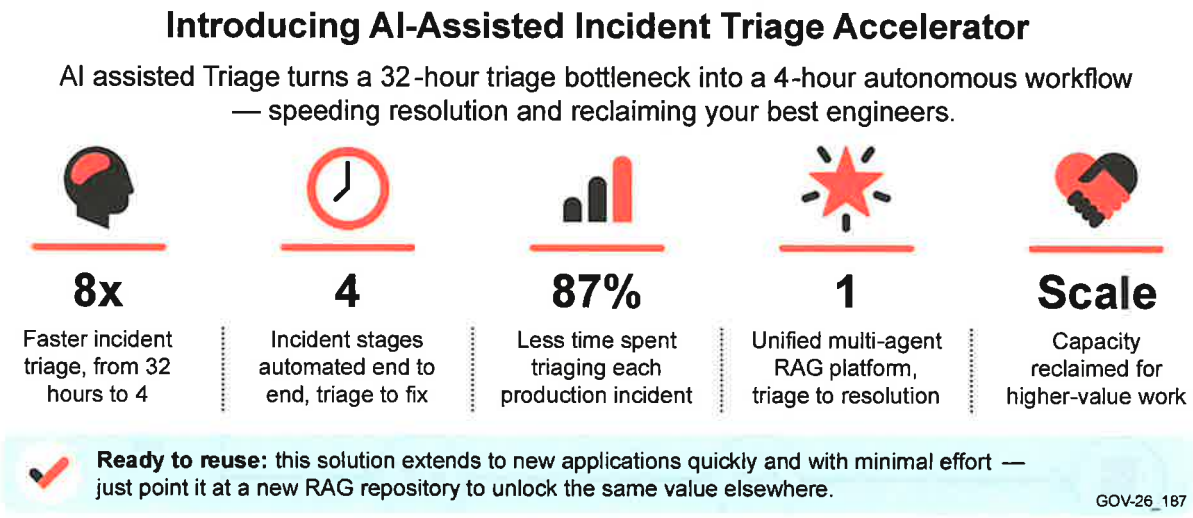

Figure 11: Modern AI-assisted process.

AI-assisted triage automates key workflows, accelerating resolution and reclaiming engineering capacity.

Governed operational communications. A digital-worker automation capability standardizes the operational communications that surround an incident, including planned maintenance notices, third-party service outage notifications, system health communications, batch and report completion alerts, release updates, SLA-bound escalations and post-remediation confirmations. Workflow orchestration paired with AI-assisted classification and content transformation reduces manual drafting, formatting, routing, tracking and follow-up, while approval gates and workflow history keep the Agency informed through timely, consistent and auditable notifications. Human review remains a required step before any external distribution.

Proactive operations capabilities mapped to WV PATH application and operational outcomes

Capability	How it is applied to WV PATH	Operational outcome for the Agency
Full-stack observability and Davis AI	Continuous monitoring and automated baselining across applications, infrastructure, integrations, portals and batch; events sharing a root cause correlated into a single trackable problem	Earlier detection, reduced alert flooding, issues addressed before end-user impact, improved MTTD and MTTR
Splunk AI operational intelligence	Log, security and cross-system event correlation with anomaly and outlier detection, adaptive thresholding and episode grouping	Reduced alert fatigue, faster investigation, unified operational and security visibility
AI-assisted incident triage	Evidence synthesis, root-cause hypotheses and draft resolution write-ups grounded in approved WV PATH knowledge sources and validated by engineers	Faster restoration of eligibility, notices, portal, batch and interface services; reduced reliance on scarce subject matter experts

Capability	How it is applied to WV PATH	Operational outcome for the Agency
Digital-worker communications automation	Automated intake, classification, routing, approval tracking and notification for maintenance, outage, release, escalation and post-remediation communications	Consistent, timely and auditable Agency communication with lower manual coordination effort
Operational dashboards and executive analytics	Role-based, real-time views of service health, SLA status, incident trends, backlog, batch performance and automation outcomes	Earlier risk identification and faster, better-informed Agency decisions
Experience and feedback analytics	Analysis of end-user and stakeholder feedback to surface recurring pain points, service gaps and emerging dissatisfaction trends	Feedback converted into prioritized, trackable improvement actions

Integrated intelligent operations model

These capabilities are designed to operate as a closed loop rather than as standalone tools. Signals are observed, correlated into actionable problems, triaged with supporting evidence, communicated through governed automation, reviewed by accountable staff, measured against agreed KPIs, and fed back into the improvement backlog.

Integrated intelligent operations model for WV PATH. Operational signals flow through observability, AI-assisted correlation, triage, automation, governance, measurement and KPI-driven improvement loops

Observe	Correlate	Triage	Automate	Govern	Measure	Improve
Applications, infrastructure, integrations, batch, portals and service workflows	Dynatrace, Davis AI and Splunk AI event correlation with alert-noise reduction	Evidence summary, likely root cause and recommended next steps with RCA support	Digital workers for communications, routing, approvals and tracking	Human-in-the-loop review, audit trail, role-based access and PHI controls	SLA performance, incident trends, batch status and automation outcomes	WV PATH KPI baselines, trend reviews and continuous service improvement

Continuous improvement framework driven by Agency and end-user feedback

Optum operates a disciplined, feedback-driven continuous improvement framework that systematically converts input from the Agency, end users and operational performance data into prioritized M&O process refinements. Feedback is captured through established Agency governance forums, stakeholder working sessions, end-user input, help desk trends, operational metrics, defect trends and service level performance. Improvement candidates are prioritized against Agency priorities, federal compliance requirements and program outcomes, governed through structured oversight, and implemented incrementally to preserve production stability while advancing reliability, efficiency and user experience.

Analytics that make improvement opportunities visible. Operational dashboards replace static reports and manual status updates with role-based, real-time views of service health, incident trends, SLA performance, backlog movement, batch status, release readiness and automation outcomes. Because these views correlate incidents, defects, recurring issues and automation opportunities, they show where downtime originates and which workflows should be

streamlined next. Executive analytics extend the same information to Agency leadership through natural-language query, operational dashboards, forecasting and summary reporting, so oversight discussions are grounded in current data rather than lagging indicators.

End-user experience insight. As an expansion-phase capability, sentiment and feedback analysis can process structured and unstructured input from surveys, portal feedback, contact center interactions and post-service comments to surface recurring pain points, service gaps and emerging dissatisfaction trends at a scale manual review cannot reach. The value of this capability depends on a confirmed feedback channel, and Optum will work with the Agency to establish that source before the capability is relied upon for improvement prioritization.

Measuring reduced downtime and streamlined workflows

Improvement claims are meaningful only when measured against program-specific baselines. Optum will work with the Agency to establish WV PATH baselines and agreed KPIs, then report performance and trends through established governance. Candidate measure areas include:

- Mean time to detect (MTTD) and mean time to restore or resolve (MTTR)
- Incident aging and repeat incident rate
- Unplanned downtime and service availability against service level commitments
- Batch completion visibility and batch or interface failure recurrence
- Defect aging, post-release defects and rework
- Manual communication and coordination effort, and automation adoption
- Reporting, escalation and decision cycle time
- End-user and stakeholder feedback trends

These measures give the Agency transparent evidence of whether M&O is becoming measurably more proactive over time, and they provide the basis for prioritizing the next set of improvements rather than relying on one-time or assumed benefits.

Governance, human oversight and AI guardrails

AI is applied to improve efficiency of operations in terms of detection, classification, analysis, summarization, recommendation and workflow preparation only. No updates happen to production without any human review and oversight. AI is not used in any activity that could affect eligibility outcomes, benefit issuance, system availability or compliance obligations. AI will not make eligibility determinations, execute production changes or issue external communications. All capabilities are subject to the Optum Responsible AI governance framework and to applicable State AI governance review prior to production use.

AI risks and corresponding control approaches applied to WV PATH operations

Risk area	Control approach
Unsupported AI output or hallucination	Approved knowledge sources, evidence references, confidence context, quality gates and human validation before any operational action.
PHI or sensitive data exposure	Approved data access, minimum-necessary handling, role-based controls, secure channels, logging and program-approved data-use boundaries.

Risk area	Control approach
Production impact from automated action	No autonomous production remediation. Accountable human approval is required for remediation, external communications and high-impact operational decisions.
Model drift or inconsistent output quality	Periodic review of prompts, outputs, knowledge sources, exception patterns and user feedback, with adjustments governed through established forums.
Audit and compliance readiness	Traceable histories maintained for inputs, outputs, approvals, workflow actions, exceptions and governance decisions.

A realistic, phased adoption path

Optum will introduce these capabilities incrementally, so value is demonstrated early and production stability is preserved.

- **Foundation.** Confirm observability coverage across the WV PATH estate, address instrumentation or data-onboarding gaps, stand up baseline dashboards, and agree initial KPI definitions with Agency stakeholders.
- **Acceleration.** Pilot AI-assisted triage in one or two high-volume operational areas such as eligibility processing or batch operations, and pilot digital-worker communications for a single notification type such as planned maintenance notices, both under human review.
- **Expansion.** Extend triage and automation coverage, connect additional dashboard data sources, roll out executive analytics for Agency leadership, and introduce experience and sentiment analysis once a confirmed feedback source is in place.

This sequencing gives the Agency early, verifiable results while avoiding the risk of an all-at-once rollout across a federally regulated production environment.

Why Optum

Optum already operates WV PATH and supports it with a proven model for proactive monitoring, incident response, and continuous improvement. This continuity enables the Agency to add AI-enabled detection, triage, and improvement capabilities to an established operating baseline—without the knowledge transfer delays, parallel operations, tooling changes, or staff ramp-up required in a vendor transition.

- **Alignment with Goal 2:** Optum already operates WV PATH across eligibility, case management, benefits issuance, portals, interfaces, reports, batch processing and financial functions, reducing transition risk and preserving operational stability.
- **Disciplined lifecycle management:** Optum manages work through documented intake, prioritization, requirements, design, testing, release readiness, implementation, validation and continuous improvement controls.
- **Reliable requirements, testing and release rigor:** Optum uses approved requirements processes, traceability, risk-tiered testing, automation, readiness reviews and post-deployment monitoring to protect system integrity before, during and after implementation.
- **Transparent capacity and prioritization:** Optum provides structured management of modification and enhancement hours, backlog health, resource capacity, optional services and Agency-prioritized modernization work.
- **Proactive issue resolution and improvement:** Optum uses monitoring, analytics, root cause analysis, corrective action tracking and stakeholder feedback to reduce disruption, improve workflows and sustain long-term PATH performance.

Goal 3: Project Management and Documentation

Objective: Project Management

Optum provides the State with a low-risk, high-continuity project management approach already operating successfully within WV PATH. Optum brings established governance, reporting, documentation, collaboration routines and PATH-tested delivery practices that align with the State's goals and support seamless PATH operations. This foundation enables Optum to continue planning, executing, monitoring, documenting and governing PATH work without disruption while maintaining the structure, transparency and accountability required for long-term program success.

The Optum project management approach combines our WV PATH knowledge with PMI-aligned project management practices tailored to PATH's operational realities, the State of WV's governance processes and contract requirements. Optum works collaboratively with the State, the WV Project Management Team, and other State vendors through joint planning sessions, shared governance forums, coordinated deliverable reviews, agreed-upon escalation paths and transparent status reporting to confirm in-scope deliverables, coordinate dependencies, manage priorities and deliver services that meet or exceed contract requirements. These established relationships and operating practices negate ramp-up time, preserve institutional knowledge, remove handoff risk and provide the State with a practical, functioning project management model already integrated with PATH.

Optum Key Personnel

PATH Project Manager
Catherine Hinz

Catherine brings **20 years** of experience leading complex IT projects encompassing the full SDLC from initiation through post implementation. Additional highlights include:

- ✔ **11 years** managing healthcare technology projects for state governments including **WV**
- ✔ Active PMI Project Management Professional **(PMP)** Certification
- ✔ **Master of Science,** Computer Science, Stevens Institute of Technology

Optum manages work through an integrated lifecycle that includes planning, execution, monitoring, control and closeout across initiatives and operational workstreams. To support effective delivery and stakeholder engagement, we leverage design, development and testing cycles that promote collaboration, enable early validation and feedback, confirm business alignment, manage dependencies, and maintain continuous visibility into progress, risks, decisions and deliverable readiness.

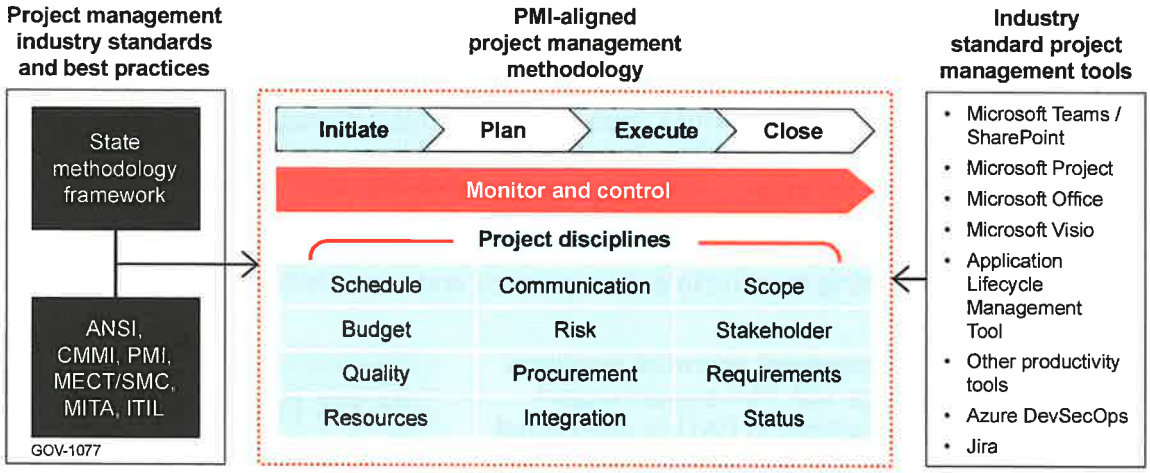

Figure 12: Optum delivery model.

Our methodology coupled with PMBOK body of knowledge industry best practices and standard tools help us minimize risks and deliver strong results.

Since the PATH's inception in 2018, Microsoft Project has been used by Optum to develop the overall work plan for all work across the project and includes tasks, milestones, deliverables and task dependencies. The plan is a living document that is updated weekly and is comprised of all tasks from change initiation through closure, with defined predecessor and successor relationships, as applicable. Using this methodical approach has allowed us to establish a strong management and delivery framework for the PATH project and provides the State with a comprehensive view of how we plan to deliver work across the project.

Optum develops implementation and operational plans based on the size, schedule, scope, priority and risk profile of each planned change. Larger efforts include detailed phase-based plans with activities, milestones, deliverables, dependencies, governance checkpoints and decision points; smaller or related efforts may be combined to simplify oversight while maintaining accountability. This scalable approach supports:

- Weekly reviews with State teams including the State PMO
- Expedited identification and resolution of risks and issues with our Information Requirements Analysis and Design (IRAAD) process
- Continuous transparency of project status and progress with weekly and monthly status reports, as well as additional reporting for critical initiatives
- Culture of collaboration, preventing communication barriers across other projects and vendors
- Continuous quality improvement and optimization
- Precise, high-quality system and business process documentation
- Efficient deliverable review cycles

Optum will leverage existing Project Management Plan (PMP) documents and templates that describe how we manage PATH work; govern scope, schedule, resources, deliverables, risks, issues, changes, communications and documentation; and coordinate with the State and PATH Project Management Team. On-time, in-scope, and within-budget project delivery as outlined in

the PMP can be found in **Exhibit 1. The PMP is inclusive of all of the requested plans, sample reports, forms, and deliverable templates.** Optum has also included additional PMP templates that are in place for the PATH program today for the State to consider, including an Operations Project Management Plan, Change in Key Staff Personnel, and SOW Approval Form. The PMP materials provide direct traceability from each applicable RFP requirement to the corresponding management plan, control, artifact, reporting mechanism and governance routine.

They include the required management plans and subplans that are used today to manage and direct PATH activities, such as the Deliverable Dictionary; Facility, Stakeholder, Staffing, Documentation, Training and Testing Management Plans; Communications, Risk and Issue, Change, Security, Privacy and Confidentiality, Configuration, Disaster Recovery and Business Continuity, Data Quality and Governance, System Back-up and Record Retention, and Turnover and Closeout Management Plans. Optum will continue to maintain, update and submit project management documentation according to the State-approved schedule and will use the approved PMP as the controlling framework for managing PATH work.

Our standardized artifacts (weekly and monthly status reports, project work plans, sample reports, forms and deliverable formats) provide consistent visibility into completed work, upcoming activities, deliverable status, schedule performance, schedule variance, deliverable aging, risk and issue trends, action item status, dependency status, decision needs, escalation triggers and items requiring State direction.

These materials were designed and approved in consultation and coordination with DoHS, OMIS and the State PMO to be tailored to the needs of PATH. These materials support timely governance discussions, informed decision-making, proactive issue resolution and clear documentation of how project management processes are applied, monitored and maintained.

Our experienced project management team preserves PATH institutional knowledge while applying proven processes, established communication channels and lessons learned from State government programs of similar size and complexity. Our team's structure is aligned with the State's program offices for Medicaid, SNAP, TANF, CW, CS, CC, and system infrastructure operations which gives the State both continuity and accountability as Optum aligns project execution with PATH priorities, contractual requirements, quality standards, and approved State processes.

Alignment with State project management objectives

The Optum project management approach aligns with the State's objective by providing comprehensive, practical and meaningful processes for planning, execution, monitoring, control, communication and documentation. This structure gives the State a clear line of sight to our day-to-day management practices, supporting disciplined oversight, timely decisions and measurable accountability.

Together, these capabilities enable Optum to continue supporting PATH with the discipline, transparency and partnership needed to reduce delivery risk, sustain continued operations and advance the State's long-term program goals.

Objective: Documentation

Optum has established documentation processes, standards, repositories, templates, governance forums and tracking mechanisms already operating in alignment with State processes. Our approach is not a start-up transition; it is a continuation of the documentation discipline currently used to manage M&O activities, contract deliverables, requirements, design, testing, implementation, operational support and project governance. Optum will continue to

maintain the current body of approved project documentation, align bid deliverables to existing incumbent deliverables where applicable, and coordinate with the State to identify updates that improve efficiency, quality, traceability, accessibility and compliance with agreed-upon specifications.

Transition and maintain project deliverables

Optum will transition and continue to maintain all relevant project deliverables described in Appendix III, Table 8: Deliverable and Milestone Dictionary by leveraging our current deliverable inventory, DoHS approved templates, review workflows, repository structure and tracking mechanisms already used for PATH. This includes maintaining the approved deliverable baseline, current and historical versions, review and approval status, supporting artifacts and related tracking logs that evidence completion, traceability and ongoing maintenance. Because these processes are already in place and aligned with State practices, Optum can easily preserve continuity while mapping bid deliverable expectations to our existing deliverables, identifying any gaps, and coordinating with the State to confirm ownership, review cadence, approval expectations and maintenance responsibilities.

Optum Key Personnel

Deliverables/ Requirements Manager Rachel Holstein

Rachel brings more than **8 years** of expertise in support of the **WV Integrated eligibility M&O** project. Experience highlights include:

- ✔ Administration and managing deliverable development, submission, review and approval processes
- ✔ Developing and delivering comprehensive project reporting packages
- ✔ Creating templates and processes for work products/deliverables

The following table maps the bid deliverables to the current deliverables that Optum maintains.

Bid deliverables	Optum maintained deliverables
D001: Transition Plan	New for WV PATH
D002: Project Charter	D003: Project Charter
D003: Stakeholder Management Plan	D005: Stakeholder Management Plan
D004: Facility Management Plan	D006: Facility Management Plan
D005: Staffing Management Plan	D007: Staffing Management Plan
D006: Documentation Management Plan	D008: Documentation Management Plan
D007: Training Management Plan	D009: Training Management Pan D070: Updated Training Management Plan
D008: Testing Management Plan	D010: Testing Management Plan
D009: Deliverable Dictionary	D012: Deliverable Dictionary
D010: Communication Management Plan	D018: Communication Management Plan
D011: Risk and Issue Management Plan	D019: Risk Management Plan D020: Issue Management Plan
D012: Change Management Plan	D021: Change Management Plan

Bid deliverables	Optum maintained deliverables
D013: Security, Privacy, and Confidentiality Management Plan	D022: Security, Privacy, and Confidentiality Management Plan
D014: Configuration Management Plan	D023: Configuration Management Plan
D015: Disaster Recovery and Business Continuity Plan	D025: Disaster Recovery and Business Continuity Plan
D016: Data Quality and Governance Plan	D027: Data Quality and Governance Plan
D017: System Back-Up and Record Retention Plan	D028: System Back-Up and Record Retention Plan
D018: Turnover and Closeout Management Plan	D029: Turnover and Closeout Management Plan
D019: Weekly Project Status Report Template	D030: Weekly Project Status Report Template
D020: Monthly Project Status Report Template	D031: Monthly Project Status Report Template
D021: Weekly Project Status Report	D032: Weekly Project Status Report
D022: Monthly Project Status Report	D033: Monthly Project Status Report
D023a: Operational Support Plan	D077: Operational Project Management Plans
D023b: Incident Management Plan	D077b: Incident Management Plan
D023c: Problem Management Plan	D077c: Problem Management Plan
D023d: Service Request Management Plan	D077d: Service Request Management Plan
D023e: System Change Management Plan	D077a: System Change Management Plan
D023f: Release Management Plan	D077g: Release Management Plan
D024: Capacity Management Plan	D077e: Capacity Management Plan
D025: Adaptive Maintenance, Availability, and Performance Management Plan	D077f: Adaptive Maintenance, Availability, and Performance Plan
D026: Requirements Traceability Matrix (RTM)	D035: Requirements Traceability Matrix (RTM)
D027: Business Process Models	D039: Business Process Models
D028: Detailed System Design (DSD) Document	D040: Detailed system Design (DSD) Document
D029: Data Dictionary	D041: Data Dictionary
D030: Data Models	D042: Data Models
D031: Reports Inventory	D043: Reports Inventory
D032: Correspondence and Forms Inventory	D044: Correspondence Inventory D045: Forms Inventory
D033: Interface Inventory	D046: Interface Inventory
D034: System Security Plan (SSP)	D051: System Security Plan (SSP)
D035: Safeguard Security Report (SSR)	D052: Safeguard Procedures Report (SPR)

Bid deliverables	Optum maintained deliverables
D036: User Documentation	D053: User Documentation
D037: Training Materials	D072: Training Materials
D038: System Integration Test Cases	D056: System Integration Test Cases
D039: System Integration Test Results	D057: System Integration Test Results
D040: Regression Test Cases	D058: Regression Test Cases
D041: Regression Test Results	D059: Regression Test Results
D042: Load/Stress Test Cases	D060: Load/Stress Test Cases
D043: Load/Stress Test Results	D061: Load/Stress Test Results
D044: User Acceptance Test Cases	D064: User Acceptance Test Cases
D045: User Acceptance Test Results	D065: User Acceptance Test Results
D046: Capacity Analysis Report	D062: Capacity Analysis Report
D047: Cut Over Play Book	D075: Cut-Over Playbook
D048: Report Distribution Schedule	D076: Report Distribution Schedule
D049: Solution Health Monitoring Plan	D078: Solution Health Monitoring Plan
D050: Federal Certification and Review Management Plan	D080: Federal Certification and Review Management Plan
D051: ACF Certification Documentation	D081: ACF Certification Documentation
D052: Mainframe Migration Plan and Schedule	New for WV PATH
D053: Mainframe Migration Data Conversion Plan	New for WV PATH
D054: Mainframe Migration Test Plan	New for WV PATH
D055: Mainframe Migration Test Results	New for WV PATH
D056: Mainframe Migration Cutover Play Book	New for WV PATH

Documentation standards

Our documentation standards are grounded in well-established frameworks that are already embedded within PATH operations and successfully applied across other HHS programs. These standards provide consistency across all phases of the system lifecycle, including requirements, design, development, testing, implementation and ongoing operations.

For example:

- Optum maintains high-level and detailed design documents supported by standardized architecture diagrams and Interface Control Documents that clearly define system interactions, data exchanges and integration points. In testing, Optum applies consistent templates for Master Test Plans, Test Strategies, and Test Cases, aligning with CMS and State-level expectations while maintaining comprehensive defect documentation practices that include severity classification, root cause analysis and resolution tracking.

- Training documentation is developed using repeatable standards that include training plans, user manuals, quick reference guides and instructor-led and computer-based training materials, making sure end users and operational staff are fully prepared to adopt system functionality and process changes.
- Operational documentation is equally rigorous, with standardized Standard Operating Procedures that support repeatable processes for system operations, incident management and release execution.
- Change and release management documentation follows established templates that capture impact assessments, approvals, rollback procedures and detailed release notes, assuring transparency and readiness for each deployment.
- Governance artifacts, such as status reports and IRAAD logs, are maintained in consistent formats that provide clear visibility into program performance, action items, decisions, risks, issues and mitigation activities.

Optum maintains over 90% of the DoHS new WV PATH maintenance and operations documents in our inventory and uses them daily with State staff to govern the project today.

Version control, accessibility and format

Optum will continue to manage WV PATH documentation within centralized, secure repositories, including the Optum internal SharePoint environment and the State's Google Docs environment, to support controlled access, version integrity, auditability and efficient lifecycle management. Optum applies established documentation practices that make project materials easy to locate, review, approve, reference and maintain. These practices balance transparency for authorized DoHS stakeholders with appropriate security controls and provide consistent formatting, naming and version control across business, technical, operational and governance artifacts.

a. Version control and revision history

Optum will continue to apply disciplined version control and revision history practices to PATH documents requiring DoHS review, approval or ongoing reference. This proven approach provides a transparent audit trail, confirms the current approved version, and allows DoHS and Optum stakeholders to quickly understand what changed, when it changed, who made the change, and why the change was made.

Our current version control practices include:

- Maintaining revision histories for applicable project documents to support transparency, accountability, audit readiness and effective document governance.
- Capturing key revision details, including revision date, version, revising party and reason for change.
- Aligning document updates with established review and approval workflows so stakeholders rely on the latest controlled version.
- Preserving historical context for document decisions, updates and approvals throughout the document lifecycle.

b. Optum SharePoint version control

SharePoint's version control functionality is used for the PATH project on the Optum SharePoint site. Regardless of whether a newly created document is added to a SharePoint library or is a pre-existing document, SharePoint's version functionality is in place. The check-out and check-in features of SharePoint provide control version history. Within the Optum SharePoint site, users must check out a document from the library prior to editing and check in the document when they are finished. The benefits of the checkout 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 can view these drafts and changes. A new version 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 authors from making simultaneous document changes that might be 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.

c. Document accessibility

Optum will continue to verify that all documentation is handled according to DoHS requirements. All documents are stored on Optum internal SharePoint repositories accessible only to authorized users. Version control, on both the Optum SharePoint site and DoHS Google drive, allows Optum to recover older document versions if needed. This provides the option of reverting to a previous version of a document and recovering the content within that version. The Optum SharePoint repository is backed up daily. Optum also maintains a mirrored backup site, which provides an additional environment for disaster recovery and business continuity purposes as outlined in the *D015-Disaster Recovery and Business Continuity Plan.*

The Optum WV PATH project team maintains a clear desk policy for confidential and sensitive documents in line with *D013-Security, Privacy, and Confidentiality Management Plan.* To reduce the risk of unauthorized access, theft or damage, the following protocols are followed:

- Confidential or sensitive document hard copies are 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 are locked away when not in use, and access is password protected.

d. Document format

Optum will continue to apply consistent document formatting and naming standards across PATH deliverables, work products, meeting materials, status reports and reference artifacts. These standards support efficient intake, review, approval, retrieval and reuse by making each file readily identifiable, professionally presented and aligned to the applicable project activity, contract requirement or deliverable obligation.

Our current document format practices include:

- Applying standardized file naming that identifies the document type, relevant deliverable or project reference, descriptive title, and version or date, as applicable.

- Using consistent document structure with appropriate cover information, document identification, organized content sections and history revision to support DoHS review and approval.
- Applying professional formatting aligned to project standards, including consistent headers, footers, pagination, confidentiality markings, tables, figures, appendices and other document elements when applicable.
- Maintaining centralized organization and document traceability, so project materials can be efficiently located, managed, referenced, reused and aligned to contract, RFP and deliverable requirements.

Optum is committed to continuous improvement in documentation practices. We routinely incorporate stakeholder feedback, audit findings and lessons learned to refine templates and processes. We also leverage tools and automation where appropriate to enhance efficiency, strengthen traceability and reduce manual effort. Through this disciplined, standardized and continuously improving approach, Optum verifies that all PATH documentation remains accurate, accessible, compliant and aligned with DoHS expectations, supporting program transparency, operational excellence and long-term sustainability.

Why Optum

Optum provides the State with a low-risk, high-continuity project management approach already operating within WV PATH. As the incumbent, Optum brings established governance, PMI-aligned practices, proven controls, measurable monitoring and clear project management artifacts that directly underpin the Goal 3 Project Management and Documentation objectives.

- ✔ **Alignment with Goal 3:** Optum supports comprehensive planning, disciplined execution, active monitoring, transparent reporting and complete documentation to support PATH operations.
- ✔ **Integrated project management with the PATH team:** Optum works cooperatively with the State, the WV Project Management Team and other vendors to confirm in-scope deliverables, manage dependencies and deliver services that **meet or exceed contract requirements**.
- ✔ **Established controls and communications:** Optum manages scope, schedule, deliverables, risks, issues, changes, dependencies, quality and stakeholder engagement through proven governance routines and reporting mechanisms.
- ✔ **Clear traceability:** The Optum Project Management Plan, subplans, templates, reports, forms and deliverable formats show how project management requirements map to the controls, reporting mechanisms and governance routines used to manage PATH work.
- ✔ **Long-term program value:** Our approach preserves PATH institutional knowledge, supports timely decision-making, improves predictability, strengthens accountability and sustains long-term PATH success.

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Goal 4: Modernization and Scalability

Optum, in partnership with IBM, will retire PATH's dependence on legacy mainframe and State-owned data center infrastructure and re-establish WV PATH as a cloud-native, API-enabled, State-owned platform on AWS. We treat this as a business transformation program, not an infrastructure relocation: the measure of success is not that PATH runs somewhere new, but that DoHS can change policy faster, operate at lower cost and risk, scale on demand, and sustain the platform for the next decade with mainstream technology skills. As the current operator of WV PATH, Optum combines direct production accountability with deep expertise in the system's core technologies, including COBOL-based Family Assistance (FA) and Natural-based Child Support applications currently running on the Ensono-hosted mainframe — making this a uniquely low-risk, execution-ready path to that transformation.

The State's requirement to address outdated technology and high operating costs is directly met through a structured modernization strategy that replaces legacy COBOL and Natural workloads with cloud-native, maintainable architectures.

Through this approach, WV will successfully retire high-cost mainframe infrastructure, reduce reliance on obsolete technologies, and transition to a modern, scalable AWS-based platform. The result is a more responsive, cost-efficient system that supports timely benefit delivery, improves operational performance and provides a sustainable foundation for future program evolution.

Optum modernization and scalability approach

- **Retire PATH's legacy dependencies.** Convert COBOL and Natural workloads to Java, DB2 to SQL Server, JCL to Spring Batch, and legacy user interfaces to browser-based applications on AWS. Migrate PATH FA, Corticon, Informatica MDM, Address Verification, and integration services from the State data center.
- **Consolidate PATH in the State-owned AWS tenancy.** Transition of the Ensono mainframe, State data center, and Optum private cloud footprints to a unified environment with common security, monitoring, backup, and recovery services. West Virginia retains ownership of its tenancy, data, source code, configurations, and modernization deliverables.
- **Improve scalability, responsiveness, and speed of change.** Use elastic AWS capacity, modular services, externalized rules, CI/CD, infrastructure-as-code, and automated testing to support demand surges and faster policy updates. Control-M remains on z/OS only during migration and parallel validation; after AWS orchestration is accepted and completes agreed production cycles successfully, Control-M is retired before mainframe decommissioning.
- **Protect migration data with auditable controls**. Apply private connectivity, mutual authentication, network segmentation, time-bound least-privilege access, integrity checks, reconciliation, immutable logging, and continuous monitoring.
- **Validate readiness before cutover.** Use production baselines, repeated mock migrations, functional and financial reconciliation, performance testing, rehearsed cutover, and rollback readiness to support an evidence-based go/no-go decision.
- **Combine PATH knowledge with proven modernization capability.** Our production accountability and understanding of PATH dependencies reduce discovery and sequencing risk. IBM contributes automated assessment and refactoring tools and experience from more than 500 modernization engagements.

The following figure illustrates the PATH legacy-code modernization flow, from automated discovery and dependency analysis through code and data transformation, testing, and deployment to AWS. Our knowledge of the PATH environment guides scope validation and migration sequencing, while IBM's automated modernization tooling converts COBOL- and Natural-based applications into maintainable Java solutions that preserve validated business logic. **Figure 13** shows the repeatable approach that reduces reliance on manual rewrite, improves conversion predictability, and produces cloud-ready applications aligned with West Virginia's target architecture

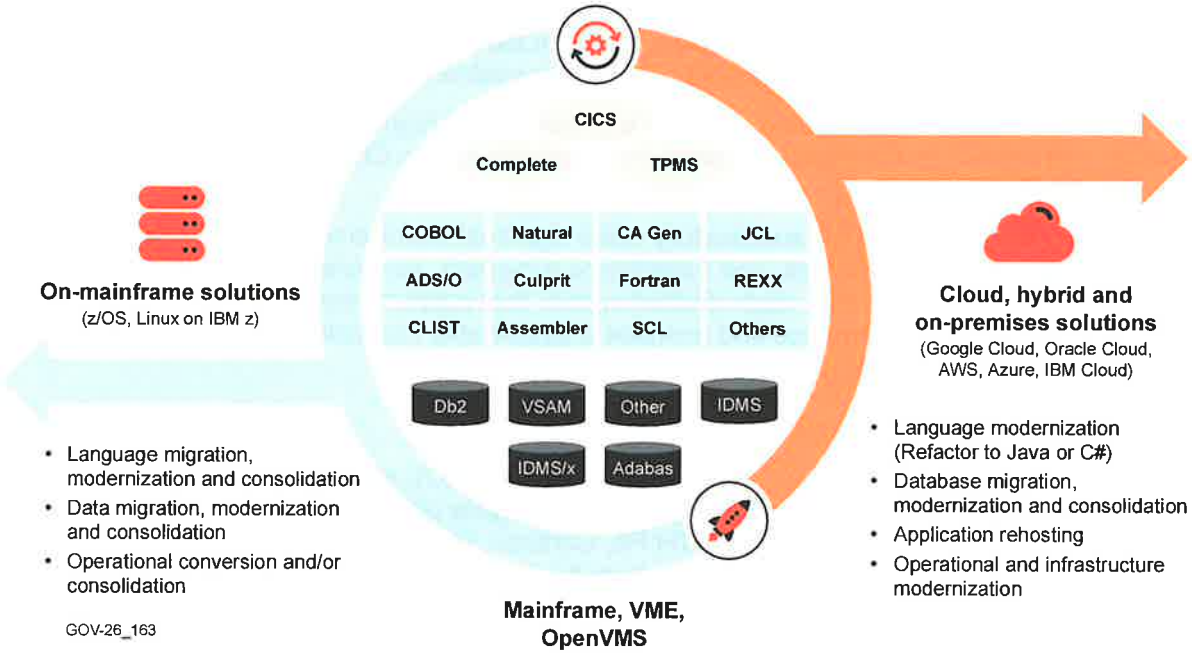

Figure 13: Legacy code modernization for cloud readiness.

Transform legacy technologies into modern Java-based solutions ready for cloud deployment.

Optum Differentiator

Optum in partnership with IBM both participated in WV PATH mainframe migration proof of concept activities. Optum and IBM are current DoHS vendors who know the PATH environments. This lowers the risk for DoHS in the mainframe migration activities scheduled for the WV PATH maintenance and operation contract.

This partnership brings proven, industrialized modernization capability, backed by 30+ years of experience, 500+ modernization projects, and automation-driven code transformation at enterprise scale.

Business outcomes – what changes for West Virginia

Each constraint described is a documented characteristic of the current PATH environment. Each outcome represents a measurable commitment of the modernization approach.

Constraint in the current environment	Modernized state	Business outcome
PATH FA and PATH CS depend on z/OS, DB2, COBOL, and Natural-technologies with a shrinking labor market and fixed platform licensing	Java and SQL Server on Red Hat Enterprise Linux on AWS, using mainstream frameworks and tooling	Sustainable access to skills; elimination of mainframe platform and tooling license costs; reduced technology risk
Three separate hosting estates (Ensono mainframe, WV data center, Optum private cloud) with different runtime patterns, resiliency models, tooling, and support assumptions	One State-owned AWS tenancy with standardized hosting patterns, shared platform services, and State-provided Tier-0 foundation	One operating model, one security boundary, one monitoring and recovery model; less duplication; fewer integration seams to defend
Capacity is fixed and procured ahead of demand; cost is anchored to MIPS and physical footprint	Elastic, right-sized compute with autoscaling, reserved-instance pricing, and non-production shutdown outside business hours	Cost follows demand rather than peak; capacity can be added for caseload surges without a procurement cycle
Batch-driven, tightly coupled processing constrains overnight windows and delays downstream benefit actions	Spring Batch on containerized and event-driven orchestration that can be parallelized and scaled horizontally	Shorter batch windows, faster downstream processing, reduced operational delay in benefit delivery
Policy and program changes are gated by scarce legacy skills and manual promotion	CI/CD pipelines, infrastructure-as-code, automated regression, and standardized repeatable deployment across all environments	Faster, safer implementation of federal and State policy change; more predictable release cadence
Interfaces and shared services are point-to-point and platform-bound	API-enabled integration layer with governed, reusable services; shared MDM and Address Verification co-located in AWS	New integrations delivered without mainframe change; lower interface latency; reusable rather than bespoke connections
Operations depend on mainframe-era tooling (OMEGAMON, CICS/DB2 monitors) and manual analysis	Centralized logging, metrics, alerting, and dashboards, with AI-assisted problem, incident, and root-cause analysis	Earlier detection, fewer repeat incidents, and a documented reduction in sustaining effort over the term
Disaster recovery is constrained by legacy site arrangements and manual rebuild	Multi-AZ production, second-region DR, infrastructure-as-code re-creation, snapshot-based recovery, validated runbooks	Demonstrable recovery within Agency-defined objectives, tested rather than asserted
A single large cutover would place all program risk on one date	Incremental modernization by logical component grouping, with parallel validation, rehearsed dry runs, and rollback readiness	Minimal business disruption; continuity of benefit issuance and child support operations throughout

Constraint in the current environment	Modernized state	Business outcome
Hosting, tooling, and platform decisions sit with vendors	State-owned AWS tenancy, State-owned data and deliverables, portable open technologies	Future flexibility - DoHS can change vendors, add programs, or re-scope without re-platforming

Together, these outcomes move PATH from fragmented, fixed-capacity legacy platforms to a State-owned, measurable operating model that lowers technology risk, improves responsiveness, and protects continuity of critical services. Our production knowledge of PATH, combined with IBM's automated modernization capability, provides West Virginia with a practical and lower-risk path to realizing these benefits.

Objective: Hosted and Modernized Solution

Cloud-based hosted solution for scalability, faster updates, and reduced mainframe reliance

Target hosting model:

- **A State-owned AWS tenancy.** PATH will be hosted in the State of West Virginia's AWS tenancy in the AWS US East Region. Workloads, data, and network resources operate in a segregated environment isolated from other AWS customers. West Virginia holds the tenancy; Optum operates the PATH application hosting environment within it.
- **State-provided Tier-0 foundation.** The State provides Tier-0 services -identity management, network definition, edge protection, and security monitoring. This avoids duplicate control planes, keeps PATH inside the State's enterprise security posture, and removes a class of vendor-specific security tooling from the estate.
- **Optum-managed application hosting.** Optum receives and manages a dedicated application hosting environment within the shared tenancy and is responsible for deploying and managing PATH application hosting infrastructure and software, including deployments, releases, monitoring, and management.
- **No PATH-specific proprietary hosting dependency.** The target stack is Red Hat Enterprise Linux, Java, Spring Batch, SQL Server, containers, and AWS managed services. Nothing in the target hosting model requires a proprietary vendor platform to operate PATH.

Consolidating three hosting estates into one

PATH's technology footprint is currently spread across three environments with different runtime patterns, database dependencies, integration points, resiliency models, tooling, and operational support assumptions. Consolidation into a single AWS tenancy is the structural change that produces durable savings and operational simplicity.

Source environment	What it hosts today	Target disposition in AWS	Exit
Ensono-hosted mainframe	• PATH CS on z16 running z/OS V3R1, DB2 V13, Software AG Natural	• Java on Red Hat Enterprise Linux on AWS EC2	By end of contract Year 2

Source environment	What it hosts today	Target disposition in AWS	Exit
	• PATH FA on IBM BladeCenter z14 ZR1 (3907 K03), DB2, ~1,790 COBOL programs • Control-M scheduling, AFP/PSF print, ViewDirect/Mobius distribution, OMEGAMON monitoring	• DB2 for z/OS to AWS RDS for SQL Server • JCL to Spring Batch; CICS/BMS to HTML5/CSS with Angular • Print, distribution, and monitoring replaced with cloud-native services	
West Virginia data center	• PATH FA agent portal presentation layer • Corticon business rules engine • Informatica MDM and Address Verification (Address Doctor) • Oracle SOA enterprise service bus, Informatica PowerCenter ETL, secure file transfer • 10 physical servers (56 CPU cores, 1,000 GB RAM) and 15 virtual machines (48 cores, 523 GB RAM)	• AWS EC2 on RHEL for application and integration tiers • AWS RDS for Oracle for MDM data • AWS ECS (Fargate) for document processing workloads • Sized for approximately 60% utilization before autoscaling	By end of contract Year 2
Optum private cloud (OFE)	• Containerized workloads for Child Welfare, Child Support, Child Care, Client Portal • Oracle and SQL Server databases • Middleware, scheduling, messaging, reporting, monitoring, and secrets platforms	• AWS EKS for container workloads • AWS RDS for Oracle and SQL Server • AWS-managed equivalents for scheduling, messaging, logging, monitoring, secrets, certificates, and file transfer	By end of contract Year 3

Consolidation of the three current PATH hosting estates into a single State-owned AWS tenancy.

Because these three estates differ materially, the hosting estimate does not apply a single conversion factor across the estate. Each source system and hosting pattern was evaluated against its own capacity baseline before integration into the target hosting design: mainframe workloads were sized from estimated MIPS consumption, West Virginia data center workloads from existing physical and virtual host capacity, and Optum private cloud workloads from current hosting inventory with targeted adjustments for cloud operating patterns.

Target hosting capacity

The following provisioned capacity supports PATH across non-production, production, and migration environments. It is the output of a bottom-up sizing exercise; specific configuration changes are expected during implementation and performance tuning.

AWS service	Provisioned capacity	What it supports
AWS EC2	60 instances - 925 vCPU, 6,000 GiB RAM	Application runtime, integration, MDM, ETL, migration tooling, and secure file transfer across non-production, production, and migration environments
AWS ECS (Fargate)	32 task profiles - 128 vCPU, 960 GiB RAM	Spring Batch document-processing workloads supporting Adobe AEM and Optum FDS across non-production and production
AWS EKS / container hosting	14 Kubernetes clusters - 750 vCPU, 3,000 GiB RAM	Production and non-production container workloads migrating from the Optum private cloud
AWS RDS for SQL Server	12 database nodes - 250 vCPU, 2,000 GiB RAM	SQL Server capacity for DB2 for z/OS modernization across Child Support, Integrated Eligibility, and Family Assistance, plus existing SQL Server workloads
AWS RDS for Oracle	6 database instances - 120 vCPU, 1,000 GiB RAM	Oracle capacity for MDM and Optum private cloud database workloads; non-production Single-AZ, production Multi-AZ
AWS WorkSpaces	50 virtual desktops - 120 vCPU, 600 GiB RAM	Developer and migration access for build-server and migration activities
Tier-0 and shared components	Shared capabilities	Backups, deployment framework, application monitoring, network, identity, logging and log consolidation, integration endpoints, and gateways

Major hosting component inventory for the target AWS environment.

Reducing mainframe reliance – how capacity was derived

Mainframe workloads were sized from MIPS consumption and converted using explicit, auditable multipliers rather than a rule of thumb, so that the Agency can see exactly where target capacity comes from:

- **Baseline workload:** COBOL workload estimated at approximately 500 MIPS; Natural workload at approximately 200 MIPS.
- **CPU conversion:** A 3.5× CPU multiplier to account for Java runtime overhead relative to COBOL, including BigDecimal arithmetic and JVM processing.
- **Memory conversion:** A 4× memory multiplier for JVM heap requirements and garbage collection overhead.
- **Concurrency:** A 1.2× factor for thread switching and runtime execution behavior.
- **Peak capacity:** A 30% buffer for unexpected workload spikes.
- **High availability:** A 2× factor for redundancy.
- **Growth reserve:** A 25% reserve for future growth, plus expected year-over-year growth of 4%.

The resulting model also accounts for JVM warm-up latency, garbage collection memory pressure, and the use of Kubernetes to support horizontal scaling during gradual migration and parallel run periods.

Scalability

- **Horizontal and vertical elasticity.** Application tiers are sized to approximately 60% utilization before autoscaling engages, so growth is absorbed automatically rather than through a procurement event. Container workloads on EKS scale horizontally.
- **Managed database scaling.** Database hosts on AWS RDS carry a 30% peak capacity buffer for heavy workload spikes, with Multi-AZ configurations in production.
- **Caseload surge capacity.** Because capacity is elastic and reserved capacity is supplemented by on-demand, PATH can absorb enrollment surges, mass-change events, and federally driven redetermination cycles without a hardware refresh.
- **Batch scalability.** Converting JCL to Spring Batch on containerized compute makes batch work parallelizable and independently scalable-the principal mechanism for reducing batch windows and the operational delays they create.
- **Capacity governance.** A Capacity Management Plan (D024) and Capacity Analysis Report (D046) provide the Agency with forecast capacity requirements, processor, memory, storage, and IOPS estimates for the hosted environment, so future program additions can be planned rather than discovered.

Faster updates

- **Standardized, repeatable deployment.** Standardized and repeatable deployment processes operate identically across development, testing, and production environments to support timely, reliable implementation of approved changes while maintaining availability.
- **CI/CD and infrastructure-as-code.** Automated build pipelines, automated code quality and security scanning, and infrastructure-as-code provisioning replace manual promotion. Optum is responsible for the target platform DevOps CI/CD pipeline and for automation related to promotion of migrated applications.
- **Environment availability.** The full environment set required by the RFP - Development and Unit Testing, System Integration Testing, User Acceptance Testing, End-User Training, Disaster Recovery, and Production - is provisioned and maintained for the life of the contract and made available to the State Project Team and Project Management Team.
- **Externalized business rules.** Eligibility rules remain externalized in the rules engine during and after migration, so most policy changes are configuration with traceability rather than code change and full release.
- **Automated regression coverage.** Automated unit testing achieves at least 85% code coverage for business logic components, and automated regression suites are established during transformation, which is what makes a faster release cadence safe rather than merely quicker.

Layered system architecture - security, performance, availability, and disaster recovery

The modernized PATH solution operates within a secure, layered architecture in AWS. Presentation, business services, rules, integration, data, and orchestration layers are logically separated to strengthen performance isolation, fault tolerance, and security control. Separation

is not cosmetic: it is what allows a control to be applied once at a boundary, a tier to be scaled without disturbing its neighbors, and a failure to be contained.

Layer	Target composition	What the layer delivers
Presentation	Browser-based worker and client interfaces - CICS BMS maps converted to HTML5/ CSS with Angular; the PATH FA agent portal re-platformed to AWS EC2 with Oracle WebLogic; client and provider portals on containerized hosting; AWS CloudFront and Route 53 at the edge	Consistent, accessible user experience independent of the underlying platform; edge protection and caching; horizontal scaling of the user-facing tier
Application and business services	Java services on Red Hat Enterprise Linux on AWS EC2 and containers on AWS EKS; converted COBOL and Natural program logic expressed as Java classes on the IBM Java-based Framework	Program logic preserved and maintainable; independent scaling and deployment of services; mainstream skill base
Business rules	Corticon rules engine re-platformed to AWS and invoked through APIs; rules authored, maintained, and executed outside application code; a business rules engine available for human services programs not included in the rules migration	Policy change with traceability and auditability, decoupled from application release cycles
Integration and API	API gateway and governed service interfaces; enterprise service bus on AWS; Informatica MDM and Address Verification co-located in AWS; AWS Transfer Family and secure managed file transfer; TLS 1.3 to the Federal Data Services Hub; event and message services (SQS, SNS, Lambda) replacing legacy messaging	Reduced interface latency; reusable, governed integration; standardized file exchange; support for current data-interchange standards
Data	AWS RDS for SQL Server (converted DB2 for z/OS) and AWS RDS for Oracle (MDM); AWS EFS for shared file storage; generation data groups and flat files retained in equivalent form; point-in-time recovery	Managed patching, backup, replication, and failover; synchronized restore across databases used for work routing and program data
Batch and orchestration	Spring Batch on containerized compute; Control-M retained as scheduler at migration, then modernized toward AWS EventBridge, AWS Batch, AWS Step Functions, SNS and SQS	Parallelizable, observable batch execution; shorter batch windows; operational controls familiar to State staff during transition
Security and identity	State Tier-0 identity and edge protection; role-based access control; AWS Secrets Manager for secrets; AWS Certificate Manager for certificates; audit logging and SIEM integration; IDS, IPS, and malicious software detection	One enforcement model across all tiers; least-privilege access; complete auditability

Layer	Target composition	What the layer delivers
Observability and operations	AWS CloudWatch metrics and logs, AWS OpenSearch, managed Grafana dashboards, synthetic monitoring and APM - replacing OMEGAMON, CICS Monitor, DB2 Monitor, and distributed monitoring tools	Real-time visibility across application, batch, integration, and data layers; outage identification across the modernized enterprise; performance reporting at multiple levels
Tier-0 foundation (State-provided)	Identity management, network definition, edge protection, security monitoring, and equivalent observability fabric	PATH inherits the State's enterprise security and network posture rather than layering a parallel one

Layered target architecture for the modernized PATH solution.

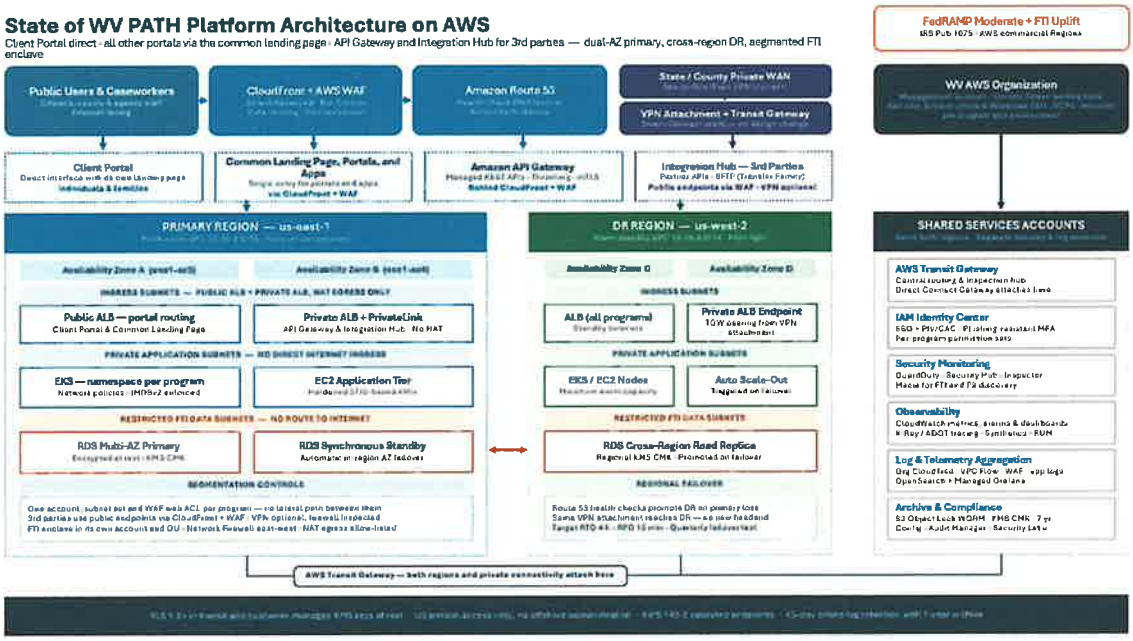

Figure 14: State of WV PATH platform architecture on AWS.

Security embedded in the architecture

- **Compliance by design.** The architecture is built to ARC-AMPE and NIST SP 800-53 control sets, IRS Publication 1075 (including the Section 2.C.7 prohibition on offshore operations), FISMA, HIPAA, 45 CFR Parts 160, 162 and 164, SSA information system security guidelines, the ACF Office of Child Support Enforcement Security Agreement, 7 CFR 277.18(m), and current WVOT and DoHS security policies.
- **Control responsibility is made explicit.** We provide a report identifying which ARC-AMPE and NIST SP 800-53 controls are inherited, which are implemented by the State, and which are shared with a maintained Plan of Action and Milestones for any non-compliant required control.

- **Layered PHI protection.** Preventive, detective, and corrective controls are applied at all appropriate points of processing to maintain the integrity, availability, and confidentiality of protected health information.
- **Continuous assurance.** Penetration testing immediately following any major production deployment and at minimum annually, with results to the State within 30 days; vulnerability scanning included in every security assessment; annual security plan updates; documented incident response and breach reporting.
- **Federal tax information handling.** Authentication and encryption methods secure FTI in the web portal, and an IRS Safeguard Log is created and maintained.

Availability and performance

- **Multi-Availability-Zone production.** Production hosting is designed for resiliency across multiple Availability Zones with automated failover; production RDS instances are Multi-AZ.
- **Load distribution and edge.** AWS load balancing, CloudFront, API Gateway, and Route 53 distribute traffic and absorb spikes across the portal and shared portal environments.
- **Performance measured, not asserted.** Baselines for online inquiry, update, eligibility determination, payment calculation, case assignment, and document generation are captured on the mainframe before conversion and re-measured in AWS.
- **Performance visibility.** The solution tracks, views, and reports on performance standards at multiple levels, with notification of outages and events according to the approved communication plan, and health monitoring governed by a Solution Health Monitoring Plan.
- **Continued availability during backup.** Backup operations are designed so the system remains in use, with transaction logging and database backup sufficient to restore and to keep databases synchronized where multiple databases support work-item routing and program data.

Disaster recovery capabilities

Capability	Design	Assurance
Second-region recovery	A second AWS region is available to support disaster recovery, with cross-region replication of data and infrastructure definitions	Recovery is not dependent on the primary region or a single facility
Infrastructure re-creation	Infrastructure-as-code (Terraform) re-creates the container platform and supporting infrastructure on demand in the recovery region; snapshot-based recovery for virtual machine workloads	Rebuild is deterministic and testable rather than manual
Cost-efficient standby	DR application hosts and containers are deployed but shut down when not actively needed; DR database nodes run at reduced capacity-approximately 25% of primary production capacity-as read-only nodes, with AWS RDS managed replication to the DR instance	Resiliency aligned to RTO and RPO without funding a full idle estate

Capability	Design	Assurance
Recovery objectives	Recovery of the solution to full operation within 24 hours of a disaster affecting the primary hosting site; point-in-time data recovery to the last committed transaction	Meets the Agency's stated recovery requirement; objectives confirmed with the Agency and documented
Backup and retention	Backup and data protection appropriate to PATH-weekly non-production; incremental, daily, weekly and monthly production cycles; RDS snapshots; off-site and geo-replicated storage; full and complete backup copies of data and software	Quarterly validation of all backup processes, monitoring for successful completion, and an outcome report to the State for each failed backup
Tested runbooks	Validated recovery runbooks and documented failover and fallback procedures, with proposed alternate site plans and failover testing procedures	Exercised under the Disaster Recovery and Business Continuity Plan (D015), including failover/fallback, backup/recovery, and business continuity testing, with a defined process for updating the plan through the life of the contract

Migration of PATH CS, PATH FA, and shared services

Optum will execute a single, integrated migration and modernization of PATH CS and PATH FA from the Ensono-hosted mainframe and the West Virginia data center to AWS. This unified model removes the need for separate rehost and transformation phases while applying an incremental approach based on logical groupings of application components, reducing risk, supporting parallel progress, and enabling business-aligned delivery.

Migration scope

The scope below is derived from high level analysis of the actual PATH source estate performed during proof-of-concept activities. It will be reviewed with the Agency so that Agency can evaluate our plan against a known quantity of work rather than a general assertion.

Component type	Source	Target	Count (up to)
PATH FA - IBM BladeCenter z14 ZR1 (3907 k03)			
Batch COBOL	COBOL OS/390 and VM source	Java classes	5,819,776 LOC
COBOL copybooks	COBOL copybooks	Java classes	309,678 LOC
Online presentation	BMS maps (CICS)	Browser-based HTML5/CSS with Angular	21 maps
Batch job streams	JCL job streams	Spring Batch on the IBM Java-based Framework	3,730
Batch procedures	JCL proc streams	Spring Batch on the IBM Java-based Framework	1,170

Component type	Source	Target	Count (up to)
Stored procedures	DB2 SQL stored procedures	MS SQL Server stored procedures	39
Analytics routines	SAS routines	Java classes	9
Databases	DB2 for z/OS databases	AWS RDS for SQL Server	3
Tables	DB2 for z/OS tables	AWS RDS for SQL Server	1,121
PATH CS - z16 running z/OS V3R1			
Online programs	Software AG Natural programs	Java classes	1,137
Online subprograms	Natural subprograms	Java classes	581
Online maps	Natural maps	Java classes / browser interface	822
Subroutines	Natural subroutines	Java classes	675
Data definition modules	Natural DDMs	Java classes	292
Help routines	Natural help routines	Java classes	26
Batch programs	Batch COBOL programs (1,330 LOC)	Java classes	2
Batch job streams	JCL job streams	Spring Batch on the IBM Java-based Framework	416
Batch procedures	JCL proc streams	Spring Batch on the IBM Java-based Framework	8
Analytics routines	SAS routines	Java classes	1
Databases	DB2 for z/OS databases	AWS RDS for SQL Server	1
Tables	DB2 for z/OS tables	AWS RDS for SQL Server	288
Cross-application utilities			
Shared IBM utilities	Mainframe IBM utilities	Replaced by the modernization partner	39 utilities / 20,046 references
Third-party utilities	Mainframe third-party utilities	Replaced by Optum	21 utilities / 1,621 references

Shared services included in scope

Consistent with the shared services identified in RFP Figure 1, the following move to AWS and are re-architected to operate within the unified cloud environment. Co-locating rules, master data, integration, and application logic in AWS is what removes the fragmentation between mainframe and distributed platforms, reduces interface latency, and enables real-time processing.

Shared service	Current hosting	Target in AWS
Informatica MDM	West Virginia data center	AWS EC2 on RHEL, with MDM data on AWS RDS for Oracle (Multi-AZ in production); Informatica PowerCenter ETL loads on EC2
Address Verification (Address Doctor)	West Virginia data center	Deployed alongside Informatica MDM on AWS EC2, invoked through secure API-driven interfaces
Corticon business rules engine	West Virginia data center	Re-platformed to AWS and integrated with modern service layers through APIs; rules remain externalized from application code
PATH FA agent portal (presentation)	West Virginia data center	AWS EC2 with Oracle WebLogic, multi-AZ, behind AWS load balancing and edge services
Enterprise service bus	West Virginia data center	Oracle SOA on AWS EC2 during transition, evolving toward API gateway and event-driven patterns
Secure managed file transfer	West Virginia data center	Secure file transfer on AWS EC2 and AWS Transfer Family for SFTP services
Document processing and generation	Mainframe AFP/PSF and distributed components	Spring Batch on AWS ECS (Fargate) supporting Adobe AEM and Optum FDS, with modern archival and access patterns
Report distribution	ViewDirect / Mobius on z/OS	Modern distribution and access patterns, with the opportunity to consolidate reporting into the DoHS EDS data warehouse
Job scheduling	Control-M on z/OS	Control-M retained as target scheduler at migration; modernized toward AWS EventBridge, AWS Batch, AWS Step Functions, SNS and SQS

Shared services migration scope.

Migration and modernization method

Execution follows a repeatable eight-step method applied per increment. It is the same method IBM has applied across more than 500 modernization projects, adapted to the PATH environment by Optum production knowledge.

- **Automated discovery and analysis.** Automated discovery of the PATH CS z/OS and PATH FA z14 environments-Natural and COBOL programs, CICS transactions, JCL, Control-M schedules, DB2 schemas, AFP printing, and reporting dependencies including ViewDirect and Mobius. AI-assisted analysis produces program-to-data mappings, interface relationships, and batch execution flows, and identifies independent, cohesive groupings that can be modernized as discrete increments.
- **Target design.** Application and data architecture design for the migration and modernization of PATH FA and PATH CS; target cloud architecture design; security architecture design with the specific in-flight controls in B.3.5; and disaster recovery and resilience design consistent with the DR and Business Continuity Plan.

- **Phasing and sequencing.** A documented phasing and sequencing strategy for the conversion of PATH FA COBOL and DB2 components and PATH CS Natural and DB2 components to Java and MS SQL Server on Red Hat Enterprise Linux on AWS.
- **Automated conversion.** COBOL and Natural programs converted to Java using IBM Automated Refactoring and supported by the IBM Java-based Framework; JCL converted to Spring Batch. Applications are migrated as-is, no functional change or re-engineering is introduced during conversion unless expressly agreed in writing, which is what makes equivalence testable.
- **Pre-delivery (smoke) testing.** Converted code is validated by executing Optum-provided pre-delivery functional test cases before release for formal testing, with discrepancies logged in a shared defect tracking tool and always linked to a failed test case.
- **Delivery and environment build.** Migrated applications and the runtime framework are delivered to the target platform staging environment with deployment instructions and built on designated servers so new objects build without error; Optum deploys each delivery to staging within five days of receipt.
- **Test and validate.** Baseline, regression (functional), system integration, data validation, performance, and security testing, with Optum-led User Acceptance Testing support-see B.3.6.
- **Refresh, cutover, stabilize.** A controlled refresh process captures production source changes during the testing window; a quiet period precedes go-live; cutover is rehearsed and then executed under a governed go/no-go-see B.3.7.

Data migration, conversion, and validation

- **Extraction and load.** Data is extracted from the legacy mainframe environment; data migration scripts are created to migrate DB2, VSAM, sequential, and generation data group files to MS SQL Server; target database Data Definition Language and load syntax are created for loading extracted files using the standard target database load utility. Generation data groups and flat/sequential files are retained as generation data groups and flat files.
- **A repeatable, tested process - not a one-time event.** The Application Data Migration Process is built and pre-delivery tested using Optum-provided test data before it is used, and is then executed repeatedly across test, training, and production loads. Data conversion runs for approximately seven months for PATH FA and four months for PATH CS.
- **Mapping, transformation, and cleansing.** Source-to-target data mapping applies required changes for new data types, with data cleanup as needed. Data migration rules are provided to Optum so the migration process can be adjusted to overcome migration issues, and Optum performs data cleansing of test data based on exception reports produced during testing.
- **Reconciliation and validation.** Data movements are segmented by domain, logged centrally, and verified through reconciliation and checksum validation. QuerySurge is used for test data validation; data validation testing confirms integrity and quality during application flows and online validation.

- **Mock conversions.** Multiple mock conversion cycles are executed to confirm completeness, accuracy, traceability, and integrity before any production load, and to compress the production cutover window.
- **Data minimization.** Data provided for pre-delivery and non-production testing is de-identified, masked, or scrubbed prior to disclosure, and redaction and masking are performed by Optum. Test and training environments contain representative data sufficient for their purpose without exposing production identifiers unnecessarily.

Specific security controls for in-flight data - beyond general encryption

Direct response to the Agency's requirement. The Agency asked for specific, detailed security controls-beyond general encryption - protecting "in-flight" data during migration from z/OS and DB2 legacy mainframe environments to AWS. The controls below are the controls we will implement.

Control family	Specific controls implemented	Assurance and audit evidence
Private, dedicated connectivity	• AWS Direct Connect provides private, high-throughput connectivity between the legacy environments and AWS - the same high-speed connectivity being established for the program is used for migration transfers, so bulk movement does not traverse the public internet • Redundant IPSec VPN tunnels provide encrypted failover paths • Private AWS endpoints keep service traffic on the AWS network • Temporary, purpose-scoped connections between the mainframe host environment and AWS are established for migration and removed on completion • Legacy MPLS connectivity transitions to AWS Direct Connect	Network path diagrams and configuration baselines delivered as part of the system architectural activity and process diagrams detailing security and privacy controls
Mutual authentication	• Mutual, certificate-based authentication (mTLS) between source and target endpoints - both ends prove identity, not just the server • Short-lived certificates issued and rotated through AWS Certificate Manager • Transport Layer Security 1.3 where interfaces require it, including Federal Data Services Hub connectivity • Hardware-based multi-factor authentication for all remote access by migration personnel	Certificate inventory and rotation records; authentication failure alerting

Control family	Specific controls implemented	Assurance and audit evidence
Network segmentation and isolation	• A dedicated migration VPC with segmented subnets, security groups, and network ACLs separate from production application traffic • Data movements segmented by domain rather than moved as one undifferentiated bulk transfer • IP allowlisting restricting which source and target hosts may participate • Migration tooling accelerators hosted inside the client AWS environment on a dedicated instance (r7iz.8xlarge, us-east-1a, 256 GB), not on vendor-controlled infrastructure • Secure transfer channels only, no ad hoc transfer mechanisms	Segmentation design reviewed and approved at the security architecture gate; configuration drift monitored continuously
Least-privilege, time-bound access	• Role-based access control with least-privilege policies scoped to the specific migration task • Time-bound (just-in-time) authorization - access windows open for the transfer and close after it • Temporary credentials rather than standing keys; secrets held in AWS Secrets Manager • Privileged-user session monitoring and recording • Policies prohibiting use of shared or personal devices for accessing or processing project data; mandatory VPN for all remote access	Access request and approval records; privileged session logs; periodic entitlement review
Integrity and completeness validation	• Cryptographic checksum validation on every transferred dataset • File integrity verification before and after movement • Protocol-level integrity validation on the transfer channel • Record and control-total reconciliation between source and target • Exception reporting for any record that fails validation, with defined remediation before the dataset is accepted	Migration reconciliation reporting per domain and per cycle, retained as audit evidence
Data minimization and masking	• De-identification, masking, or scrubbing of data before disclosure for pre-delivery and non-production testing • Production identifiers restricted to the production load path	Masking specifications and evidence of application; onshore attestation and staff location records

Control family	Specific controls implemented	Assurance and audit evidence
	• No offshore movement or access of any data - all activities performed remotely by US onshore resources within the continental United States or U.S. Territories	
Monitoring, logging, and audit	• Immutable audit logging of all migration activity • Centralized log consolidation with SIEM integration • Continuous security monitoring with automated threat and anomaly detection • Alerting on unexpected volumes, endpoints, or access patterns • Complete audit trails providing end-to-end visibility, accountability, and traceability across the migration lifecycle	Log retention aligned to State and federal retention requirements; right of access provided to the Agency, its designee, and federal personnel
Compliance control frameworks	• ARC-AMPE and IRS Publication 1075 controls implemented, including the Section 2.C.7 offshore operations prohibition • NIST SP 800-53 control set; FISMA; HIPAA; 45 CFR Parts 160, 162 and 164 • SSA information system security guidelines; ACF OCSE Security Agreement; 7 CFR 277.18(m) • WVOT and DoHS security policies; West Virginia Executive Branch Privacy Policy security safeguards • IRS Safeguard Log created and maintained	Control responsibility matrix identifying inherited, State-implemented, and shared controls, with a maintained Plan of Action and Milestones
Personnel controls	• Vendor Employee Confidentiality Statement completed by all project staff before beginning work • Background checks consistent with W. Va. Code § 15-2D-3 • Agency approval authority over Key Staff, with removal rights • Documented security controls for all Key Staff home-office environments	Onboarding records; staff roster with location and confidentiality attestation

Specific security controls protecting in-flight data during migration from z/OS and DB2 to AWS.

Eliminating reliance on legacy mainframes and state-owned data centers

The Agency's expectation is that PATH will no longer be reliant on legacy mainframes or State-owned data centers. Our commitment is unambiguous: **every PATH-specific mainframe and State data center dependency identified in the RFP has a named target, a named action, and a scheduled retirement.**

Legacy component disposition

Legacy component (as stated in the RFP)	Action	Target in AWS	Disposition
PATH CS - z16 mainframe environment			
z/OS Version 3 Release 1 (5655-ZOS)	Replace platform	Red Hat Enterprise Linux on AWS EC2	Retired
DB2 Version 13 FL506 (5675-DB2)	Convert database	AWS RDS for SQL Server -1 database, 288 tables	Retired
Software AG Natural Version 4.2.5 (upgrade to R8.2.5 in progress)	Automated refactoring to Java	Java classes on the IBM Java-based Framework - 1,137 programs, 581 subprograms, 822 maps, 675 subroutines, 292 DDMs, 26 help routines	Retired-**the in-progress Natural upgrade becomes unnecessary, avoiding that investment**
Control-M Release v9.0.21 (batch scheduling)	Retain at migration, then modernize	Control-M as target scheduler during transition; then AWS EventBridge, AWS Batch, AWS Step Functions, SNS and SQS	Modernized - operational controls stay familiar to State staff through cutover
Advanced Function Presentation / Print Services Facility V4R5 (5655-M32)	Replace with modern document services	Spring Batch document processing on AWS ECS (Fargate) supporting Adobe AEM and Optum FDS, with modern archival and access patterns	Retired
ViewDirect, Mobius-z/OS V10.1.7 (V6.70 installation in progress)	Replace with modern distribution	Modern report generation, archival, and distribution; opportunity to consolidate reporting into the DoHS EDS data warehouse	Retired-**the in-progress V6.70 installation becomes unnecessary**
Computer Associates PLATINUM Tools; PRF Advance Report Facility V16	Replace with cloud-native tooling	AWS-native and standard Java/SQL Server tooling used by all technical staff	Retired
CICS Monitor v5.6; DB2 Monitor v5.0; IBM Z OMEGAMON for z/OS v5.6.0; OMEGAMON for Db2 PE v5.5.1; IBM Z OMEGAMON for CICS v5.6.0	Replace with centralized observability	AWS CloudWatch metrics and logs, AWS OpenSearch, managed Grafana dashboards, synthetic monitoring and APM; State Tier-0 monitoring	Retired

Legacy component (as stated in the RFP)	Action	Target in AWS	Disposition
DB2 tool suite - Administration Tool v13.1.0, Automation Tool v4.3.0, Log Analysis Tool v3.5.0, Object Comparison Tool v12.1, Query Monitor v3.4.0, Recovery Expert v3.2.0, SQL Performance Analyzer v5.1.0, Table Editor v4.5.0, Data Access Common Collector v1.1.0, Query Management Facility v13.1.0	Replace with managed database capability	AWS RDS native administration, automation, backup, recovery, point-in-time restore, and performance capability plus standard SQL Server tooling	Retired-**ten mainframe DB2 tool licenses eliminated**
PATH FA - IBM BladeCenter z14 ZR1 (3907 K03) mainframe environment			
IBM BladeCenter z14 ZR1 model 3907 K03 Enterprise Server	Replace platform	Red Hat Enterprise Linux on AWS EC2, sized from MIPS conversion with JVM, integration, HA, and peak-load multipliers	Retired
DB2 database platform; more than 460 database tables	Convert database	AWS RDS for SQL Server -3 databases, up to 1,121 tables in the converted FA scope, Multi-AZ in production	Retired
Approximately 1,790 COBOL OS/390 and Virtual Machine source programs - 646 CICS programs, 978 batch programs, 166 subroutines	Automated refactoring to Java	Java classes on the IBM Java-based Framework - 5,819,776 batch COBOL LOC and 309,678 copybook LOC converted	Retired
CICS online presentation (BMS maps)	Convert presentation layer	Browser-based HTML5/CSS interface with Angular	Retired
Batch orchestration, data transformation, and notice generation performed by mainframe COBOL	Convert batch and document processing	Spring Batch on containerized compute; modern document generation, rendering, and distribution services	Retired
More than 27 interfaces and data exchanges with Federal and State agencies (DOC003)	Re-point and modernize integration	API-enabled integration layer, AWS Transfer Family and managed file transfer, TLS 1.3 to the Federal Data Services Hub, interfaces to the WV FFM and FDSH for Account Transfer and data validation	Modernized -no mainframe dependency retained
DB2 SQL stored procedures (39); SAS routines (9)	Convert	MS SQL Server stored procedures; Java classes	Retired

Legacy component (as stated in the RFP)	Action	Target in AWS	Disposition
West Virginia State data center components			
PATH FA agent portal front-end screens (presentation layer for eligibility workers)	Re-platform	AWS EC2 with Oracle WebLogic, multi-AZ, behind AWS load balancing, CloudFront and Route 53	State data center footprint retired
Corticon business rules engine (eligibility rules authored, maintained, and executed here -the mainframe is not the rules engine)	Re-platform and keep externalized	AWS-hosted Corticon invoked through APIs; rules remain externalized so policy change stays configuration-led with traceability	State data center footprint retired-**rules authoring practice and policy traceability preserved unchanged**
Informatica MDM and Address Verification (Address Doctor) shared services	Re-platform	AWS EC2 with MDM data on AWS RDS for Oracle; Informatica PowerCenter ETL on EC2	State data center footprint retired
Integration services, enterprise service bus, secure file transfer	Re-platform and modernize	Oracle SOA on AWS EC2 in transition; AWS Transfer Family, SQS, SNS, Lambda and API gateway patterns	State data center footprint retired
10 physical servers (56 CPU cores, 1,000 GB RAM) and 15 virtual machines (48 cores, 523 GB RAM)	Migrate and decommission	AWS compute sized with a 0.75× CPU multiplier for newer cloud compute and targeted at approximately 60% utilization before autoscaling; RHEL 10 for all Linux VMs	Decommissioned under the Datacenter Decommissioning task
West Virginia Oracle licenses	Rationalize	Replacement licenses under the Optum contract at approximately 75% savings versus current West Virginia contract cost; database cores reduced from 118 to 106	Legacy license obligation ended

Retirement as a governed deliverable

Cost benefit is only realized when legacy obligations actually end. Decommissioning is therefore a scheduled, resourced activity with exit criteria and Agency approval - not a residual assumption.

- **Evidence-based exit criteria.** Retirement activities confirm successful transition of applications, databases, interfaces, batch processes, shared services, reports, forms, notices, correspondence functionality, and operational processes to AWS before anything is switched off.
- **Formal Agency approval.** Upon Agency approval, PATH-specific COBOL, Natural, JCL, DB2, and associated mainframe processing components are formally decommissioned and retired.
- **Ensono exit coordination.** Decommission Coordination is an explicit scheduled workstream, coordinating the mainframe hosting exit, contract and license termination, and final data extraction with the Agency and the incumbent hosting provider.
- **License and platform cost cessation.** Mainframe platform, DB2, Natural, monitoring, print, distribution, and tooling licenses are identified, reconciled against DOC0024 License Inventory, and terminated -with an updated inventory of all hardware, software, and solution licenses delivered to the State on request.
- **Records retention preserved.** Data retention and accessibility obligations under 2 CFR Part 200, 45 CFR 95.615, and 45 CFR 1355.50–1355.59 are satisfied before any legacy repository is retired, with retention methodology documented for all data and records associated with each project phase.

High-level timeline, tasks, resource needs, milestones, and status reporting

The schedule below is drawn from the program workplan and integrated Gantt. Calendar dates assume a Prime Contract start at the beginning of November 2026 and will be jointly refined with the Agency at contract initiation. All dates are indicative pending that joint refinement; the sequence, durations, dependencies, and exit criteria are the commitments.

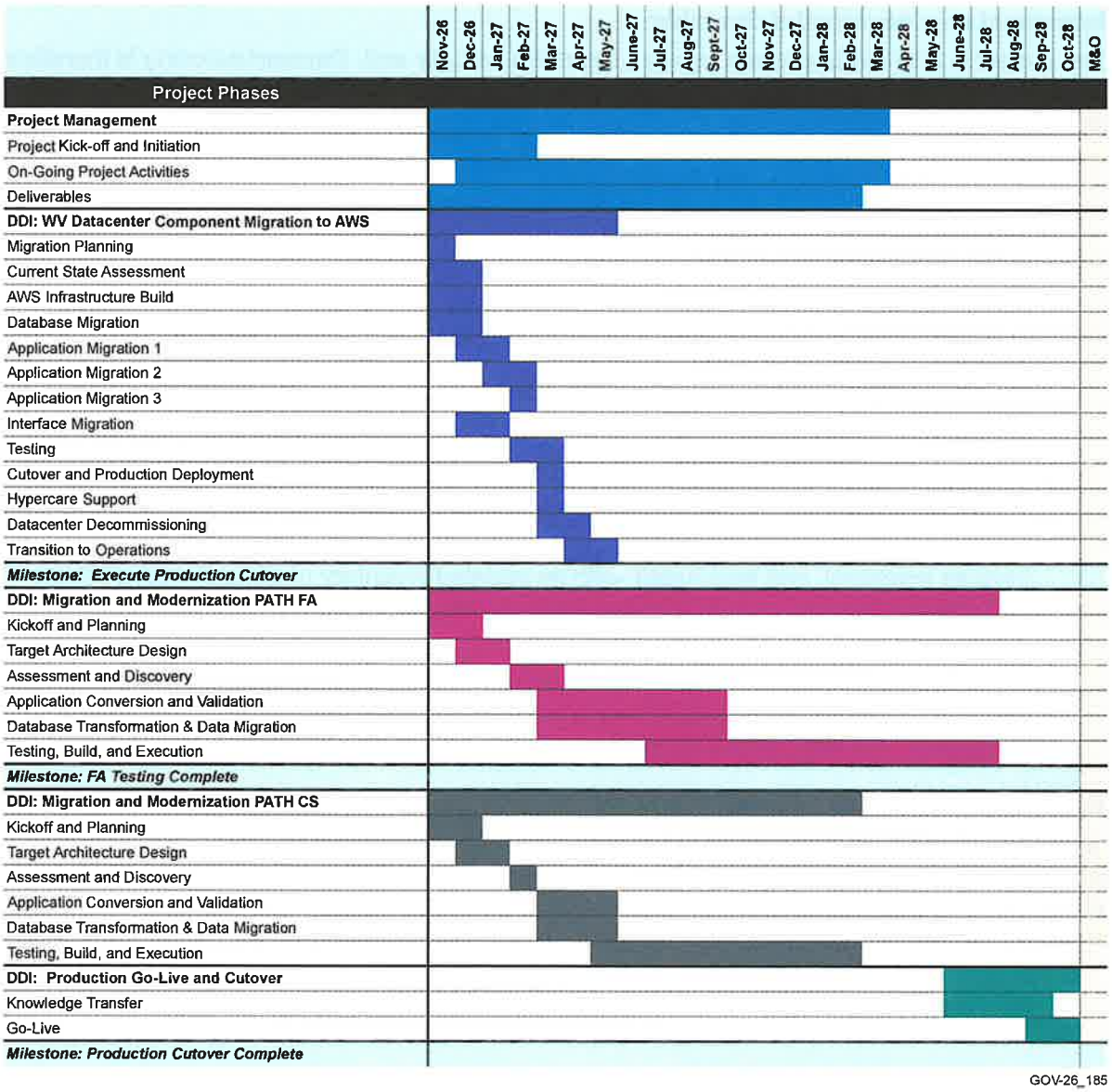

Figure 15: Project phases and milestones.

Timeline for PATH's dependence on legacy mainframe and State-owned data center infrastructure and re-establish WV PATH as a cloud-native, API-enabled, State-owned platform on AWS.

Resource needs

Modernization labor is estimated bottom-up at the individual position level and held in discrete, time-bounded work streams so the Agency can see exactly which effort ends when the outcome is delivered and does not persist in the recurring operating price.

To facilitate successful mainframe modernization, Optum and IBM have established a dedicated partnership, with the following labor hours allocated for cloud migration, deployment, and SIT/UAT support.

Modernization work stream	Year 1 hours	Year 2 hours	Total hours
Cloud Migration and Modernization	30,375	33,975	64,350
Remediation of Requirements Not Met	14,726	7,454	22,180
Child Support Certification Support	0	5,850	5,850
Migration of WV Technology Assets (contract months 1–6)	5,370	0	5,370
Child Welfare Certification Support	3,310	430	3,751
Tier-0 Self-Service Integration	2,250	0	2,250
Total non-recurring transformation effort	56,031	47,709	103,751

Non-recurring transformation labor by work stream. One FTE is priced at 150 productive hours per month, 1,800 per contract year.

Role coverage across the modernization program

- **Program management:** Modernization PMO, Program Manager, PMO analysts, and reporting leads, supported by the twelve RFP key personnel positions, each dedicated full-time rather than fractionally shared.
- **Architecture and technical leadership:** Cloud architects, application architects, senior architect analysts, principal engineers, and lead software engineers. Architecture effort is deliberately weighted to the first four years, peaking at 9,000 hours per year in Years 2 through 4 when the target state is designed and migration executed.
- **Migration and modernization engineering:** Mainframe subject matter experts, Java developers, conversion engineers, data migration specialists, and integration engineers. Application engineering peaks at 69,343 hours in Year 2, when modernization and remediation run concurrently with operations.
- **DevOps, data and infrastructure engineering:** Front-loaded at 21,570 hours in Year 1 and 15,750 in Year 2, building the automated deployment pipelines, monitoring, and data engineering foundations and executing the platform migration, then tapering as the foundation stabilizes.
- **Security and compliance:** Security architects, the dedicated Security Manager key personnel role, and risk and compliance analysts covering ARC-AMPE, IRS Publication 1075, NIST SP 800-53, and State security policy obligations.
- **Testing and quality assurance:** QA leads, automation engineers, and performance testers. Quality engineering is concentrated at 9,120 hours in Year 1 and 13,713 in Year 2 to validate the migrated and modernized platform, then reduces to a sustaining level as automated regression coverage takes over.
- **Location and staffing constraints honored:** All work is performed within the continental United States or US Territories consistent with IRS Publication 1075 Section 2.C.7. Key Staff enter the project within 30 calendar days of contract award, are dedicated full-time, and are available on-site in Charleston up to 50% of the time with one week's notice. Approximately 88% of program hours are delivered by internal delivery organizations, which keeps institutional knowledge of PATH inside the delivery team and reduces rate volatility over the term.

State and Agency dependencies

The plan depends on a small number of Agency and Optum-side inputs. We state them explicitly so the schedule is defensible and the Agency can plan against it.

Dependency	Required by	Why it matters
State AWS tenancy and Tier-0 services (identity, network definition, edge protection, security monitoring) available	Before AWS infrastructure build	The target hosting environment cannot be provisioned inside the State tenancy without it
Migration environment provisioned - r7iz.8xlarge, us-east-1a, AMD64, 256 GB memory, 12.5 Gigabit network	Prior to modernization project start	Hosts the conversion tooling accelerators inside the client AWS environment
AWS WorkSpaces and MS SQL Server provided for modernization activities	Prior to conversion start	Developer and migration access, and the conversion target database platform
Legacy source code and listings in final version, compiling without error in the source environment	Within the first two days of the mainframe migration start date	Conversion operates on the production baseline; late or non-compiling source moves the critical path
Data file and database layouts provided	At project start	Required to build the Application Data Migration Process and target DDL
Pre-delivery functional test cases and test data provided	By project month 6 (PATH FA) and month 3 (PATH CS)	Enables pre-delivery smoke testing before code release for formal testing
Mainframe baseline testing environment and data available	Before baseline testing begins	Baselines must be captured on the mainframe before conversion for comparison to be meaningful
Agency approval of the migration plan, and of decommissioning	At the respective phase gates	Migration executes against an Agency-approved plan; retirement requires Agency approval
Quiet period observed before each go-live	Minimum 6 weeks before each cutover	Protects the validated code baseline through cutover

Status reporting and governance

Cadence	Mechanism	Content
Weekly	Weekly Project Status Report (D021) and workstream reviews	Progress against plan, milestone status, conversion and test throughput, defect trends, risks, issues, dependencies, decisions required
Weekly	Dependency and risk management session	Dependency tracking and readiness metrics across applications, databases, shared services, interfaces, reports, notices, document services, workflows, and infrastructure

Cadence	Mechanism	Content
Monthly	Monthly Project Status Report (D022)	Consolidated progress, quality metrics, readiness indicators, financial and resource status, service level performance
Continuous	Executive dashboards	Progress, quality, and readiness across technical, operational, and security domains, including dependency and readiness metrics
At each gate	Formal phase-gate review	Entry and exit criteria evidence, test results, reconciliation evidence, performance comparison, security posture, go/no-go recommendation
Periodic	Executive Steering Committee	Program health, escalations, scope and schedule decisions, benefit realization, with DoHS, WV MIS, and designated stakeholders
On exception	Corrective Action Plan	Where a KPI reflected in an SLA is not met: missed KPI, issue description, cause, related risks, resolution, and proposed forward corrective action, submitted within ten business days of request

Status reporting and governance cadence.

Dependency management and migration sequencing

- **A single dependency register spans the whole ecosystem:** Applications, databases, shared services, external interfaces, reports, forms, notices, correspondence, document services, operational workflows, and infrastructure modernization. Dependency tracking and readiness metrics feed executive dashboards and governance reviews so risks surface early enough to act on.
- **The sequence is deliberate:** Establish AWS infrastructure foundations first; then exit the State data center; then application and database conversion; then shared services and integration; then comprehensive testing and validation; then production cutover; and finally retirement of legacy assets. Nothing is retired before its replacement is proven.
- **Increment selection is driven by data, not convenience:** Automated analysis identifies cohesive, low-coupling program groupings; sequencing then respects batch execution order, financial reconciliation cycles, and federally mandated reporting deadlines-the constraints Optum manages in production today.
- **Interface and coexistence boundaries are managed explicitly:** Interfaces are re-pointed with fallback, and Optum manages synchronization of target platform components not in the conversion scope-data and utilities, online and batch security, batch tooling, and integration of modified batch jobs into the target scheduler.

Objective: Proven and Innovative Approach

Optum applies innovation through **controlled adoption, not disruptive change.** Every technique in this response has been proven, applied to state's eligibility and human services platforms, or across IBM's modernization portfolio. The Agency is not being asked to fund a first attempt.

This approach gives WV a lower-risk path to reliable operations today while creating a flexible foundation for continued modernization, scalability and faster response to policy and program change.

Demonstrated deployment and proven reliability

Reference experience	What it demonstrates	Relevance to WV PATH Goal 4
WV PATH -Optum, 2016 to present	Phased delivery of PATH capabilities across the public portal, Child Welfare, Family Assistance, Child Support, and Child Care functions, with ongoing maintenance and operations, reporting, interfaces, and federal compliance activity	Direct production accountability for the system being modernized. Migration sequencing is derived from batch schedules, dependencies, reconciliation processes, and federal timelines we operate today-not from documentation review
WV PATH mainframe migration proof of concept -Optum and IBM	Both firms participated in proof-of-concept activities on the actual PATH codebase, producing component inventories, missing-object findings, utility dependency counts, and conversion feasibility evidence	The scope in Table B-6 and the findings in B.3.1 are outputs of analysis already performed on PATH, materially reducing discovery risk and estimate variance for DoHS
Massachusetts Integrated Eligibility System -AWS modernization	Migration to AWS and modernization of the architecture for a State integrated eligibility solution, including rules externalization and service-layer modernization	Demonstrates the specific pattern proposed here -State eligibility platform re-architected onto AWS with rules kept externalized-delivered in production for another State
IBM mainframe modernization portfolio	More than 30 years of mainframe modernization experience and more than 500 completed modernization projects worldwide, covering billions of lines of code across high-transaction, large-scale, multi-national environments, including prior assessment and modernization of the same technologies present in PATH	Industrialized, repeatable automated assessment and conversion tooling rather than a bespoke design, producing predictable results on compressed timelines while retaining business logic in maintainable form
Optum State eligibility and HHS portfolio	Prior State eligibility, child welfare, child support, and human services transformations using common operating disciplines for complex eligibility platforms, reporting, interfaces, federal compliance, and ongoing M&O	Established deployment patterns, tools, and operating models rather than one-off designs-which is what gives DoHS clearer risk visibility and more predictable execution
Current DoHS vendor status -both firms	Optum and IBM are both current DoHS vendors familiar with the PATH environments, contracting model, and security expectations	Removes onboarding, access, and environment-familiarity risk from the critical path of the mainframe migration

How proven experience translates into reliability and stability

- **Repeatable methods, not bespoke design:** By applying established migration patterns, tools, and operating models rather than inventing an approach for West Virginia, the State gains clearer risk visibility, more predictable execution, and a modernization path aligned to how PATH actually operates.

- **As-is conversion protects behavior:** Applications are migrated as-is with no functional change or re-engineering introduced during conversion. Stability comes from the fact that we are not changing what the system does while changing what it runs on.
- **Baselines make regressions visible:** Because mainframe behavior and timings are captured before conversion, a regression is detectable rather than debatable.
- **Automation removes human variance:** Automated refactoring, automated test generation, automated regression, and automated quality and security scanning produce consistent output at a scale that manual conversion cannot match reliably.
- **Incremental delivery limits exposure:** Modernizing logical component groupings as discrete increments means no single failure can compromise the whole program, and each increment builds confidence for the next.

Leading technology and proven best practices by business capability

The Agency named four capability areas. Each is addressed below with the specific technology, the proven practice, and the outcome for DoHS.

Eligibility management

- **Rules stay externalized-before, during, and after migration:** Eligibility business rules remain authored, maintained, and executed in the Corticon rules engine rather than embedded in application code. The mainframe does not function as the eligibility rules engine today, and the modernized platform preserves that separation. Policy changes are therefore managed with traceability and reduced dependency on application code and release cycles.
- **Proven in another State:** We performed a comparable migration to AWS in Massachusetts, where we modernized the architecture for their Integrated Eligibility Solution. As PATH capabilities move to AWS-hosted services, rules execution integrates with modern service layers supporting faster updates, improved auditability, and clearer alignment between policy and system behavior.
- **Coverage for programs outside the rules migration:** Business rules are implemented in the business rules engine for human services programs not included in the business rules migration, so no program is left with policy logic buried in code.
- **Determination integrity proven, not assumed:** Parallel validation testing for PATH FA demonstrates eligibility parity between mainframe and cloud operation. Eligibility determination processing - the automated rules evaluation resulting in an approved, denied, or pending status - is baselined and re-measured.
- **Downstream processing modernized with it:** The COBOL programs that today consume determination results and drive batch orchestration, data transformation, and notice generation are converted to Java and Spring Batch, so the whole eligibility chain is modernized rather than half of it.
- **Verification and data sourcing preserved:** Verification outcomes are consolidated in a single State-defined location, responses and supporting documentation from participating data sources are processed electronically, and a list of all data sources queried is made available to the State.

Document generation, notices, and correspondence

- **Legacy print and distribution replaced with modern services:** Advanced Function Presentation and Print Services Facility output and ViewDirect/Mobius report distribution are mapped to modern generation, archival, and access patterns supporting scalable batch output, centralized audit trails, controlled access, and distribution to users and downstream systems.
- **Cloud-native document processing:** Spring Batch document-processing workloads run on AWS ECS (Fargate) supporting Adobe AEM and Optum FDS, provisioned as 32 task profiles across non-production and production so document volume scales independently of the application tier.
- **Existing PATH capability leveraged, not discarded:** We leverage the current document generation and reporting capabilities of WV PATH and explore opportunities to consolidate reporting in the DoHS EDS data warehouse for centralized reporting.
- **Client-facing quality requirements met by design:** All notices, forms, and letters generated in Spanish on request; client-facing content written at no greater than an eighth-grade reading level; machine-readable QR codes on notices; mass email and fax notification supported.
- **Performance measured:** Document generation and rendering, the creation of templated notices using system-stored data, is baselined on the mainframe and re-measured in AWS as an explicit acceptance criterion.

Workflow automation

- **Batch and CICS-driven flows become scheduled, event-driven, cloud-ready workflows:** JCL job streams and procedures convert to Spring Batch; Control-M is retained as the target scheduler through migration so operational controls stay familiar to State staff, then modernizes toward AWS EventBridge, AWS Batch, AWS Step Functions, SNS and SQS.
- **Long-running processes supported natively:** The pattern supports long-running eligibility and case management processes rather than forcing them into request-response shapes.
- **Full workflow management capability retained and modernized:** Definition and modeling of workflow processes and their activities; run-time control and sequencing; multiple simultaneous processes each with multiple concurrent instances; and composition of low-level processes into higher-level ones.
- **Configurable triggers, routing, and escalation:** Workflows initiated by inbound communication events (email, document upload, form submission, phone), system-generated events, user-triggered events, or exception processing; activity routing by the same mechanisms; escalation of overdue user alerts based on configurable business rules; suspension and resumption of workflows; and custom status values defined by the State.
- **Automated document routing:** Documents transfer to other systems for review, editing, and approval, and back to external stakeholders for rewrites and production, under automated workflow.

- **Time-sensitive work is not lost:** Configured reminders support time-sensitive workflows and events, with start and completion conditions, navigation rules, staff tasks, and authorized approvers captured in the workflow definition.

Case management

- **Case assignment and routing modernized and measured:** Automated case assignment and routing to the appropriate worker or unit, including workload distribution for Child Welfare, Child Support, and Child Care, is baselined on the mainframe and re-measured in AWS.
- **Program assistance and payment processing preserved:** Program assistance calculations and payment authorizations for Family Assistance, Child Welfare, Child Care, and Child Support are converted and validated against mainframe baselines, with financial reconciliation testing included in the validation scope.
- **Case history and integrity maintained:** Case history and approval/denial tracking, non-sufficient funds tracking, repayment offsetting, and program-specific case attributes carry forward through conversion with data validation and reconciliation evidence.
- **Integration that case management depends on is modernized in step:** MMIS medical support and Medicaid data exchanges, ACF Child Support Enforcement Guide field transmissions to the Title IV-A and IV-E agencies, Social Security Administration referrals, and interfaces with the WV Federally Facilitated Marketplace and Federal Data Services Hub for Account Transfer and data validation over TLS 1.3.
- **MITA alignment maintained:** The solution continues to support the most current Member and Eligibility and Enrollment MITA goals as defined in the State's MITA State Self-Assessment.
- **Adaptability designed in:** Open architecture standards and scalability promote integration across Integrated Eligibility business processes; data changes made in one part of the solution automatically populate others to avoid duplicate entry; and the platform is built to be readily adaptable to changing State and Federal requirements.

Innovation through controlled adoption – AI-assisted modernization and operations

Innovation is applied where it demonstrably reduces risk or cost, and always behind a verification gate. Initial phases focus on understanding the current environment, preserving critical business behavior, and validating results through semantic discovery, automated analysis, regression testing, and parallel run practice.

AI-assisted modernization

- **Automated code assessment and dependency analysis** across COBOL, CICS, Natural, DB2, JCL, and related components, producing program-to-data mappings, interface relationships, and batch execution flows.
- **Business rule extraction and technical documentation generation:** Recovering and documenting logic that exists today only in code, which is a durable maintainability benefit independent of the migration itself.
- **Automated refactoring at scale:** IBM Automated Refactoring converts COBOL and Natural to Java on the IBM Java-based Framework; JCL converts to Spring Batch. This is the alternative to a manual rewrite that would re-litigate correct, federally reviewed policy logic.

- **Generative AI-accelerated test design and automation:** Test design acceleration powered by generative AI, combined with Combinatorial Test Design for coverage optimization and Cognitive Defect Analytics for defect prediction, applied across a projected 19,790 test cases.

AI-assisted operations

- **Agentic and automated operational workflows** are adopted progressively for operational activities, code generation, problem and incident analysis, and root-cause identification.
- **The efficiency is committed, not aspirational:** Core maintenance and operations effort declines from 74 FTE in Year 3 to 47 FTE in Year 10, a 40% reduction against the first full operating year, as automation and AI-assisted workflows scale and the modernized platform reduces sustaining effort. Shared Services and Platform effort falls from 30,600 hours in Year 2 to 7,200 hours in Year 10, because that is where modernization displaces the most sustaining work.
- **We carry the risk of that assumption:** These efficiencies are premised on successful adoption of AI-assisted and automated workflows on the schedule assumed. We have priced them as fixed and accepted the risk rather than reserving against it-if adoption is delayed, we staff to the committed service levels at our own cost.

Guardrails on innovation

- No converted component reaches production without passing SonarQube Sonar Way quality rules, Dependabot and CodeQL security scanning with zero critical or high vulnerabilities introduced by conversion, at least 85% automated unit test coverage for business logic, and regression comparison against the mainframe baseline.
- AI output is reviewed by qualified engineers; acceptance decisions remain human and are evidenced in the deliverable review and approval chain.
- Security, resiliency, auditability, and recovery practices are embedded in the target architecture from the outset rather than retrofitted, so innovation does not outrun the control environment.

Why Optum

Optum, in partnership with IBM, provides West Virginia with a low-risk, execution-ready modernization approach that directly aligns with Goal 4 objectives to phase out legacy mainframes, reduce reliance on State-owned data centers, improve scalability, strengthen security and performance, and create a sustainable cloud-based foundation for WV PATH's future.

- **Alignment with Goal 4:** Our approach supports the Agency's modernization and scalability priorities by moving PATH CS, PATH FA, shared services and related components from legacy mainframe and data center environments to a secure, hosted AWS-based architecture.
- **Modern cloud foundation:** Optum proposes a layered AWS architecture with scalable compute, managed services, centralized monitoring, disaster recovery capabilities and secure integration patterns to improve performance, availability and long-term maintainability.
- **Legacy modernization with reduced disruption:** Optum and IBM use automated discovery, dependency mapping, code analysis, transformation tooling, parallel validation and phased cutover planning to retire COBOL, Natural, DB2 and related mainframe dependencies while preserving critical business logic.
- **Secure migration and operational resilience:** Optum applies private connectivity, mutual authentication, access controls, logging, reconciliation, rollback readiness and validated recovery practices to protect in-flight data and sustain uninterrupted services during modernization.
- **Long-term scalability and innovation:** By transitioning PATH to modular Java services and cloud-native operating patterns, Optum helps WV reduce technical debt, accelerate updates, improve responsiveness and support ongoing policy, program and service evolution.

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Goal 5: Process Automation and Operational Efficiency

Intelligent automation built on a proven WV PATH foundation

As the incumbent partner supporting the West Virginia Department of Human Services, Optum understands the operational demands facing WV PATH staff. Workers must process cases accurately and timely, manage verifications and documents, respond to client and provider inquiries, maintain complete case records, protect program integrity, and comply with federal and State requirements. Although WV PATH has automated many core functions, opportunities remain to reduce manual effort associated with document review, duplicate data entry, repetitive case documentation, information searches, exception handling, verification activities, and routine support.

These activities are necessary to program operations, but when performed manually they can contribute to delays, rework, and administrative burden. Staff can spend valuable time reviewing documents, reconciling verification information, routing work, tracking missing information, responding to routine inquiries, and entering data already available from authorized sources. Our approach is to shift more of this routine work to WV PATH so staff can focus on complex case review, quality assurance, compliance oversight, exception resolution, and direct support for West Virginians.

West Virginia is not starting from a blank slate. Optum has already implemented a strong automation foundation within WV PATH, including rules-based eligibility processing, benefit calculations, client self-service for applications, renewals, and change reporting; electronic document submission and searchable case records; automated notices and correspondence; workflow routing; task and queue management; operational dashboards; and integrations with federal, State, and third-party verification services. These include CMS FDSH, Softheon asset verification, SSA SSN verification, FNS eDRS, WorkForce West Virginia, SOLQ, and other approved sources. These production capabilities automate routine activities, support consistent policy application, improve access to verification information, and provide greater visibility into workload, aging activities, and exceptions.

Objective: Business Process Automation

Optum will continue partnering with the West Virginia Department of Human Services (DoHS) to advance business process automation across eligibility, enrollment, case management, provider interactions, document processing, reporting, notices, forms, letters, correspondence, batch processing, and operational workflows within WV PATH. Building on a mature platform already supporting West Virginia programs, Optum combines rules-driven automation, intelligent workflow management, modern self-service capabilities, operational modernization, AI-assisted support, and continuous process improvement to reduce administrative burden, improve service delivery, strengthen program integrity, and create a more efficient experience for clients, providers, and staff.

As the incumbent partner supporting WV PATH, Optum brings direct knowledge of the existing platform, business rules, workflows, interfaces, operational pain points, reporting assets, and modernization priorities. This enables DoHS to accelerate automation outcomes while maintaining operational continuity, compliance, and State control over policy-sensitive decisions.

Rules-driven eligibility and enrollment

At the core of this approach is WV PATH's rules-driven eligibility and enrollment framework. WV PATH will continue to use rules and decision services to apply State-approved eligibility rules, decision tables, verification logic, and policy updates in a controlled and consistent manner. Managing business rules separately from core system code provides a structured approach to version, test, approve, and deploy rule changes as policies evolve.

Through these capabilities, WV PATH can evaluate routine eligibility conditions, support benefit calculations where rules are complete, identify required verifications, determine whether submitted information is sufficient, generate reason codes, and route cases that do not meet automation criteria to the appropriate worker queue. When required information is present and a transaction meets approved criteria, the system can move the action forward with fewer manual touches. When information is missing, inconsistent, stale, higher risk, or outside approved automation criteria, WV PATH will route the work to staff for review. This approach reduces manual handling while preserving the human judgment required for complex cases, exceptions, appeals, quality reviews, adverse actions, and decisions requiring caseworker expertise.

Reduced data entry and reentry

WV PATH will continue to reduce repetitive data collection through approved data reuse and intelligent prefill. Known client, household, income, address, employment, and case information can be reused across programs and transactions when permitted by policy and data-sharing requirements. Verified information from case records, client submissions, approved interfaces, and authorized Federal and State data sources can support eligibility and enrollment activities, reducing the need for clients, providers, and workers to enter the same information multiple times. These capabilities improve data quality, increase consistency across programs, accelerate application and renewal processing, and reduce worker effort.

Enhanced self-service for clients and providers

Optum will continue expanding secure self-service capabilities that empower clients to complete routine activities independently and at their convenience. Through the WV PATH client portal, individuals can apply for benefits, report changes, upload documents, monitor case status, complete renewals, respond to requests for information, receive notices and reminders, and update household information through workflows designed for accessibility and ease of use. Structured questions, required-field validation, plain-language prompts, mobile-friendly access, and clear next steps help clients submit more complete information, reduce follow-up effort, and improve the overall client experience.

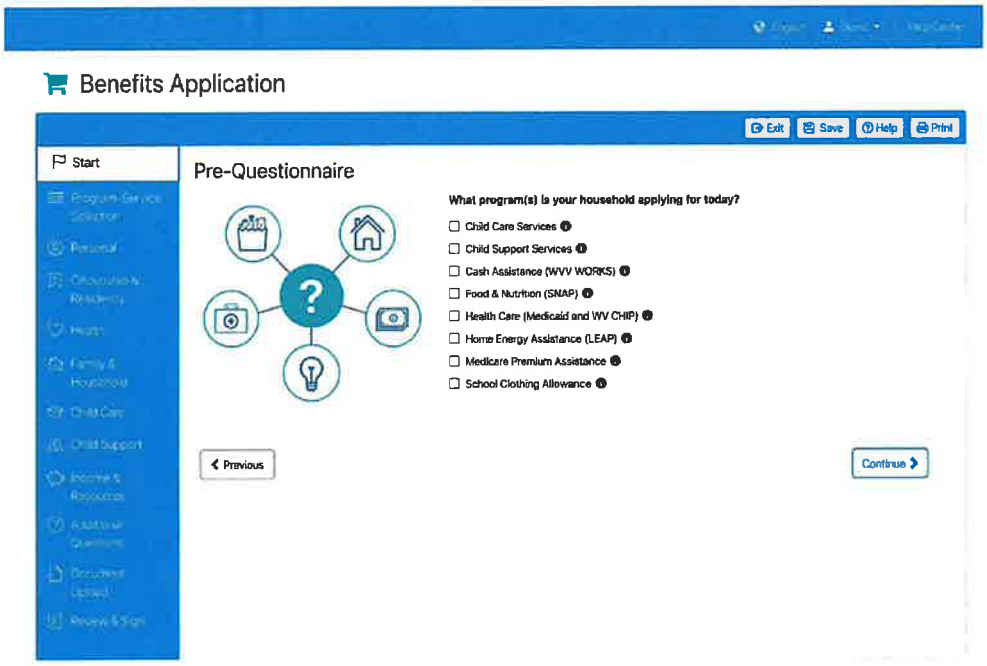

Figure 16: Applying for multiple program(s) in the WV PATH client portal.

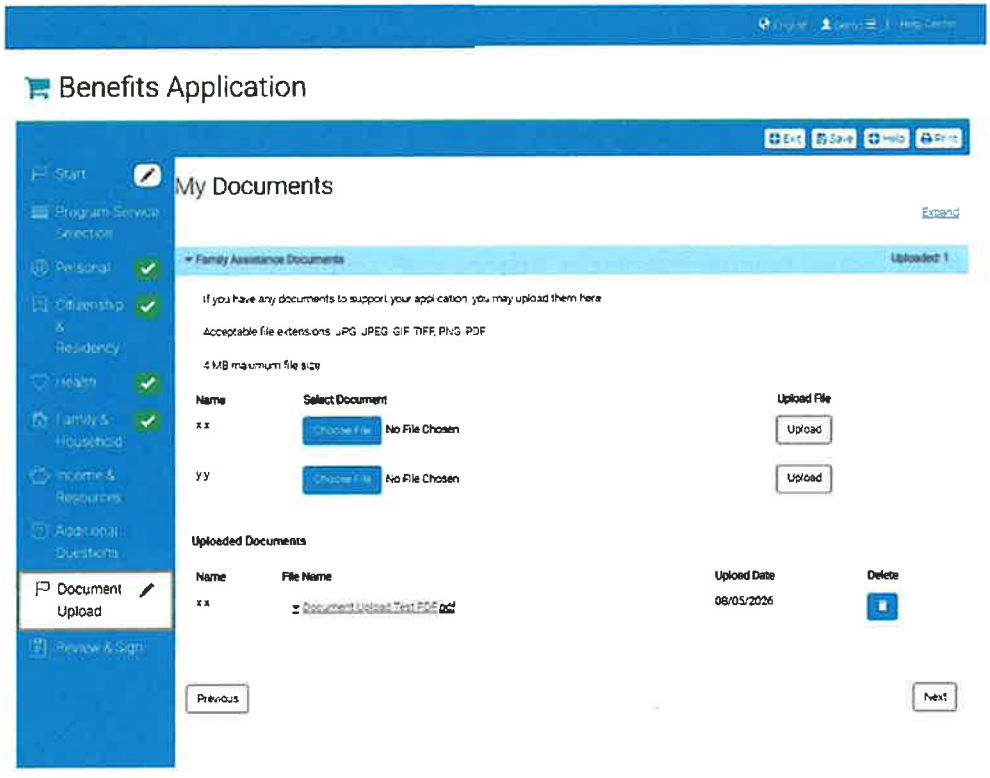

Figure 17: Submitting document(s) in the WV PATH client portal.

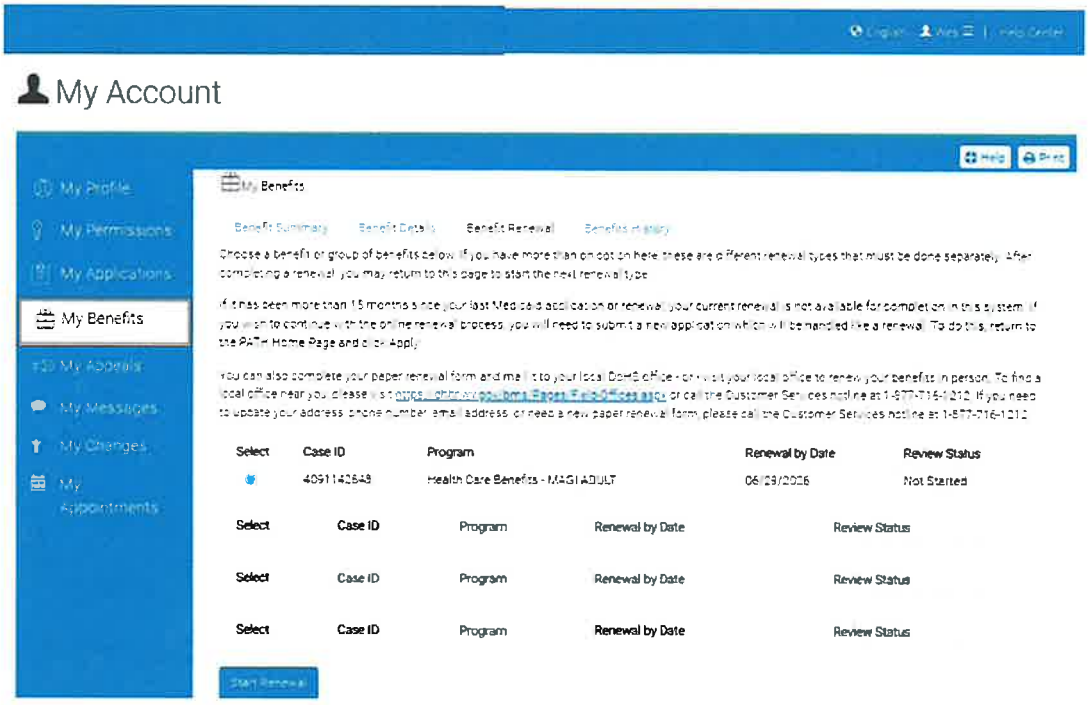

Figure 18: Completing benefit renewal in the WV PATH client portal.

Provider self-service capabilities will similarly reduce routine administrative work by enabling providers to submit documentation, update profile information, respond to information requests, view relevant status information, and complete routine interactions through secure digital channels. Guided submissions, automated validation prompts, status visibility, electronic notifications, and secure document exchange help providers complete activities more efficiently while reducing manual follow-up, administrative burden, and reliance on phone, paper, and email-based processes. These capabilities promote Provider autonomy, improve responsiveness, reduce manual tracking by Agency staff, and allow workers to focus on higher-value activities.

Medicaid Streamlined Application in the public and agency portals

The Medicaid Streamlined Application already implemented in both the public portal and agency portal provides a practical example of how WV PATH automation improves the experience for both clients and workers. This capability gives clients a simpler, guided way to apply for Medicaid through self-service while also giving Agency staff a more consistent assisted-service workflow when supporting clients through the agency portal.

By presenting clearer questions, reusing available information where appropriate, guiding users through required sections, and helping capture more complete application information up front, the streamlined application reduces unnecessary complexity at intake. For clients, this improves ease of access and reduces confusion. For workers, it reduces incomplete submissions, duplicate entry, follow-up effort, and downstream rework.

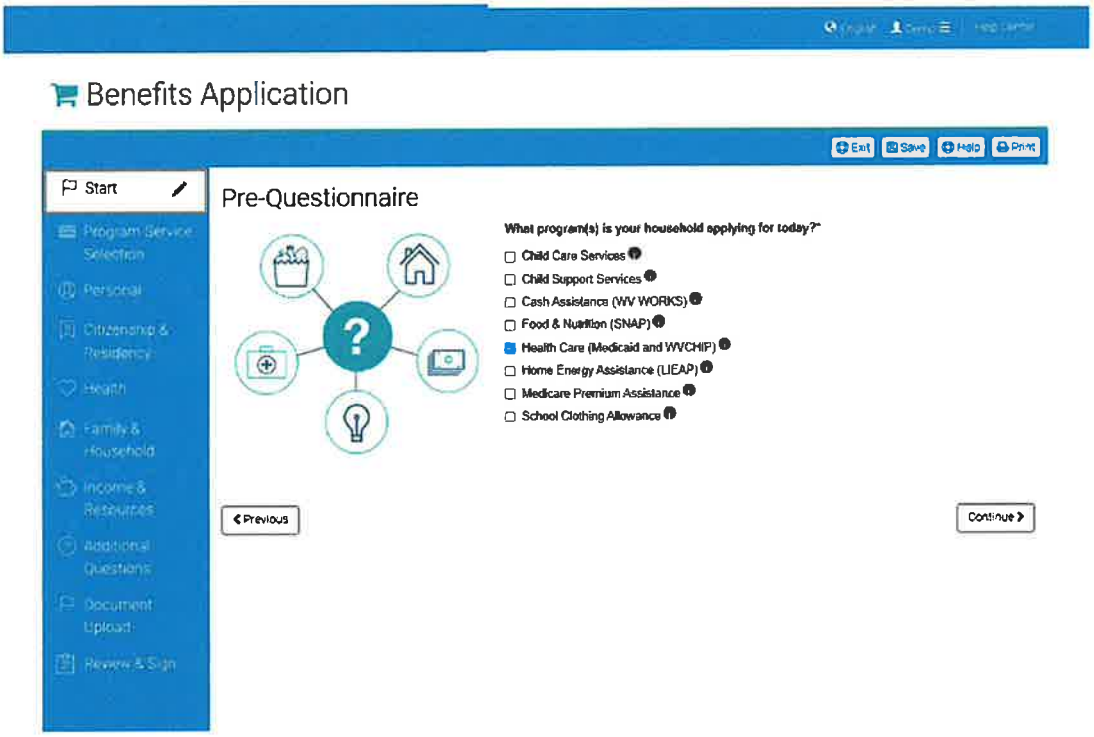

Figure 19: WV PATH client portal.

Medicaid Streamlined Application in the WV PATH client portal, demonstrating guided intake and reduced data entry.

Figure 20: WV PATH agency portal.

Medicaid Streamlined Application in the WV PATH agency portal, demonstrating guided intake, clearer questions, and improved application completeness.

Optum will leverage these same principles across additional business processes over the life of the contract. This includes simplifying high-volume eligibility workflows, improving the quality of information collected at the point of entry, reducing repetitive worker activity, and giving clients, providers, and staff a more efficient path from application submission to eligibility processing. By expanding practical automation in areas with measurable operational burden, Optum will help DoHS improve processing timeliness, strengthen data quality, and reduce preventable rework.

Intelligent document, workflow, and correspondence automation

Beyond eligibility and intake, Optum will continue expanding intelligent document processing, verification management, workflow automation, and correspondence capabilities. When clients or providers upload documents, WV PATH can associate submissions with the appropriate case, task, or verification request; identify the evidence type; capture relevant information where appropriate; compare submitted information with case data; flag missing, stale, or inconsistent information; and route exceptions to the correct queue for worker review.

Workflow automation will use task rules, queue assignments, priority indicators, due dates, aging thresholds, escalation triggers, and exception routing to move work to the right resource at the right time. Correspondence automation will continue to support timely, consistent, and policy-aligned communication using approved templates and event triggers tied to application status, eligibility outcomes, verification requests, renewals, reported changes, appointments, provider actions, and other case activities. Automated narrative generation may also assist workers in preparing standardized case summaries, case notes, eligibility explanations, and correspondence content using authorized system data and worker inputs, while preserving worker review, accountability, and final decision-making authority.

Modernizing reports, notices, forms, correspondence, and batch processes

Optum recognizes that business process modernization extends beyond case processing to include reports, notices, forms, letters, correspondence, and batch-oriented activities that support day-to-day operations. As part of the State's long-term modernization strategy, Optum will work collaboratively with DoHS to assess, inventory, prioritize, and modernize these assets based on business value, client and provider impact, operational efficiency, compliance requirements, transaction volume, and technical complexity.

Legacy reports can be transformed into more actionable dashboards and analytics, notices and correspondence can be enhanced through improved accessibility and plain-language communication, forms can be modernized through dynamic content and guided workflows, and batch-oriented processes can be evaluated for opportunities to reduce manual intervention, improve processing timeliness, and provide greater operational transparency.

Structured automation delivery framework

To maximize the value of automation investments, Optum will apply a structured automation delivery framework that identifies high-volume, high-effort, and compliance-sensitive business processes; evaluates automation readiness; prioritizes opportunities in collaboration with DoHS; designs State-approved workflow and rule enhancements; validates changes through testing and governance processes; and measures operational outcomes following implementation. This framework will help validate automation initiatives are targeted to the areas that matter most, including eligibility and enrollment timeliness, reduced manual data entry and reentry, improved client and provider self-service, reduced worker touchpoints, stronger document and correspondence management, enhanced program integrity, and improved operational visibility.

Automation value measures

Automation focus	Expected benefit	Example measures
Rules-qualified transactions	Fewer manual touches and reduced handling time	Straight-through processing, worker touches, cycle time
Client and provider self-service	Improved autonomy and ease of access	Self-service completion, incomplete submissions, follow-up contacts
Document and verification automation	Earlier routing of missing or inconsistent information	Document backlog, exception routing time, missing verifications
Reports, notices, forms, and batch modernization	Improved operational visibility and processing timeliness	Notice timeliness, dashboard adoption, batch exception trends

AI-assisted operational support and governance

Where approved by the State, Optum will leverage emerging AI-assisted capabilities to further improve operational efficiency. AI-assisted technologies may support document classification, information extraction, knowledge retrieval, correspondence drafting, worker recommendations, predictive workload analysis, automated case summaries, and policy guidance retrieval. These capabilities are intended to augment worker productivity and decision-making rather than replace human judgment.

All AI-assisted and predictive capabilities will be implemented through State-approved governance and supported by security, privacy, transparency, auditability, quality assurance, exception routing, review queues, and ongoing performance monitoring. AI-supported recommendations, summaries, classifications, or correspondence drafts will remain subject to worker validation before use in operational processes. Eligibility determinations, adverse actions, benefit decisions, and other policy-sensitive functions will continue to be governed by State-approved business rules, program policy, appropriate worker review, and human-in-the-loop controls.

Verification monitoring, program integrity, and SNAP payment accuracy

WV PATH will continue supporting program integrity and payment accuracy through proactive monitoring, verification management, exception processing, and automated controls. Automated checks can evaluate case data, reported changes, verification status, interface and batch results, transaction exceptions, duplicate records, stale information, missing verifications, queue aging, and other State-approved data quality rules. Cases that may affect eligibility or benefit accuracy can be flagged and routed for worker review, enabling staff to focus on conditions most likely to require corrective action.

This approach supports the State's efforts to improve SNAP payment accuracy by strengthening the completeness and timeliness of eligibility information, increasing visibility into emerging operational risks, and helping resolve verification or case-processing issues before they contribute to incorrect determinations.

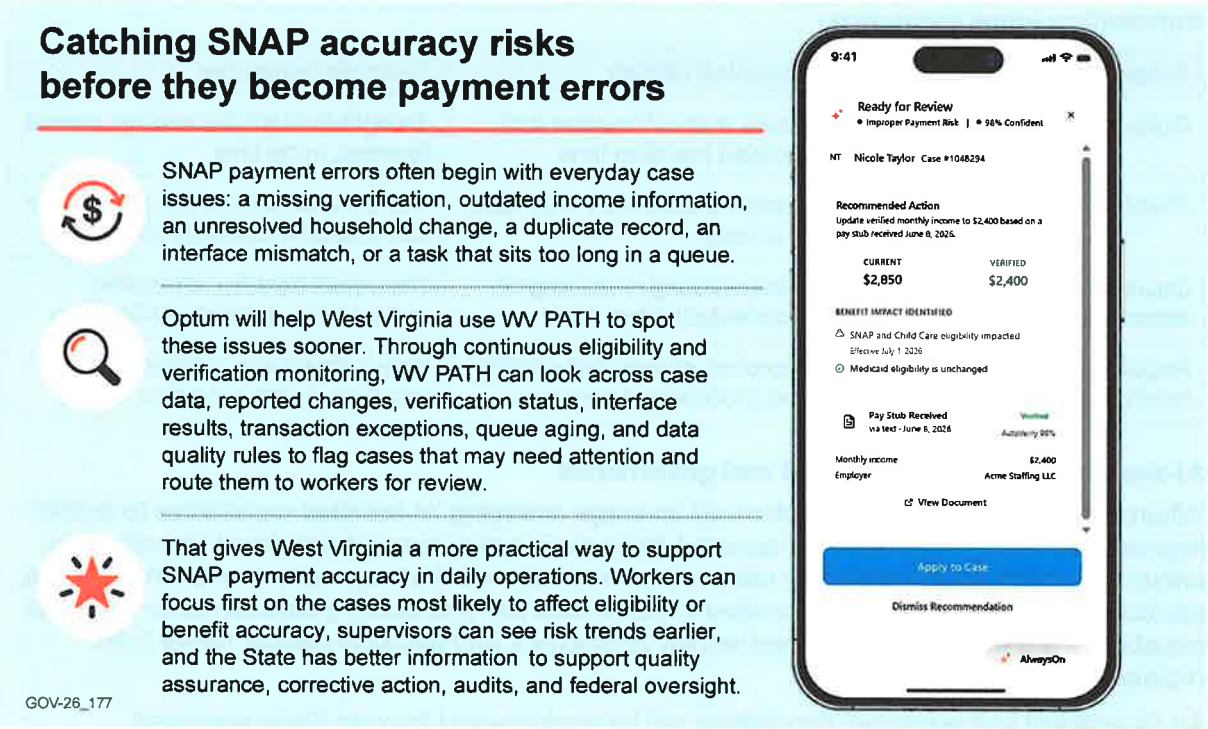

Figure 21: Catching SNAP accuracy risks early.

Sample screen showing earlier identification of conditions that may affect SNAP eligibility or benefit accuracy.

WV PATH monitoring and exception information can also support quality assurance, corrective action planning, audit readiness, and Federal oversight by providing traceable reason codes, review queues, and audit trails that show what condition was identified, what data was used, and how the case was handled. These capabilities help DoHS strengthen oversight while maintaining appropriate worker involvement in final determinations.

Delivering and measuring operational value

Through this combination of rules-driven automation, intelligent workflow management, modern self-service capabilities, document automation, operational modernization, AI-assisted support, proactive monitoring, and continuous business process improvement, Optum will help DoHS achieve a more efficient and responsive operating model. Workers will spend less time manually indexing documents, reentering known information, preparing repetitive narratives, searching across multiple sources, and responding to routine inquiries. Clients and providers will have easier ways to complete routine transactions. Supervisors will gain earlier visibility into workload, exceptions, and bottlenecks. The Agency will benefit from improved accuracy, productivity, program integrity, audit readiness, and customer experience.

For each approved automation initiative, Optum will collaborate with DoHS to establish performance baselines, define expected outcomes, and monitor agreed-upon success measures. Measures may include reduced manual data entry and reentry, fewer worker touches for routine actions, reduced case handling time for rules-qualified transactions, fewer incomplete submissions, increased client and provider self-service completion, faster exception routing, improved notice timeliness, fewer missing verifications, reduced rework, earlier identification of eligibility-impacting changes, and trends in SNAP accuracy-related exception conditions. By

continuously advancing automation and modernization capabilities within PATH, Optum will help position West Virginia to meet evolving program needs while improving efficiency, scalability, service delivery, and long-term operational sustainability.

Objective: Reporting and Analytics

Optum understands why reporting and analytics matter so much to West Virginia. Reports are not just outputs from PATH. They are how Agency teams manage day-to-day work, monitor program performance, support federal reporting, prepare for audits, identify risk and make decisions that affect clients, providers, staff and funding.

When reports are inaccurate, hard to use or based on outdated logic, the impact is felt across the Agency. Staff spend time rerunning reports, checking numbers by hand, reconciling data in spreadsheets, and building workarounds outside the system. Supervisors and program leaders lose confidence in the information they need to manage queues, timeliness, workloads, backlogs, compliance and performance. Compliance teams face added risk when reports used for federal submissions, audit support or performance monitoring need manual correction before they can be trusted.

Optum understands these challenges and the reporting dependencies behind them. We know the programs, data sources, interfaces, business rules, legacy logic, report inventory and daily operational needs that affect PATH reporting. That allows us to move quickly into targeted improvement instead of spending months learning how reports are built, what data they use, and why staff create manual workarounds.

Optum has already started this modernization work within PATH. We have standardized reporting on the Cognos Business Intelligence platform, retired legacy reporting infrastructure, and expanded self-service reporting capabilities. We also migrated manual AFCARS compliance reporting into Cognos and enhanced self-service data packages so authorized users can get answers without needing custom development for every request. Targeted dashboards have improved program visibility, including support for reducing IV-E determination backlogs, while PATH operations continued without interruption.

That progress matters, but there is more work to do. Under this contract, Optum will build on the foundation already in place and focus on the areas that still create the most burden: inaccurate report outputs, legacy or misaligned logic, manual reconciliation, report reruns and system-generated reports that staff cannot use as-is.

Figure 22: WV PATH IV-E dashboard.

The IV-E Dashboard provides statewide visibility into operational performance, penetration rates, workload trends, and claiming activity. Enhanced reporting helped support an approximately 33% reduction in pending IV-E determinations and an approximately 10 percentage point improvement in IV-E penetration rates.

Figure 23: PSS-FED0010 Cadence executive dashboard.

Example CADENCE Executive Dashboard view to support referral monitoring. This dashboard can be used to monitor program performance, service levels, and operational trends.

Fixing the reports the State depends on most

Optum will start with the reports that carry the highest operational and compliance impact. These include reports used for federal compliance, performance monitoring, program oversight, audit support and high-volume daily operations.

Using the existing D043 report inventory as the baseline, Optum will work with the State to prioritize reports based on business impact, compliance risk, frequency of use, known defects, manual reconciliation burden and operational importance. D043 will be maintained as a living inventory as reports are remediated, retired, replaced, rebuilt or converted into dashboards or self-service reporting views.

For priority reports, Optum will trace the full path from source data to final output. We will confirm the data sources, review the report logic, compare that logic to approved business rules, identify legacy or misaligned calculations, validate outputs against source data, and document the issues that cause reports to be rerun, manually corrected or supplemented with spreadsheets.

When defects are found, Optum will correct the logic, data mapping, calculations, filters, formatting or business-rule alignment needed to make the report reliable. If a report cannot be efficiently fixed in its current form, we will recommend whether it should be rebuilt, replaced, retired or converted into a governed dashboard or self-service reporting view.

Optum will manage this work through a report remediation and certification tracker. For each priority report, the tracker will document the report owner, business purpose, source data, report logic, known issue, remediation approach, validation results, defect status, State review status and final disposition. This gives the State a clear view of what is fixed, what has been validated, what still requires action, and which reports are ready for operational, compliance or audit use.

The goal is simple: Agency staff should be able to use PATH reports with confidence, without unnecessary reruns, manual reconciliation or spreadsheet workarounds.

Making reporting more accurate and easier to trust

Reliable reporting depends on more than a single report fix. It depends on clear data definitions, accurate source data, consistent business logic and strong controls when policies, interfaces or data structures change.

Optum will strengthen PATH reporting through governed data definitions, source-to-report traceability, validation checks, reconciliation routines, version control, documented report ownership and change control. Each critical report will have an identified owner, approved logic, source-to-report mapping, validation rules, defect history and a defined change-control path.

For federal compliance and performance reports, Optum will confirm that report logic aligns with current reporting requirements, approved business rules, data definitions, and program policy. Priority federal and performance reports will go through documented validation, State review and acceptance before being relied on for submission, audit support or compliance use.

This approach directly addresses the issues WV identified in the RFP: inaccurate outputs, outdated legacy logic, report reruns, reports that cannot be used as-is, and continued reliance on spreadsheets or manual reconciliation.

It also helps keep reports accurate over time. When policies, interfaces, data structures or reporting requirements change, Optum will review, test, document and approve report logic before changes are promoted. That gives the State a more controlled reporting environment and reduces the chance that a future change creates new reporting problems.

Expanding self-service and ad hoc reporting

West Virginia needs more than static reports. Program, operations and compliance teams need to answer questions as they come up, without waiting for custom development every time a new issue arises.

Optum will expand governed self-service and ad hoc reporting so authorized users can access trusted data, apply filters, create views and analyze information based on their roles. This includes governed datasets, common definitions, reusable report templates, role-based access, data security controls and clear guidance on how data should be interpreted.

This gives users flexibility without creating conflicting versions of the truth. Instead of relying on separate spreadsheets, manual extracts or one-off calculations, teams can work from approved data sources and shared definitions. That supports transparency, accountability and consistent decision-making across Agency programs.

Self-service reporting will help users answer practical questions, such as where work is aging, which queues are growing, which reports show data exceptions, where verification follow-up is delayed, which workloads exceed expected timeframes, and where trends may need management attention.

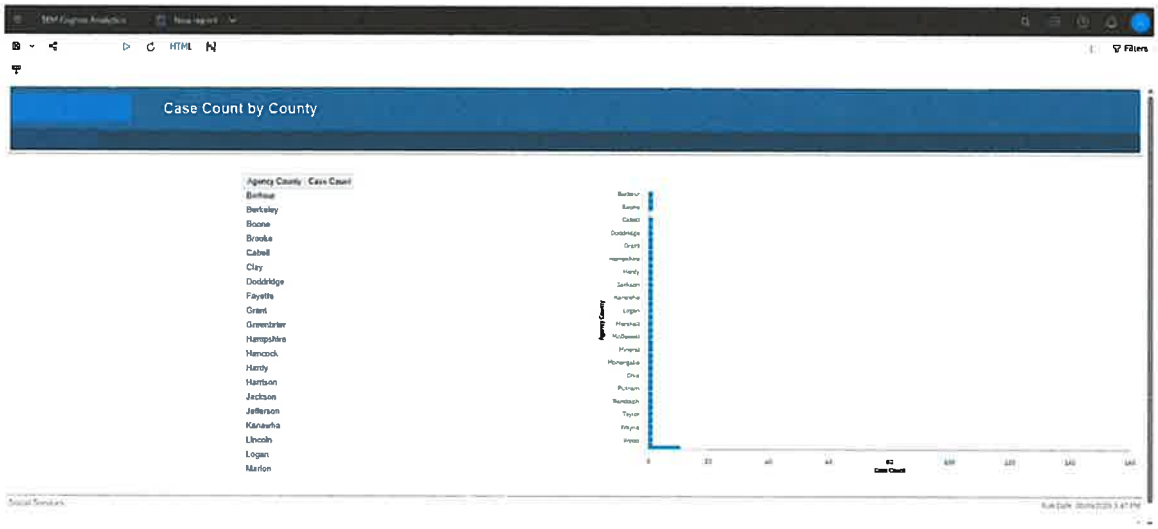

Figure 24: PATH Cognos self-service report created from an available governed data package.
(de-identified data for example purposes only)

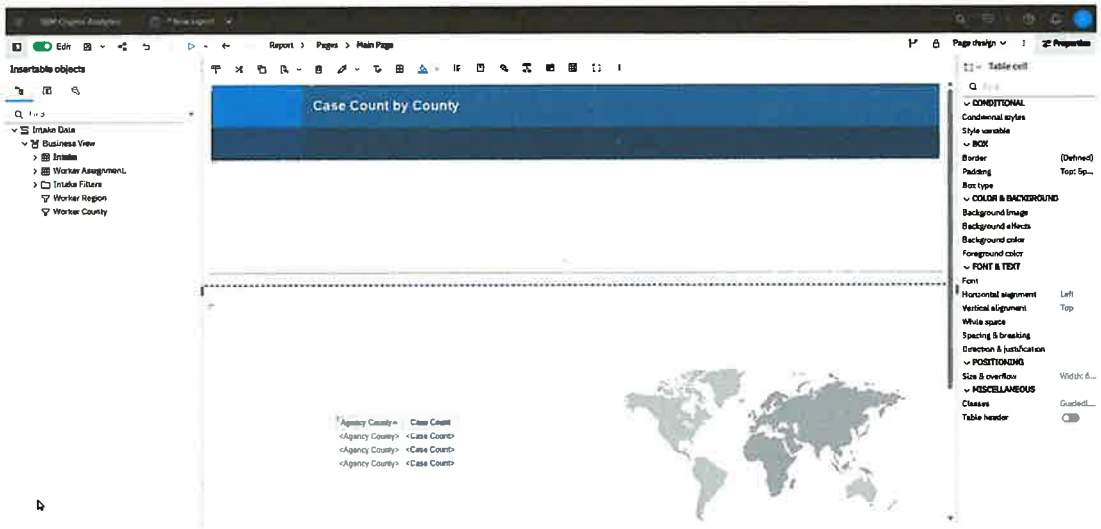

Figure 25: PATH Cognos self-service authoring view for selecting and visualizing governed data.

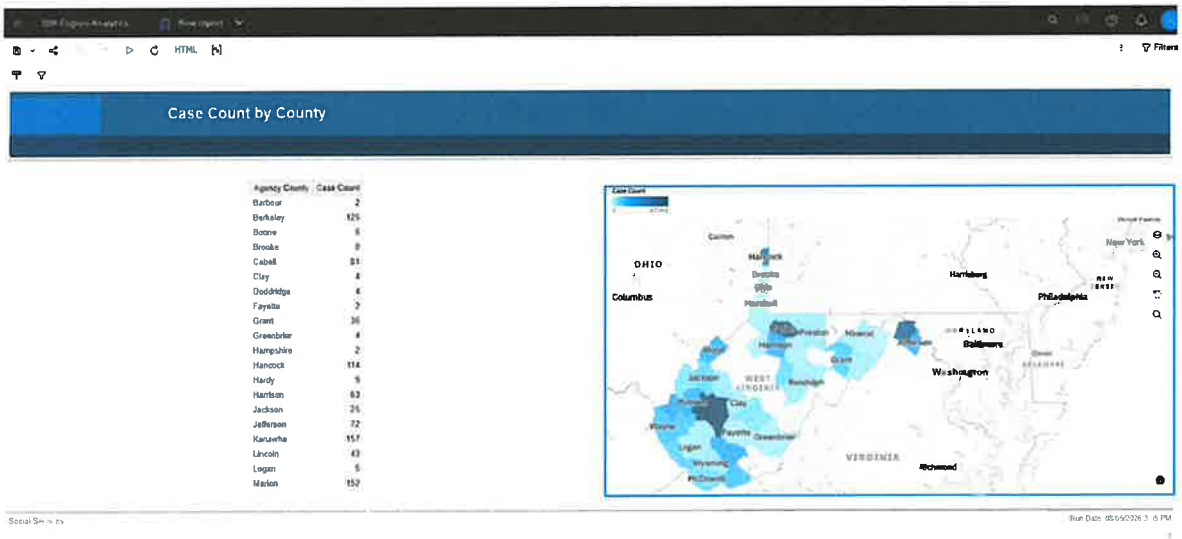

Figure 26: Geographic visualization created in the PATH Cognos self-service environment.
(de-identified data for example purposes only).

Giving supervisors and leaders actionable operational visibility

West Virginia supervisors and program leaders will continue to gain actionable visibility into workload, timeliness, aging, backlog, service-level performance, and cross-program trends. Existing PATH reports show both completed and outstanding applications, allowing operational teams to review processing performance and pending workload rather than relying only on retrospective reporting.

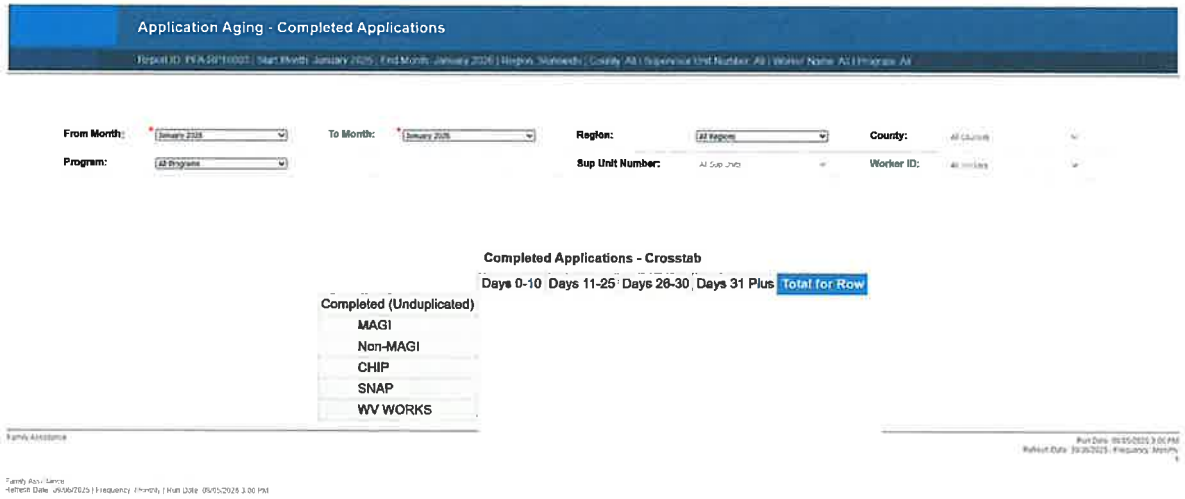

Figure 27: Application Aging Report showing completed applications and processing performance.

(de-identified data for example purposes only).

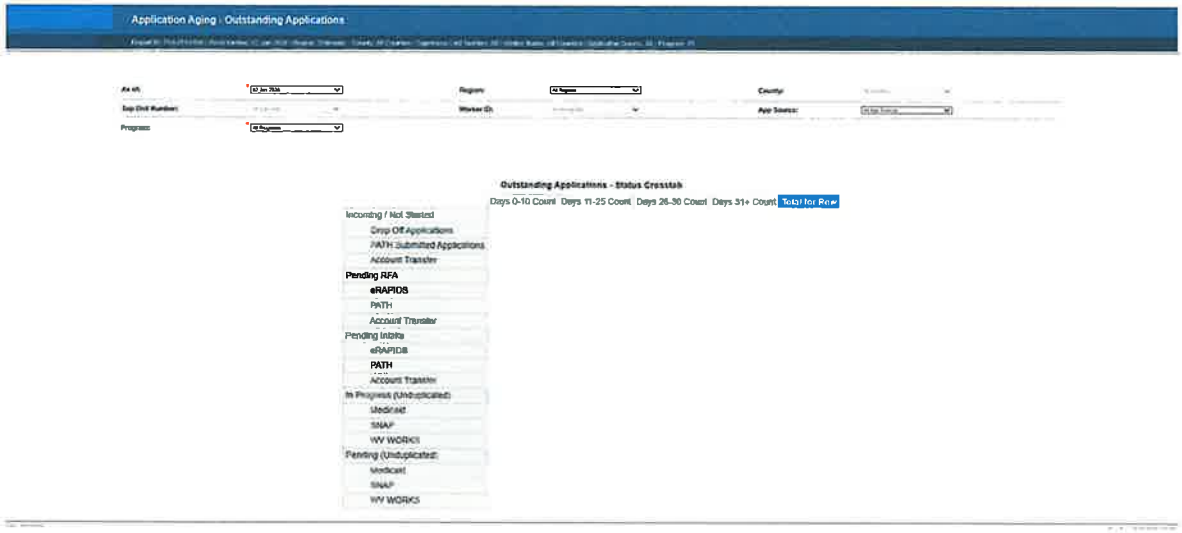

Figure 28: Application Aging Report showing outstanding applications and pending workload.

(de-identified data for example purposes only).

PATH reporting also demonstrates drill-through analysis from statewide measures to regional and county detail. These views allow leaders to begin with an executive indicator and move to the operational level needed for follow-up, oversight, and corrective action.

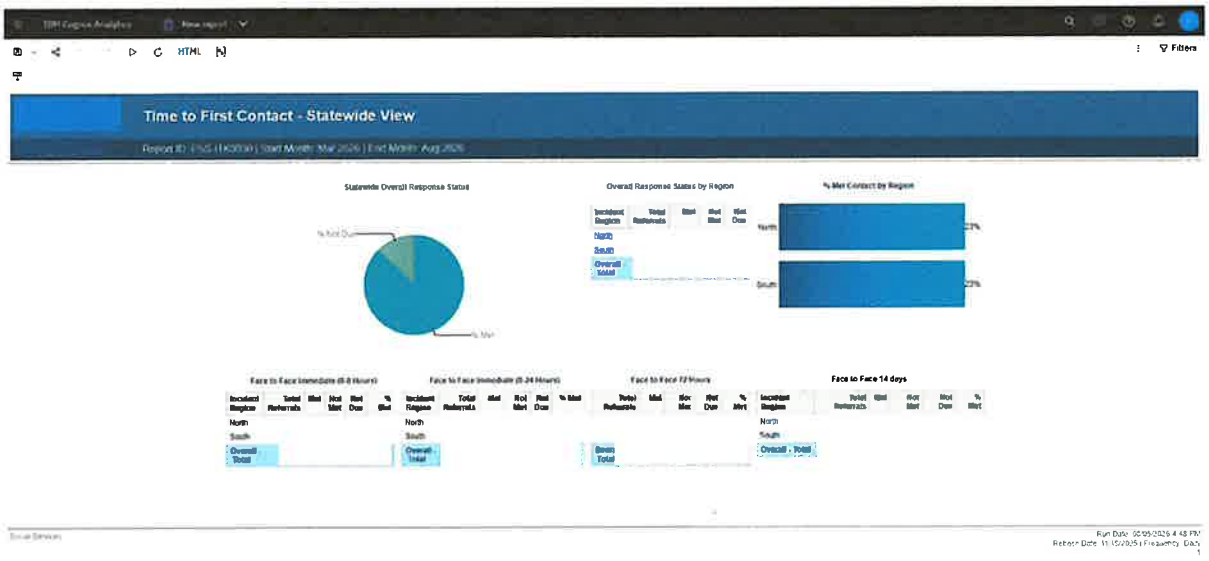

Figure 29:PSS-ITK0030 Time to First Contact report showing statewide timeliness measures.
(de-identified data for example purposes only).

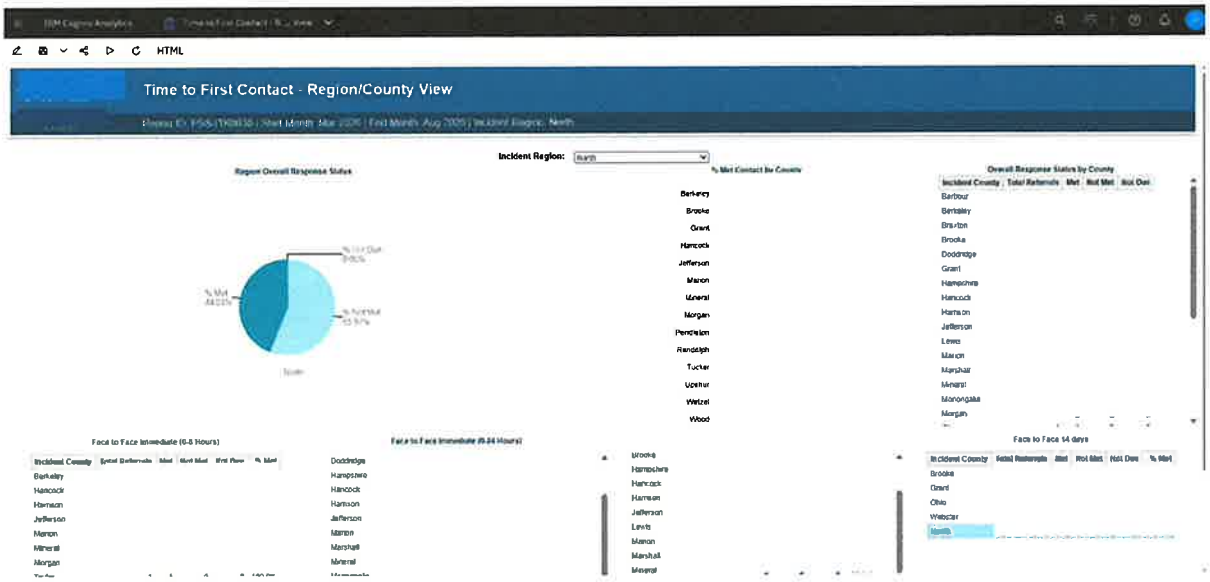

Figure 30: Time to First Contact drill-through showing regional and county-level statistics.
(de-identified data for example purposes only).

Building on capabilities already operating in production

Building on capabilities already operating in production today, West Virginia will gain expanded self-service analytics, enhanced operational dashboards, advanced workload and performance monitoring, stronger data governance, and governed ad hoc reporting. These capabilities will enable program staff, supervisors, compliance teams, and executive leadership to identify trends earlier, respond to emerging issues faster, improve accountability, and make more informed program and policy decisions using trusted PATH data.

Using advanced analytics carefully and responsibly

Advanced analytics can help WV identify patterns, risks and opportunities earlier, but they must be used carefully. Optum will use advanced analytics to support operational insight, program integrity, workload management and continuous improvement. We will not use analytics to create unsupported automated decisions.

With State approval and appropriate governance, analytics can help identify duplicate records, inconsistent data, unusual trends, missing or stale information, potential reporting issues or areas where staff review should be prioritized. These insights can help improve program integrity, reduce improper payment risk, strengthen reporting confidence and focus staff attention where it is most needed.

Any use of predictive analytics or AI-enabled analysis will include privacy and security controls, explainability, auditability and human review where appropriate. Analytics will support decision-making; they will not replace approved business rules, program policy or worker judgment.

Measuring the value to West Virginia

Optum will work with the State to establish baselines and track agreed measures to determine whether reporting and analytics improvements are making a real difference. Measures may include report reruns, manual reconciliation steps, spreadsheet-based tracking, defect resolution time, self-service and dashboard adoption, federal and performance report timeliness, data quality exceptions, and user confidence in system-generated outputs.

The practical outcome for West Virginia is a more trusted and usable reporting environment. Agency staff spend less time correcting reports and reconciling data. Supervisors get a clearer view of workload and performance. Program leaders have more reliable information for oversight and planning. Compliance teams gain stronger traceability, audit readiness and confidence in federal reporting. Executive stakeholders gain better evidence that WV PATH is not only operating, but becoming easier to manage, measure and improve.

By fixing known report issues, strengthening data quality and governance, expanding governed self-service reporting, and building on dashboards already used throughout PATH operations, Optum will help West Virginia move from reporting that requires manual correction toward reporting that supports transparency, accountability, compliance, and timely decisions across Agency programs.

Optum can help DoHS define and track business operations KPIs. During the WV PATH maintenance and operations contract, we will draw on the expertise of our Advisory Board and The Lewin Group to support development of bureau-specific KPIs, as requested.

Why Optum

Optum directly aligns with Goal 5 objectives for Process Automation and Operational Efficiency by applying automation-first operations, disciplined workflow improvement, responsible AI-enabled accelerators, measurable productivity controls and transparent governance to reduce manual effort, improve accuracy, accelerate delivery and sustain reliable WV PATH operations.

- **Alignment with Goal 5:** The Optum approach supports the Agency's objectives to automate repeatable work, streamline operational processes, improve throughput, reduce errors and increase visibility into performance and outcomes.
- **Automation-first operations:** Optum uses automation across regression testing, batch validation, interface checks, data reconciliation, reporting support, monitoring and operational workflows to improve consistency, speed and auditability.
- **Workflow efficiency and reduced manual burden:** Optum identifies high-volume, repetitive and error-prone activities and applies process redesign, reusable workflows, dashboards and automation controls to free State and project resources for higher-value work.
- **Responsible AI-enabled acceleration:** Where appropriate and approved, Optum uses human-governed AI-enabled capabilities for impact analysis, test coverage recommendations, defect pattern analysis, documentation support and execution insights while preserving State oversight and approval.
- **Measurable efficiency and continuous improvement:** Optum monitors automation value, cycle times, defect trends, service levels, backlog health and operational outcomes to identify improvement opportunities and demonstrate progress against Goal 5 efficiency objectives.

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Goal 6: Continuous Improvement and Adaptability

WV PATH will remain responsive to changing federal and State policies, evolving program needs and user expectations through a disciplined framework for continuous improvement, rapid adaptation and ongoing modernization. Optum has established proven processes, governance and delivery practices that enable enhancements to be identified, prioritized and implemented efficiently while maintaining operational stability and uninterrupted service delivery.

Continuous improvement is not a future-state objective, it is an established operational capability embedded within our daily M&O model. Optum has developed a mature framework for identifying, prioritizing and implementing improvements across the PATH ecosystem while maintaining uninterrupted service delivery for West Virginian's and program staff. This proven approach allows the State to realize immediate value from enhancements without the disruption, learning curve or operational uncertainty associated with transitioning critical systems and knowledge.

Our continuous improvement framework incorporates input from policy changes, program operations, Line of Business Managers, worker feedback, help desk trends, audit findings, federal reviews and system performance metrics. These inputs are evaluated collaboratively with the State and prioritized based on mission impact, program value, compliance requirements and user needs. This governance-driven process makes sure investments focus on improvements that deliver measurable business outcomes, improve constituent experience and increase staff efficiency.

PATH's modular architecture, configurable business rules and reusable services enable rapid implementation of policy-driven changes without extensive redevelopment. Optum has repeatedly demonstrated the ability to translate federal and State regulatory requirements into production-ready solutions with speed, accuracy and full traceability from policy interpretation through deployment. Our deep understanding of West Virginia's program rules, workflows and system interdependencies reduces implementation risk and accelerates the delivery of compliant solutions.

Optum Key Personnel

PATH CS Line of Business Manager Paul Shannon

Paul brings more than **35 years** of experience serving as a Child Support subject matter expert and information technology professional. With his entire career focused on child support initiatives, his additional highlights include:

- ✔ **31 years** of expertise working for/with the **WV DHHR** child support program, supporting modifications and enhancements
- ✔ **Extensive end-to-end** mainframe migration, technology, and child support solution modernization and maintenance in **WV, PA, TN, OH, AZ, TX & IN**
- ✔ **Bachelor of Science,** Computer Science, Marshall University

Continuous improvement efforts are informed by direct operational insight across Family Assistance, Child Welfare, Child Support, Child Care, provider services, and citizen-facing portals. By leveraging analytics, operational dashboards, enhancement trends and user feedback, Optum identifies opportunities to streamline workflows, reduce manual effort, improve user satisfaction and enhance program effectiveness. This data-driven approach enables PATH to continuously evolve while preserving operational continuity.

Governance remains central to successful adaptability. Enhancement initiatives are managed through transparent State-led prioritization processes, supported by detailed reporting, impact assessments and performance metrics. Optum serves as a trusted advisor, providing actionable recommendations grounded in years of PATH operational experience while assuring the State retains full control over priorities, investments and strategic direction.

Optum is a collaborative partner with DoHS providing actionable recommendations grounded in years of WV PATH operational experience while assuring the State retains full control over priorities, investments and strategic direction. We meet with DoHS stakeholders weekly to align priorities and actions. We will continue this collaboration during VW PATH maintenance and operations.

Our PATH experience, institutional knowledge, mature delivery processes and modernization roadmap provide the State with a uniquely low-risk path to continuous improvement. This approach accelerates the delivery of new capabilities, reduces total lifecycle costs, preserves critical program knowledge, and enables PATH to adapt confidently to future business, technology and regulatory demands while continuing to deliver reliable, citizen-centered services.

Objective: Flexible System Architecture

Our approach to flexible system architecture is designed to help DoHS respond to regulatory, policy, program and operational change with speed, discipline and minimal disruption to PATH operations. Our model combines a modular service-oriented architecture, externally managed business rules, disciplined release governance and a continuous quality improvement framework that converts user feedback, operational data and emerging best practices into measurable improvements. Optum brings direct knowledge of PATH's architecture, integrations, program domains, operational dependencies and State-specific rules, reducing change risk while supporting efficient modernization. This approach gives the State a practical path to adapt the platform over time while protecting the stability of daily eligibility, benefits, case management, financial, correspondence and reporting operations.

Flexible architecture for regulatory and operational change

Our approach combines a modular service-oriented architecture, externally managed business rules, disciplined release governance and a continuous quality improvement framework that converts user feedback, operational data and emerging best practices into measurable system and process improvements.

Modular service-oriented architecture

WV PATH's service-oriented architecture allows capabilities to be changed, extended or modernized in targeted areas without broad system rework. This modular design supports business agility by isolating changes to specific services, interfaces, rules, reports or workflows while protecting core eligibility, benefits, case management, correspondence, financial and reporting operations. Optum brings deep knowledge of PATH's architecture, integrations, program domains, operational dependencies and State-specific rules. This knowledge reduces transition risk and supports efficient implementation of approved regulatory updates, policy changes and program enhancements.

Rules-driven agility and State visibility

Optum uses a business rules engine to separate business logic from core application code. This structure allows eligibility, benefit, notice, workflow and program rules to be managed through controlled configuration rather than hard-coded application changes. Rules are documented, versioned, traceable to policy, tested through established quality processes, and deployed through approved release governance. This gives the State visibility into rule changes while supporting more efficient management of federal guidance, State policy updates and program

refinements. We will continue migrating business rules form the various programs into a BRE. This will also be part of the mainframe migration and modernization process. We are well on our way with CWWIS and will be performing similar business ules consolidation with Child Support and FA during WV PATH maintenance and operations.

Business rules have a lifecycle, are not permanent and are ever changing. They have a clear purpose to begin, must include synchronized maintenance with application code, and have an end state. Our PATH Governance Model provides a structured process that supports the BRE lifecycle, from identification, maintenance synchronization, to retirement.

Optum brings the PATH Governance Model that serves 3 core purposes:

1. **Assess** and identify if the rule meets the "Right Fit" criteria for rules engine implementation.
2. **Manage** the synchronization of ODM rules engine code base and the PATH CW code base through a structured configuration management process.
3. **Identify** when business rules are no longer the "Right Fit" for the rules engine and require consolidation, replacement or retirement.

Figure 31 illustrates our approach to the PATH ODM.

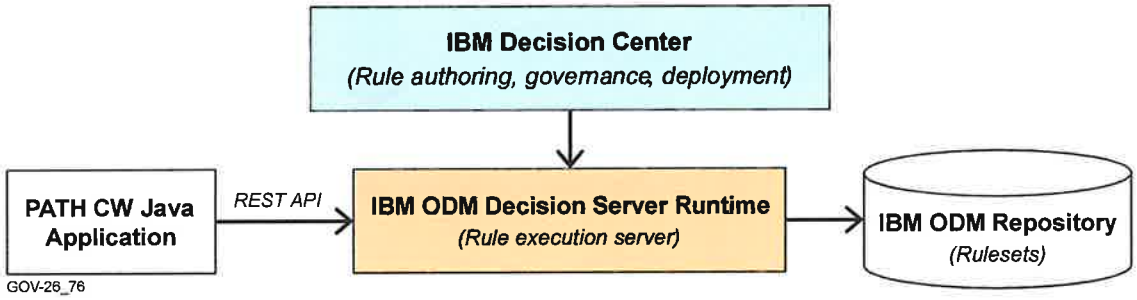

Figure 31: PATH CW architecture using IBM ODM.

Applying modernization techniques for operational and technical efficiencies.

PATH CW Java Application will use the Representational State Transfer (REST) API to integrate with IBM ODI. REST API will be leveraged to send the business data and receive the decision results in the JSON data format for displaying to the application users. Key benefits of this architecture are that business rules are fully decoupled from the application code.

IBM ODM Decision Server Runtime exposes the decision services (REST). execute rules and provides high availability and decision tracing and audit logs. It also loads and caches the deployed rulesets for high performance.

IBM ODM Rules repository stores executables rule artifacts. It provides the rule versioning capabilities and environment specification configuration settings and feeds rules to Decision Server Runtime.

IBM ODM Decision Center is the key component for rules authoring and governance. It enables business-driven rule management and decision authoring by business users and developers. Business users can change and create new rules and decision tables. Governance focuses on the compliances, approval workflows, version control and change history and controlled deployment of approved rulesets to runtime.

Overall above architecture supports microservices and enterprise integration patterns and provides business agility by allowing them to change business rules without the Java application deployment. By decoupling core PATH CW Jave application, business rules can be scaled and managed independently from application tier for policies, regulations or requirement changes. **Figure 32** illustrates our streamlined business rules governance.

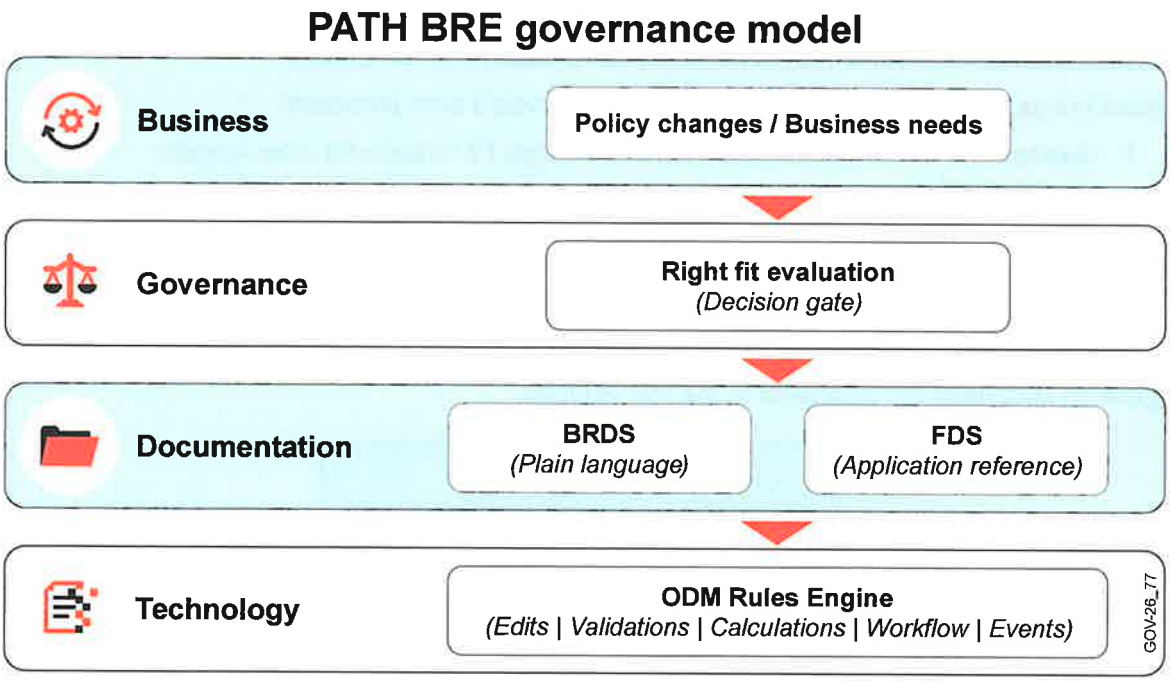

Figure 32: Approach to PATH governance.

Our synchronized approach to BRE maintenance with application code provides a straightforward, scalable and transparent process.

While separation of core programming code and business logic is a key goal for the PATH BRE, not all functionality is the "Right Fit" for business rule implementation in ODM. Determining if new or enhanced functionality is the "Right Fit" for business rule implementation requires the consistent consideration of "Right Fit" criteria. The first tenant of our PATH Governance Model provides the "Right Fit" criteria used by business stakeholders during the Discovery and design phase to assess and identify if the new or enhanced functionality is the "Right Fit" for ODM implementation. During collaborative discussions the following considerations are assessed:

- Are the rules highly structured and complex?
- Are the policy changes frequent and impact mission critical processes?
- Do the policy changes impact current, future and retroactive decisions?
- Is the business rule subject to legal requirements and audits?
- Does the business rule include multiple conditions for "normal" to "edge" decisions that are testable?
- Does the business rule drive critical outcomes needed to consistently measure performance and outcomes?

During the design discussions, business rules are defined and rule types are identified to specify if the rule conditions are exposed as edits, validations, calculations, workflow approvals or progression, or events. In compliance with CCWIS design requirements, the business rules are documented in the Business Rules Design Specifications (BRDS) in plain language that is easily understood for developers, testers, trainers and technical team needs. Functional Design Specification (FDS) for PATH CW screens will have references to specific business rules referred to in the BRDS. This will allow the independent maintenance of FDS and BRDS documents by separate teams.

Dev/Unit system integration, user acceptance and regression testing

All BRE development, integration, SIT, UAT, regression testing and production deployments will be conducted in accordance with the established PATH CW Application SDLC processes and approval requirements across multiple environments.

Implementation

The second core component of the PATH Governance Model defines the shared services processes used to keep the PATH ODM and CW Agency portal repositories synchronized. PATH modernized architecture includes numerous components that are seamlessly integrated and require a repeatable structured approach to configuration management for releases. Maintaining and synchronizing PATH ODM and PATH CW code repositories include:

- ODM Decision Center documents and controls the rule execution and governance of the implementation of the defined business rules.
- Documentation will be consistently updated as changes occur. Functional Design Specifications (FDS) for modules where ODM is implemented and the required project deliverables will be updated to reflect business rules. Per CCWIS mandated requirements, documentation be written in plain language to support non-technical project members understanding.
- GitHub Code Repository will be used for version control, Continuous Integration/Continuous Deployment (CI/CD), and DevOps workflows. ODM code stored in the GitHub Code Repository will meet PATH configuration management standards as approved.
- Third-party software ODM upgrade(s), security, vulnerability and penetration test as per the PATH Security, Privacy and Confidentiality Management plan.

The third component of the PATH Governance Model is identifying when an implemented business rule needs to be assessed for rule change, consolidation, replacement or retirement. Determining if the business rule requires change or retirement, is just as important as determining if the business rule was the "Right Fit" at the start. Our PATH Governance Model provides the criteria to assess whether rules should be changed, consolidated, replaced or retired. Once assessed, the PATH Governance Model provides the steps needed to reconcile the functional and technical implications. Rule changes, consolidation, replacement or retirement criteria includes asking the following questions:

- If policy, process or workflow changes have occurred, is there still value in having the rule?
- Does the rule create process or workflow gaps or rigidity resulting in users being allowed to bypass the rule or create external manual processes?
- Does the rule overlap with other rules increasing complexity and dependencies that result in performance degradation or policy exceptions?

- Is the cost of maintaining the rule worth its value?
- Can the rule be replaced with an optimized rule that uses next generation decision tools to provide expanded insights for decision?

After assessing if the business rule has met its intended purpose and requires change or retirement, Optum follows our normal shared services change management practices as described in Change Management Plan Deliverable. Our PATH Governance Model is a structured yet flexible governance model that provides a repeatable process to guide continuous synchronization between ODM and PATH CW core application code. Our success in implementing the ODM BRE in PATH CC will now be used for PATH CW equal success. The successful implementation of ODM BRE is mission critical for DOHS to achieve CCWIS mandated requirement of implementing an industry leading tool that demonstrates a separation of business rules and core programming code. We are committed to our partnership with the State as we continue to modernize PATH CW.

Continuous quality improvement framework

To support continuous quality improvement, Optum applies a closed-loop framework that captures feedback, analyzes trends, prioritizes improvements, implements approved changes and measures outcomes after deployment. Inputs include State governance forums, caseworker and program staff feedback, help desk trends, defect patterns, UAT results, training feedback, incident and root cause analysis, production monitoring, SLA trends, release retrospectives and post-implementation reviews. These inputs are triaged with the State, evaluated for business value and operational risk, and incorporated into a prioritized backlog for analysis, design, testing, release planning and validation.

Emerging best practices and modernization insight

Optum evaluates emerging best practices through experience across State HHS programs, CMS certification activities, federal policy updates, MITA and modularity guidance, ITIL service management, DevSecOps automation, accessibility standards, quality engineering practices, and lessons learned from similar eligibility, child welfare, child support and child care engagements. When a best practice is applicable to WV PATH, Optum works with the State to assess feasibility, timing, risk and expected value before incorporating it into the enhancement roadmap or operational improvement backlog.

Measurement-driven improvement

Improvement outcomes are measured through operational and quality indicators such as SLA performance, incident recurrence, defect leakage, release quality, backlog aging, cycle time, user adoption, help desk volume, system performance and stakeholder feedback. This measurement-driven approach supports ongoing improvement while maintaining operational stability, supporting compliance obligations, reducing long-term maintenance burden and positioning WV PATH for future modernization.

Through this architecture and continuous improvement model, Optum provides WV with a flexible, rules-driven and continuously improving PATH platform that supports regulatory agility, operational continuity, state visibility and long-term adaptability. By combining our knowledge, modular design, controlled rule management and measurement-driven improvement, Optum helps the State modernize with less disruption, respond to policy change more efficiently, and sustain a platform that can evolve with WV's future HHS priorities.

Objective: System Integration and Data Sharing

PATH's value depends on its ability to move trusted information across programs, modules, databases and partner systems in a timely and governed manner. Optum supports this objective through standardized interfaces, shared data services, reusable integration patterns and secure exchange methods that allow authorized data to be accessed, reported and exchanged across the PATH ecosystem. This approach supports centralized reporting and cross-system decision-making while reducing unnecessary duplication and custom point-to-point dependencies.

Integrated data access and centralized reporting

Optum has designed, delivered and maintained a WV PATH solution that supports robust system integration and data sharing by establishing a flexible integration framework that connects disparate databases, PATH modules and external State and federal systems. This approach promotes centralized data access, timely information exchange and consistent reporting to support program oversight and informed decision-making.

WV PATH relies on a modular integration layer that enables secure access to data residing across multiple systems without requiring unnecessary duplication. Centralized access does not require every dataset to be physically duplicated; instead, PATH uses governed services, common data models, metadata conventions, and standardized interfaces to make data discoverable, accessible, and reportable across authorized use cases. Data from PATH modules and external databases is exposed through standardized interfaces and shared data services, allowing reporting and analytics solutions to aggregate and analyze information consistently across programs.

As previously mentioned, we will work with DoHS and IBM to explore opportunities for centralized reporting through your EDS. We have experience working with DoHS and IBM on other data integration initiatives and we see a real opportunity for data consolidation and self-services reporting leveraging the EDS platform.

Optum Key Personnel

PATH System Manager
Murali Mulpuri

Murali has more than **27 years** of software engineering experience in the development and operations of enterprise system applications. Currently supporting **WV IE project,** his additional highlights include:

- ✔ **24 years** of leadership and management of M&O and DDI services**, including the Vermont HIX**
- ✔ **13 years** working in a large healthcare eligibility determination organization
- ✔ **Master of Science,** Computer Science, Swami Ramanand Teerth Marathwada University

As systems and datasets migrate from legacy platforms into AWS, data access aligns to common data models and metadata conventions. This allows centralized reporting tools to retrieve and correlate data regardless of source platform. Both batch-oriented and near-real-time data flows support operational dashboards, management reporting, and analytical workloads while maintaining appropriate data stewardship and governance.

This architecture reduces redundant extracts, simplifies reporting pipelines and supports enterprise-wide visibility into program performance.

Data exchange across PATH and partner systems

Data exchange between WV PATH modules and other State systems is supported through a combination of API-based services, event-driven integration and secure file transfer mechanisms. API-driven and asynchronous message exchanges enable timely sharing of

eligibility outcomes, case updates, financial transactions and status notifications while maintaining loose coupling between systems.

For use cases involving large data volumes, scheduled exchanges or legacy partner systems, secure file transfer remains a supported integration option. PATH leverages managed encrypted file transfer services using standardized protocols such as SFTP, with authentication, integrity checks and centralized logging. File-based exchanges are structured using agreed-upon formats and validation rules, allowing reliable and repeatable data sharing across organizational boundaries.

The integration layer manages data transformation, routing and validation for both service-based and file-based exchanges, reducing reliance on custom point-to-point integrations and improving consistency across interfaces.

Secure, governed and transparent data sharing

PATH's integration framework incorporates governance practices that support secure, auditable and reliable data movement across systems. Interface specifications, data mappings, logging, reconciliation controls, validation rules and operational monitoring provide the State with visibility into how data moves across PATH, partner systems and reporting environments.

This governance model supports consistent data stewardship, traceability and issue resolution across integration patterns. It also helps the State manage changes to interfaces, onboard new systems or data sources, and monitor operational performance without introducing unnecessary complexity into the PATH ecosystem.

This integrated data-sharing model helps DoHS strengthen cross-program visibility, improve reporting timeliness, reduce manual reconciliation and simplify onboarding of new data sources and partner systems. By supporting APIs, event-driven exchange, secure file transfer, shared data services, standardized models, validation, logging and governance within a unified framework, PATH remains positioned as a connected platform for data-driven decision-making, interagency collaboration and scalable integration as program needs evolve.

Objective: Modularity and Reusability

WV PATH's modular design allows DoHS to reuse proven capabilities across programs while adapting individual components as business, policy and technology needs change. Optum applies modular architecture, shared services, standardized interfaces and role-based access controls to support interoperability across Family Assistance, Child Support, Child Care, Child Welfare and future program needs. This approach reduces duplicative development, simplifies maintenance and gives users more consistent experience across PATH modules and departments.

Modular architecture for interoperability and reuse

WV PATH is structured around modular, business-aligned components that encapsulate discrete capabilities such as eligibility processing, case management, workflow orchestration, document generation, master data management, reporting, business rules and integration services. Each component exposes standardized interfaces, allowing functionality to be reused across multiple programs rather than replicated within individual systems.

As WV PATH capabilities are modernized and selected workloads transition from current hosting environments to AWS, existing logic is exposed through service interfaces and aligned to shared integration patterns. This allows individual components to be enhanced or modernized independently while other parts of the system continue to operate. The modular structure allows

new programs, policy changes and operational enhancements to leverage existing capabilities more quickly, supporting interoperability across WV PATH Child Support, Family Assistance, Child Care, Child Welfare and future initiatives.

Centralizing commonly used services — such as address verification, business rules, shared data domains, forms and notices, reporting, master data management, scheduling and integration services — reduces redundancy, simplifies maintenance and promotes consistent behavior across programs.

Reusable WV PATH components and shared services

Optum has already applied this modular model within WV PATH. In 2024, Optum delivered the Family Assistance, Child Support and Child Care releases, building on the earlier Public Portal and Child Welfare releases. These program modules are connected through shared platform capabilities, common access patterns and reusable services that support a unified enterprise solution rather than isolated program-specific applications.

PATH uses shared services such as the eligibility determination rules engine, forms and notices framework, reporting, master data management, client scheduling, financial functions, provider capabilities and integration services across multiple program modules. Reusing these capabilities promotes consistent behavior, reduces redundant development, and allows changes to common functions to be managed once and applied across authorized use cases.

For example, the forms and notices framework supports consistent correspondence generation across programs, while the rules engine allows program logic to be externalized and reused where appropriate. Similarly, reporting and master data management capabilities provide common structures for data access, program visibility, and operational oversight. This shared-services approach gives the State a scalable foundation for future modernization, program expansion, and cross-program coordination.

Standardized role-based access and unified user experience

Standardized, role-based access is implemented through a centralized identity and access management model integrated across WV PATH components. User roles are defined by function and responsibility rather than by application alone, allowing access to be managed consistently across departments and systems. This approach simplifies onboarding, access changes, access reviews and audit activities while supporting least-privilege access and separation of duties.

Single sign-on capabilities allow users to interact with WV multiple PATH modules through a unified authentication experience. Presentation-layer components share a common identity context, supporting consistent navigation, screen behavior and authorization outcomes regardless of which backend services are accessed. Changes to role definitions or permissions can be introduced through configuration rather than code changes, allowing access models to evolve alongside organizational needs.

WV PATH demonstrates this model through the Common Landing Portal, which provides State workers access to Family Assistance, Child Support, Child Care, Child Welfare, Reports and Financials based on assigned roles and permissions. This gives users a consistent entry point while allowing each program area to maintain the security, workflow and functional controls required for its business processes.

The common portal that Optum implemented is a critical capability that provides a consistent entry point for all DoHS programs. We look forward to enhancing the data exchange capabilities of WV PATH to further the integrated user experience as part of WV PATH maintenance and operations.

Sustainable growth and modernization

WV PATH's modular architecture supports modernization without requiring every component to change at the same time. Components can be evaluated, enhanced, replaced or migrated based on business value, operational risk, technical readiness and State priorities. This allows modernization activities to be sequenced in a controlled manner while continuing to support daily program operations.

The modular model also supports future program onboarding. When DoHS identifies new business needs, program changes or integration opportunities, WV PATH can reuse existing services, common data structures, access controls, interfaces and workflow capabilities instead of creating new stand-alone solutions. This reduces delivery complexity and supports more consistent operations across programs.

Through this modular and reusable architecture, Optum helps DoHS extend PATH capabilities across programs without duplicating functionality or introducing unnecessary operational complexity. Shared components, standardized interfaces, centralized access controls, configurable roles and proven WV PATH services support faster enhancement delivery, more consistent user experiences, simplified administration and scalable growth as PATH evolves. This model positions the State to onboard new programs, modernize individual components and maintain unified platform experience for staff and partners.

Objective: Operational Continuity

Operational continuity

Optum maintains operational continuity and long-term sustainability of the WV PATH system by executing proven M&O processes directly within the live production environment today.

Our approach is grounded in day-to-day delivery outcomes, not transition activities or future unproven concepts. Continuous improvement is already institutionalized across PATH operations, enabling the State to realize immediate stability, reduced operational risk and sustained Agency efficiency.

Today, operational issues that degrade efficiency such as inconsistent screens, unreliable calculators and reporting logic requiring manual reconciliation are identified, prioritized and resolved through established M&O processes that are fully integrated into production support. Defects are triaged based on operational impact to Agency workflows, regulatory compliance and downstream reporting, making sure remediation efforts deliver measurable benefit without disrupting Agency operations. This disciplined execution has stabilized functional behavior across PATH and steadily reduced reliance on manual workarounds.

Continuous improvement is embedded into daily M&O execution through structured defect management, repeatable root-cause analysis and close coordination with State stakeholders. Rather than treating defects as isolated technical issues, Optum evaluates functional behavior within the context of real usage, assuring corrections are durable and aligned to business rules. This approach accelerates resolution, prevents recurrence and strengthens overall system reliability while maintaining uninterrupted service to program staff and the public.

At contract initiation, Optum performs an early, comprehensive functionality assessment directly against live PATH operations. This assessment incorporates the State's most recent list of unresolved issues and extends beyond known defects to surface latent or inherited issues carried forward. Because this assessment is executed within production context using existing environments, data flows and workflows remediation begins immediately and avoids the delays typically associated with onboarding, discovery or parallel assessments.

Optum Key Personnel

PATH CC Line of Business Manager Vijay Patel

Vijay is an experienced Child Care and Child Welfare leader with a strong track record of driving program modernization, operational improvement, and large-scale system implementation. Highlights include:

- ✔ **20 years** of expertise working with West Virginia Health and Human Services
- ✔ **18 years** which focused on Child Care and Child Welfare
- ✔ Master of Business Administration, from The Ohio State University

Our incumbent knowledge of PATH architecture, configuration history, Agency-specific business rules and cross-program dependencies materially reduces execution risk. This embedded understanding enables faster diagnosis of issues, more precise fixes and informed prioritization that minimizes unintended impacts. Improvements are deployed with confidence because Optum already understands how PATH behaves across Integrated Eligibility, Child Welfare, Child Support and related domains. For example, your Line of Business Manager Vijay Patel leverages his extensive knowledge of West Virginia programs, challenges and objectives to support PATH Child Care.

Retaining Optum for WV PATH materially lowers risk compared to a transition to a new vendor. A transition vendor must relearn system architecture, reconstruct business context, validate inherited logic, stabilize unresolved defects before delivering meaningful improvements and increases cost to West Virginia. This relearning period introduces unavoidable delays, increases the likelihood of mis-prioritized fixes and elevates the risk of operational disruption to Agency staff and program delivery. By contrast, Optum already executes within PATH production, resolving defects without service interruption, and improving functional stability with full awareness of system dependencies and Agency operations. This continuity preserves momentum, eliminates avoidable transition risk and assures the State benefits from immediate, informed execution rather than post-transition stabilization.

This proven, execution-driven approach assures PATH remains reliable, efficient and adaptable over the life of the contract supporting Agency operations today while safeguarding long-term system viability.

Why Optum

Optum directly aligns with Goal 6 objectives by helping WV PATH remain responsive, adaptable and operationally stable through proven continuous improvement practices, flexible architecture, secure integration, reusable components and disciplined issue remediation embedded in daily M&O operations.

- **Alignment with Goal 6:** Optum supports continuous improvement, adaptability, flexible architecture, integration, data sharing, modularity, reusability and operational continuity through a mature framework already operating within WV PATH.
- **Continuous improvement embedded in operations:** Optum uses State feedback, help desk trends, audit findings, performance metrics, root-cause analysis and governance reviews to identify, prioritize and implement measurable improvements without disrupting daily service delivery.
- **Flexible, rules-driven architecture:** PATH's modular SOA, reusable services and business rules engine allow policy, regulatory and program changes to be implemented efficiently with traceability, State visibility and reduced redevelopment risk.
- **Integrated, reusable and scalable platform:** Optum supports secure data exchange, centralized reporting, shared services, role-based access and reusable components across PATH programs, reducing duplication and improving consistency for staff and stakeholders.
- **Operational continuity and lower risk:** As the incumbent, Optum brings PATH institutional knowledge, production experience and established remediation processes to resolve functionality issues faster, preserve service levels and sustain long-term system viability.

Compliance with Mandatory Project Requirements *Section 4.2.2*

Indicate compliance with mandatory requirements. Vendor should describe how it will comply with the mandatory requirements and include any areas where its proposed solution exceeds the mandatory requirement.

Throughout this section 4.2.2, Optum has responded with a "Compliant: Yes" to each mandatory requirement. We have described how we comply and indicated any mandatory requirement where we exceed the requirement. Please consider our responses in this section as additional detail to support our Response to the State's Goals and Objectives 1 through 6 above.

Disaster Recovery Facility *Section 4.2.2.1*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. Optum complies with this mandatory requirement by continuing to provide comprehensive disaster recovery and business continuity capabilities that support the uninterrupted delivery of WV PATH services and help the State achieve its recovery objectives. Leveraging a cloud-based architecture with multiple availability zones, redundant services and geographically diverse hosting facilities, Optum maintains a highly available, fault-tolerant environment designed to support recovery in accordance with State-approved Recovery Time Objectives (RTOs), Recovery Point Objectives (RPOs), and Service Level Agreements (SLAs). The primary Optum Digital Infrastructure Government (ODI-Gov) data centers are located in Chaska, Minnesota, with disaster recovery capabilities supported through geographically separate facilities in Dallas, Texas.

Optum exceeds this requirement because as the incumbent partner supporting WV PATH operations, Optum maintains robust Disaster Recovery (DR) and Business Continuity (BC) plans that are reviewed, exercised and updated annually in partnership with the WV DoHS and the WV OSA. These activities include:

- Annual review and assessment of DR and BC plans to support accurate and timely response procedures.
- Annual execution of disaster recovery failover exercises, validation of recovery processes and restoration to the primary environment.
- Participation in coordinated recovery testing with other vendors supporting components of the WV PATH ecosystem.
- Annual exercise of BC plans to validate operational readiness.

Our experience extends beyond planning and testing. During the 2022 WV Data Center Mainframe outage, Optum worked closely with WV DoHS, WV Management Information Services (MIS), and WV Office of Technology (WVOT) to assess impacts, support recovery efforts, validate system data and functionality, and restore normal operations as quickly as possible. This real-world experience reinforces our understanding of the critical role WV PATH plays in delivering essential benefits and services to WV residents.

Optum will continue to maintain and update DR and BC plans whenever approved environmental or architectural changes occur, including the ongoing modernization and migration of legacy components. Through proven operational experience, a collaborative partnership with the State, and a deep commitment to the citizens served by WV PATH, Optum will maintain disaster recovery capabilities that align with evolving business needs and support achievement of approved RTOs, RPOs and SLA requirements.

Participation in Orals *Section 4.2.2.2*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. Optum will participate in oral presentations scheduled by the State and according to the agenda provided. We will follow the agenda provided in Section 4.4 of the RFP and limit our participation to 5 participants. We will provide equipment needed for our solution.

Optum exceeds this required as Optum has participated in over 100 oral finalists' presentations for State procurements, including West Virginia.

Security Compliance *Section 4.2.2.3*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. As the incumbent, Optum is already compliant with all current security policies and procedures issued by the Agency. We also confirm full compliance with all future security policies and procedures of the WV DoHS and the WV Office of Technology (WVOT).

As documented in WV PATH deliverables, including the ARC-AMPE System Security and Privacy Plan (SSPP), Optum aligns WV PATH security operations, procedures and continuous monitoring activities with applicable State executive branch, DoHS, WVOT, CMS ARC-AMPE and NIST SP 800-53 Rev. 5 control expectations.

Optum exceeds this requirement by maintaining enterprise-level security standards that meet or exceed State requirements and documents how applicable State and Agency requirements are implemented through approved operational controls.

Optum proactively reviews DoHS and WVOT policy obligations through a documented governance and compliance process that identifies applicable State, Agency and federal requirements; maps those requirements to WV PATH operational controls; and implements them through approved procedures, role-based access controls, personnel onboarding and vetting, mandatory State and Agency security and privacy training, incident management, change management, continuous monitoring and periodic assessment activities.

Optum personnel with access to State systems or PATH protected information complete applicable State-provided security and privacy training and acknowledge compliance with DoHS and WVOT policies through required agreements, rules of behavior, confidentiality obligations and periodic attestations. These activities support personnel security, acceptable use, access control and privacy safeguard requirements throughout the contract lifecycle.

Our proposed security manager, Colleen Katz, supports monitoring for changes to applicable State privacy laws, regulations and security policies that may affect PATH controls or operations. New or updated DoHS and WVOT policies are reviewed with the State to confirm applicability, determine system or process impacts, and establish approved implementation timelines. Where gaps are identified through annual ARC-AMPE review, State review, internal assessment or external audit activities, Optum documents and tracks remediation through the Plan of Action and Milestones (POA&M) process until closure.

Compliance is demonstrated through maintained artifacts such as the SSPP, POA&M, risk assessments, assessment results, incident records, change documentation, access approvals, training acknowledgements, policy attestations and other evidence retained for audit, oversight and regulatory review. Accordingly, Optum will continue to comply with current and future security policies and procedures issued by DoHS and WVOT for the PATH solution.

Location of Work *Section 4.2.2.4*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. All work associated with the contract will be performed by Optum and all our applicable business partners, subcontractors, independent contractors and other entities supporting Optum within the continental United States or the U.S. Territories, as established in the requirements related to the handling of federal tax information contained in IRS Publication 1075, Section 2.C.7. Optum has approximately 128,574 employees in the Continental United States 2,575 in Puerto Rico and approximately 1,772 in West Virginia across UnitedHealth Group, UnitedHealthcare and Optum.

Optum exceeds this as our proposal is staffed only by continental United States employees.

Off-Site Facility Locations *Section 4.2.2.5*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. All WV PATH System hosting, including primary and geographically separate disaster recovery sites, are located within the continental United States in accordance with IRS Publication 1075, Section 2.C.7 and CMS ARC-AMPE requirements. All federal tax information and personally identifiable information is maintained exclusively within U.S. borders.

In the current WV PATH architectural configuration, the ODI-Gov environment implements comprehensive physical and logical security through boundary protection firewalls that regulate information flow across network domains and information trust zones encompassing internet, presentation, application-database, tools and internal zones. Network-level encryption utilizes TLS 1.3 protocol compliant with FIPS 140 current standards with UnitedHealth Group certificate authority signing. Secure data transfer is accomplished through the Electronic Communication Gateway providing secure file transfer via SFTP with FIPS-validated ciphers.

Access control is managed through Optum Access Manager built on the SailPoint Identity Management platform, providing centralized access control synchronized with ODI-Gov Active Directory. Multi-factor authentication is enforced through RSA SecureID tokens and Secure Access Workbench virtual remote desktop sessions. Privileged access credentials are protected through CyberArk Password Vault with full audit logging to the Splunk SIEM solution for continuous monitoring and anomaly detection.

All personnel with access to WV PATH systems and data are U.S.-based employees or contractors who undergo background investigations aligned with federal and WV State requirements, complete required security and privacy awareness training, and are subject to entitlement reviews every 90 days with automated access termination for non-compliance.

The Optum ODI-Gov hosting environment adheres to IRS Publication 1075 for safeguarding federal tax information, NIST SP 800-53 Rev. 5 Security and Privacy Controls, CMS ARC-AMPE Version 1.04 requirements for ACA Administering Entities, HIPAA Health Information Privacy and Security standards, and 45 CFR §155.260 privacy and security of personally identifiable information requirements.

Optum certifies that no WV PATH data, systems, or operations are conducted outside the continental U.S., assuring full compliance with IRS Publication 1075 offshore operations restrictions and all applicable federal cybersecurity requirements.

Optum confirms full compliance with federal cybersecurity and national security requirements, including Executive Orders 13873, 14028 and 14117. Optum implements comprehensive supply chain risk management processes aligned with NIST SP 800-53 Rev. 5 Supply Chain Risk Management (SR) control family, Risk Assessment (RA) control family and CMS ARC-AMPE Version 1.04 requirements.

Optum exceeds this requirement by including our supply chain risk management is governed by the UnitedHealth Group Enterprise Security and Resilience Office (ESRO) Policy and supporting standards. These policies establish security requirements for all vendors, subcontractors, third-party service providers and externally sourced code components. The ESRO organization maintains authority and responsibility for enterprise security program management, including supply chain security oversight and software component integrity. All security policies and standards are hosted in the centralized ESRO Policy Center for accessibility to all employees and are reviewed and updated at least every 365 days to provide alignment with current federal requirements and emerging threats.

Optum implements rigorous controls for third-party code, open-source components and code repositories in accordance with NIST SP 800-53 Rev. 5 SA-04 (Acquisition Process), SA-08 (Security and Privacy Engineering Principles) and SR (Supply Chain Risk Management) control families.

All third-party and open-source software components undergo security evaluation prior to integration into environments and solutions. This includes verification that externally sourced code does not introduce vulnerabilities, malicious functionality or supply chain risks inconsistent with federal cybersecurity requirements. Software components are assessed for known vulnerabilities using automated scanning tools, and software composition analysis is performed to identify all dependencies and their associated risk profiles.

Optum maintains software bills of materials (SBOMs) for system components, documenting all third-party and open-source dependencies and supporting vulnerability identification and response. This capability is implemented in alignment with Executive Order 14028 requirements and is applied to environments and solutions subject to federal and contractual cybersecurity obligations.

Optum employs an integrated vulnerability management and application security testing program to identify, assess and remediate security weaknesses across infrastructure, endpoints, network devices, applications and software components. Vulnerability scanning is performed on a recurring basis and when significant changes or newly identified threats warrant additional review, with findings analyzed, prioritized by risk and tracked through remediation workflows aligned to organizational requirements. Application security testing is embedded throughout the software development lifecycle through Static Application Security Testing (SAST) to detect source code vulnerabilities prior to deployment and Dynamic Application Security Testing (DAST) to identify runtime weaknesses in web applications and APIs in pre-production and production-equivalent environments. Penetration testing is conducted at least annually and following significant changes to validate the effectiveness of security controls and identify exploitable conditions across applications, infrastructure and related attack surfaces. Test results and vulnerabilities are documented, prioritized and tracked to closure through established governance and remediation processes to support continuous improvement of the overall security posture.

Optum uses integrated enterprise processes and tools to continuously monitor and manage supply chain risks related to software components, including third-party and open-source libraries. Software components are inventoried and tracked through configuration and repository management processes using GitHub, uCMDB, Docker Trusted Registry and Artifactory, while automated vulnerability scanning, software composition analysis, SAST, DAST and penetration testing are used to identify vulnerable, unauthorized or anomalous components and code activity. Security events and testing results are centralized in Splunk SIEM to support continuous monitoring, alerting and risk correlation across the environment, including suspicious repository activity, privilege misuse and emerging component-related threats. Privileged

credentials used for repository administration and software deployment are secured through CyberArk Password Vault with audit activity forwarded for centralized monitoring. Identified supply chain risks are assessed, prioritized, investigated and tracked through formal incident and remediation workflows in ServiceNow.gov, with escalation through enterprise security and supplier risk governance processes as needed to support timely containment, correction and ongoing risk management.

All subcontractors are required to meet UnitedHealth Group ESRO security requirements, including secure development practices, third-party code controls and participation in vulnerability management. Contractor access is integrated with identity management systems for timely provisioning, verification and removal. Managers perform periodic access reviews, and access to code repositories and development environments is revoked promptly upon role change or termination.

Optum addresses Executive Order 13873 by excluding prohibited vendors and components from the supply chain, Executive Order 14028 through SBOM practices, secure software development, repository monitoring and vulnerability management including SAST, DAST and penetration testing, and Executive Order 14117 through data handling controls that restrict access by covered foreign persons or entities and maintain systems and repositories within the continental U.S.

Optum maintains response procedures for compromised third-party code, repository breaches and critical vulnerabilities. Confirmed high-risk accounts are disabled within one hour, affected components can be identified through SBOMs and removed or patched, and critical findings from scanning, SAST, DAST or penetration testing are escalated for immediate remediation. Incidents are documented in ServiceNow.gov and reported to the ODI-Gov GSS Security Operations team and ESRO as required.

As modernization and architectural changes are implemented, Optum will maintain these levels of security and control in compliance with this requirement.

Optum will maintain data classification and handling procedures aligned with IRS Publication 1075, HIPAA, and applicable State requirements. Sensitive data, including FTI, PII, and PHI, will be classified and protected through role-based access controls, least-privilege access, encryption at rest and in transit, and comprehensive audit logging. Optum will also maintain security monitoring, incident response, data retention and disposal processes, and periodic compliance reviews to confirm the ongoing confidentiality, integrity, and availability of WV PATH data.

Enhanced FFP *Section 4.2.2.6*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. Optum will comply with applicable federal requirements necessary to achieve and maintain Federal Financial Participation (FFP), including both enhanced and standard match rates, as defined by the Centers for Medicare & Medicaid Services (CMS), Food and Nutrition Administration (FNA) and Administration for Children and Families (ACF).

Optum has a demonstrated track record of designing, implementing and operating a compliant system that aligns with federal requirements and supports ongoing certification and funding eligibility. Importantly, Optum has partnered with the WV to improve opportunities for enhanced funding. This history reflects our rigorous adherence to federal standards, proactive compliance management practices and strong partnership with State and federal stakeholders.

Optum warrants that the proposed and implemented IES will continue to meet all applicable federal requirements, including but not limited to:

- CMS requirements for enhanced 90/10 Design, Development, and Implementation (DDI) FFP and 75/25 operations match rates
- FNA system and testing requirements for SNAP
- IRS compliance requirements, including applicable data security and safeguarding standards
- Temporary Assistance for Needy Families (TANF) and Low Income Energy Assistance Program (LIEAP) program requirements
- Annual ACF Child and Family Services Reviews (CFSR)
- ACF Certification Requirements, including adherence to the most current version of the Guide for States at the time of system design and implementation

Optum will incorporate compliance validation activities throughout the system lifecycle, assuring that design, development, testing, implementation and operations remain aligned with evolving federal guidance. This approach includes continuous monitoring, audit support and documentation practices necessary to support certification and funding reviews.

Building on its incumbent experience, Optum will sustain a compliant, audit-ready environment that enables the State to maximize available enhanced FFP where applicable and maintain standard FFP in all other areas, without disruption to program operations or funding eligibility.

Optum exceeds, not only by complying and warranting that PATH will meet the requirements for enhanced funding, but we can also advise on ways to maximize FFP through efficient project management, project cost allocations and ongoing Medicaid Information Technology Architecture (MITA) improvements. For example, Optum has implemented enhanced ex parte processes which both meet new federal guidelines and increased the automatic Medicaid renewal rate from 12% to 68% creating an additional operational efficiency for the DoHS has seen a decrease in your SNAP error rates from 2023 10.98%, 2024 9.43% and 2025 6.69% according to USDA website: SNAP Payment Error Rates | Food and Nutrition Administration. There has been significant improvement over the last three years.

Lost FMAP, FFP, or Other Federal Funding *Section 4.2.2.7*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. Optum accepts responsibility for the portion of any lost FMAP or FFP that is determined to be the direct result of system deficiencies, system defects or failure to meet specified system requirements under our control and responsibility.

Consistent with the RFP, Optum will not assume responsibility for system certification of components that fall outside the scope of this engagement. However, for in-scope components, Optum warrants that the WV PATH maintenance and operations will be designed, implemented and operated in a manner that meets applicable federal and State requirements to protect funding eligibility and program integrity.

Optum further agrees to accept financial responsibility for federal penalties, lost revenue or funding impacts to the extent such impacts are directly caused by data quality issues attributable to Optum controlled system-related data quality issues that prevent services from being rendered or that negatively affect downstream reporting. This includes accountability for any adverse impacts to Transformed Medicaid Statistical Information System (T-MSIS) reporting

that result in loss of FFP, certification delays or denials, or impacts to funding requests and Advance Planning Documents (APDs).

In addition, Optum will be responsible for financial consequences arising from system defects or deficiencies that are our fault that lead to audit disallowances, monetary penalties, corrective actions or reduced federal or State reimbursement, regardless of whether such impacts are explicitly categorized as FMAP or FFP losses.

To mitigate these risks, Optum will employ a proactive and comprehensive compliance and quality management approach that includes:

- Continuous monitoring of system performance, data quality and regulatory alignment
- Formal defect management, root cause analysis and corrective action processes
- Rigorous testing, validation and release management
- Ongoing audit readiness and support for federal and State reviews
- Strong governance and reporting practices to enable transparency and accountability

Optum will also work with the DoHS to proactively identify any known or foreseeable system-related risks that could jeopardize compliance with federal or State program integrity requirements. Upon identification, Optum will promptly notify the Agency and collaborate to develop and implement mitigation strategies and remedial actions to prevent adverse financial or regulatory impacts.

Optum exceeds with our established mature processes, controls, and oversight mechanisms that minimize risk and protect federal funding. This disciplined approach will continue to assure compliance, safeguard funding streams and maintain the State's audit-ready posture throughout the contract lifecycle. We have experience with this commitment and requirement in over a dozen states. We will support WV PATH with our CMS Certification Center of Excellence (COE) and subject matter experts backed by our technical team to remediate risk to federal funding for the WV PATH maintenance and operations program.

Support for Multiple Programs *Section 4.2.2.8*	Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. Our solution supports concurrent operation and integration of multiple human services programs within WV PATH, including Child Welfare, Family Assistance, Child Care and Child Support. Program rules, workflows, eligibility logic and reporting operate independently while leveraging shared data, services and infrastructure. This enables coordinated case management, consistent user experience and efficient cross-program operations without data duplication.

The solution is also designed to support the integration and administration of programs administered by other state agencies, U.S. territories and political subdivisions through configurable program components, standardized interfaces and interoperable data exchange capabilities, enabling scalable expansion beyond current WV PATH programs. We support contracts in over a dozen states with similar service level agreement (SLA) structures. All WV PATH health and human services programs and related eligibility categories will be supported according to the Service Level Agreements set forth in RFP Appendix IX: Service Level Agreements, Table: 15-22.

We monitor these SLAs on a regular basis through transparent reporting and dashboards so DoHS and OMIS have visibility into our performance.

Compatibility w/ WVOT-Supported Software *Section 4.2.2.9*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. Optum will help assure full and continuous compatibility with WVOT-supported hardware, software, and communications components, operating strictly within the State's approved technology stack and the most current WVOT-supported versions as approved by WVOT, in accordance with Section 4.2.2.9.

Optum exceeds because we already deliver WV PATH services within this established WVOT-supported environment, eliminating the need for reconfiguration or introduction of non-standard technologies. This preserves system stability, facilitates uninterrupted operations, and minimizes transition and operational risk to the State.

All maintenance, enhancements and releases will align with WVOT-approved configurations, security controls and lifecycle management practices, with no technology changes introduced without prior WVOT review and approval. Optum will proactively monitor and coordinate WVOT-driven version updates to facilitate continued compatibility with current supported versions across infrastructure, applications and interfaces without service disruption. Established deployment and validation practices confirm compatibility prior to implementation, maintaining consistent performance across all environments.

By leveraging deep operational knowledge of the WV PATH ecosystem and its integration with WVOT-supported enterprise services, Optum provides a low-risk, high-confidence model for ongoing service delivery. This approach enables seamless interoperability across all components, sustained system reliability and protection of the State's technology investments without introducing avoidable complexity or instability.

In summary, our proven alignment with WVOT-approved, current supported technologies across all components significantly reduces implementation, operational and compliance risk while preserving a stable and continuously functioning environment. We have a working relationship with WVOT and will collaborate with DoHS OMIS when we have to engage with WVOT for WV PATH needs.

HIPPA Compliance *Section 4.2.2.10*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. Optum will continue maintaining full HIPAA compliance throughout the life of the contract at no additional cost to the Agency. HIPAA compliance is embedded within our enterprise security framework and standard operating model.

Optum exceeds through our UnitedHealth Group ESRO and Privacy Office, by providing ongoing adherence without additional charges. Optum performs continuous policy reviews, at least annually and upon regulatory change, and provides ongoing security and privacy training to maintain workforce awareness and compliance.

Optum aligns WV PATH security operations, procedures, and continuous monitoring activities with the CMS current security and privacy framework, ARC-AMPE.

The Optum HIPAA compliance program is continuously validated through formal governance, ongoing control assessments, workforce training and continuous monitoring activities, reinforcing a proactive and audit-ready security posture. As documented in the WV PATH System Security and Privacy Plan, Optum implements and operates all required administrative, physical and technical safeguards and maintains controls across all applicable HIPAA safeguard categories.

In addition, each Optum employee is required to complete annual privacy and security training.

Federal Security Requirements *Section 4.2.2.11*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. As documented in the WV PATH System Security and Privacy Plan (SSPP), Optum complies with all applicable federal regulations and publications identified in this requirement through implementation of the CMS ARC-AMPE framework. ARC-AMPE is specifically designed to address federal security and privacy requirements for ACA, Medicaid and partner entities and is aligned to the National Institute of Standards and Technology (NIST) Special Publication 800-53 Rev. 5 control families.

Optum has implemented and operates controls across all NIST SP 800-53 Rev. 5 control families, assuring comprehensive coverage of administrative, technical and physical safeguards required to meet applicable federal regulations, including HIPAA (45 CFR Parts 160, 162, and 164), IRS Publication 1075, the Privacy Act of 1974, SSA security guidelines, and other program-specific confidentiality and security requirements. These controls are formally documented, continuously monitored and validated through established governance, risk management and compliance processes to verify ongoing alignment with evolving federal requirements.

Optum exceeds by applying a "most stringent requirement" approach when requirements differ across overlapping federal regulations, the highest level of protection and compliance is consistently enforced.

In addition, Optum maintains required documentation artifacts, including the SSPP, risk assessments (ISRA) and supporting policies and procedures, which demonstrate traceability and audit readiness across all applicable regulatory domains. This integrated approach verifies that all referenced federal regulations and publications are consistently addressed throughout the system lifecycle.

For systems connecting to the Federal Data Services Hub (FDSH), Optum requires and enforces Transport Layer Security (TLS) version 1.3 for all data in transit, which is compliant with federal interface security requirements and protection of sensitive information.

State Security Requirements *Section 4.2.2.12*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. **Optum exceeds** because as the incumbent, we already maintain compliance with all applicable WVOT and Agency security and privacy requirements for the solution and will continuously monitor for regulatory or policy changes that may arise during the contract term. Our security program and delivery processes support incident reporting and response, access control and acceptable use, personnel security and training, encryption, logging and ongoing risk management in alignment with applicable State requirements.

Compliance approach and governance

Our program governance provides adherence to applicable State executive branch policies and procedures, as well as Agency security and privacy policies relevant to the solution. Compliance is enforced through documented policies and procedures, role-based access controls, mandatory security and privacy training, and periodic attestations/acknowledgements as required by the State and Agency.

W. Va. Code Chapter 46A, Article 2A – Breach of Security of Consumer Information

Optum maintains formal incident response and breach notification procedures that support the timely identification, escalation, containment and notification activities in accordance with WV breach notification requirements. Incidents are tracked through an enterprise incident

management capability that supports auditable recordkeeping, metrics and reporting to State/Agency stakeholders as required.

W. Va. Code Chapter 61, Article 3C – Computer Crime and Abuse Act

To support compliance with the WV Computer Crime and Abuse Act, Optum implements layer security controls, including role-based access control and least privilege, strong authentication and account management, encryption in transit and at rest, continuous monitoring and logging, change control and integrity safeguards, and incident handling and contingency planning to prevent unauthorized access, misuse, alteration or disruption of systems and data.

State and Agency information security policies

Optum and the WV PATH solution will comply with State and Agency information security policies applicable to the solution, including DoHS/OMIS policies (e.g., information security, account access, security and privacy training, personnel security and incident reporting/management). These requirements are further enhanced with the Optum enterprise security standards that govern security program management, personnel security, identity and access management, operations security and security incident management.

West Virginia Executive Branch Privacy Policy – Security Safeguards

Optum and the WV PATH solution supports the WV Executive Branch Privacy Policy Security Safeguards with documented access agreements and onboarding requirements, including confidentiality agreements, acceptable use policies and rules of behavior acknowledgements. Personnel are also required to complete applicable State/Agency security and privacy training with periodic attestations as required.

Optum monitors changes to State regulations and Agency policies during the contract term and incorporates applicable updates through established risk management and governance processes, including periodic policy/standard reviews and updates, risk assessments and continuous monitoring activities to address new and emerging threats and requirements.

Our capability and ability to support compliance include implementing identity and access management, incident reporting and tracking, security monitoring/logging and required security and privacy training, which provides consistent enforcement of State and Agency requirements.

Optum will continue maintaining ongoing alignment with applicable WV security and privacy requirements, including breach notification obligations, the Computer Crime and Abuse Act, State/Agency security policies and executive branch privacy safeguards. This compliance is demonstrated with documented governance, training and attestation, technical controls, incident management and continuous risk management practices.

Federal and State Regulatory Changes *Section 4.2.2.13*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. Optum will comply with all federal and State regulatory and legislative requirements, including the incorporation of new and evolving mandates into the WV Path and associated M&O activities and will follow the established change management processes. Optum is familiar with the State's current and upcoming priority initiatives, including those associated with H.R.1, and has incorporated processes and governance structures to enable timely and accurate implementation of all required changes.

Optum agrees to implement requirements mandated through federal and State regulations, including new reporting requirements. Modifications required to meet federally mandated requirements will be delivered utilizing the change management process, consistent with the requirements of the RFP. Optum further acknowledges that failure to meet such mandated

deadlines, where attributable to the vendor, will result in responsibility for any associated damages, including costs, penalties or federal funding impacts.

As the incumbent vendor supporting WV PATH, Optum maintains a deep understanding of the regulatory landscape and has established a proven approach to monitoring, interpreting and implementing federal and State policy changes. This includes dedicated regulatory tracking, impact assessment and implementation planning to confirm that the system remains compliant with current and forthcoming requirements.

Optum exceeds this requirement in WV Path maintenance and operations, we will be more proactive in preparing policy change briefings and summaries for DoHS. Through our Advisory Board and Subject Matter Experts (SME) we will prepare quarterly updates to advise DoHS in advance of pertinent policy changes that may affect the DoHS programs.

Optum will assure that WV PATH remains current and adaptable to evolving standards, including the ability to incorporate new program requirements, policy changes and data and reporting standards as they are introduced. All such changes will be governed through a formalized change control process, consistent with the Change Management Plan, to confirm that updates are properly reviewed, approved, tested and deployed in a controlled manner across all phases of the project lifecycle.

Through this disciplined and proactive approach, Optum and the State collaboratively meet continuous compliance with all regulatory requirements, including those associated with H.R.1, while minimizing risk to operations, maintaining system integrity, and protecting the State from financial or regulatory impacts.

Right of Access *Section 4.2.2.14*	Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. Right of access to data, systems and documentation will be provided through controlled access to Optum-managed systems and independent third-party assessment for cloud-hosted environments, consistent with security, confidentiality, and multi-tenant requirements. Where third-party public cloud providers are used, the parties may agree to reviews of relevant documents and supporting information instead of direct system access.

Deliverable Updates *Section 4.2.2.15*	Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. The Optum Program Management Office (PMO) is accountable for assuring the quality, accuracy and completeness of all deliverables. The project management team will collaborate closely with the State throughout review and revision cycles to gather, address and incorporate feedback into each deliverable. Deliverables will also be updated as needed to reflect new or revised information, assuring continued alignment with program requirements. In addition, Optum will perform an annual review of all deliverables to validate accuracy, relevance and alignment with current processes, policies and contractual obligations. The results of this review will be documented and used to identify and implement recommended updates.

All State-requested updates will be completed and resubmitted by Optum within 25 business days of the request, unless an alternate timeline is agreed upon in writing. Updated deliverables will be provided according to the mutually agreed-upon schedule established at the time of the request.

Optum will maintain all standard project management deliverables within the State's designated Google knowledge repository, including project status reports and other required documentation. This approach assures centralized access, transparency and version control for all program artifacts.

To support documentation development and management throughout the project lifecycle, Optum will utilize Microsoft Office tools and implement appropriate access controls to verify that only authorized users can view or modify project records. This controlled environment will enable users to efficiently access, search and retrieve accurate and up-to-date documentation maintained throughout the contract period.

At a high level, Optum will follow the deliverables update and review process outlined below:

- **Submission and version control:** The Optum PMO will upload deliverables to the designated *Working Copy* folder for each deliverable within the *Inbox* folder on the DoHS Google Drive site for DoHS review and feedback. Each submission cycle will be stored in a separate folder labeled using the convention *XX_Sub_XX*. For each submission, Optum will send an official submission email to SPMO that includes the submission number and links to the deliverable files on the DoHS Google Drive.
- **Review timelines:** DoHS will review deliverables within 20 business days of submission by Optum to SPMO and DoHS. Design documents will be reviewed within 10 business days of submission; if no comments are provided within this timeframe, the design document will be deemed accepted.
- **Review feedback and response:** DoHS will review the deliverable and provide feedback, including a comment log when applicable. Upon completion of the review, SPMO will place the reviewed deliverable and associated comment log in the *Outbox* folder for the applicable deliverable on the DoHS Google Drive. SPMO will then issue an official notification email to Optum confirming completion of the review.
- **Final submission:** Optum will incorporate all documented DoHS and SPMO feedback and submit the second (final) submission of the deliverable for approval.
- **Final approval:** DoHS, with SPMO oversight as applicable, will review the final submission and provide formal acceptance or approval. Upon acceptance, the deliverable will be considered final and complete.
- **Process oversight:** Optum will be responsible for monitoring adherence to the two-submission process, facilitating resolution of review issues, and assuring compliance with governance and audit requirements.
- **Additional submission cycles:** Additional submission cycles beyond the agreed are not anticipated and may require a working session between DoHS and Optum.

Turnover and Closeout Operations *Section 4.2.2.16*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. **Optum exceeds** through demonstrated experience both successfully turning over and taking over projects and systems for government clients. Examples include receiving turnover from Deloitte in 2016 on the existing State systems and the turnover of the Technical Call Center (TCC) to the State in 2026. With this dual perspective of turnover, we understand each party's responsibilities and the factors that make turnover successful. We also recognize that the State or new contractor may have their own transition plan. Both Optum and the State or new contractor will be obligated to share transition/turnover plans and mutually define a transition/turnover approach that delivers a successful and timely outcome for all participants.

We approach turnover with thorough planning and preparation. The turnover to a successor, whether the State or a new contractor, will be collaborative and transparent. We will provide the necessary resources for transferring operations and system hosting to the State or new contractor, while maintaining services with no disruptions. We follow a shadowing and learn-by-

doing approach to provide service continuity and effective Knowledge Transfer (KT) to the State or new contractor. To accomplish this, we will facilitate dedicated KT sessions and shadowing of Optum SMEs.

At the beginning of contract turnover planning, our M&O team will identify how we will maintain uninterrupted, high-quality services throughout the turnover process. We will control turnover risk by incorporating realism into the turnover planning process, rather than assuming the best possible outcome will always occur. Our turnover strategy focuses on the following.

- ✔ Providing ongoing **operational transparency and reporting** demonstrates our continued commitment to meeting performance requirements and SLAs. Transparency provides continuous knowledge of turnover activity status and prevents surprises throughout the process. Further, transparency keeps your business and technical teams, as well as supporting vendors and contractors, aware of next steps.
- ✔ Proactively **collaborating** with the State or new contractor on KT and documentation.
- ✔ Maintaining the appropriate level of operational staff with current knowledge of WV PATH to work with the State or new contractor in performing turnover tasks as defined in the Turnover Plan. **Providing knowledgeable and experienced staff** gives the State or new contractor greater opportunity to be successful in future M&O and development activities post-turnover.
- ✔ Easing risk to the State by working collaboratively with the State or new contractor to transfer operations of the system in a methodical, planned and approved manner.

During turnover, we will work closely with you to clearly define accountability and document each team's roles and responsibilities in the turnover plan. We will establish a culture of collaboration through regular, appropriate communications in an open-door environment. Previous project turnovers have taught us the importance of defining the format, frequency, content and participants necessary to support enhanced communications during this phase. Our turnover plan will include these activities and align with the turnover project schedule.

Staffing throughout turnover: Optum agrees to maintain operational staff to continue uninterrupted contract services through the end of the contract period. We will support the State in offboarding/onboarding resources and provide necessary resources for a controlled turnover. Our leadership team will include our operations manager and turnover manager. We will have specific operations resources to help support turnover activities. They will facilitate KT, training and other transition activities. Our team will work with you to make sure our services continue to meet expectations throughout the turnover. We will provide a turnover strategy supported by trained staff and will include dedicated turnover resources, as needed. Our turnover plan will identify key roles and personnel responsible for supporting the turnover.

Compliance with SLAs *Section 4.2.2.17*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. Optum is committed to delivering high-quality, reliable services and will perform in full compliance with the approved SLAs outlined in Appendix IX of the RFP. As the incumbent vendor, Optum consistently meets and, in many cases, exceeds the SLAs defined in the current contract, demonstrating a proven track record of operational excellence, performance consistency, and accountability.

Optum has conducted a comprehensive review and mapping of the SLAs specified in the RFP against current contractual commitments. Based on this assessment, Optum confirms its

readiness and capability to meet all revised SLA requirements, including any enhanced performance targets and newly introduced metrics. Our mature service- delivery model, supported by robust monitoring, reporting and continuous improvement processes, assure sustained compliance with SLA obligations.

To support alignment with any updated SLA definitions, metrics or reporting expectations, Optum will implement a structured 6-month transition period to fully operationalize the revised SLA framework. During this transition, Optum will:

- Incrementally aligned processes, tools and reporting mechanisms with new SLA requirements
- Establish updated performance baselines and validation checkpoints
- Conduct periodic reviews with DoHS to align on all KPIs and performance indicators prior to the first monthly SLA report submission post transition
- Provide transparent reporting on progress toward full SLA compliance
- Maintain consistent service delivery without degradation to current operations

This phased transition approach enables a controlled and low-risk adoption of new SLA requirements while preserving uninterrupted service delivery. Optum assumes that reasonable flexibility, including the excusal of SLA penalties during the defined transition period, will apply, provided there is no material impact to service quality and demonstrable progress toward full compliance is maintained.

Optum exceeds this requirement through established governance frameworks, proactive performance management and advanced analytics to identify trends, mitigate risks and drive ongoing service optimization. This approach enables Optum not only to meet contractual SLAs but also to continuously enhance service quality and user satisfaction over the life of the contract. Optum will work with the Agency during periodic reviews to adjust SLAs and KPIs if needed.

Potential Performance Payment *Section 4.2.2.18*	Compliant: Yes ☒ No ☐

Optum acknowledges and will comply with the Agency's authority to reduce monthly M&O payments as defined in RFP Appendix IX: Service Level Agreements, Tables 15–22. Optum will actively manage performance against all SLAs to achieve and sustain required service levels, recognizing that failure to meet established SLAs may result in payment reductions as outlined by the State.

Status Reporting *Section 4.2.2.19*	Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. The Optum team focuses on a smooth, reliable customer experience. We regularly collaborate with state agencies and multiple vendor partners to enhance WV PATH and provide recommendations for the future. Our consistent status reports and updates keep the State informed on progress and provide key data to inform decision-making. We foster open, clear communication, allowing the State to depend on Optum to deliver within budget and schedule parameters.

For each initiative, whether it be an M&O activity or other projects, the project management team will send the D032/D033 Weekly/ Monthly Status Report and the D014 Project Schedule to the appropriate State stakeholders and Optum management to facilitate a common, transparent understanding of the contributions, commitments and challenges of the effort. The status report will have a high-level timeline with major milestones, activities completed that week, major risks and issues, mitigation plans for each risk/issue, and planned tasks/activities

for the following week. This report will also list the schedule variance showing the amount of time the project is ahead or behind the planned delivery date.

Optum will provide a Change Request Summary and Decision Log organized by release. During each release's testing phase, QA testing results will be delivered. In addition, Optum will provide a daily report for maintenance release System Integration Testing (SIT), including detailed status updates on test cases, identified defects and associated mitigation actions. At the conclusion of each testing phase, Optum will deliver a comprehensive summary of testing results to support approval for progression to the next phase.

Optum will provide project status information to the Office of Management Information Services (OMIS) IES PMO in the required time frames and in the agreed-upon format, as defined in the approved PMPs.

Project Management *Section 4.2.2.20*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. Our project management model was developed by integrating the Project Management Institute (PMI) Project Management Body of Knowledge (PMBOK) universal set of best practices with State processes. Optum aligns with industry and PMBOK best practices to bolster confidence we consistently follow effective processes and practices.

Optum exceeds this requirement because we have already established the WV PATH standards, methodologies and processes using PMI PMBOK and we lean on our PMO Centers of Excellence to provide continuous improvement that results in successful and timely programs. Our project management approach provides a management framework to effectively monitor and control the project throughout each project phase. Optum is confident that the WV PATH project will be delivered on time, within scope, within budget and in accordance with the State's quality expectations. To facilitate implementation and ongoing operations, we will tailor our approach to integrate with the State's specific needs.

Our projects follow the commonly used project management phases of Initiate, Plan, Execute and Close, with monitor and control activities occurring throughout the lifecycle. We leverage iterative design, development and testing cycles to encourage collaboration and feedback on project deliverables.

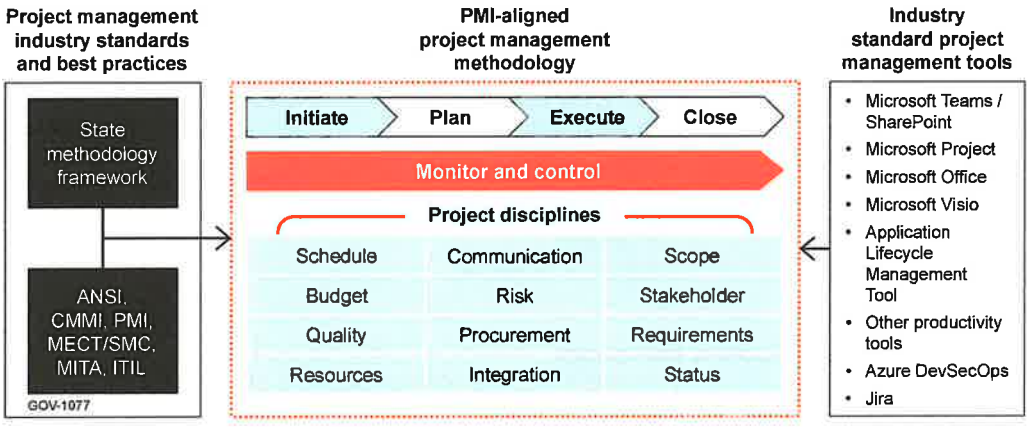

Figure 33: Optum delivery model.

Our methodology coupled with industry best practices and standard tools help us minimize risk and deliver strong results.

Optum will deliver a comprehensive PMP that defines the processes, methodologies and activities required to effectively manage the project within the established timeline. At a minimum, the PMP will include a Deliverable Dictionary, Stakeholder Management Plan, Staffing Management Plan, Facility Management Plan, Documentation Management Plan and Training Management Plan. Optum has existing PMP components that are already approved and will require only minimal updates to align with current project needs.

The PMP will incorporate a comprehensive set of supporting subplans, including a Communications Management Plan, Risk and Issue Management Plan, Change Management Plan, Security, Privacy, and Confidentiality Plan, Data Quality and Governance Plan, and a System Back-up and Record Retention Plan. The PMP will also address Turnover and Closeout Management activities, including execution of the Transition Plan.

Standardized reporting artifacts, including Weekly and Monthly Status Report templates, will be provided as part of the PMP to support consistent communication, performance tracking, and governance throughout the project lifecycle. Examples and templates are included in **Exhibit 1**.

Adaptability to Current and Future Needs *Section 4.2.2.21*	Compliant: Yes ☒ No ☐

Optum complies with and exceeds this mandatory requirement. As your M&O and development and modernization vendor, we understand that being a successful partner requires full understanding of the system's functionality coupled with incorporating the varied business perspectives, needs, and priorities of those affected by the WV Path project operations, including stakeholders, State staff and citizens.

Optum exceeds this requirement by infusing the Optum Change Adoption Framework, which organizes change activities across three integrated phases-Readiness, Rollout, and Reinforcement-to guide adoption and support a smooth transition throughout this transformation.

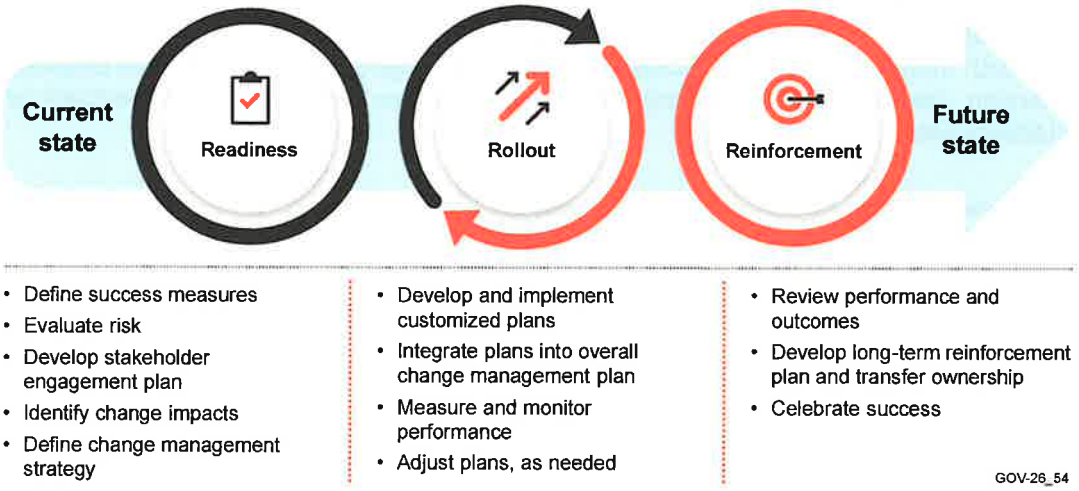

Figure 34: Optum change adoption framework.
Our three-phase framework supports transition and adoption throughout change activities.

This methodology assures stakeholders are prepared early, supported during implementation, and reinforced after go-live to drive sustained adoption of the new WV PATH functionality. By applying this phased approach in close alignment with PATH governance and delivery

structures, Optum helps make sure peoples' readiness advance in step with system readiness and program milestones.

Our approach combines scalable architecture, structured software lifecycle practices, and disciplined governance to support both current and future business operations. Our approach provides a future-ready foundation that supports agility, reduces switching costs and protects against vendor lock-in. By prioritizing open standards, modular design and cloud-agnostic tooling, we maintain control over our technology choices and preserve the ability to evolve with changing business needs.

Upgradeable and expandable solution

Modern cloud architecture

- Our solution uses a modular, API-first design that connects programs through open standards rather than rigid integrations, supporting scalability and adaptability.
- Both hardware and software components allow incremental upgrades, enabling capability expansion without major overhauls.
- Leveraging modern cloud services, the architecture scales resources based on demand and incorporates CI/CD pipelines to streamline maintenance and updates. FedRAMP-authorized environments support compliance with standards such as HIPAA and IRS 1075.
- A microservices-based approach enables independent updates, replacement and scaling of components, supporting long-term sustainability and flexibility.

Scalability

- We design solutions to scale both vertically and horizontally. We provide configurable transformation rules to deliver a highly flexible and scalable solution.
- Each module is integrated through the integration layer. Using a set of standard application-programming interfaces (APIs), each module is replaceable, and a unique team manages each module for maintaining updated releases. These products enhance access and delivery by providing open standards-based and service-capable components.
- The extensibility of the architecture offers multiple entry and exit points into our solution. This promotes flexibility through our integration architecture, with the reuse of business processes and business rules, and using common interfaces.

Configurable rules engine (policy as code)

- We treat policy as a code. Configurable rules engines allow policy updates to be implemented through configuration, not custom development.
- Centralizing program logic enables staff to implement policy changes quickly and uniformly without rebuilding or redeploying applications. This flexibility not only enables faster compliance with State and federal changes but also reduces reliance on external vendors and provides program continuity when legislative or funding shifts occur.

Change management

Optum will use an established change management process in all environments to manage iterative changes to the system as well as larger scale, transformative changes to the WV PATH

project. Change management process followed by our team confirms all changes are reviewed, assessed for impact, and approved before changes are implemented.

We will adhere to the State-approved Change Management Plan, including the definitions and processes governing modifications and enhancements as outlined in RFP Section 4.2.2.45.

For more details on our change management process, please refer to Section 4.2.2.13 and Section 4.2.2.45 of this response.

This integrated approach delivers a solution that remains fully upgradeable and expandable over time while adhering to the State's approved Change Management Plan and the definitions of modifications and enhancements outlined in RFP Section 4.2.2.45, supporting both current operations and future business and technical needs.

MITA Alignment *Section 4.2.2.22*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. Optum will maintain the PATH solution in alignment with DoHS' current and evolving Member and Eligibility and Enrollment MITA goals, as defined in the State's MITA State Self-Assessment (SS-A) and associated MITA artifacts. As the incumbent PATH vendor, Optum brings extensive knowledge of WV's current business, technical and operational environment, enabling us to efficiently advance MITA objectives while minimizing risk, preserving continuity and accelerating delivery of modernization outcomes.

Our solution is built upon MITA principles of modularity, interoperability, business-centric design, reuse and adaptability. Through a service-oriented architecture, standards-based integrations and externalized business rules, PATH can respond more rapidly to policy changes, federal requirements and evolving program needs while reducing the complexity and cost typically associated with large-scale system changes.

To maintain ongoing MITA alignment, Optum will:

- Monitor updates to WV's MITA SS-A, CMS guidance and related MITA artifacts and proactively assess impacts to Eligibility and Enrollment services.
- Maintain MITA-aligned business, information and technical services that support the State's target architecture and long-term modernization roadmap.
- Leverage modular design and standards-based interoperability to promote reuse, reduce duplication and support seamless integration across PATH programs and partner systems.
- Support MITA maturity advancement through continuous improvement, modernization initiatives, CMS checkpoints, MITA assessments and APD activities.
- Utilize established governance, architecture review and release management processes to make sure MITA-related changes are evaluated, prioritized, documented and implemented with minimal disruption to ongoing operations.

Optum exceeds because Optum currently operates and modernizes PATH, we are uniquely positioned to align MITA objectives with day-to-day operational realities, assuring that compliance activities translate into measurable business value. This approach enables WV to advance its MITA maturity while reducing implementation risk, accelerating regulatory compliance, improving interoperability, and providing a sustainable foundation for future modernization initiatives. By combining proven operational experience, deep institutional knowledge and a modular modernization strategy, Optum helps the State achieve its MITA goals while delivering reliable, efficient and citizen-centered services. We look forward to

working with the State on incorporating the new MITA 4.0 framework in WV PATH maintenance and operations.

State Ownership *Section 4.2.2.23*	Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. Optum will fully support the State's rights under 45 CFR §95.615 and §95.617 through reasonable, secure and controlled access to systems, data and documentation used in performance of the contract, consistent with applicable security, confidentiality and multi-tenant requirements and federal audit standards.

Consistent with federal and State law, the Agency will retain sole ownership of Agency data, Agency-funded custom deliverables, and Agency-specific configurations, while pre-existing Optum intellectual property, COTS software and cloud platforms remain the property of their respective owners and are provided under license.

COTS software licensing will be structured to help confirm the Agency has continuous, lawful use right, and will provide for transferable licensing where permissible by the software publisher. Some licenses may be subscription-based and/or term based. Licensing will comply with publisher terms, federal procurement rules and industry standards. Manufacturer support and maintenance will be maintained for the term of the contract. Pricing will be structured to account for known and anticipated software costs increases.

Last, Optum acknowledges the State's and federal government's audit and access rights with respect to systems, data and documentation used in performance of the contract, including those maintained by subcontractors, for the duration of the contract and applicable record-retention periods. Such access will be provided in a reasonable, secure and controlled manner, limited to contract-related materials and subject to applicable security, confidentiality and third-party provisions, and may be satisfied through read-only access, documentation, data extracts and independent audit reports in lieu of unrestricted system access. Source-code access will be governed by an Escrow Agreement.

Escrow *Section 4.2.2.24*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. Optum provides the State with a mature, operational escrow process that protects continuity of operations, preserves access to critical WV PATH source code and maintenance documentation (build documentation), and supports timely release of escrowed materials if a release condition occurs.

Optum exceeds this requirement by currently completing WV PATH escrow deposits monthly — exceeding the required 60 calendar-day production release timeframe — and will continue these activities while adjusting the process, cadence, documentation and notifications as needed to meet State needs.

- **Escrow arrangement, release rights and operational process:** Optum will maintain a third-party source code escrow arrangement with an Agency-acceptable escrow agent (currently NCC Group Software Resilience (NA) LLC) for all applicable Optum-developed proprietary source code, corrections, enhancements, release materials and build documentation (including maintenance manuals and supporting documentation) required to maintain the WV PATH IES. The escrow agreement will be based on the escrow agent's standard form, subject to reasonable Agency review and approval, and will include release provisions that meet or exceed Section 4.2.2.24. Our escrow process provides a repeatable, auditable approach for deposit preparation and verification, wherein DevOps gathers applicable code and build documentation, prepares or updates

required materials, builds module-specific zip files, creates Deposit Materials Exhibit B forms, uploads materials to the escrow agent, monitors completion and confirms deposit status.

- **Deposit cadence:** Optum currently completes WV PATH escrow deposits monthly, which is more frequent than the 60 calendar-day requirement for new production releases. Optum will continue this monthly operating discipline and will adjust the escrow cadence, process steps, or documentation package as needed to meet State direction, contract requirements and operational needs.
- **Traceable module packaging:** Optum packages deposits by WV PATH module using a defined naming convention by module, month and year. Current module-specific packages include Child Support, Child Welfare, Child Care, Family Assistance, Shared Services, Client Portal, Provider Portal and Reporting, enabling the State, Optum and the escrow agent to verify deposit completeness and release alignment.
- **Maintenance documentation:** Optum places paper copies and electronic copies of the maintenance manuals in escrow monthly. The documentation will be the same documentation made available to Optum maintenance personnel to build the software.
- **Governance and State notification:** When each deposit is complete, DevOps notifies the Optum PMO with the upload completion date, NCC confirmation date, ServiceNow change tickets for code changes since the prior deposit, exhibit documentation for each zip file, and included maintenance documentation. The PMO prepares the document package, ships the required hard-copy maintenance documentation package to NCC, and sends written notification to DoHS confirming deposit completion and providing the applicable documentation and change summary.
- **Ongoing compliance:** Optum will confirm the escrow agent at contract commencement, document the escrow management approach in the Configuration Management Plan, remain responsible for all escrow costs, certify annually that the escrow remains in effect and compliant with the contract, support the Agency's option to continue escrow after contract expiration, and maintain applicable COTS media and future versions in escrow as required.

Enhanced Staffing *Section 4.2.2.25*	Compliant: Yes ☒ No ☐

Optum complies with this mandatory requirement. Optum will comply with the requirement to provide increased staffing as a corrective action where performance standards are not met. Consistent with the State's governance framework, such corrective actions will be initiated through a State-requested and approved Corrective Action Plan (CAP), assuring that any remediation activities, including staffing adjustments, are formally defined, reviewed and authorized prior to implementation.

Optum acknowledges that the Agency may require increased staffing at no additional cost where it determines that requirements, timelines, quality or other standards are not being met. However, Optum will apply such corrective measures specifically to circumstances where performance gaps are attributable to vendor responsibilities.

Through its established performance management, QA and resource management processes, Optum proactively monitors deliverable timeliness, quality and compliance with RFP standards to minimize the need for corrective actions. If performance concerns arise, Optum will collaborate with the Agency to develop and implement targeted corrective actions, such as staffing adjustments, designed to promptly restore compliance while maintaining operational stability and service quality.

Compliance w/ Rehabilitation Act of 1973 *Section 4.2.2.26*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. The WV PATH system was implemented to be fully compliant with the Web Content Accessibility Guidelines (WCAG) 2.1 Level AA and meets all applicable accessibility requirements under Section 508 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794d), and the corresponding technical standards set forth in 36 CFR Part 1194. This compliance has been achieved and sustained through the consistent application of accessibility best practices, continuous testing and proactive remediation integrated into PATH's M&O lifecycle.

As the incumbent vendor, Optum has successfully maintained WCAG 2.1 Level AA compliance across all system enhancements, defect resolution efforts and operational support activities. Accessibility is treated as an ongoing operational responsibility rather than a one-time certification, making sure compliance is continuously upheld as the system evolves.

Optum sustains WCAG 2.1 compliance for WV PATH through a structured and repeatable accessibility governance model integrated into its M&O processes, making sure all system changes are evaluated for accessibility impact, developed in alignment with WCAG 2.1 Level AA and Section 508 standards, and tracked through a formal issue management process where remediation is prioritized by user impact and regulatory risk, documented for audit readiness, and managed within established service levels to embed accessibility into daily operations and maintain compliance over time.

Optum employs a comprehensive accessibility testing and validation strategy designed to support the usability of WV PATH for individuals with disabilities and promote accessibility for all users. Accessibility is considered throughout the enhancement lifecycle, with reviews performed where appropriate during design, development, testing and deployment.

Our user experience specialists are trained in accessibility-first design principles and understand the needs of users with visual, auditory, cognitive and motor impairments. Design practices incorporate appropriate accommodations, including sufficient color contrast, scalable text, full keyboard navigation, logical focus order and compatibility with screen-reader technologies.

Accessibility is a core quality attribute within WV PATH operations and is fully integrated into the Optum M&O framework. This "Accessibility by Design" approach minimizes compliance risk and prevents regression.

Our deep familiarity with the PATH architecture, system modules, portals and diverse user populations enables efficient identification and resolution of accessibility issues without negatively impacting system availability or performance.

Optum exceeds this requirement as we are proactively preparing WV PATH for a future transition to WCAG 2.2. Current preparatory activities include:

- Monitoring federal and industry guidance related to WCAG 2.2 adoption
- Conducting preliminary gap assessments against WCAG 2.2 success criteria
- Identifying system components that may require enhancement to support new or updated requirements
- Incorporating WCAG 2.2 considerations into future enhancement planning and design activities

By integrating WCAG 2.1 accessibility requirements into established M&O practices and proactively preparing for WCAG 2.2, Optum assures the WV PATH system remains accessible,

reliable and compliant. This approach directly supports the Agency's mission to deliver equitable, inclusive public assistance services to all West Virginians.

Data Retention and Accessibility *Section 4.2.2.27*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. We confirm that all WV PATH data is retained, archived and accessible in accordance with State and federal requirements. Data is securely stored, searchable and retrievable for operational, audit, legal and federal reporting purposes throughout its lifecycle.

Preserving real-time access to archived Child Welfare information after FACTS sunsets

DoHS has decommissioned the Families and Children Tracking System (FACTS) infrastructure that supported the legacy Child Welfare and Child Care programs. Given that infrastructure is retired, DoHS must retain real-time access to selected historical Child Welfare information and documents so Child Protective Services (CPS) and Adult Protective Services (APS) personnel can complete background checks and support overrides associated with substantiated abuse or neglect decisions.

Optum developed the FACTS Legacy Data Access solution to preserve these essential business capabilities without retaining the full legacy application. The solution transfers FACTS production transactional data and documents stored in Oracle databases into the Optum Hosted FISMA Environment (OFE) and presents authorized users with a focused set of read-only screens. This approach maintains access to the historical information that workers need while supporting retirement of the aging FACTS infrastructure.

The application concentrates on the records most relevant to CPS and APS activities, including client demographics, referral and case history, maltreatment and assessment findings, court and placement information, and associated documents. Search results allow workers to identify the correct client record, while the Client Demo "Show All" view consolidates information from multiple tabs into a single, navigable screen. Read-only presentation protects the integrity of archived records while role-based administration supports controlled access to restricted and sensitive information.

The solution was built with Oracle Application Express (APEX), which was already integrated with Oracle; no separate APEX license was required. Access from the WV PATH Social Services Desktop gives users a direct path to FACTS Legacy, as part of Single Sign On (SSO) Capability, within the operating environment they already use. Optum also delivered separate training decks for workers and administrators, covering navigation, client search, legacy record review, user administration, role management, and page security.

FACTS Legacy Data Access satisfies West Virginia's post-sunset requirement by combining secure hosting, focused functionality, real-time availability, and familiar user experience. The result is a cost-conscious, sustainable bridge between legacy information and modern WV PATH operations, preserving institutional data while reducing dependence on the retired FACTS platform.

Selected views from the FACTS Legacy training materials illustrate the streamlined path from WV PATH to archived client information.

Figure 35: Accessing FACTS Legacy from WV PATH.

Authorized workers select the FACTS Legacy link from the WV PATH Social Services Desktop.

Figure 36: Client Search Results.

Search criteria and results appear together, supporting rapid identification of the appropriate archived client record.

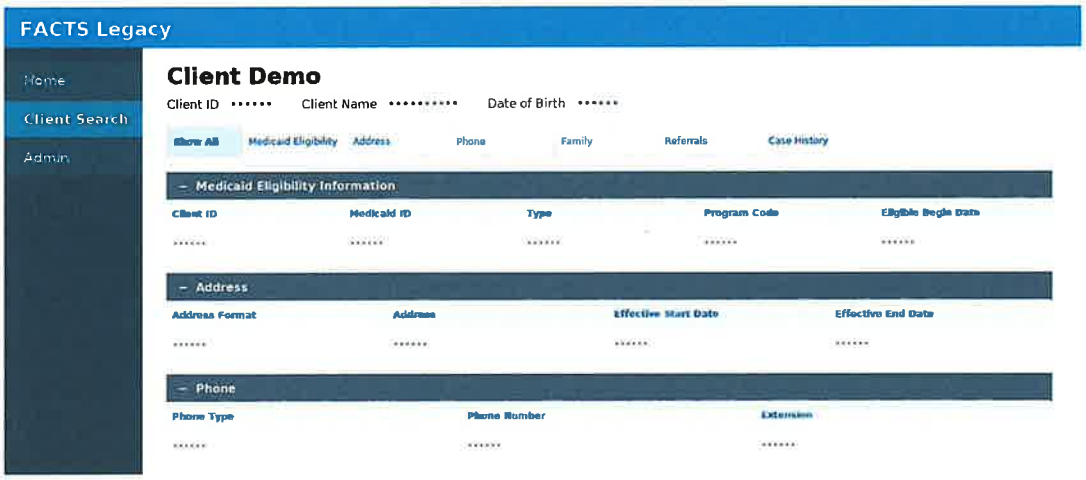

Figure 37: Client Demo Screen: Show All Tab.

The Show All view consolidates information from the client tabs into expandable sections for efficient review.

Optum exceeds where consolidation and improved self-service are possible, we will partner with the State through WV PATH maintenance and operations to align reporting with your EDS.

Vendor Staff Approval and Removal *Section 4.2.2.28*	Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. Optum will comply with the Agency's authority to approve all Key Staff and project personnel assigned to the WV PATH Project. Optum acknowledges that all Key Staff appointments and any subsequent changes will be subject to Agency review and approval prior to assignment.

Optum further recognizes the Agency's right to reject any proposed or assigned staff and, if directed, will promptly remove such personnel from the project. In accordance with RFP requirements, any replacement personnel will possess qualifications and experience equal to or greater than those required for the role and will be submitted to the Agency for review and approval prior to assignment.

Optum will manage all staffing changes through its established Key Staff change process, which is aligned with RFP requirements and designed to facilitate transparency, continuity and minimal disruption. This process includes advance notification to the Agency, submission of justification for the change, provision of candidate resumes, and delivery of a transition plan to support knowledge transfer and operational continuity.

Consistent with this disciplined approach, Optum will make replacement candidates available for Agency review and approval as needed. All staffing transitions are carefully managed to maintain service quality and contractual compliance.

Key Staff On-Site Requirements *Section 4.2.2.29*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. Optum understands that Key Staff must be dedicated full-time to the project, with each role filled by a single individual and not shared or combined across multiple resources.

Optum will maintain that Key Staff are available to be on-site at our Charleston, WV location, as requested by the Agency, up to 50% of the time with at least one week's advance notice. Optum acknowledges that on-site presence will occur during standard business hours and that travel time is excluded from on-site requirements.

Optum exceeds this requirement by having a local office in Charleston that is already established and by having several key and non-key staff located in West Virginia.

Optum will also maintain that all Key Staff are onboarded and actively supporting the project within 30 calendar days of contract award and that all work performed under this contract is conducted within the U.S.

Through its established staffing and resource management processes, Optum will maintain dedicated, qualified Key Staff who are fully aligned to meet these requirements while assuring continuity of operations and responsiveness to Agency needs.

Remote Optum workers access enterprise resources exclusively through approved VPN solutions that enforce encrypted communications and route all traffic through enterprise-controlled infrastructure. Access is restricted to enterprise-owned, managed devices that meet baseline security requirements, including active firewall, endpoint protection and current patch levels.

Strong authentication is enforced via multi-factor authentication, unique user credentials and role-based access controls aligned with least privilege. Remote sessions are protected through end-to-end encryption, session timeout and termination controls and secure reconnection mechanisms.

Network-level protections include firewalls, segmentation and restricted administrative pathways, while centralized logging, monitoring and alerting provide continuous oversight of all remote access activity.

Connectivity is restricted to VPN or internal network paths with no direct external access to sensitive environments.

Access to Optum Digital Infrastructure for Government (ODI-Gov) can only be accessed once a remote worker is connected to the Optum network.

A separate identity management platform is used to control access and privileges in the ODI-Gov environment, providing access to only those with a business justification and approvals and limited to employees in the continental U.S.

All infrastructure administrators must log into their Optum-issued workstations with corporate network credentials and launch a Secure Access Workbench (SAW) virtual remote desktop session using ODI-Gov GSS network credentials. Administrators retrieve secondary credentials from the ODI-Gov GSS Password Vault. RSA tokens are used with ODI-Gov unique credentials for additional factor for secure access.

Access is strictly regulated based on organizational roles, with privileged access restricted to authorized individuals only. Access Groups serve a single purpose and cannot grant access to non-privileged resources.

Optum policy prohibits the use of shared or personal devices for accessing enterprise infrastructure in practice and control enforcement. Remote access is restricted to UnitedHealth Group-owned, managed and approved devices, and the use of unauthorized or personal devices is explicitly disallowed under remote access security standards.

Viewing Human Services Program Info *Section 4.2.2.30*	Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. Optum provides authorized users with role-based access to comprehensive human services program information within WV PATH. Users can securely view case, participant, eligibility, services and financial data across supported programs through a unified interface as defined by the assigned role-based security. Vendor staff will not have the capability to view their own human services program case information.

HIPAA Compliance Officer *Section 4.2.2.31*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. Optum designates Tracy L. Ewing as our HIPAA compliance officer. She provides line of business privacy support to Optum Serve and Optum State Government Solutions and brings more than 18 years of privacy expertise across legal and investigative roles at Optum and UnitedHealthcare.

Tracy Ewing, a Certified Information Privacy Professional, will stay up to date with federal and State HIPAA regulations and monitor ongoing compliance with evolving regulations.

Optum exceeds: Tracy will work collaboratively with our Security Manager Colleen Katz and our Legal, Compliance and Regulatory Affairs (LCRA) for a comprehensive approach to security. The LCRA organization serves as the centralized compliance and legal backbone for Optum. Tracy and Colleen are members of the LCRA which makes sure that privacy oversight is not dependent on a single individual, but instead supported by a robust, multidisciplinary team of certified professionals with deep expertise across healthcare, government and payer domains. The model provides continuity, depth and scalability of expertise. Please refer to Staffing Structure Section 4.3.1.4 for Tracy's biography.

Publication and Copyright of State Data *Section 4.2.2.32* Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. Optum agrees not to publish or copyright any data using the Agency's name without prior written approval by the Agency for every instance.

Equal Employment Opportunity, Clean Air Act, and Clean Water Act *Section 4.2.2.33* Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement.

Drug Free Workplace Act of 1988 *Section 4.2.2.34* Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement.

Responsibility for Conduct of Subcontractors *Section 4.2.2.35* Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. Optum will accept financial, legal, ethical, data security and all other forms of responsibility for the conduct of all Optum contracted business partners, independent contractors, subcontractors and other entities under contract that are supporting or working with Optum on the project.

Responsibility for PATH Programs *Section 4.2.2.36* Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. Optum assumes operational responsibility for all PATH programs within the defined scope, including system performance, maintenance, enhancements and compliance. Accountability is managed through a unified governance and delivery model aligned to State priorities.

Software and Hardware Licensing Costs *Section 4.2.2.37* Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. All software and hardware licensing costs required to operate the solution are fully disclosed and included in the proposed pricing. No additional or undisclosed licensing fees are required for continued operation or compliance.

Corrective Action Plans *Section 4.2.2.38* Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. In the event that an SLA or KPI is not met, Optum will document and communicate findings through a formal Corrective Action Plan (CAP). The CAP will be submitted in writing no later than 10 business days following a request from OMIS, with any extensions granted only on a case-by-case basis.

Each CAP will include a detailed description of the unmet KPI, a comprehensive analysis of the issue and its root cause, an assessment of associated risks, and a summary of the resolution, including any interim or unsuccessful remediation efforts. The CAP will also define the proposed corrective actions and preventative measures to maintain sustained compliance and prevent recurrence.

Corrective actions are validated upon completion to confirm that the issue is resolved and that controls are strengthened to prevent recurrence. Supporting evidence is maintained for audit and compliance purposes. CAPs are formally closed once all actions are completed, verified and approved by the appropriate authority.

Optum acknowledges that implementation of any corrective actions will occur only after formal review and approval of the CAP by OMIS.

Optum will provide weekly status reports to OMIS on all approved CAPs until the KPI returns to compliance and OMIS confirms closure. Reports will summarize corrective action status,

completed activities, issues or delays, updated timelines, and any identified risks. If revisions to the CAP are required, Optum will submit an updated CAP within five (5) business days of OMIS's request for review and approval.

Cost of Maintaining Access to State Systems *Section 4.2.2.39*	Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. Optum provides continuous State access to WV PATH without additional charges beyond the proposed costs.

Cost of Access to Vendor Solution *Section 4.2.2.40*	Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. All costs associated with State access to the solution are clearly defined and fully included in the pricing submission. No user-based or administrative access fees are required beyond the proposed costs.

FedRAMP Certification *Section 4.2.2.41*	Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. Our proposed cloud-based solution utilizes AWS services that are FedRAMP-authorized at the Moderate impact level and will maintain FedRAMP authorization for the life of the contract. By leveraging proven, federally authorized cloud services, WV benefits from a secure, compliant and scalable platform that supports PATH modernization while reducing cybersecurity and operational risk. Furthermore, we understand it is our responsibility to clearly define the authorization boundary and identify which controls are inherited from the Cloud Service Provider (CSP), which controls are a shared responsibility with the CSP, Optum or State, and which controls are solely owned by Optum or the State. The ownership of the controls will be clearly defined in the SSPP and tracked in a requirements traceability matrix (RTM) for implementation purposes. Per FedRAMP authorization requirements the CSP must define and document which security controls they have implemented, and which controls are shared or owned by the tenant. This information is available in the CSP's authorization package, as well as all other information and evidence demonstrating alignment and compliance with FedRAMP requirements.

Optum assures that all cloud services within the PATH solution remain deployed within approved FedRAMP-authorized environments and operated within their authorized scope. We continuously monitor service authorization status, security requirements and compliance obligations to maintain alignment with applicable federal and State policies throughout the contract term.

Our established cloud governance, security monitoring and change management processes make sure any required evaluation of all architectural modifications are evaluated prior to implementation for continued FedRAMP compliance before implementation. Should the authorization status of any service change, Optum will proactively identify compliant alternatives, coordinate with the State, and execute transition activities in a manner that preserves security, operational continuity and regulatory compliance.

Documentation supporting FedRAMP authorization, security controls and compliance status will be available to the State upon request, providing ongoing transparency and audit readiness.

This approach provides WV with a secure and resilient cloud foundation that supports long-term modernization goals while minimizing compliance risk, strengthening cybersecurity protections, and assuring uninterrupted delivery of critical PATH services. By combining AWS FedRAMP-authorized services with our proven operational experience and governance processes, the State gains confidence that its cloud environment will remain compliant, stable and adaptable throughout the life of the contract.

Responsibility for Ongoing Security Monitoring *Section 4.2.2.42*	Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. Optum confirms and understands it is fully responsible for ongoing security monitoring of the WV PATH solution for the life of the contract, independent of any other audits and inspections. Monitoring is performed using enterprise-standard tooling and defined operating procedures to facilitate timely detection, analysis, response and reporting of security-relevant events affecting the solution.

Our ongoing security monitoring for WV PATH is delivered through 24/7/365 SOC and ESRO oversight. This capability includes centralized logging and alerting, continuous security event monitoring, recurring vulnerability scanning, endpoint protection and integrity monitoring, and standardized incident data collection, response and reporting, using a FedRAMP authorized incident management platform. These monitoring activities are in addition to external audits and assessments. Our monitoring activities align with CMS ARC AMPE and NIST SP 800 53 continuous monitoring expectations, including controls related to Security Assessment and Authorization (CA) and System and Information Integrity (SI). The results of our monitoring activities provide ongoing visibility into the security posture of the solution

In addition, Optum maintains formal processes to track and remediate identified risks and vulnerabilities using the current CMS Plans of Action and Milestones (POA&Ms) template, which supports timely execution of corrective actions.

Alignment of Proposed Project Schedule and RFP Cost Sheet *Section 4.2.2.43*	Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. The project schedule and cost sheet are fully aligned, with traceability between deliverables, milestones, and associated costs. This assures feasibility, accountability and financial accuracy throughout execution.

Third Party Audit *Section 4.2.2.44*	Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. Optum provides the Agency with access to applicable third-party audit results for the WV PATH M&O information system, including audits of Optum-hosted environments and supporting services. These artifacts are maintained as part of our established governance, risk management and compliance processes and are made available to support Agency oversight and audit activities.

For example, in 2025, Optum provided the WV Office of Shared Administration (OSA) Compliance team with the results of a third-party audit of the Optum Digital Infrastructure for Government (ODI-Gov) General Support System (GSS). The resulting Security Assessment Report (SAR) provided the Agency with a clear and transparent view of the security posture of the environment and the controls implemented to protect Agency data.

In addition, for third-party cloud service providers supporting the solution, Optum obtains relevant audit and assessment artifacts as part of its third-party risk management program. This includes SOC 2 reports and FedRAMP authorization documentation for AWS-hosted components, which will be provided to the Agency as applicable to the PATH solution. The Optum third-party risk management approach includes initial and periodic assessment of service providers to validate the presence and effectiveness of security controls aligned to contractual and regulatory requirements.

Modification and Enhancements Hours Pool *Section 4.2.2.45*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. Optum will comply with all requirements related to modification and enhancement activities, performing all work in accordance with the approved Change Management Plan. Optum brings an established and

mature change management and governance framework that is already aligned with the State's processes for prioritization, approval and execution of modifications and enhancements.

Optum exceeds because of this continuity, which means the Agency realizes disciplined stewardship of the 180,000-hour annual pool from the first day of the contract term, with no ramp-up period and no learning curve on WV PATH's programs, business rules or release rhythms.

Optum understands that the Agency anticipates utilizing a pool of up to 180,000 hours annually for modification and enhancement activities, with usage based solely on Agency discretion, that usage is at the Agency's sole discretion, and that the estimate is not a guarantee. Optum assures that only Agency-approved activities are performed and invoiced against this pool, and that all work is formally initiated, tracked and governed through the established change management process. No hours will be invoiced without prior Agency approval.

Governing the pool as capacity, not a single bucket

A pool of this scale — roughly the equivalent of 100 full-time resources — is managed most effectively as governed capacity rather than an undifferentiated bank of hours. Optum proposes to organize the annual pool into planned allocations that make trade-offs visible and protect strategic work. The framework below is illustrative of our recommended starting structure; specific allocation targets would be confirmed jointly with the Agency through the annual planning cycle.

- **Operational modifications reserve:** Recurring business-as-usual and business-rule changes arising from normal WV PATH operations; forecastable steady-state demand.
- **Regulatory and compliance reserve:** State and federally driven changes that draw on the pool. Modifications required to comply with federally mandated requirements, and all mandatory requirements, are implemented at no additional cost to the Agency and fall outside the billable pool.
- **Strategic enhancement allocation:** The protected tranche reserved for Agency strategic objectives, new program implementations, and business capability maturity. This directly addresses the Agency's requirement that programs focused on efficiency, usability, and operational maturity not be deprioritized by regulatory changes.
- **Contingency reserve:** Capacity held for urgent, unplanned items, so that unforeseen work draws from contingency rather than silently eroding the strategic allocation.

The governing rule is what makes this framework meaningful: the strategic enhancement allocation carries a recommended protected floor of 20% of annual capacity, based upon historical consumption of enhancement pool hours. If mandatory or regulatory demand exceeds its reserve during the year, the resulting trade-off is surfaced to the Agency explicitly — the Agency decides whether to draw contingency, reprioritize or defer strategic work. That decision is never made by default at the strategic tranche's expense. This is how Optum operationalizes the Agency's intent that non-mandated improvements be given equitable, protected consideration alongside compliance work.

Operational discipline for efficient utilization

Optum manages the pool through 3 connected mechanisms.

- First, a standardized intake and sizing discipline: every candidate change is captured through formal change request, estimated using a consistent methodology, and ranked

in a maintained backlog so that the Agency compares like against like when setting priorities.

- Second, an annual planning cycle that sets allocation targets across the tranches above and is executed through the Agency's release-based intake, allowing hours to be scheduled by release or planning cycle as the requirement provides.
- Third, a monthly pool burn-down and forecast report that shows hours consumed by tranche, remaining capacity and projected year-end position. This report gives the Agency continuous line of sight into utilization and is the instrument by which efficient use of the pool is measured rather than merely asserted.

Because the pool is an estimate that may or may not be fully used, and because unused hours do not carry over, efficient stewardship works in both directions — avoiding waste and avoiding under-utilization or a rushed year-end compression of high-value work. Optum will work with the Agency early in each cycle to fill capacity with high-value initiatives and to manage year-end burn deliberately. Optum applies the same forecasting discipline to the separate direct-cost pool capped at $400,000 per year: because it resets annually with no carryover, Optum will plan and steward eligible direct costs through the change management process so that legitimate needs are anticipated rather than lost.

Delivering more value per approved hour

Optum exceeds because our approach is designed to increase the value delivered per hour drawn from the pool. Optum favors configuration over custom development wherever it meets the requirement, reuses proven components and standardized change-request templates to reduce estimation and administrative overhead, and applies automated regression and testing to reduce rework. AI-assisted development and testing further raise throughput that turn projected efficiency gains into real capacity for the Agency's priorities.

Quality, accountability and no-cost obligations

Optum acknowledges and will incorporate the required contractual controls into all change-related documentation, including the 10% retainage on each approved change request, released only upon successful delivery and Agency acceptance. Optum is confident in accepting these terms because of the quality controls that stand behind them: clear definition-of-done and acceptance criteria agreed at the CR level, and staged delivery that surfaces issues early. These same controls are why vendor-fault delay and rework should be rare. Where a delay is found to be the fault of Optum, Optum will comply with the daily penalty of 0.5% of CR value per business day, up to the 10% maximum.

Optum exceeds by performing any rework required due to Optum error, incomplete work or non-compliance with functional specifications will be completed at no additional cost to the Agency. Consistent with the Agency's definition, the resolution of system defects attributable to Optum performance is our responsibility, handled outside the modification and enhancement pool, and is performed at no cost to the State.

All personnel supporting modification and enhancement activities will be submitted for Agency approval prior to assignment, consistent with the Agency's approval rights over project personnel.

Approved work is performed at Optum all-inclusive hourly rates proposed in RFP Attachment B: Cost Sheet, and eligible direct costs are managed within the separate annual pool, subject to Agency approval through the same change management process.

By leveraging our incumbent experience, mature governance and proven prioritization processes with the State, Optum will deliver modification and enhancement activities in a disciplined, transparent and collaborative manner that aligns with Agency priorities, regulatory requirements and program objectives and that gives the Agency measurable control over how the pool is spent.

WV Office of Shared Administration (OSA) OMIS Vendor Employee Confidentiality Statement (VECS) *Section 4.2.2.46* Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. Optum will comply with the requirement that all project staff review and sign the WV Office of Shared Administration (OSA) OMIS Vendor Employee Confidentiality Statement (VECS) prior to beginning work on the project.

Optum has an established onboarding process for the WV PATH project that incorporates all required State compliance and security obligations, including completion and verification of VECS documentation before any staff member is granted access to systems or permitted to perform project work. This process is embedded within our standard staffing and onboarding procedures and is consistently applied to all Key Staff, support staff and subcontractor personnel.

As part of onboarding, Optum verifies that all required documentation is signed, validated and tracked to confirm compliance prior to assignment. This includes coordinating with State processes as needed to confirm proper submission of VECS documentation.

Through this structured and controlled onboarding approach, Optum confirms full compliance with State requirements, protects sensitive information and maintains a secure, audit-ready environment from the outset of all project activities.

Support for ACF Biennial Data Quality Reviews Required *Section 4.2.2.47* Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. Optum supports the WV DoHS in completing the Biennial Data Quality Review required by ACF under 45 CFR §1355.52(d)(3) by providing data analysis, reporting, documentation and system expertise to evaluate CCWIS data quality, identify opportunities for improvement, and document the effectiveness of data quality initiatives. Optum collaborates with the State to assess data accuracy, completeness, timeliness and consistency; analyze the root causes of data quality issues; and document corrective actions and outcomes for inclusion in the Biennial Data Quality Review and Data Quality Plan.

Examples of this support include analyzing duplicate person records and monitoring progress of PATH person merge enhancements, evaluating State ward conversion and provider record conversion issues, assessing Medicaid eligibility data quality concerns, reviewing AFCARS reporting data for completeness and consistency, documenting corrective actions and system enhancements, and producing reports that measure data quality performance over time. Optum also assists the State in documenting findings, root cause analyses, remediation activities and outcomes from prior data quality improvement efforts to support the Biennial Data Quality Review and ongoing Data Quality Plan updates. These activities align with the review of post conversion data quality issues, remediation efforts and continuous improvement initiatives identified in WV's CCWIS Data Quality Plan process.

To demonstrate the impact of these activities, Optum supports the State in tracking and reporting data quality metrics such as reductions in duplicate person records, decreases in AFCARS data submission errors, improvements in required field completion rates, increased accuracy of provider and eligibility records, improved timeliness of case documentation, and reductions in the volume of data exceptions requiring manual correction. Optum also assists

with measuring the effectiveness of implemented corrective actions by comparing current data quality results to prior review periods and documenting trends that demonstrate continuous data quality improvement. These activities provide the State with objective evidence of data quality performance and support compliance with the biennial review requirements established in 45 CFR §1355.52(d)(3).

Technical Support *Section 4.2.2.48*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. Optum will support issue resolution for the WV PATH system through a mature, ITIL-based incident and service request management approach that has been successfully implemented across State eligibility, data and analytics platforms.

We understand that the State Help Desk serves as the first point of contact for the PATH system, maintaining responsibility for user intake, initial troubleshooting, triage and ticket management. As part of this coordinated support model, the State Help Desk logs and assigns incidents and service requests to Optum for technical support and resolution.

Upon assignment, Optum assumes responsibility for incident management, executing a structured, ITIL-aligned process that includes technical investigation, troubleshooting and resolution of system-level issues. Optum provides clear technical leadership during the incident lifecycle, while the State retains ownership of user communications and overall ticket governance.

The Optum incident management approach is focused on rapid service restoration and minimizing business impact. For high-severity incidents, Optum initiates an immediate, cross-functional response, activates a technical bridge (war room), and engages its Technical Command Center to coordinate resolution activities.

We will proactively monitor the health of the PATH solution within our operational scope and coordinate with the State as appropriate to help prevent incidents. Our eyes-on-glass monitoring approach helps reduce the duration of system impacts when events occur. Our objectives are to:

- Provide a user-centric experience
- Restore normal service levels as quickly as possible
- Minimize adverse impacts on users
- Maintain agreed service quality levels

Optum exceeds because as the incumbent, we understand the State's requirements and differentiate ourselves by tailoring our technical support model for your unique needs. Optum brings an operationally ready support model that aligns with the existing environment and can continue to support the State without disruption.

COTS Waiver Documentation *Section 4.2.2.49*	Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. Optum agrees that, should any Commercial Off-the-Shelf (COTS) components be proposed or implemented as part of the solution, Optum will develop all documentation necessary to support the State's receipt of applicable federal match funding.

Upon request by the State, Optum will provide documentation aligned with federal requirements to support funding justification, certification and audit activities. Our established documentation and compliance practices validate that required artifacts are prepared in accordance with

federal standards, enabling the State to secure and maintain eligible federal financial participation.

Audit Compliance Support and Deliverables *Section 4.2.2.50*	Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. Optum provides audit compliance support services and associated deliverables as documented in the WV PATH System Security and Privacy Plan (SSPP), which is based on the CMS ARC AMPE framework and applicable NIST SP 800 53 Rev. 5 requirements. Optum has established and maintained a comprehensive compliance program supporting PATH, including documented processes, artifacts and reporting practices that support ongoing State and federal audit activities, independent assessments and regulatory reviews.

Optum maintains and updates documentation and reporting necessary to support regulatory and State security compliance auditing, including an ARC AMPE and NIST SP 800 53 control responsibility matrix. This matrix identifies implementation responsibility for each applicable control requirement (vendor, State, or shared) and includes control identifiers, control names, requirement statements, implementation status and implementation descriptions for each responsible party. This documentation is actively maintained as part of ongoing program operations and supports transparency, traceability and alignment with applicable regulatory frameworks.

Optum develops, maintains and updates Plans of Action and Milestones (POA&M) for identified control deficiencies resulting from internal reviews, continuous monitoring activities, independent assessments and external audits. POA&M entries include detailed descriptions of the deficiency, associated risk and impact, interim mitigation strategies, remediation activities, responsible parties, target completion dates and ongoing status updates through closure. These activities are integrated with established State quality and compliance processes and reflect ongoing operational use of POA&M tracking within the PATH program. We will continue to provide updated monthly POA&M reports utilizing the CMS POA&M template. The information included in the template will be the current status of each deficiency, actions completed during the reporting period, planned actions for the upcoming period, updated timelines, and any risks or obstacles to remediation.

Optum supports independent review activities to validate the implementation and effectiveness of security controls and monitoring functions. Identified gaps are managed through established governance processes and tracked to closure through the POA&M lifecycle, supporting continuous improvement and sustained compliance.

Optum maintains audit documentation and records within secure enterprise repositories that support controlled access, retention and retrieval. These repositories are currently in use for PATH compliance documentation and audit support. In accordance with applicable requirements of 2 CFR 200 and 2 CFR 300, including 2 CFR 200.337 – Access to Records, Optum provides timely and reasonable access to records, documents and related materials to authorized representatives for audit, examination and compliance review purposes.

Optum will continue providing compliance support services, including ongoing maintenance of ARC AMPE/NIST-aligned control responsibility documentation, active POA&M management for identified deficiencies, continuous support for audit and assessment activities, and secure retention and access to audit records in accordance with federal and State requirements.

Optum will provide monthly progress reports to the State for all open corrective actions, audit findings, and security control deficiencies until remediation is complete and verified. Reports will summarize status, completed and planned remediation activities, updated timelines, and any risks or impediments. Optum will maintain and update the Plan of Action and Milestones

(POA&M) monthly, or as directed by the State, to maintain accurate tracking and reporting of remediation activities.

Intangible Property Federal Royalty-Free Rights to Use Software or Documents Developed *Section 4.2.2.51*	Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. To the extent deliverables are developed with federal funding, the Federal Government shall receive a royalty-free, non-exclusive and irrevocable license to use such deliverables for Federal Government purposes.

Vendor retains ownership of all intellectual property, including pre-existing and independently developed materials. Government license rights extend only to federally funded deliverables and do not transfer ownership of vendor or third-party IP.

WV Federally Facilitated Marketplace (FFM) and Federal Data Services Hub (FDSH) *Section 4.2.2.52*	Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. Optum will comply with all required onboarding, testing, recertification, security, and performance standards for FFM and FDSH connectivity and will maintain the necessary controls and processes to maintain continued compliance throughout the engagement.

The solution is compliant with Section 4.2.2.52. The WV PATH system interfaces with the Federally Facilitated Marketplace (FFM) and the Federal Data Services Hub (FDSH) to process Account Transfers and perform required federal data validations. This capability is implemented, operational, and routinely used in the production environment as part of the eligibility and enrollment workflow, assuring continuity and reduced risk to the State.

The PATH system generates and processes Account Transfer payloads to create or update cases. Both outbound (WV PATH → FFM), triggered by eligibility outcomes, and inbound (FFM → WV PATH), initiated by client applications, use the FDSH Account Transfer service (RX15). Acknowledgments and status updates are processed in real time and tracked through completion and reconciliation.

The PATH system uses FDSH services for real-time eligibility verification, including SSA Composite (RJ03), Verify Current Income (RJ138), and Annual Household Income and Family Size (RJ09). Verify Lawful Presence is supported through multi-step processing (RX142.1, RX142.2, RX142.3), with responses incorporated directly into eligibility determinations. The Minimum Essential Coverage (MEC) service (RJ31) is hosted by WV PATH and consumed by the FFM to verify current Medicaid/CHIP coverage and determine eligibility for Former Foster Care individuals through integration with PATH Child Welfare application.

The system uses the FDSH Renewal and Redetermination Verification (RRV) service as part of monthly ex parte batch processing. RRV results are applied to active cases to support automated renewals and eligibility verification for Medicaid and CHIP in accordance with federal requirements.

Operational controls monitor inbound and outbound transactions, acknowledgments and status updates, with reconciliation of sent, received and completed transactions to verify completeness. Error handling detects failed transmissions, missing acknowledgments and validation issues, with transaction-level logging and defined reprocessing procedures.

All Account Transfer and FDSH validation activities are auditable. The system maintains detailed transaction logs, timestamps and status histories to support reporting, reconciliation and compliance with CMS, FFM and FDSH requirements.

Federal CCWIS *Section 4.2.2.53*	Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. PATH meets CCWIS compliance regulations and achieving CCWIS compliance is currently underway for DoHS. Achieving CCWIS compliance includes assessing 3 core categories.

- The first category assesses whether the State's chosen solution meets mandated requirements as defined in federal legislation.
- The second category assesses how PATH supports DoHS business practices to serve children and families.
- The third category assesses usability and how the workforce uses PATH to complete work processes.

Assessing all 3 categories to determine how each work comprehensively together is the primary goal to achieve CCWIS compliance.

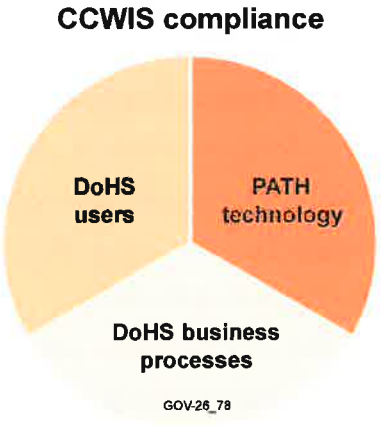

Figure 38: CCWIS core compliance categories

Optum understood that achieving CCWIS compliance as quickly as possible was a mission critical goal for DoHS and was an important factor in Optum selecting the CGI CCWIS solution for PATH CW. Starting with a mature, proven, functionally rich CCWIS compliant solution implemented in several other states best positioned DoHS to achieve CCWIS compliance for WV, quickly meeting the first category. Our Day One implementation of PATH sets us apart from other CCWIS vendors who may have won the CCWIS DDI implementation but were not successful in delivering. PATH CW integrated core modular functions of Intake, Case, Person, Providers, Financials, Eligibility, Staff and Reporting that support DoHS child welfare practices from intake to case closure. Additionally, PATH CW includes mandated CCWIS interfaces, integrates complex payment, fund source allocation, cost center designation and eligibility determination that increases DoHS opportunity to maximize federal reimbursements for foster care expenditures. PATH CW has continued to be enhanced as DoHS legislation and business practice changes.

Implementing PATH CW in a single-phase rollout to serve as the CCWIS system of record supporting intake through case closure allowed DoHS to begin the journey of achieving CCWIS compliance within 12 months post go-live.

Optum has partnered with DoHS to complete 2 CCWIS technical reviews to assess CCWIS compliance. Optum supported DoHS to complete the CCWIS Self-Assessment Tool(s), prepare for the solution demonstration, assured that project documentation met CCWIS compliance standards, and responded to PATH technical and project related questions as needed. Upon receipt of the ACF Technical Guidance and Review Report, Optum worked collaboratively with DoHS to define the needed corrective action tasks, complete remediation as prioritized, create SOWs for enhanced functions, and continuously monitor CCWIS compliance as maintenance related changes are promoted. PATH CW's integrated modular functionality complies with CCWIS CFR 1355.XX in the following areas:

PATH CW CCWIS compliance

CCWIS requirement	PATH compliance
Efficient, Economical, and Effective Requirement.	✔
Capture and Produce Federal Report(s) Data	✔
IVE Eligibility Determinations, Service Authorizations, and Expenditures	✔
Generate State Operational Reports	✔
No Default Data	✔
Meets CWCA Requirements	✔
Automated Functions Have a Modular Design	✔
Mandatory Data Exchanges	✔

CCWIS compliance will be achieved during this contract period. As the activities required to achieve compliance shifts from the first category of how PATH CW meets CCWIS compliance to the second and third categories of streamlining system processes with practice delivery methods and increasing casework efficiencies to improve user experiences. PATH CW modernization and the CCWIS journey progresses to focus on fine tuning PATH CW with DoHS business practices, creating casework efficiencies and improving data quality that results in improved outcomes, requires an experienced partner. Optum is that partner. We understand the current DoHS challenges to achieve CCWIS compliance and have worked in partnership with DoHS to define and execute the plan of action for success. We are committed to continuing our collaboration in the following:

CCWIS compliance recommendations

CCWIS compliance recommendation	Action to achieve CCWIS compliance
Increase data quality to promote timely and accurate documentation. *45 CFR 1355.52(d)(2)(iv)* *45 CFR 1355.52(d)(1)(ii)* *45 CFR 1355.52(d)(2)(ii)* *45 CFR 1355.52(d)(1)(ii)*	• Implement enhanced PATH CW Person Merge functionality to support easier identification of duplicates, merge duplicates and support unmerge functionality. • Collaboratively work with DoHS to develop a data clean-up strategy that includes manual caseworker tasks and data correction queries to improve data quality. • Identify PATH CW casework activities where improved edits, validations, system notifications and alerts improve timely actions and data quality.
Implement Business Rule Engine (BRE) for compliance with modular design requirements. *45 CFR 1355.53 (a)(1)* *45 CFR 1355.53(a)(3)*	• Implement the IBM Operational Decision Manager (ODM) BRE to support PATH CW business rules. • Implement ODM BRE in PATH CW Eligibility module to determine if the judicial determination (court order) regarding "contrary to the welfare" and "reasonable efforts" (REAP) rules have been met. • During maintenance and future enhancement activities, identify new business rules that would be appropriate for ODB BRE implementation. Use the PATH Governance Model as described in Exhibit 1 – PMP to determine appropriate rules for the BRE, maintenance of rules and rule retirement.

CCWIS compliance recommendation	Action to achieve CCWIS compliance
Improve AFCARS Reporting *45 CFR 1355.52(b)(1)(i)*	• Consistently monitor AFCARS reporting data to early identify data inconsistencies resulting in non-compliance thresholds. • Implement file reporting error corrections to increase file submission compliance rates. • Implement data quality reviews for cross period consistency checks to monitor longitudinal data compliance.
Increasing casework efficiencies, streamlining workflows, and improving usage for PATH CW users.	• Consistently provide DoHS recommendations that identify PATH CW functional changes that improve user experiences to complete work. • Partner with DoHS to implement annual user feedback surveys or townhall sessions to obtain feedback and define appropriate remediation recommendations. • Provide DoHS user training, user working sessions and organizational change recommendations that facilitate efficient casework practices in PATH CW.
Document management	• Assess current document management technical and functional capabilities, security, and maintenance. • Identify specific gaps required to achieve CCWIS compliance. • Implement identified improvements on the publication, storage, and retrieval of documents in the centralized storage solution.

Achieving CCWIS compliance requires collaboration and consistently resolving PATH CW, business process and workforce challenges with CCWIS compliance as a priority. Keeping CCWIS compliance in the forethought and not as an afterthought in daily project activities is imperative to achieving compliance. Our PATH CW Line of Business Manager Jana Patchen and CW Child Welfare SME, Nicole Fuller will serve as your trusted CCWIS advisor will provide CCWIS expertise, execute corrective action activities, provide technical, process and workforce change management recommendations to achieve CCWIS compliance.

Nichole Fuller, MS, is a Certified Public Manager, bringing 20 years of experience in child welfare and humans services projects, including 15 years as CCWIS expert. Nicole will use her federal CCWIS experience to provide internal CCWIS oversight to the PATH CW Team as we complete maintenance, operations, and continue to modernize PATH CW with future enhancements.

2 CFR Part 200

Optum complies with and **exceeds this mandatory requirement**. Optum accepts and will comply that subcontractors are in compliance with 2 CFR Part 200 – Uniform Administration Requirements, Cost Principals, and Audit Requirements for Federal Awards, and Appendix II to Part 200 – Contract Provisions for Non-Federal Entity Contracts Under Federal Awards.

Optum exceeds this requirement by flowing down necessary compliance terms in our teaming agreements and subcontracts.

Applicable Regulatory Requirements

Optum confirms full compliance with this mandatory requirement. Optum accepts and will comply and contractually flow down requirements to confirm that its subcontractors meet all applicable regulatory requirements, including, but not limited to: 2 CFR 200.216-Prohibition on certain

telecommunications and video surveillance equipment or services, 2 CFR 200.317-Procurements by States and Indian Tribes, 2 CFR 200.321-Contracting with small businesses, minority businesses, women's business enterprises, veteran-owned businesses, and labor surplus area firms.

Applicable Federal Rules and Regulations

Optum confirms full compliance with this mandatory requirement. Optum accepts and will meet all applicable federal rules and regulations detailed within this section, in accordance with the CCWIS Business and Technical Specifications listed in Appendix VI and the Operations Specifications in Appendix VII, to verify the system achieves full CCWIS compliance status as determined by ACF.

System Maintenance *Section 4.2.2.54*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. Optum provides end-to-end system maintenance for WV PATH, including corrective, adaptive and preventive maintenance. Maintenance and Operations activities preserve system stability, security and performance while supporting incremental modernization. We provide more details on our Maintenance and Operations approach in Goal 2.

As the incumbent Maintenance and Operations provider for WV PATH, Optum understands that effective M&O is not only about keeping the system available. It is about helping West Virginia operate a complex, federally regulated human services platform every day while also supporting policy changes, operational improvements, change requests, enhancements, and new priorities.

Optum brings this approach to an operating environment we know firsthand. WV PATH currently supports multiple program areas, client and provider-facing portals, worker workflows, eligibility rules, notices, reporting, interfaces, batch processes, and financial functions that must operate together reliably.

Optum exceeds because this operational knowledge allows Optum to identify dependencies early, reduce avoidable rework, and help the State make informed decisions about priorities, risks, timing, and capacity.

State Approval *Section 4.2.2.55*	Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. Optum recognizes that consultation with, and approval from, State SMEs is required for all M&O system changes or updates. Through close collaboration with the State on WV PATH whether addressing incidents, problem tickets or maintenance releases Optum has integrated SME agreement into the formal approval process within ServiceNow. Optum will continue to provide the ServiceNow infrastructure for PATH maintenance and operations to manage this important governance process. Prior to implementing any fix, change, update or maintenance activity, final approval rests with the State. In the absence of this approval, the change is deferred for a future release.

CMS Certification *Section 4.2.2.56*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. Optum uses the MES Testing Guidance Framework to develop, execute and manage all testing activities. The Master Test Plan incorporates the framework's expectations and recommendations, including testing governance, roles and responsibilities, test environments, entry and exit criteria, defect management and testing evidence requirements. Test results and Test Summary Reports document the execution and outcomes of unit, integration, system, user acceptance and other applicable testing activities, including defect tracking, remediation status and readiness determinations. This approach provides a structured, traceable and auditable testing process. Optum produces and delivers monthly metric reports in the CMS-required format for both CMS-required and State-specific outcomes. The reports include approved outcome measures and supporting performance data

that demonstrate the solution achieves the intended business and program outcomes. Optum works with the State to collect, validate and report metric results in accordance with CMS certification and ongoing operational reporting requirements. Monthly metric reporting provides transparency into system performance, supports continuous improvement activities, and supplies the evidence necessary to validate continued compliance with CMS requirements for enhanced Federal Financial Participation (FFP) and Federal Medical Assistance Percentage (FMAP) funding.

Certification Lead, Lori Hoppe, has more than 25 years of leadership experience, including 11 years of Medicaid experience and 11 years of experience certifying systems against industry standards for MES. She oversees and coordinates the entire certification lifecycle process. Lori serves as the primary point of contact for certification efforts related to modular implementations and interactions with the State, CMS and MITRE.

Optum manages system updates, enhancements and configuration changes in accordance with applicable CMS guidance, MES requirements and federal certification standards. Change management, release management, testing and operational governance processes evaluate the impact of modifications on certified functionality, outcomes and performance measures. Optum documents testing results, maintains certification-related artifacts and collaborates with the State to support ongoing compliance with CMS certification requirements and continued eligibility for enhanced federal funding.

Optum supports the administration of services for dual-eligible members through the Eligibility and Enrollment solution by receiving, validating, maintaining and exchanging Medicare eligibility and enrollment information used to determine member eligibility and coverage. The solution supports coordination between Medicaid and Medicare programs by managing member demographic, enrollment and eligibility data and facilitating data exchanges with federal and State systems. Optum maintains system functionality and operational processes that support accurate eligibility determinations, enrollment status management and coverage information for dual-eligible populations.

Optum will provide the eligibility and enrollment data exchanges and interface capabilities required to support Quality Improvement Organizations (QIOs). The Eligibility and Enrollment solution will facilitate the secure exchange of member eligibility, enrollment, demographic, coverage, and program participation information needed for quality review, care coordination, performance measurement and program oversight activities. Optum will support standardized interfaces, data-sharing processes and documentation that enable authorized QIOs to access applicable eligibility and enrollment information in accordance with federal and State requirements.

The WV PATH solution aligns with applicable federal standards and protocols adopted under Sections 1104 and 1561 of the Affordable Care Act. The solution supports standardized data exchange, interoperability, electronic transactions and the secure sharing of eligibility and enrollment information across Medicaid, health insurance exchange and other authorized partner systems. Optum incorporates federally recognized data standards, interface specifications and information exchange protocols to support accurate eligibility determinations, enrollment processing and coordination of benefits while maintaining compliance with applicable federal and State requirements.

Optum generates and maintains Section 508 accessibility test reports, including a Voluntary Product Accessibility Template (VPAT). Accessibility assessments evaluate user-facing components against applicable Section 508 requirements and Web Content Accessibility Guidelines (WCAG) 2.2 Level AA success criteria. Test results, identified findings, and remediation activities are documented and made available to demonstrate the accessibility conformance of the solution and support compliance with federal accessibility requirements.

Optum produces and delivers Eligibility and Enrollment metrics data in the CMS Operational Report Workbook (ORW) format for CMS-required and State-specific outcomes. The solution collects, calculates, validates and reports approved performance measures related to eligibility determinations, application processing, enrollment activities, renewals, data accuracy, timeliness and other operational outcomes. Optum supports the submission of ORW metrics in accordance with CMS reporting requirements and collaborates with the State to incorporate newly adopted or revised CMS-required and State-specific outcomes, metrics and reporting criteria. As CMS reporting requirements evolve, Optum will transition metric definitions, data collection processes, calculations and reporting outputs to align with the updated CMS-approved outcomes and ORW specifications.

Optum monitors and reports SLA and KPI results for the Eligibility and Enrollment solution to measure system performance, availability, utilization and operational effectiveness. The solution captures and reports operational metrics related to eligibility determinations, application processing, enrollment transactions, renewals, interface processing, system availability, response times, workload volumes and resource utilization. Optum uses system monitoring, reporting and analytics capabilities to track performance trends, support capacity planning, identify operational issues, and provide SLA and KPI reporting that demonstrates the solution's performance against contractual and program requirements.

The WV PATH solution captures, maintains and makes available member eligibility, enrollment, demographic, case and program participation information that supports Medicaid program integrity and Medicaid Fraud Control activities. WV PATH also captures, maintains and reports member eligibility, enrollment, demographic, coverage and program participation data that supports the development of CMS-37 quarterly expenditure estimates and CMS-64 expenditure reporting.

The solution records eligibility determinations, application processing history, enrollment transactions, user activities and audit trail information that can be used for investigations, oversight and program integrity reviews. In addition, the solution provides access to eligibility and enrollment information used by the State to determine Medicaid enrollment levels, eligibility categories and populations that contribute to federal reporting and funding calculations.

Optum supports authorized access to relevant eligibility and enrollment data, reports and system records that assist State Agencies in identifying, researching and addressing potential fraud, waste and abuse within the Medicaid program.

Optum supports data extraction, reporting, auditability and data-sharing processes that enable the State to use eligibility and enrollment data in support of CMS-37 and CMS-64 reporting activities and related federal financial reporting requirements.

Optum provides eligibility and enrollment data, metrics, reports and supporting documentation requested by the State for CMS-required Eligibility and Enrollment reporting activities. The Eligibility and Enrollment solution captures and reports information related to application processing, eligibility determinations, enrollment transactions, renewals, demographic data, program participation, operational performance and CMS-required outcomes and metrics. Optum supports the State's preparation and submission of periodic CMS reports by providing requested data extracts, operational reports, certification-related metrics and other reporting artifacts in accordance with applicable CMS reporting requirements and schedules.

Optum evaluates the Eligibility and Enrollment solution throughout the system development lifecycle to identify, track and remediate issues as early as possible. Quality activities include requirements reviews, design reviews, code reviews, automated testing, interface validation, accessibility testing, security assessments and functional testing of eligibility and enrollment processes. For example, Optum validates eligibility determination rules during development to identify configuration or business rule defects before system testing and tests interfaces with

federal and State partners to detect data exchange issues prior to implementation prior to user acceptance testing to validate application processing, enrollment transactions, renewals and notices. Defects identified during testing are documented, prioritized, analyzed and resolved through established defect management and root cause analysis processes. Testing results, defect remediation activities and readiness assessments are documented to support solution quality, operational readiness and CMS certification requirements.

Optum provides test results and supporting evidence that demonstrate certification-required outcomes are achieved through the implementation of a new module or enhancements to existing functionality. Testing artifacts include test plans, test cases, test execution results, defect resolution documentation and Test Summary Reports that validate system performance against approved CMS-required and State-specific outcomes. Test results are documented and mapped to applicable certification outcomes to demonstrate that new functionality and system enhancements support accurate eligibility determinations, enrollment processing, interoperability, operational performance and other CMS certification requirements.

Optum provides a defect log at a frequency defined by the State that includes the defect identifier, description, severity level, current status, open date, estimated closure date, actual closure date, business impact for severity 1 and 2 defects, and if applicable workarounds for all open defects, including frequency and severity (covering all critical and high defects), along with the associated implementation timelines. The defect log tracks issues identified during development, testing, implementation and production operations and supports ongoing defect management and remediation activities. For each reported defect, Optum documents the business and operational impact, affected functionality, mitigation activities, implementation timeline, and resolution status so the State can assess potential risks to eligibility processing, enrollment operations, system performance and CMS certification outcomes.

Optum exceeds this requirement by providing our Certification Center of Excellence (COE) for WV PATH maintenance and operations. Optum monitors federal MES guidance, CMS certification requirements, Conditions for Enhanced Funding (CEFs), certification outcomes, operational reporting requirements, accessibility standards, security and privacy requirements and interoperability standards applicable to the Eligibility and Enrollment solution. When CMS adopts new or revised certification requirements, Optum evaluates the impact on system functionality, business processes, interfaces, reporting and operational procedures and implements the necessary changes to align with the updated standards. Optum documents, tests and reports changes associated with new or modified federal standards and collaborates with the State to support continued CMS certification, ongoing operational reporting and continued eligibility for enhanced federal funding.

During our November 2025 Operational Readiness Review, MITRE praised the collective work between the State and Optum as one team:

"This has been a fantastic review. I've seen people in the room. I'm seeing everybody so engaged. Y'all are so proud of what you've achieved. Thank you for a wonderful DSS demonstration presentation, for your transparency, for your partnership."

From the CMS State Officer:

"It was a great review, great work, great demonstration and very robust DSS system you guys developed. We're looking forward to seeing the CR presentation and successful system in production."

Monitoring and Detection of Malicious Software *Section 4.2.2.57*	Compliant: Yes ☒ No ☐

Optum complies with and **exceeds this mandatory requirement**. Optum continuously monitors, detects and reports malicious software across the WV PATH environment using layered preventive, detective and response controls, including centrally managed endpoint protection with daily signature updates, SIEM for real-time analysis, and 24/7/365 Security Operations Center monitoring. To enable timely triage and containment of a suspected security event, we leverage security event logging with alerting, escalation and response workflows, and routine health/status monitoring.

Optum maintains a technology lifecycle and asset management process that prohibits end-of-life (EOL) hardware and software within the WV Path environment. On a continuous basis, using both automated and manual methods, the asset and configuration inventories are reviewed and updated, providing the information needed to foresee possible EOL situations. If an EOL situation arises Optum will communicate this to the State with proposed corrective actions, alternatives and suggestions. We will also provide a risk assessment of the EOL situation. We understand that any exceptions to the EOL policy must be approved by the State.

The Optum Enterprise Security and Resiliency Office (ESRO) is notified of critical vulnerabilities, including known exploited vulnerabilities (KEV) and zero-day exploits with alerts, advisories and directives from external organizations such as US-CERT, CISA, NIST, SANS and our internal threat hunting processes.

Optum exceeds this requirement by providing our ESRO as part of our WV PATH maintenance and operations. ESRO determines the potential scope of impact, such as internal facing versus external facing vulnerabilities. They track and coordinate assessment and response activities, including war room sessions as needed. Our policy for remediating critical vulnerabilities on external-facing systems is not to exceed 5 days from identification or public disclosure (as applicable). Remediation may include patching, upgrading, replacing assets or implementing documented compensating controls when a vendor patch is not yet available. Our accelerated timeframe for remediating critical vulnerabilities is more stringent than CMS ARC-AMPE requirements.

Optum understands their legal and contractual obligations to share these security incidents with the State in a timely manner. As such, the WV Path incident response plan (IRP), which is included in the Security, Privacy and Confidentiality Plan, documents this process. The current WV Path IRP, which includes the communication plan to the State, will be updated with the proposed timeline for remediating or mitigating zero-day exploits.

The primary intent of our communication plan is to provide the State with the most up-to-date information to make informed decisions. Our transparent and timely disclosures to the State also support and encourage collaboration and a plan forward that has been agreed to by all parties.

In addition to a mature and audited incident response program, Optum also operates a comprehensive vulnerability disclosure program. This program provides an intake channel for external reporting, performing triage and severity scoring, validating reported issues, tracking remediation through closure, and communicating status and resolution to all impacted stakeholders. Most, if not all, security incidents include sensitive and protected information. Our processes and procedures for protecting and sharing this information are compliant with contractual and regulatory requirements.

Penetration Testing *Section 4.2.2.58*	Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. Optum will continue to facilitate its scope of independent penetration testing of the WV PATH solution at least annually,

and more frequently as required by applicable federal and State regulations, requirements and guidance, as identified in Sections 4.2.2.11 and 4.2.2.12.

Optum engages qualified independent parties to perform penetration testing and coordinates additional testing as appropriate following significant system or environmental changes to help enable the continued security and integrity of the solution. All penetration testing results, including identified findings and remediation status, will be provided to the State at the frequency defined by the State. Any findings will be remediated within required timeframes and validated through established independent review processes.

As PATH CS and PATH FA modules migrate from the legacy mainframe environment to AWS, Optum will maintain this systematic approach to independent penetration testing to support ongoing compliance, risk management and operational security.

CW Business Rules Engine *Section 4.2.2.59*	Compliant: Yes ☒ No ☐

Optum confirms full compliance with this mandatory requirement. Implementing a business rules engine for CCWIS compliance is non-negotiable for PATH CW modernization and to achieve CCWIS compliance. Optum has successfully implemented ODM as the business rule engine for PATH Child Care (CC) program and is implementing IBM Operational Decision Manager (ODM) Business Rules Engine (BRE) in PATH Child Welfare (CW) Program. We have externalized business rules in Massachusetts, Vermont, West Virginia and other States using commercial BRE capabilities. We have in all cases incorporated states specific rules into these BREs.

Optum is currently implementing PATH CW Eligibility module enhancements where the court and reasonable efforts for permanency eligibility rules are executed in ODM to generate the eligibility criteria determination. This mission critical enhancement drives consistent eligibility determination to increase the opportunity for federal reimbursement of child welfare expenditures. The ODM BRE implementation propels PATH CW forward to continued modernization.

A core tenant of PATH CW modernization is increasing the use of the ODM rules engine as current functionality is enhanced or new functionality implemented. Implementing new business rules in ODM continues to evolve PATH CW underlying modern modular architecture. Optum is committed to DoHS realizing continued operational and technical efficiencies of implementing rules achieves the following:

- Meets CCWIS compliance standards mandating a separation of core programming and business rules coding logic
- Flexible PATH architecture for faster code change releases as policy and business practices change
- Stricter adherence to policy standards that create consistent business processes and workflows
- Automates complex decisions that include retroactive with variable considerations that meet audit standards

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Modernizing Eligibility Solutions Experience *Section 4.3.2.1*

Commonwealth of Massachusetts

Optum demonstrates direct experience fully modernizing an integrated eligibility solution through our long-standing engagement with the Massachusetts Health Connector. Beginning in 2014 as the primary systems integrator, we began maintenance, operations and technology services for the Health Insurance Exchange/Integrated Eligibility System (HIX/IES), which integrates eligibility and enrollment for MAGI Medicaid, MassHealth and Qualified Health Plans.

Our dedicated team was instrumental in modernizing the eligibility platform. This successful partnership was a collaborative, phased transition from legacy infrastructure to cloud-based hosting on AWS without service interruption. The team also completed the migration of Medicaid and MAGI eligibility rules from legacy platform COBOL-based systems to modern business rules engines; and a large, comprehensive architectural modernization effort launched in 2022.

Modernization efforts included:

- Decoupling the user experience from backend systems
- Extracting and modernizing business rules
- Developing Application program interfaces (API)s
- Redesigning the user interface using a human-centered design approach

The modernized HIX/IES platform integrates with the CMS Federal Data Services Hub, MMIS and other Commonwealth systems, supports ongoing Medicaid renewals and cross-program data sharing, and continues to serve as a single, seamless front door for eligibility determination and enrollment across programs, demonstrating our end-to-end experience modernizing complex, integrated eligibility solutions at scale for the Commonwealth of Massachusetts.

Modernization without disruption

The first major upgrade to the HIX/IES eligibility system in years went live in July and has been a resounding success. The improvements include reducing the amount of text on the screen, making the screens more streamlined and intuitive, and enhancing HIX/IES accessibility on tablets and mobile devices. Congratulations to everyone involved – the interface looks great, and your hard work is truly making a difference. Future system releases will focus on updates to the staff portal, and I am confident that we will continue to excel.

– Mike Levine Assistant Secretary for MassHealth/Medicaid Director.

Optum demonstrates full lifecycle modernization experience by transforming the Massachusetts Health Connector's integrated eligibility platform, including cloud migration, eligibility rules modernization, architectural redesign and user experience modernization, going the extra mile to provide the Commonwealth with technology expertise to improve the user experience, provide efficiencies and reduce rework.

Recent modernization and innovation changes through our service delivery include:

Modernization & innovation changes	Description/value
Decoupled front-end applications from back-end databases	Recent modernization activities included decoupling UX from backend, UX overhaul and business rules extraction. Initially, EOHHS was focused on modernizing the API and technology. Offering additional value, our team recognized that since the technology stack already needed to be

Modernization & innovation changes	Description/value
	rearchitected as part of the modernization efforts, it was also an opportunity to improve the user experience. This modernization effort provides the Massachusetts Health Connector with an enhanced ability to modernize front end without disturbing back-end processes. Examples of activities include: • Migration of business rules from Java code to rules engine allows for reduced development costs for changes to business rules • Designing an interface that adapts seamlessly to different mobile devices and screen sizes, maintaining usability across various platforms • Creating an interface that is user-friendly and easy to navigate, with clear, intuitive pathways for users to find information or complete tasks (e.g., minimize the number of clicks or steps required for users to reach desired content) • Adding APIs to improve system communication in the enterprise
Tailored SDLC	• The SDLC release process was tailored for more frequent releases • Enables MassHealth and Connector Authority to keep up with federal and State policy changes
Automation of renewal	• Automated Medicaid renewal and redetermination verification of Medicaid eligibility • Reduced development and maintenance costs through automation
Applied proactive identification of quality and pain points	• Implemented dashboards to monitor the user experience across vital business functions. • The dashboards provide business intelligence and trend analysis for proactive identification of areas for quality improvement and pain points
Operations efficiencies	• Streamlined the end-to-end production incident triage process through implementation of real time dashboards and reduction in manual reporting • Enhanced post-release new functionality and regression validation added post-release validation of new functionality and regression validation of core functionality after each release. This improvement enabled Optum to identify potential release-based production issues more quickly.

Today, the Health Connector application continues to serve as a straightforward, seamless avenue for enrollment. The portal integrates the State-based marketplace and MassHealth Medicaid eligibility intake and determinations. This allows more than 2 million consumers to enroll in coverage for which they are qualified.

Impact that counts

MassHealth provides Medicaid coverage to low-income families, people with disabilities, and others who cannot afford or access employer-sponsored insurance. At its peak, the program covered 34.6% residents. Our work included:

- Facilitating operational readiness for more than 500 customer service representatives from both Commonwealth agencies and third-party vendors
- Processing applications, verifications, and supporting documentation
- At the beginning of transition, the Health Connector had a large backlog of 50K paper and 22K online applications. We processed all 72K applications, eliminating the backlog, and addressed the ongoing volume throughout the first open enrollment period.
- Implementing a data entry tool and staff training that reduced manual application processing time from 120 minutes to just 27 minutes per application
- Processing annual renewals for 1.65M active MassHealth members (10/24); for disability benefits to 131,315 MH members; 341,230 QHP members (10/24); and 290K of these members that are enrolled in subsidized plans

State of West Virginia

RAPIDS administered federal and State family assistance and social service programs, including SNAP, TANF, Medicaid and CHIP. At the time, RAPIDS was operated and supported by your incumbent vendor. RAPIDS included 22 subsystems and over 1,700 source programs (including 978 batch programs). It stored and accessed data on more than 460 database tables. The system also interacted with 27 exchanges and interfaced with multiple State and federal agencies.

With limited knowledge transfer (KT) from the outgoing vendor, Optum assumed responsibility for the system in January 2016. We faced a large backlog of issues and low-customer confidence in the system. Our team immediately engaged to make the system more efficient and effective. Within 6 months, we reduced the ticket backlog from more than 400 to an ongoing state of 40 to 50 open tickets. In one year, we further reduced it to 20 to 25 open tickets. We also reduced high-priority incidents from 6 to 8 per month to 0 to 1 per month. By year 2, Optum had completed long pending and complex platform application upgrades.

In 2017, Optum was awarded the modernization, development, and implementation of the WV People's Access to Help (WV PATH), a modular integrated eligibility solution. The goals for WV PATH were to modernize the State's child support and child welfare systems, implement our integrated eligibility engine, and create a public benefits portal.

Optum helped WV avoid up to $13M in repayments

In 2016, Optum and WV discovered clients who were "deemed eligible" for services under adult expansion categories instead of non-MAGI categories, which is what they were eligible for. Because of this, WV could have been subjected to a $13M penalty from CMS.

Optum identified the issues in the legacy system, wrote a thorough analysis with a strategy on how to remediate current clients and how to make sure clients would be deemed eligible going forward with the proper Medicaid assistance groups. As a result of our work, CMS did not penalize WV.

In early 2020, Optum delivered the PATH public portal, giving West Virginians the ability to apply for programs, manage PATH accounts, and access DHHR (now DoHS) services. It replaced the legacy front-end application Information Network for Resident Online Access and Delivery of Services.

In 2023, Optum delivered the Child Welfare Provider Portal release of WV PATH, including a portal for Agency workers and a provider portal. Through the Agency module, workers manage intake tasks, cases and financials for Child Protective Services, Foster Care, Adoption, Adult Protective Services. The Child Welfare Provider Portal is integrated with the Agency portal and allows child welfare providers, such as foster care agencies, to manage clients in their care and their financials.

In 2024, Optum delivered the Family Assistance (integrated eligibility), Child Support and Child Care releases, making WV the first state in the nation with a fully operational Comprehensive Child Welfare Information System. The Agency portals are all connected through a common landing portal. State workers can access Family Assistance, Child Support, Child Care, Child Welfare, Reports and Financials through role-based access controls from the common landing portal. We integrated the Agency portals with the PATH public portal. With the Child Care release, the provider portal was also enabled to allow childcare providers to manage their clients and financials in one integrated area.

> "The completion of WV People's Access to Help marks a monumental achievement for WV and the families that we serve," .... "This groundbreaking system ensures that vital services are more accessible, integrated, and efficient."
>
> *— DHHR news and announcements, 8/12/24*

Within the family assistance module, the user interface (UI) uses REST services built on Spring framework (open-source Java framework). The front end is connected to the legacy database and backend services. This connectivity brought a modern framework to replace the legacy interface. The transition to the modern solution included reusing existing shared services, including those used for document generation, document storage, document signature, address verification, identity matching and resolution, and other verification services.

In agreement with the State, the WV PATH was delivered in phases to provide modernization without disruption with the timely delivery.

Modernization without disruption

Modernization & innovation	Description/value
Enactment of Able-Bodied Adults Without Dependents (ABAWD) to support State efforts to drive personal responsibility for SNAP benefits	• Implemented State and federal guidelines and automated the process • Initially implemented changes for the ABAWD program within specific counties as planned and coordinated with the State • Successfully expanded statewide to align with State policy • Implemented ABAWD changes required by HR1 including exemption and age limit changes
Medicaid Streamlined Application	• Implemented a streamlined Medicaid application workflow • Reduced data entry for eligibility determination.
Medicaid Work Incentive Program (MWIN) Enhancement	• End to end automation of MWIN eligibility determination through integration with 3rd party systems.

Modernization & innovation	Description/value
	• Eliminated the need for manual processing and improved program integrity.
SNAP Incomplete Application	• Introduced a more accessible method to apply for SNAP benefits through the client portal
Benefit Recovery Modernization	• Modernized and enhanced the Benefit Recovery module
Asset verification	• Built and implemented programs and an interface to complete automatic asset verification of individuals applying for certain Medicaid categories
School Clothing Allowance and WV WORKS support service payments	• Moved payments for School Clothing Allowance and WV WORKS support services payments to EBT cards to reduce paper, overhead, and become more immediately available to State residents • Through the EBT cards, enabled the State to also monitor and enforce specific fund use better
Low-Income Household Water Assistance Program (LIHWAP)	• Implemented this new federal program for assistance to low-income families for water and sewage
Summer EBT	• Implemented this new program created during the COVID pandemic, which now continues post the pandemic • Added to IES to allow timely direct certification and processing of resident applications all through the year.
Verify Lawful Presence (VLP)	• Enhancement to automate all steps to verify lawful presence within the IES (previously, workers had to go into a separate system outside of the eligibility system)
Document upload	• Implemented enhanced functionality so clients can upload documentation, which will be provided to their case worker directly from the client portal

Impact that counts

- Extending critical food security for more than 41K families, and Medicaid and CHIP to more than 260K recipients
- Supplemental allotment for SNAP recipients — Maximized benefits for SNAP households and enabled disbursement of $119M in benefits
- Suspension of work requirements for receiving SNAP benefits
- COVID-19 testing group — A new Medicaid program to cover COVID-19 testing and related services for uninsured individuals
- LIHEAP — Issued additional benefits to 46,754 households, enabling $4.6M disbursement in benefits
- Correspondence — Mass-mailed client letters to inform about the benefit changes and processed more than 485K letters
- Pandemic EBT — Provided food security to children receiving free/reduced meals at school and impacted by school closures
  - Implemented the new complex benefit at short notice
  - Served 230K children
  - Enabled disbursement of $72M in benefits
  - Completed the new benefit program in just 60 days
- WV School Clothing Allowance — converted from vouchers to EBT for the first time to support online purchases, serving 60K children and disbursing $12M in benefits

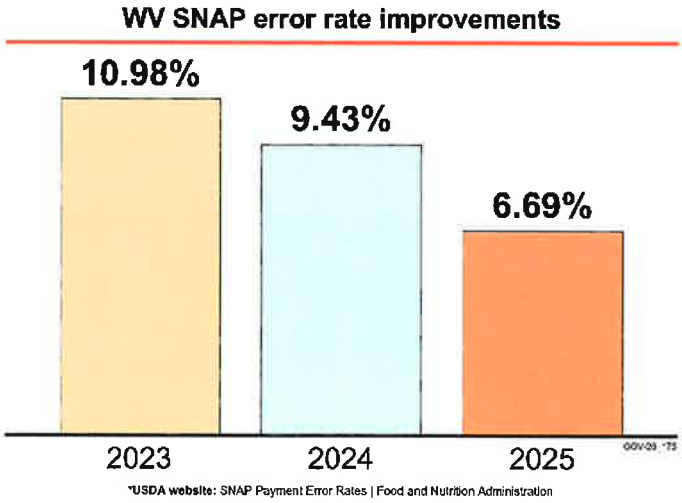

Figure 39: Reduction in SNAP Error Rates.

The Department of Human Services (DoHS) has reduced SNAP error rates over the last three years while Optum has supported WV PATH.

State of Vermont

The Optum Vermont modernization journey demonstrates our ability to stabilize, operate and progressively modernize a complex integrated eligibility and enrollment solution while maintaining continuity of service for Vermonters. Since 2014, Optum has supported Vermont Health Connect (VHC) through critical transition, ongoing maintenance and operations, hosting modernization, major Oracle platform upgrades, migration to the Optum FISMA Environment (OFE), and the current cloud migration initiative.

This history reflects a phased modernization approach: first stabilizing VHC operations and transitioning hosting from the prior vendor, then upgrading and securing the platform through OFE migration, and now advancing the solution toward cloud-based hosting in Microsoft Azure and Oracle Cloud Infrastructure (OCI). Each phase has been planned and executed to reduce operational risk, protect service availability, and position the State to meet evolving compliance, supportability and modernization goals.

Modernization efforts included:

- Transitioning VHC services and data from the prior vendor to Optum hosting within seven months while maintaining service availability
- Establishing mature ITSM, monitoring, release management, enhancement delivery, reporting and integration support for ongoing VHC operations
- Upgrading the VHC Oracle application stack from 11g to 12c to preserve vendor supportability and improve platform currency
- Migrating the VHC platform into the Optum FISMA Environment to strengthen hosting, security, operational controls and long-term supportability
- Advancing cloud migration to Microsoft Azure and Oracle OCI to improve scalability, flexibility, automation and future supportability

The OFE migration was completed in July 2020 in conjunction with the State-requested Oracle 12c upgrade. This work included upgrading the VHC Oracle software stack, moving the Siebel CRM solution to Oracle Siebel CRM Open UI, updating related Red Hat Enterprise Linux and Windows operating systems, and modifying custom VHC Oracle components such as SOA, IDM and Siebel to maintain legacy functionality while improving platform currency and supportability.

In parallel, the State requested related modernization activities, including redesign of the Oracle Policy Automation component and later build-out of the OBIEE 12c component in OFE when the State's planned data warehouse replacement was delayed. Together, these efforts helped Vermont maintain continuity of VHC operations while modernizing important technical components and reducing supportability risk.

Cloud Migration

Optum is now supporting Vermont's next modernization phase through migration to cloud-based products hosted in Microsoft Azure and Oracle OCI. The effort includes migration of the VHC system to cloud environments, upgrade of the custom VHC Oracle software stack, and replacement of the Red Hat operating system to address the next phase of compliance, supportability and platform modernization.

The cloud migration is being completed in parallel with existing VHC hosting and maintenance activities to help maintain continuity of service for State staff, partners and customers. Upon

State approval, Optum will go live with the new cloud environments and transition VHC off the existing on-premises environments using a controlled, risk-managed approach.

This cloud migration advances Vermont's strategic direction by enabling more efficient software upgrades, increasing flexibility to enhance and support VHC capabilities, reducing licensing and hosting costs compared with on-premises options, and improving scalability through horizontal and vertical growth. It also supports faster, more repeatable environment setup and configuration for future needs.

Recent modernization and innovation changes through our Vermont service delivery include:

Modernization and innovation changes	Description/value
Stabilized and transitioned VHC operations	Optum transitioned VHC services and data from the previous hosting provider within seven months, establishing stable operations, disaster recovery, security, monitoring and server provisioning while minimizing downtime and protecting service availability.
Mature maintenance and operations model	Optum provides ITSM, incident, problem, change, release, event and configuration management; system monitoring; enhancement services; reporting; and integration support across CMS, verification systems, insurance carriers and State systems.
Oracle 12c and OFE modernization	Optum upgraded the Oracle application stack from 11g to 12c, moved Siebel CRM to Open UI, upgraded operating systems, and migrated the platform into OFE to preserve supportability, improve platform currency and strengthen hosting controls.
Policy and reporting component modernization	At the State's request, Optum supported related modernization activities, including redesign of Oracle Policy Automation and build-out of OBIEE 12c in OFE when the State's planned data warehouse transition was delayed.
Cloud migration in progress	The current cloud migration moves VHC toward Microsoft Azure and Oracle OCI, supporting alignment with the State's strategic direction, more efficient upgrades, lower operational risk, improved scalability, faster environment setup and potential hosting savings versus on-premises options.

Today, VHC continues to serve as Vermont's integrated front door for health coverage eligibility and enrollment. Through more than a decade of partnership, Optum has helped the State stabilize operations, modernize core technology, implement policy-driven improvements and prepare for the next generation of cloud-enabled service delivery. This experience demonstrates Optum's ability to modernize complex eligibility solutions while maintaining continuity of operations and delivering measurable value to state programs and the people they serve.

Impact that counts

- Migrated VHC environments to Optum data centers
- Reduced unresolved enrollment integration errors by 82%
- Reduced incident and problem tickets by ~40%
- Implemented enrollment integrity validations to identify and correct errors in enrollment data
- Supported the design, development, testing, and migration to OnBase content management solution
- Migrated over 6M documents from legacy ECM system into OnBase
- Maintained record-low incident and problem ticket counts
- Migration to the Optum FISMA Enclave (OFE)
- Migrated QHP premium processing to insurance carriers from third-party vendors
- Collaborated with Vermont to define the public health emergency unwind plan and identify the affected population
- Achieved 99.99% carrier enrollment integration success rate
- Implemented Medicaid eligibility enhancement to mitigate effect of income volatility on families
- Implemented ex parte monthly Medicaid renewal at the individual level
- Developed notices to support automatic Medicaid renewals on a per-household member basis
- Performed integration work to remove WEX for Medicaid premium processing

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Cloud Environment Experience *Section 4.3.2.2*

Optum has existing enterprise relationships and master service agreements with IBM, AWS and Ensono. This means West Virginia will get enterprise support from Optum and our vendors on the mainframe to cloud migration activities. The WV PATH maintenance and operations cloud migration will include expertise from the staff tasked to perform these activities and broader oversight and support from our Optum enterprise. This means PATH will receive the highest level of support within the Optum enterprise for this important migration.

Cloud modernization

Optum experience provides an effective modernization path for mainframe to cloud, while maintaining the reliability and performance required for mission-critical government and healthcare applications.

Optum experience with mainframe bridge-to-cloud modernization using high-performance compute (HPC) – Transaction Online Processing System (TOPS) project

Optum has successfully modernized existing mainframe systems into cloud-based environments using a proven Bridge-to-Cloud strategy that minimizes operational risk while delivering measurable business outcomes. As part of UnitedHealth Group, we have major initiatives migrating mainframe systems to the cloud. We have migrated 3,300 MIPS from the mainframe to HPC. This approach leverages CloudFrame automated modernization tooling, which is a scalable, vendor-neutral, and AI-enhanced framework, in combination with a scalable High-Performance Compute (HPC) platform operating as a private cloud environment and designed to support future hybrid and public cloud adoption.

A representative example is our modernization of the TOPS application portfolio, a set of mission-critical mainframe workloads supporting high-volume, business-essential processing. Using CloudFrame, legacy mainframe COBOL-based applications were transformed into Java-based services and deployed in a containerized architecture on the HPC cloud platform. This modernization eliminated direct mainframe dependency while preserving full business functionality and data integrity. The migration was completed with no disruption to production operations and consistently met or exceeded defined SLAs. Post-migration, the modernized applications operate reliably in a cloud-based environment with improved scalability, resiliency and operational flexibility. The HPC environment functions as a private cloud platform, supporting elastic scaling, container orchestration and cloud-native operational practices consistent with public cloud architectures.

The TOPS modernization initiative represents a significant component of Optum's broader Mainframe Bridge-to-Cloud strategy. Within TOPS alone, we have successfully migrated approximately **3,300 MIPS** of production workload from the mainframe to our High Performance Compute (HPC) platform while maintaining operational stability and meeting business expectations.

More broadly, across TOPS and other strategic modernization initiatives such as NDB and additional application portfolios, Optum has already migrated or avoided more than **11,000 MIPS** of mainframe growth through our modernization efforts. This demonstrates enterprise-scale experience modernizing mission-critical applications while operating one of the largest and most demanding transaction-processing environments in healthcare.

Importantly, our strategy is not just based on replacing the mainframe. We continue to view the mainframe as one of the most efficient, resilient, secure, and cost-effective transaction processing platforms in the enterprise. Instead, modernization efforts focus on reducing future MIPS growth, increasing application agility, mitigating workforce skills risk, and lowering the

long-term cost trajectory while preserving the strengths of the platform; specifically mainframe vendor software.

Our current roadmap to end of 2027 identifies more than **13,000 MIPS** of total reduction opportunity, including approximately **7,600 MIPS** associated with CloudFrame-enabled modernization initiatives. We plan to reduce the platform by 50% in 3 years. Beyond cost and capacity benefits, CloudFrame enables a transition toward **cloud-native application architectures**. Applications modernized through this approach can be transformed into Java-based services running in containerized environments, allowing organizations to adopt modern CI/CD practices, improve deployment flexibility, increase portability, leverage Kubernetes and OpenShift platforms, and establish a foundation for future cloud adoption while continuing to leverage the reliability and security of existing mainframe assets.

The scale of this effort spans mission-critical healthcare applications supporting millions of transactions and stringent service-level requirements. Our experience demonstrates the ability to execute large-scale modernization programs involving thousands of MIPS, complex application portfolios, cloud-native transformation, and enterprise-critical workloads while maintaining business continuity and operational excellence.

Application owners and business stakeholders have been highly satisfied with the results. Key benefits realized by the modernization include:

- Stable and reliable production operations following migration
- Performance that meets or exceeds business expectations for critical workloads
- Reduced dependency on mainframe resources while preserving application functionality
- Accelerated modernization timelines through automated code transformation and modernization tooling
- Improved operational flexibility through deployment on a modern container-based platform
- A lower-cost execution model compared to traditional mainframe processing

The Optum Bridge-to-Cloud methodology enables incremental modernization by first transitioning workloads into a secure, high-performance cloud environment before advancing to broader hybrid or public cloud adoption. This phased approach significantly reduces the risks traditionally associated with large-scale mainframe migrations, making it particularly well-suited for government systems that require high availability, regulatory compliance and predictable performance.

Through this experience, Optum has demonstrated its ability to successfully modernize legacy mainframe systems into cloud environments while maintaining the reliability, security and performance required for mission-critical government and healthcare applications. This approach provides a strong foundation for continued cloud evolution, cost control and long-term operational sustainability.

Modernizing Legacy Mainframe Disability Eligibility program onto a Cloud-Native AWS Platform HIX/IES platform

The Commonwealth of Massachusetts MA-21 is a legacy IBM DB2 mainframe system of record performing intake, eligibility determination, renewals, noticing, and payment processing. When a state modernizes eligibility, MAGI populations move first because the rules are federally standardized. What stays behind on the mainframe is the harder half: state-specific non-MAGI logic-disability determination, deductible and spenddown mechanics, household constructions

that diverge from MAGI, individual-level premium billing, and dozens of aid categories governed by state regulation rather than federal rule. Massachusetts asked Optum to move that logic off MA-21 onto a modern platform under two constraints: no re-platforming of the existing exchange, and no disruption to a single member's coverage.

Optum Scope

Optum designed and built the Commonwealth's complete non-MAGI disability determination capability inside MA HIX/IES, replacing functionality of the MA-21 mainframe. Sixteen discrete product capabilities were traced to eight state-issued business expectations and delivered in a major release then extended continuously through HIX/IES releases from 2022-2024.

- **A distinct Disabled Adult household construction and parallel Disability FPL** that substitutes for MAGI income wherever MAGI is used downstream — cost sharing, premium billing, threshold checks, renewals, and reasonable compatibility
- **One-time deductible calculation** with configurable income standards, period management, and eligibility-begin-date interaction
- **Working-disabled determination** synthesized from attested hours across four earned-income types and caseworker attestation, plus three-month continuity protection for members who lose employment
- **Eight new state aid categories,** individual-level CommonHealth premium calculation on both full and supplemental formulas, Premium Assistance integration, systematic closure reasoning, and new member notices.

MA HIX/IES — API-first, modular architecture: React single-page portals served from S3/CloudFront; independently deployable eligibility, enrollment, notices, and user-management services behind an API gateway; integration ESB; externalized DMN business rules engine

Program Wave – Transition without Disruption

- **Legacy remains a system of record until cutover.** HIX/IES and MA-21 operate in lockstep, exchanging daily files, with incremental delta synchronization between waves and no coverage gap at any point.
- **Program-wave sequencing, never big-bang.** Each program migrates as an independent delivery stream behind a feature toggle, on a single unified codebase with monthly merges and no long-lived legacy branches.
- **Parallel testing with variance analysis.** Legacy and modern cohorts run side by side; determinations, flags, notices, and transactions are compared by automated tooling with SME adjudication of policy-based differences, **all governed by a rules traceability matrix and multiple mock conversions.**

Results

- **Approximately 80%** of the Commonwealth's combined membership modernized off legacy determination paths, with no re-platforming and no member disruption.
- **Non-MAGI disability determination** in production and continuously enhanced across four years of successive release trains.

In addition to our experience in mainframe to cloud migrations, IBM brings substantial experience modernizing large-scale legacy mainframe environments to cloud and hybrid-cloud architectures. Their approach combines automated code conversion, business-rule

preservation, data migration, and cloud-native DevOps practices to transform COBOL/Natural applications into modern Java-based platforms running on AWS or other cloud environments, while reducing modernization risk and accelerating delivery.

This proven and innovative approach delivers stability during transition and flexibility for the future. West Virginia gains a PATH platform that benefits from established state-tested practices while adopting modern technologies that improve scalability, responsiveness, and operational insight. Over time, reliance on legacy tooling and scarce skill sets decreases, updates are delivered more quickly, and eligibility and child support services are better positioned to adapt to policy change. The result is a dependable solution that supports today's programs while enabling continuous improvement without unnecessary risk. Below are some specific examples of IBM experience with cloud to mainframe migration that will benefit WV PATH maintenance and operations.

Migration of State Compensation Board application

The COIN application is used to manage salary adjustments for all the State's employees as required by state law.

Per an Executive Order, the COIN system had to be migrated off the COV mainframe. An assessment was performed and a 'Refactor' solution was determined to be the best solution.

IBM Modern Systems (acquisition completed 1st April 2024), solution included:

- Automated refactor of Cobol to C#. Over 1.3M lines of code were processed.
- JCL/Procs retained and running under eavJES.
- Migration of DB2 to Microsoft SQL Server.
- Test support and issue resolution
- Packaging and deployment of the modernized application to Windows.

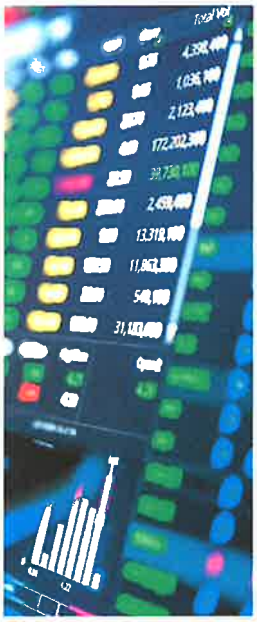
Client
State Compensation Board (SCB)

Sector
U.S. Public Sector

Results
- Modernized mainframe applications and data deployed onto Windows environment.
- The SCB was able to run all the required fiscal years that used to be on the MF on Jul-01-23 without issues.
- Migration off the MF was completed as planned.
- There have been no major issues in 1 year of operation.

IBM Consulting / © 2024 IBM Corporation

Figure 40: IBM experience with cloud to mainframe migration example 1.
Migration of state compensation board application for state compensation board



Automated Refactor of Medicare / Medicaid Coordination of Benefits (COB) and Recovery Management and Accounting System applications with IBM ModernSystems, with move from Mainframe to AWS Cloud

- Partner manages and maintains several mission critical applications for the Department of Health and Human services including CMS (Center for Medicare and Medicaid). The COB and ReMAS systems are critical for enrollment, processing Medicare and Medicaid claims, coordination of benefits and related accounting for millions of Americans annually. The COB and ReMAS applications were developed primarily in COBOL / DB2 and running on IBM z/OS Mainframe. However, with a rapidly retiring talent pool of COBOL and mainframe skills, as well as increasing costs, Partner and Customer made the choice to move to the Cloud.

- **IBM Modern Systems (acquisition completed 1st April 2024), solution included:**
- **Automated refactor of Cobol to Java and JCL/Procs to XML to run under Spring Batch**
- **Migration of DB2 to PostgreSQL Aurora**
- **Test support and issue resolution**
- **Packaging and deployment of the modernized portfolio in containers to AWS Cloud**

Client
Partner

Sector
U.S. Department of Health Human Services (HHS)

Results
– Modernized mainframe applications and data deployed onto AWS Cloud
– Significant projected cost savings and improved development agility utilizing Cloud-based platform and resources

Figure 41: IBM experience with cloud to mainframe migration example 2.

Automated refactor of Medicare/ Medicaid coordination of benefits and recovery management and accounting system applications with IBM ModernSystems, with move from mainframe to AWS cloud for partner

Migrating COBOL to Java in AWS using Automated Conversion

A major US newspaper had a critical business workload running on a mainframe as the core IT system supporting the daily Home Delivery Platform of its newspaper. They collaborated with IBM ModernSystems to successfully transform their legacy COBOL-based application into a modern Java-based application, which today runs on Amazon Web Services (AWS).

This project led the newspaper to take incremental steps towards an ideal digital transformation through the adoption of innovative, cutting-edge technology. The result was a considerable improvement in customer service, which provided a competitive advantage in a unique industry that has experienced significant, dynamic shifts in its ecosystem in recent years.

Client
Major US newspaper

Sector
Mass media

Results
- 70% cost reduction post-modernization
- 600+ batch jobs, over 3500 files per day, consuming 3TB of hot data
- 2 million+ lines of COBOL refactored to Java in AWS

IBM Consulting / © 2024 IBM Corporation

Figure 42: IBM experience with cloud to mainframe migration example 3.

Migrating COBOL to Java in AWS using automated conversion for major U.S. newspaper

IBM has a proven mainframe modernization partner with automated conversion assets, extensive COBOL/Natural transformation experience, and a documented methodology for migrating large, mission-critical eligibility and child-support systems from mainframe platforms to AWS-based cloud architectures. Optum and IBM have been involved in WV PATH migration pilots and will continue this knowledge for a low-risk, complete and successful WV PATH mainframe to cloud migration.

Qualifications and Experience *Section 4.3.1*

Provide information and documentation regarding qualifications and experience in providing services or solving problems similar to those requested in this RFP

Our qualifications and relevant experience in providing services and solving challenges similar to those requested in this RFP are detailed throughout the following subsections.

As previously mentioned, Optum has a longstanding commitment to state government services, innovative technology and deep subject matter knowledge, enabling us to consistently exceed qualification and experience requirements. We provide reliable, integrated solutions that improve health outcomes and streamline operations. Advancing health and human services (HHS) systems and supporting the needs of agencies, providers and members nationwide is a core focus at Optum.

Our commitment to state government services, innovative technology and deep subject matter knowledge has been demonstrated in West Virginia since 2016 when we assumed responsibility for your (RAPIDS) eligibility system. While the prior vendor provided no transition or knowledge transfer to Optum or the State at the time, our experience, knowledge and ability to effectively work with multiple WV agencies governing these programs demonstrated that we have the qualifications, knowledge and technology to be WV's partner for the future.

Optum qualifications and experience includes developing, maintaining, modernizing, hosting, operating and enhancing highly integrated and complex eligibility, client and case management systems. We support multiple eligibility programs, integrated eligibility and enrollment systems, and federal public assistance programs at the state level.

Our current portfolio includes Vermont, Massachusetts and West Virginia, where we oversee, manage, design and implement eligibility system integration projects. These integrated programs cover members in **Supplemental Nutrition Assistance Program** (SNAP), **Temporary Assistance for Needy Families** (TANF), the **Children's Health Insurance Program** (CHIP), **Aged, Blind and Disabled** (ABD), **Long Term Care** (LTC), **Special Supplemental Nutrition Program for Women, Infants, and Children** (SSWIC) and **Dual Eligible** (Medicare-Medicaid enrollees) plans.

Throughout our proposal response we provide details on how our portfolio of work managing maintenance and operations (M&O) with government entities helps you achieve similar goals and objectives, including:

- ✔ Well-coordinated transition of operations
- ✔ Effective M&O management
- ✔ Project management and documentation
- ✔ Modernization and scalability
- ✔ Process automation and operational efficiency
- ✔ Continuous improvement and adaptability

We have also led federal projects as the prime contractor and operator of the Federal Data Services Hub for HealthCare.gov, as well as with Medicaid eligibility exchange projects for Maryland and D.C, as well as New Mexico's State-based marketplace. After seeing our success with the HealthCare.gov project, several states engaged us to help resolve issues with their eligibility and enrollment platforms as illustrated in **Figure 43**.

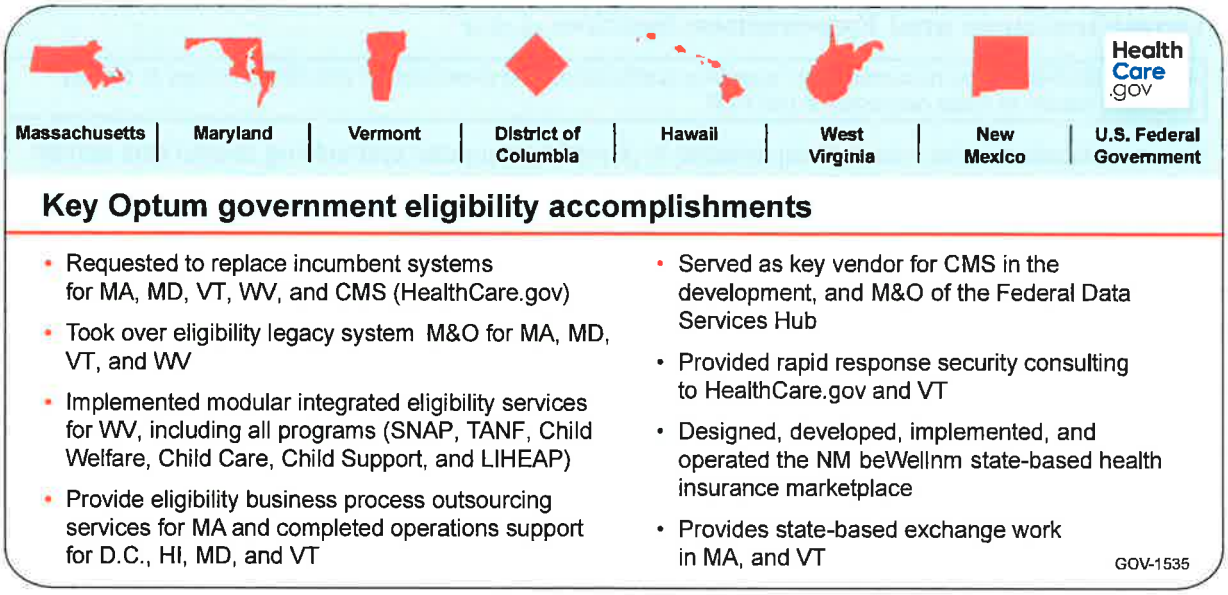


Figure 43: Optum eligibility accomplishments.

Serving federal and state agencies with skilled leadership, innovative technology, eligibility expertise, policy knowledge and a deep commitment to client satisfaction.

Additional relevant experience since 2012

Optum has extensive experience with MMIS, private health care enrollment, EBT systems, SNAP employment/training systems, as well as eligibility determination and ongoing case management for state programs (e.g., Medicaid, CHIP, TANF, and SNAP). Our clients look to us as experts that solve complex challenges arising in eligibility and exchange environments. Importantly, we shine when it comes to commitment to quality, innovation, strong partnerships, and shared vision as an HHS-focused company. Our well-rounded experience means a fresh, proactive start for WV PATH. Additional relevant experience includes HealthCare.gov, New Mexico beWellnm, and Maryland Health Benefit Exchange, described next.

HealthCare.gov

In 2014, Optum assumed responsibility for taking over, maintaining, and operating mission-critical IT systems for the federal marketplace. We served as the lead integrator for HealthCare.gov when CMS faced a high-risk failure, and their integration vendor could not deliver.

Prior to our takeover, the U.S. Department of Health and Human Services Office of Inspector General (DHHS-OIG) said, "The breakdown of HealthCare.gov was perhaps the most high-profile IT failure in American history." Optum was asked to step in as the project's new overall technical systems integrator based on our reputation for talented people, project leadership, and success with the HealthCare.gov Data Hub.

CMS also turned to us because of our unique experience managing and supporting large, complex projects, and our ability to isolate, manage, resolve, and stabilize solutions and operations. When we took over as general contractor and technical systems integrator for the troubled HealthCare.gov project, some say that effort was unequalled in its combination of risk and national visibility.

Working with multiple vendors, we created a culture of openness and collaboration. We worked to remediate the portal and system so consumers could enroll for coverage, resulting in substantially improved client experience and significant success in enrollments. DHHS-OIG also stated: "This action led to greater coordination between and among contractors and CMS technical staff, and enabled project leaders to more quickly and clearly identify and correct problems and allot resources."

In late 2013, we completed maintenance activities for the healthcare.gov site, rapidly improving it and allowing members who needed coverage to enroll for insurance. Our successful work led directly to our work providing stabilization, development, and maintenance for eligibility systems in Massachusetts and Vermont. This project provided a foundation for the best practices we apply to our exchange and eligibility clients. Today, we continue to support the FDSH as a subcontract to a small business enterprise, as the future contract was a small business set aside contract.

New Mexico beWellnm

Optum designed, developed, implemented, and operates beWellnm, New Mexico's state-based health insurance marketplace (SBM) that launched in October 2021. The project supports the beWellnm Board's goal to transition from an SBM on the Federal Platform (SBM-FP) to a full SBM. We successfully implemented and configured our COTS exchange product on time and within budget, transitioning 27K consumers successfully from the FFM. Optum currently provides M&O services for the project, including compliance updates, feature enhancements, customer call center, and back-office services.

Maryland Health Benefit Exchange (MHBE)

Optum provided takeover operations, IT support, and contact center support to the MHBE starting in December 2013. We provided contact center and operational support for MHBE in conjunction with IT assessment and remediation work. Concurrently, we provided IT and operations support to process applications. We handled manual enrollment, resolved backlogs, handled escalated cases, provided required CMS and IRS reporting, and processed renewals. We resolved 1,662 cases in 2014 and 1,502 cases from January through May 2015.

In 2015, we led the evaluation, recommending that MHBE transition the existing IT solution to an alternative platform to support the 80K QHP and 260K Medicaid enrollees and 1,200 State employees. As a result, we were selected as the prime systems integrator for state exchanges in Massachusetts and Vermont, replacing incumbent vendors and providing stabilization, development, and maintenance for eligibility systems.

Development and M&O are core Optum competencies

Optum has over 2,500 employees currently providing development and M&O services for 650 critical applications on various IT platforms. Our extensive HHS system knowledge will be necessary to support the WV PATH methodologies, reports, and SLA expectations. Our library of development and M&O documentation includes staffing plans, data management, enhanced security of HHS data, user support systems, and processes for infrastructure/application assessments.

Through years of development and M&O experience, we offer additional capabilities for our clients, including:

- Peak season readiness
- Release entry framework

- Migrations to new systems and platforms
- System operating controls
- Maturity model/application cost analysis
- Metrics that matter for system performance and federal reporting

Our best practices exceed the ITIL standards in areas, such as incident prevention, problem ticket accountability, change management, and availability management.

Artificial Intelligence Implementation Experience *Section 4.3.1.1*

Optum fully supports the State's requirement to demonstrate experience supporting the evaluation, development, implementation, and governance of AI and Machine Learning (ML) within government technology environments. AI and ML are well-integrated across our ecosystem and are actively utilized in a variety of applications. As a global leader in health innovation, Optum has made AI a core strategic investment to improve outcomes and lower costs across the entire healthcare system. Our AI investments span platforms, products, talent and governance, with an emphasis on responsible deployment at enterprise scale. These investments are long-term, enterprise-wide focal point to enable more proactive, data-driven care.

Karl Schelhammer, PhD, AI Lead, is a senior AI/ML leader with 13 years of experience defining, governing and operationalizing advanced AI solutions in regulated public-sector and enterprise environments. His expertise spans generative AI, and agentic AI. systems, natural language processing, and ML learning with a strong emphasis on responsible AI governance, compliance and scalability.

With oversight from our expert Karl Schelhammer, the Optum approach emphasizes modular, cloud-native AI solutions that enhance legacy functionality without disruption, supported by a mature Responsible AI governance framework (discussed below) that includes enterprise oversight, bias testing, data suitability review and compliance with federal and State regulations. Optum has applied ML, natural language processing, and advanced analytics across multiple State engagements such as integrated eligibility systems, program integrity analytics, and AI-enabled documentation and decision-support tools. Our systems improve oversight, staff productivity, and access to actionable insights. Optum AI/ML capabilities position us as trusted partner in HHS as highlighted in **Figure 44**.

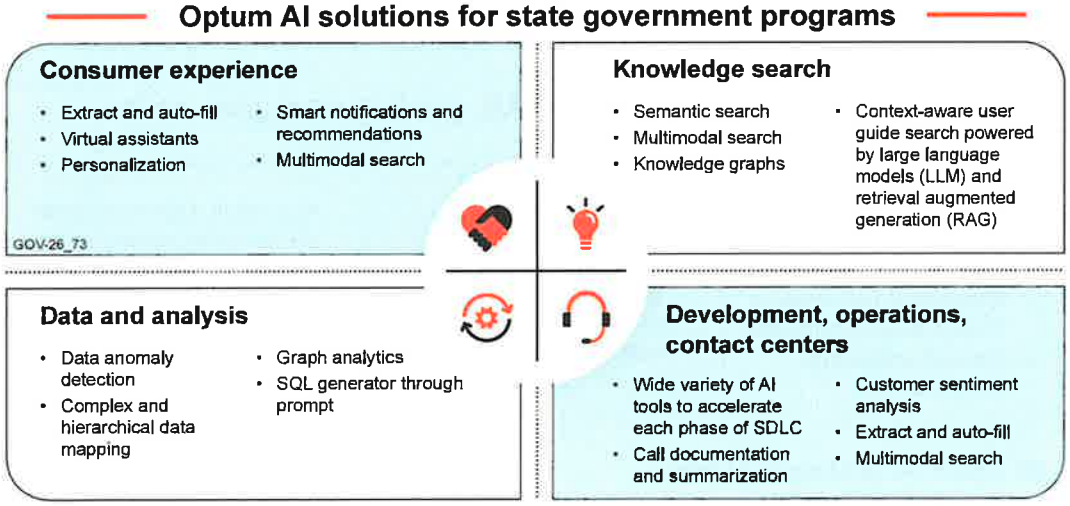


Figure 44: Optum enhances State government programs through AI/ML.

State government clients rely on Optum for our investment in AI/ML innovation and the ease to which we can implement meaningful change when budgets are tight.

Rather than treating AI as a standalone innovation, we position this effort as core infrastructure for how HHS are delivered, paid for and experienced at scale. This proven experience directly supports the State's goals and objectives outlined in Section 4.2.1 by enabling safe, transparent

and sustainable adoption of AI technologies that modernize services while protecting public trust.

Optum AI/ML governance structure protects our state clients

Optum recognizes both the opportunities and potential risks with AI. Our Corporate Responsible Use of AI Center of Excellence (CoE) addresses this concern. This CoE provides a comprehensive framework for our AI initiatives. Members of this team include compliance, legal, technical and business professionals. An internal review rigorously vets all initiatives to make sure they meet our high standards.

We continually assess and enhance our practices based on our own experiences, industry best practices and regulatory guidance. Our AI/ML governance framework evaluates intended uses, data appropriateness, performance, fairness, and bias testing results.

Unlike other vendors, who may take an ad hoc approach to AI/ML, Optum invests in a comprehensive AI/ML governance structure. This investment makes sure that our solution achieves our clients' goals and safeguards their systems and customers' private data. All AI/ML development is subject to our AI/ML governance structure, called Our Responsible Use of AI Guiding Principles. This structure is highlighted in **Figure 45** and underpins all AI/ML work across the Optum enterprise.

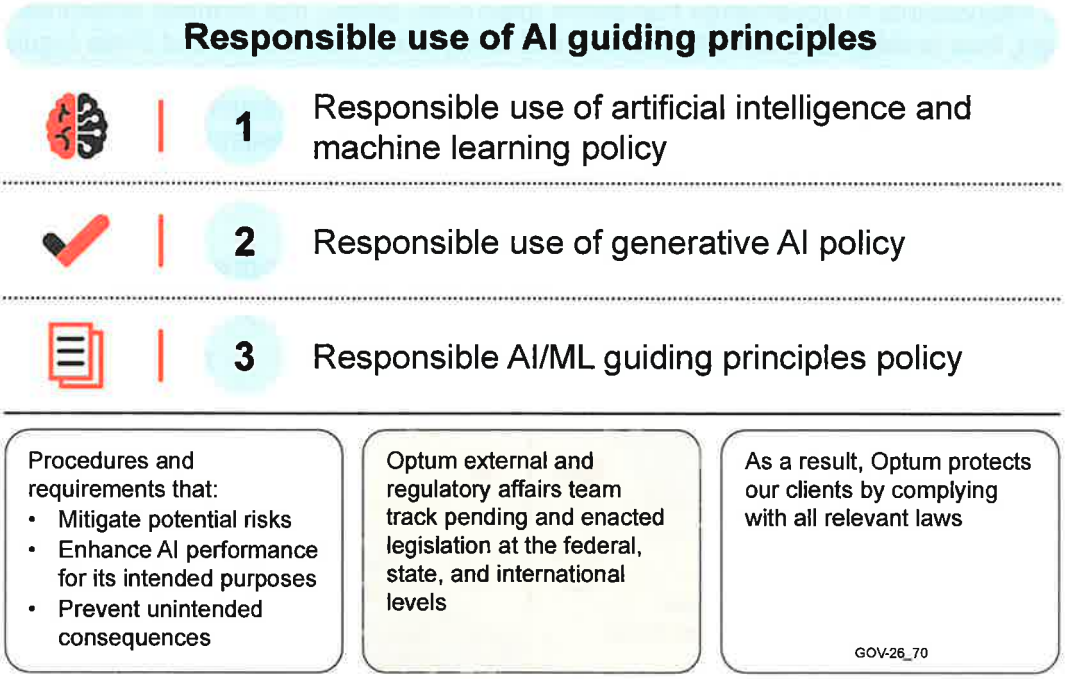


Figure 45: Optum AI guiding principles.

We bring a comprehensive AI/ML governance structure that for an extra layer of client confidence in Optum.

This extra layer of review and governance will give the State assurance that AI/ML development:

- Complies with federal and State laws
- Supports DoIT guidelines for AI/ML

- Tests and confirms that bias is removed, and more

Our focus on AI/ML governance is one of the ways we can show you that our work is of the highest quality, meets your goals and KPIs, and safeguards your customer data.

Specific examples of AI/ML experience at the state level

As an early adopter of AI, we demonstrate our capabilities across a broad portfolio of initiatives, projects and offerings, most recently for government technology clients such as Minnesota, Colorado and Arkansas as well assisting state agencies in identifying and integrating tools in operational efficiencies or service delivery.

Minnesota IT Services (MNIT) & Department of Human Services (DHS) prepay review

Related applicability Goal 2, Effective Maintenance and Operations Management or Goal 6 Continuous Improvement and Adaptability for policy driven modifications

This use case demonstrates the qualifications of Optum to develop and support policy driven AI that would apply to our capability to use AI to identify and analyze data and information relative to modifications, enhancements or program policy.

Our AI framework combines ML, natural language processing and graph-based models to support proactive, scalable Medicaid program integrity. Our product system detects anomalies, uncovers hidden relationships and interprets unstructured data such as medical records and case notes to identify potential fraud, waste and abuse. When Minnesota came under scrutiny Medicaid FWA in 2025, they chose Optum to quickly help them to take action. Within 90 days, Optum supported Minnesota in implementing a pre-payment program integrity framework to prevent FWA. As part of these efforts, we provided the State with a Rapid Response Team to deploy a hybrid pre-pay solution, a Claim Editing System (CES) assessment, and delivery of a Vulnerability Assessment.

Using our AI Policy to SQL generator, we accelerated the development of 192 analytics to provide a comprehensive evaluation of FWA across 14 high risk programs for the State. Over 46 months of claims data, we identified more than $52.3 million in direct recoveries in these high-risk programs, significantly reducing analytic development time by up to 75%. Early Intensive Development and Behavioral Intervention (EIDBI), Non-Emergency Medical Transport (NEMT), and Night Supervision, and Individualized Home Supports were the biggest programs in recovery due to policy violations. We supported the identification of FWA patterns and vulnerabilities, measured estimates of cost avoidance and recoveries, provided recommendations for pre-payment prevention and process improvements, and set up pre-payment infrastructure. This efficiency tool and its capabilities streamline the creation of fraud and abuse detection algorithms, transforming complex policy language into actionable queries that deliver immediate value.

Colorado Provider Services Call Center

Related applicability Goal 5: Process Automation and Operational Efficiency: advanced automation

Optum performed design, development and implementation services for the Colorado Provider Services Call Center. In this example, Optum provided AI, Telephony and CRM technology solutions along with the operations staff to support providers with billing, claims, eligibility, enrollment and technical support. This transition required coordinated planning and ongoing collaboration with the Colorado Department of Health Care Policy and Financing (HCPF) and other partners to confirm continuity of service and minimal disruption to providers. We applied AI to our One Assist solution for customer service centers. We designed and implemented conversational AI for our State government clients, implementing Kore.ai. to enable powerful voice and digital virtual-agent experiences, smooth handoff between bots and agents and enhanced agent-assist capabilities. Along with our AI product team, Kore.ai was engaged to design, implement and test conversational AI experiences for the Colorado Provider Call Center program, including development, testing and deployment of provider focused use cases. During this implementation, Optum worked with other State vendors to integrate via API to their systems for data sources to fuel and drive intelligent AI responses.

Our end-to-end solution connects NICE CXone with Kore.ai to route provider calls, identify call intent, securely collect and validate provider information through APIs, retrieve provider records from external systems, and either resolve the issue through AI or transfer the call to a live agent when needed. These capabilities improve caller access, increase consistency, and support continuous improvement in contact center performance.

Arkansas DSS

Related applicability Goal 5: Process Automation and Operational Efficiency: advanced automation.

Related applicability to Goal 3 Objective: Documentation - documentation processes to achieve seamless operation.

The Arkansas DSS project team is committed to advancing modernization with AI. Central to our modernization strategy is the continuous integration of reliable, forward-looking AI innovations. The team is actively working to incorporate advanced technologies that will strengthen the platform and support its evolution. Currently, we have 2 advanced AI implementations. These upcoming enhancements are expected to further solidify the DSS platform's position as a leader in technological innovation.

AI Query will provide users with an interface to talk to the data using search engine-like functionality. Users will not need to know SQL or other data query languages to provide simple yet meaningful analytics. Using an easy to use "Search Query" box the user will simply type a natural language question in the English syntax. The Chat Assistant will interpret the query, and provide an understandable, clear answer – while also offering links to view the SQL and result table for quality control. This feature demonstrates how AI Query not only understands the user's intent but also translates it into actionable insights and technical outputs. At proposal submission time the AI Query is in the pre-production stage pending Optum AI Governance review and then to final State AI Governance review before production release.

Additionally, as part of our ongoing commitment to delivering cutting-edge enhancements, the Arkansas team is working on a powerful new AI capability designed to make documentation more accessible and actionable. AI Help will leverage advanced retrieval-augmented generation (RAG) powered by large language models to intelligently process your documentation and deliver precise, context-aware answers to our Arkansas DSS team's questions. Integrated seamlessly into the Analytics Engagement Platform, this feature will empower users to quickly locate the information they need, boosting productivity, reducing search time, and enhancing overall user experience. AI Help will empower users to ask natural language questions directly against the user documentation in the AME DSS. By integrating data dictionaries, user manuals, training guides and other reference materials, AI Help will create a centralized, intelligent knowledge base. This will allow users to quickly access relevant Help information, improving usability and reducing time spent searching for answers.

Montana Provider Services Module

Related applicability Goal 5: Process Automation and Operational Efficiency: advanced automation.

Related applicability Goal 6: Continuous Improvement and Adaptability for policy driven modifications.

This use case demonstrates the qualifications of Optum to develop and support advanced AI solutions to provide advanced automation and continuous improvement and policy related adaptability.

Optum is actively collaborating with the State of Montana to explore advanced AI/ML solutions for provider enrollment, including voice-enabled virtual assistants, AI-driven document pre-fill, adaptive enrollment interfaces, and generative AI advisors to streamline and enhance the enrollment process.

AI virtual assistant guided enrollment (voice enabled): A conversational, voice enabled digital assistant guides providers step by step through the enrollment process. It validates information in real time, answers contextual questions, and surfaces only the relevant fields. This reduces overall application time, prevents common errors, and provides intuitive experiences for providers of varying technical skill levels.

Intelligent document-driven pre-fill: Providers may upload key documents (e.g., licenses, W 9s, certifications), and AI securely extracts and prepopulates corresponding application fields. This minimizes manual entry, increases first pass completeness and shortens overall submission time, while maintaining full alignment with CT METS policies and validation rules.

Adaptive enrollment UI engine (AI-powered enrollment UI simplification): Reimagines the provider experience from traditional form filling to an adaptive, guided workflow. The interface groups related sections, applies progressive disclosure and incorporates contextual guidance that changes in real time based on provider type, program enrollment choices and previously provided information. When combined with Document Agent prefill and the Chat/QA assistant, the UI minimizes manual entry, prevents common errors, and accelerates completion, reducing administrative effort, improving provider satisfaction and shortening end to end enrollment timelines while preserving all State rules and downstream processes.

Provider enrollment advisor (Generative AI for first pass enrollment approval, reducing application returns and accelerating provider onboarding): Using Generative AI to identify missing or critical information during the application and prompt providers in a decision assistive format before submission to:

- Analyze historical enrollment patterns (e.g., Provider Type, Taxonomy, Program, Location) to predict common return reasons and provide real-time guidance.
- Provide non-binding recommendations that improve completeness while preserving all existing decision-making rules and program integrity requirements.

Artificial intelligence (AI) and machine learning (ML) in testing

Related applicability to Goal 2 – Objective: Scalable Testing and Implementation Approach.

Our commitment to advancing software quality has resulted in a series of patented technologies designed to improve testing efficiency, accuracy and scalability while reducing manual effort. We can leverage our cognitive test designer and artificial SME for automatically generating test cases based on dynamic learning from application behavior and using AI-powered predictive analytics to identify high-risk areas of an application and proactively suggest test cases.

Optum connected portfolio of AI-enabled capabilities for state clients

The Optum SGS team is building a connected portfolio of AI-enabled capabilities that improve how teams process information, support customers and providers, strengthen program integrity, and accelerate delivery. The work is framed as a reusable capability foundation rather than a set of individual pilots: document understanding, translation, call intelligence, provider and authorization workflow support, program integrity analytics, audit evidence review, forms automation, delivery productivity and responsible AI practices that keep these capabilities trusted, explainable and human-governed.

AskPATH renewal agent

- Read renewal forms and extract key fields
- Prepare worker-ready summaries for review
- Flag exceptions for worker review and approval

The following table provides details and uses cases relative to the capability areas, including a use case for WV PATH for forms translation and modernization.

Capability area	Details	State use cases
Document AI and intelligent intake	Document AI is a shared Optum capability for **reading, extracting, validating, and structuring information from complex documents**. It supports workflows where teams must interpret forms, support documentation, case materials and provider submissions quickly and consistently. **Capability intent:** turns unstructured documents into structured, workflow-ready information that can support intake, review, routing and decision preparation. **What it does:** extracts key data, identifies required information, supports validation and prepares document insights for downstream workflow actions. **Operating value:** faster intake, fewer manual lookups, more consistent review, better data quality and a stronger foundation for workflow automation. **Business impact:** reduces document-handling friction, improves consistency and creates a reusable foundation for AI-enabled workflow automation.	**Massachusetts/ MassHealth**

Capability area	Details	State use cases
AI-enabled language access	AI-assisted **language translation** provides scalable multilingual support for service interactions, helping teams communicate more effectively with customers who need language assistance. **Capability intent:** provides more consistent, integrated translation support inside customer service workflows. **What it does:** supports translation of customer interactions and service content so agents can engage more clearly and consistently across languages. **Workflow integration:** embeds translation support into contact-center workflows where teams already operate. **Operating value:** improves language access, reduces interaction friction, more scalable multilingual support and provides a better customer experience.	**Arkansas Independent Assessment** **New York City Health and Hospitals**
Call intelligence and service quality	AI-enabled call summarization and call quality review capabilities **help customer interactions** become easier to capture, review, coach and measure. **Call summarization:** creates structured summaries of customer interactions that reduce after-call documentation burden and improve continuity of service. **Quality review support:** helps surface call patterns, potential quality issues, and coaching opportunities without relying solely on manual sampling. **Supervisor and agent support:** gives teams clearer signals for coaching, trend identification and continuous service improvement. **Operating value:** enables better visibility into customer needs, more consistent quality management, and a foundation for service improvement analytics.	**Currently consulting with customers on use cases**
Provider and prior authorization intelligence	Provider and prior authorization work is a natural fit for AI because it combines high document volume, **policy-driven review,** missing-information follow-up and complex operational handoffs. **Provider workflow support:** supports provider enrollment, credentialing and verification where document extraction/validation can reduce manual review. **Prior authorization support:** applies AI to extract required information, identify gaps and help reviewers prepare for policy-driven determinations. **Multi-agent assistance:** coordinates discrete workflow steps such as intake, validation, exception identification and follow-up preparation. **Operating value:** reduces administrative burden, faster review preparation, stronger consistency and better visibility into incomplete or exception-based submissions.	**Massachusetts/ MassHealth**
Program Integrity intelligence	Optum Program Integrity AI focuses on **proactive risk identification,** anomaly detection, investigative efficiency and better prioritization of analyst attention.	**Massachusetts/ MassHealth**

Capability area	Details	State use cases
	• **K-Means 4D normative model:** identifies outlier patterns against peer behavior and creates a foundation for targeted review. • **Virtual Investigator:** supports investigative triage by reviewing analytic outputs, organizing relevant signals and generating explanatory narratives for human review. • **Network analysis:** explores relationships among providers, members, affiliations, addresses, referrals or other entities that may reveal risk patterns not visible in isolated records. • **Spike analytics enhancement:** uses anomaly detection, including Isolation Forest modeling, to flag unusual changes or emerging areas of concern. • **Operating value:** earlier risk detection, more focused investigations, clearer lead narratives and better use of scarce program integrity expertise.	
AI-assisted audit support	The Optum AI-assisted audit capability for program integrity teams helps **auditors review documentation,** apply audit logic, surface supporting evidence and prepare structured outputs. • **Evidence support:** helps locate and organize source evidence to support audit questions and review logic. • **Workflow fit:** exports results into standard audit templates, reducing disruption to existing review practices. • **Human control:** auditors retain final decision-making authority with AI serving as a review, evidence and preparation assistant. • **Operating value:** faster audit preparation, more consistent evidence review, improved traceability and stronger audit defensibility.	**Massachusetts/ MassHealth**
Forms translation and modernization	Forms and translation automation demonstrate how AI can support form **modernization** while improving language access, consistency and speed. **Capability intent:** creates a repeatable method for translating and reviewing forms and related content. **What it does:** combines translation workflows, review support and implementation-ready outputs to help teams update forms with greater consistency. **Operating value:** improves accessibility, reduces translation and implementation effort, provides form consistency and adds reusable form modernization.	**WV PATH**
Delivery productivity accelerators	Optum applies AI to the delivery engine. These productivity accelerators **help teams move faster from requirements to implementation** and improve quality across testing and documentation. • **Developer productivity:** AI support can help with code assistance, analysis, documentation and repetitive engineering tasks.	**WV PATH**

Capability area	Details	State use cases
	• **Requirements and testing:** AI-enabled requirements analysis, test-case generation and automated testing strengthen consistency and reduce manual effort. • **Delivery enablement:** applies these accelerators across software delivery where requirements clarity, testing stability and repeatable planning are critical. • **Operating value:** faster delivery cycles, better test coverage, more consistent artifacts and an internal productivity model scale with the broader AI portfolio.	

Additional enterprise-wide AI government use cases

Interaction Analytics (NICE CXone)

Interaction Analytics helps organizations turn everyday customer conversations into actionable business insight by **automatically analyzing** voice and digital interactions at scale. The Interaction Analytics feature within NICE CXone uses linguistic and AI-driven analytics to convert interactions into searchable data, enabling leaders to identify trends, customer sentiment and key topics across 100% of interactions, not just a small sample. This gives contact centers a much clearer view of what customers are experiencing, where friction occurs and which issues most impact satisfaction, retention and first-contact resolution. By making these insights accessible through visual dashboards and workspaces, Interaction Analytics supports faster, more informed decision-making about how to manage the operation of the platform. As a result, Interaction Analytics becomes a foundational capability for organizations looking to drive measurable CX improvements while scaling operations more effectively.

Optum Insight training

Optum leverages Zenerate, an AI-powered training platform that enables learners to develop call center skills through immersive role-play and simulated call interactions. The platform integrates conversation, screen, and chat simulation to replicate real-world call center environments and reinforce established call handling best practices. Through these interactive simulations, learners build both technical proficiency in system navigation and data entry as well as customer communication skills. Zenerate is supported by pre-built, role-based curricula that address the full range of user needs. For example, Zenerate can **simulate eligibility inquiry calls**, benefits explanation scenarios and case update workflows, allowing staff to practice navigating systems while engaging with realistic customer scenarios prior to production use.

This approach accelerates staff readiness and adoption by providing hands-on, experiential learning aligned to real business processes. By reinforcing skills through simulation and targeted refresher training, Optum makes sure users are equipped to perform effectively from day one and throughout system adoption. Zenerate reduces the learning curve for both system functionality and customer engagement, supporting a smoother transition of business operations and minimizing disruption during implementation. For example, staff can practice handling high-volume call scenarios, resolving complex member inquiries, and completing end-to-end workflows in a controlled environment, resulting in **improved accuracy**, reduced call handling time and greater confidence at go-live. The structured, role-based training model makes sure all user groups receive relevant, tailored instruction, contributing to improved performance, reduced errors and stronger overall service delivery outcomes.

Our current implementations of Zenarate utilizes the Standard AI engine within Zenarate that listens to agents' responses and provides them with pre-programmed responses and provides real-time coaching and feedback. Our use of the AI-powered training platform includes the following recent and proven successful state government training:

Arkansas customer service representative new hire training

During new hire training, new agents have the opportunity to practice all parts of inbound and outbound call handling: opening/greeting, booking appointments, documenting call outcomes and closing the call using Zenarate simulations. During the call simulations they simultaneously practice screen inputs and chat interactions to realistically mimic their processes.

Massachusetts provider team training

The Massachusetts training curriculum includes several different custom roles-specific Zenarate simulations:

- Provider Service Center agents practice handling inbound and outbound calls, monitor chats, and handle other online inquiries related to claims and prior authorizations.
- Prior Auth Utilization Management agents are clinical roles that practice outbound calls to providers who have submitted a prior authorization that needs attention or additional details for processing.
- Targeted Provider Coordination Member Services agents are their non-clinical counterparts, also practicing outbound calls to providers for information related to their submitted prior authorizations.

For future contracts, the training team will utilize the new Zenarate Advanced AI engine that presents different customer personas and conversations that branch in different directions, teaching agents to think on their feet and prepare for live customer calls and chats.

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Enhanced Reporting and Analytics Experience *Section 4.3.1.2*

Optum offers extensive experience designing, implementing and supporting advanced reporting and analytics capabilities for large-scale government HHS programs. Across engagements, we have delivered enterprise reporting frameworks, interactive dashboards and scalable analytic environments that integrate data from diverse sources, including Medicaid, SNAP, TANF, CHIP and other social service programs to provide timely, accurate and actionable insights. We provide comprehensive services for developing and maintaining enterprise dashboards for the 11 HHS programs we service.

Within Optum, our EDW/data and analytics business combine data integration, business intelligence tools, and stakeholder-centered design to deliver reporting solutions that meet federal and State requirements while strengthening program administration, performance monitoring, and decision-making. Our enterprise data warehouses, data visualization platforms, and operational reporting modules help agencies turn complex data into actionable insights that improve oversight, compliance, and outcomes.

We also design our reporting and analytics solutions to evolve alongside changing client needs, policy requirements and regulatory environments. By maintaining flexible architectures, supporting ad hoc as well as ongoing, managed reporting and collaborating closely with State stakeholders, we support our clients with advanced automation and reporting capabilities that help reduce administrative burdens, timeliness and the evolving changes for federal and State compliance. Optum gives customers the resources and tools to systematically manage the data and analytics that transform program outcomes.

The following table shows an example of the human services data we leverage in our EDW client data, reporting and analytics solutions.

Programs, data sources and data characteristics	State data warehouse reporting and analytics							
	IN	AR	CA	IL	MI	NJ	NY	VA
SNAP	✓			✓	✓	✓		
Public assistance, including TANF	✓		✓	✓	✓	✓		
Medicaid, MAGI or Non-MAGI	✓	✓	✓	✓	✓	✓	✓	✓
CHIP	✓	✓	✓	✓	✓	✓	✓	✓
Health Information Exchange/ACA coverage	✓	✓	✓	✓	✓		✓	✓
Tax Credits and QHP	✓	✓			✓		✓	
Child Support Services	✓		✓	✓	✓			
Adoption		✓	✓		✓			✓
Childcare Services			✓	✓	✓	✓		✓
Foster Care		✓	✓		✓			✓
Adult Protective Services					✓			
Special Supplemental Nutrition Program for WIC	✓		✓	✓	✓			✓
Low Income Home Energy Assistance Program (LIHEAP)					✓			

The following examples from our Indiana, New Jersey and Michigan clients demonstrate our proven ability to deliver advanced reporting and analytics solutions that improve client's insights, enhance analytics and support effective program administration.

DCS Child Support reporting and analytics: Indiana

In Indiana, our team's experience includes working closely with State policy owners to define and maintain the different State and federal reports. Our team has worked with State executives in reporting metrics related to Medicaid Eligibility Determination and Operations. This was critical throughout the COVID pandemic and after. The core data is from the IEDSS. We bring expertise and extensive knowledge and expertise of the DCS Child Support system. Some key reports include:

- ACF199, ACF204 and ACF209
- OCSE157 Child Support Enforcement Annual Report
- OCSE34 Quarterly Report of Collections
- SNAP Quarterly Wage Report
- SNAP E&T Reports
- TANF Federal ACF199
- TANF Work Participation metrics to all DFR to track the federal work requirement
- Eligibility applications and Recertification timeliness
- FNS major change report metrics
- Division of Aging including the National Aging Program Information System Report (NAPIS)
- County Performance Reports/Maps calculate and provide a graphical view of KPIs by county for the Child Support Bureau
- Undistributed Collections Work Reports to help narrow down the list of cases to focus workload
- Child Welfare Report on psychotropic drug use that leverages probabilistic matching to identify Medicaid population who are in the Child Welfare System and OMPP EDW that adds psychotropic drug use data to provide a complete picture
- DCS On-Demand reports: A self-serviceable dynamic report, which lets the State make a series of custom selections of readily available and pre-calculated criteria, to see a custom set of Child Support cases and related data that matches the criteria; immensely reduced the number of help desk tickets that the Child Support system used to receive from the county users
- Canned reports covering wide area of Child Support system
- Healthy Families and Community Partners Indiana provides metrics to measure the effectiveness of prevention programs that use the SSDW probabilistic person matching results
- Eligibility data reporting that provides metrics for applications intake and processing, recertification processing, eligibility determination data and appeals data

Comprehensive suite of dashboards: Michigan

Optum worked with the State of Michigan to build the first Medicaid data warehouse in the country, beginning with approximately 50 users in 1994. With our continued help as the prime contractor, the State now has a comprehensive EDW that encompasses data from more than 20 agencies across multiple State departments, including Michigan Department of Health and Human Services (MDHHS), the Department of Treasury, and the State Court Administrative Office. Optum has worked with the State to expand the EDW databases and integrate Medicaid and human services program data from multiple programs and data sources, including Temporary Assistance for Needy Families (TANF), Supplemental Nutrition Assistance Program (SNAP), related Electronic Business Transactions (EBT) Women, Infants, Children (WIC), and Behavioral Health. The EDW also includes other data and reporting, relative to courts, licensing, wages and taxes. These data feeds are integrated into a single environment. A unique member identifier facilitates a person-centered view of data across programs and agencies, which is vital since many members are enrolled in multiple programs.

MDHHS has leveraged their EDW to improve programs, services and health outcomes through programs like CareConnect 360. This initiative is an example of our partnering approach to modernizing the delivery of care via integration of data across HHS programs. CareConnect 360:

- Leverages the Michigan EDW to improve the health and safety of Michigan's nearly 13,000 children in foster care, 95% of whom are covered by Medicaid.
- Integrates medical, dental, pharmacy, behavioral, demographic, human services, SDoH and other data for a comprehensive 360-degree view of individual care needs.
- Provides the capability for MDHHS, managed care plans, community health workers, foster care and juvenile justice workers to monitor, analyze and improve the care foster children receive.

Michigan's use of the EDW has evolved dramatically, from collecting and compiling data, to applying more advanced analytic capabilities. The expanded use has translated into significant cost savings and improved outcomes in a multitude of programs and service areas. The EDW helps Michigan track fraud and abuse, conduct data analysis, interpret patterns, identify cost efficiencies, and predict future healthcare needs and priorities.

Dashboards and visualizations: New Jersey

For New Jersey, Optum developed, maintains and enhances the Shared Data Warehouse (SDW) as the prime contractor. As part of our SDW efforts, we worked with the State on their pilot initiative, Perinatal Episodes of Care, to improve the quality of pregnancy-related care delivered within the State's Medicaid and CHIP program, from the prenatal period through the postpartum period. In this initiative, providers of obstetrical care are financially incentivized to oversee care and spending for their patients. Claims-based metrics are used to determine the quality of perinatal and neonatal care. Providers who meet quality expectations and minimum episode spend are eligible for financial incentives, including shared savings, top performer bonuses and SUD participation incentives for providers who care for a high volume of patients with a SUD diagnosis. Optum implemented a set of provider performance reports and dashboards to track provider performance, operationalizing a value-based payment model for the Perinatal Episodes of Care initiative.

Another example is where Optum replaced a legacy application with a modernized solution called HealthFocus, to help case workers, nurses and other care coordinators monitor the care provided to at-risk minors who are currently foster children or are undergoing the foster-family placement process. HealthFocus is a state of the-art, scalable, cloud-based system that aggregates vast amounts of data from the SDW for analysis. When a child enters foster care, conflicting information may exist about the child's medical care. Using secure encryption technology, nurses and care coordinators can access health and pharmacy claims, demographic and eligibility information, and primary diagnoses via the HealthFocus solution. HealthFocus verifies information such as the last provider(s) the child may have seen and medications prescribed. Nurses also can determine necessary follow-up care and any ongoing needs. The HealthFocus application provides secure log-in and a simple user experience, including easy-to-use dashboards and other visualizations and intuitive search functionality, so that nurses and care coordinators can access information from mobile devices while they are in the field.

Staffing Structure Section 4.3.1.4

Our proposed staffing structure reflects your operational priorities and requirements for the WV PATH solution. We bring highly qualified key staff who you know. The team will be ready Day One to continue to fulfill your vision for WV PATH's three near-term strategic priorities of completing the retirement of legacy mainframes, achieving full CCWIS compliance for Child Welfare, and securing federal certification for the Child Support system. Other offerors may propose junior or entry-level staff, allowing them to learn on the job. Our approach provides you with staff that have specific WV knowledge and skills as well as decades of experience maintaining and operating eligibility projects for programs under CMS, HHS and other state agencies. There are significant details regarding staff build up in **Attachment B: Basis of Estimate Narrative**

Making a difference for a thriving and healthy West Virginia

Our employees live and work in your communities. With a workforce deeply rooted in WV, our employees not only support business operations but also actively contribute to the well-being of your local communities. Through our UnitedHealth Group combined efforts, we have volunteered and served in your local communities. Our WV employees have logged more than 15,193 employee volunteer hours.

Structured and proven staffing approach

Our staffing approach introduces a structured and dedicated team aligned to the complexity and criticality of the WV PATH environment. The proposed staffing model is composed of Key Staff, support staff, and additional personnel to support ongoing maintenance, operations, federally mandated changes and State-prioritized enhancements. Key Staff roles are filled by experienced personnel assigned to provide continuity and leadership across all functional and technical areas, while specialized support staff deliver targeted expertise for critical activities. This structure reflects a commitment to dedicated staffing, clear role alignment, and the ability to scale resources in response to workload demands and evolving program priorities, providing a stable foundation for effective project management and operational performance.

We strive to retain and leverage a blend of Key Staff members who have existing, strong relationships with their counterparts in DoHS and its stakeholders. We will also add new team members to provide a fresh set of eyes and capitalize on opportunities to apply new best practices, lessons learned and innovative solutions.

As the incumbent, our staff have established a strong track record in delivering impactful solutions and services for the State. We will continue to provide you with the same high level of performance you have received, while expanding our proven processes to support your goals and objectives.

Experience that counts

The Optum team combines extensive expertise in modernization, cloud migration, technology innovation, and operational support with unmatched knowledge of the WV PATH program. Beyond meeting the State's foundational requirements, our team is uniquely positioned to accelerate modernization efforts while ensuring continued compliance, operational stability, and program success. The proposed team includes many familiar and proven resources who collectively bring 87 years of direct State of West Virginia experience. Importantly, 10 of our 12 key personnel have worked directly on the WV PATH program, providing valuable institutional knowledge, established stakeholder relationships, and a streamlined transition with minimal ramp-up time.

Key staff

Our proposed Key staff collectively hold each of the skills, certifications and technical experience requirements outlined in your RFP, including CISSA, CISSP, PMI Project Management Professional (PMP) and many other industry certifications such as Certified Scrum Master, CPM and SAFe Agilist 5. The team provides you with a high-performing, collaborative, responsive group of managers who will provide reliability, expertise in child welfare, eligibility, child care and child support, as well as in depth knowledge of WV PATH. The team provides you with expertise that is unmatched by any other vendor. **Figure 46** shows our proposed Key Staff.

Figure 46: Proposed M&O key staff
Our key team provides in depth knowledge of WV PATH program, polices and solution for continued service to the State and its stakeholders.

Anchored with your proposed M&O key staff, our organizational approach provides you with a sound framework for a low-risk project for DoHS. **Figure 47** illustrates the proposed functional business organization for the WV PATH Maintenance and Operations.

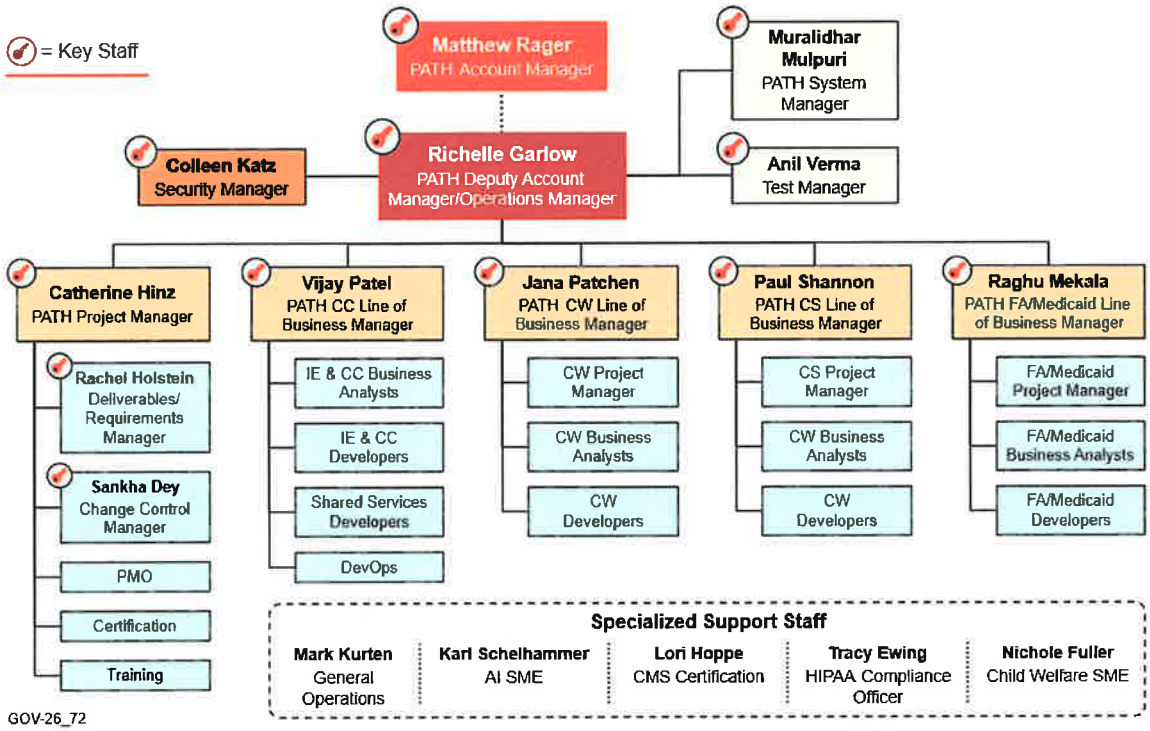

Figure 47: Proposed M&O functional organization chart
Our organizational team approach provides DoHS with integrated business modules focused on continued successful operation of services for West Virginians.

Surge planning

The experience gained from our current WV PATH engagement provides us with insights into the challenges associated with anticipated surges in volume and resource demands and incorporates this understanding into its staffing approach. Our staffing plan accounts for fluctuations in workload and is structured to support ongoing assessment of resource needs, with periodic reviews conducted in collaboration with the Agency to maintain alignment with operational expectations. We emphasize transparency and open communication throughout this process, working closely with the client to evaluate staffing adequacy and adjust as needed. In recognition of the Agency's authority, Optum acknowledges that the Agency may require updates to the staffing plan if it determines that staffing levels are not sufficient to meet contractual expectations and will coordinate closely with the Agency to address any such needs.

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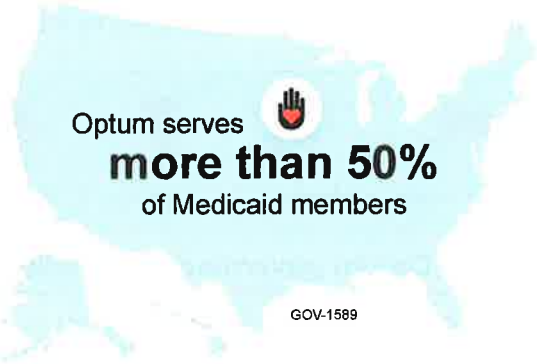
Reliability and Experience *Section 4.3.1.5*

Optum has a longstanding commitment to state government services, innovative technology and deep subject matter knowledge, enabling us to consistently exceed qualification and experience requirements. We provide reliable, integrated solutions that improve health outcomes and streamline operations. Advancing health and human services (HHS) systems and supporting the needs of agencies, providers and members nationwide is a core focus at Optum.

Our commitment to state government services, innovative technology and deep subject matter knowledge has been demonstrated in West Virginia since 2016 when we assumed responsibility for your (RAPIDS) eligibility system. While the prior vendor provided no transition or knowledge transfer to Optum or the State at the time, our experience, knowledge and ability to effectively work with multiple WV agencies governing these programs demonstrated that we have the qualifications, knowledge and technology to be WV's partner for the future.

For more than 30 years, clients have relied on us for technology solutions, operations experience and in-depth HHS knowledge. Our solutions help clients manage programs for over half of the U.S. Medicaid population, including supporting millions of members, their families and providers. This distinguishes us from other vendors who focus mainly on technology or boutique services.



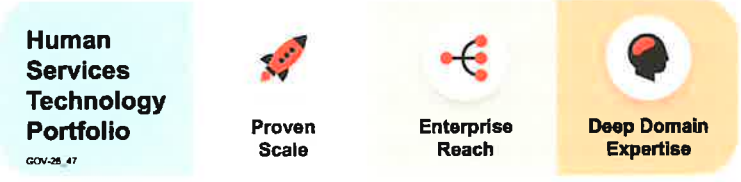
We serve Medicaid and HHS agencies with skilled leadership, innovative technology, eligibility expertise, policy knowledge and a deep commitment to client satisfaction.

Optum is unmatched in scale and a committed, strong and reliable vendor for implementing, maintaining and enhancing solutions and services that modernize the nation's HHS systems. With our experience supporting clients, including state agencies of all sizes such as West Virginia DoHS, Optum has the resources and expertise to help agencies improve health outcomes and reduce costs.

A Trusted Partner to State Programs

Optum has worked in collaboration with clinicians, provider organizations and public sector stakeholders to design and manage solutions that meet state and federal requirements while remaining responsive to local community needs. Optum services have evolved alongside state healthcare programs, supporting service delivery transitions, expansion of Medicaid populations, and increasing emphasis on value-based and outcome-driven models. This experience enables Optum to partner effectively with states to build scalable, compliant networks that promote continuity of care and access across urban, rural and underserved areas.

Our approach emphasizes sustained collaboration with providers rather than transactional network participation. By offering standardized enrollment processes, centralized support tools and ongoing education, Optum helps providers successfully participate in state programs while reducing administrative burden and supporting long-term network stability.



Our Human Services technology portfolio delivers foundational capabilities that support the full breadth of UnitedHealthcare business lines. We operate and support high-volume, mission-critical platforms that providers, internal users and downstream systems rely on daily to assure accurate directory display, referral routing and enrollment outcomes.

As a long-standing partner to state health and human services agencies, Optum brings 30 years' experience supporting Medicaid, CHIP and other publicly funded programs. Its national provider ecosystem includes approximately 90,000 physicians, 40,000 advanced practice clinicians and more than 2,200 care locations across the U.S., enabling robust access and regulatory alignment.

We have also led federal projects as the prime contractor and operator of the Federal Data Services Hub for HealthCare.gov, as well as with Medicaid eligibility exchange projects for Maryland and D.C, as well as New Mexico's State-based marketplace. After seeing our success with the HealthCare.gov project, several states engaged us to help resolve issues with their eligibility and enrollment platforms as illustrated in **Figure 48**.

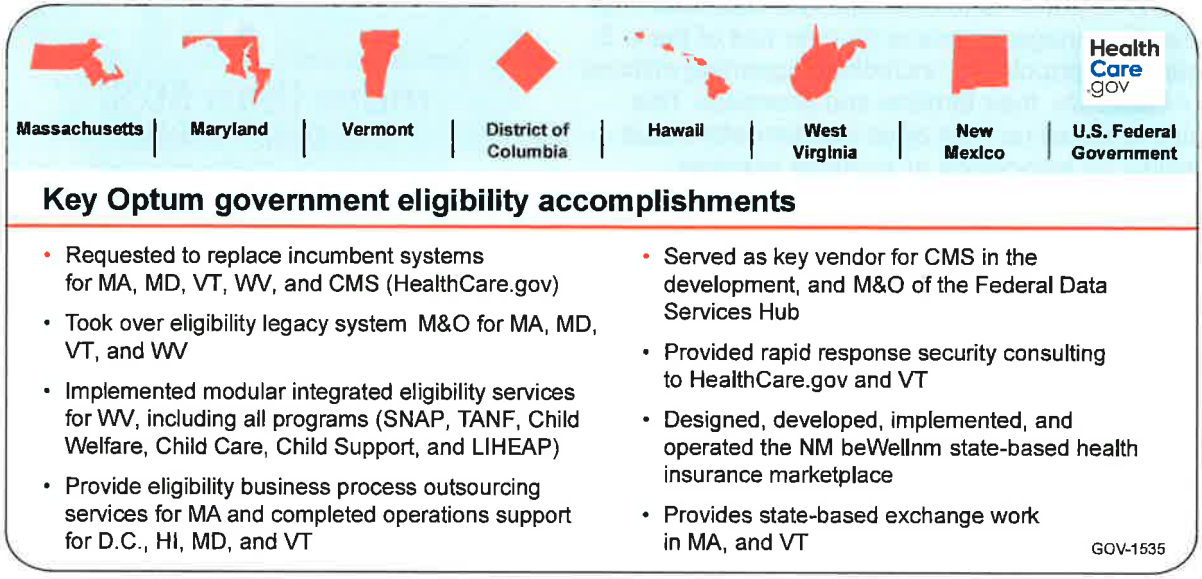


Figure 48: Optum eligibility accomplishments.

Serving federal and state agencies with skilled leadership, innovative technology, eligibility expertise, policy knowledge and a deep commitment to client satisfaction.

Throughout our proposal response we provide details on how our portfolio of work managing maintenance and operations (M&O) with government entities helps you achieve similar goals and objectives, including:

- ✔ Well-coordinated transition of operations
- ✔ Effective M&O management
- ✔ Project management and documentation
- ✔ Modernization and scalability
- ✔ Process automation and operational efficiency
- ✔ Continuous improvement and adaptability

Organizational profile

As a comprehensive healthcare and human services (HHS) company, Optum connects the entire HHS system and is uniquely positioned to bring together advanced data and technology capabilities with industry expertise. We will leverage our cross-industry relationships to help you achieve goals and objectives and share insights that are embedded in our culture, teams and technology. Shown in **Figure 49**, our people serve the entire healthcare and HHS system, providing technology modernization, operational efficiency, innovation and thought leadership.

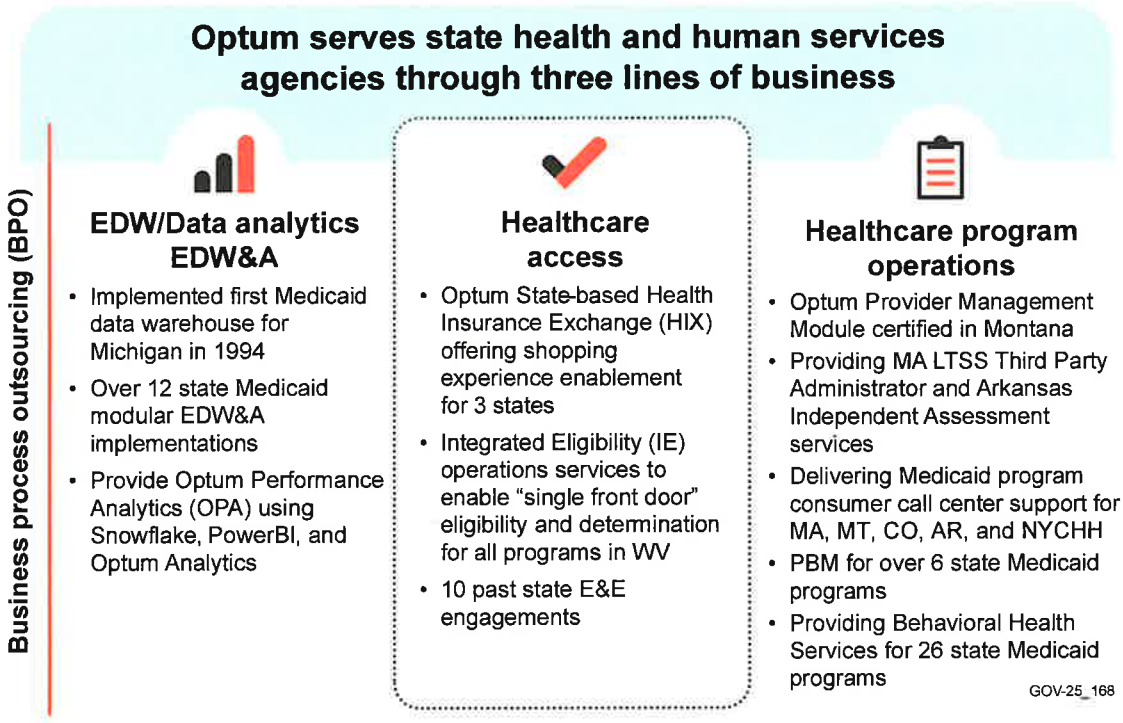


Figure 49: Optum primary business products and services.

Our HHS portfolio is comprised of healthcare program access which is a primary business pillar within Optum Insight's solutions and services.

Optum delivers a comprehensive portfolio of services that support integrated eligibility, child welfare, TNAP, SNAP, child support, child care, federal systems services, health insurance exchanges and data and analytics solutions. Together, we provide services that help our clients support key services like benefit applications, eligibility assessments, case tracking, case management, service delivery, financial management and provider management while helping them meet State and federal goals, access and cost containment.

Described in 4.3.2.1 we provide outstanding support and development of your WV PATH solution. Our Vendor Reference Forms to support our reliability and experience are in section 4.3.1.3.

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Key Staff Roles Sections, 4.2.2.29, 4.3.1.4, and Appendix IV: Staff Qualifications, Experience, and Responsibilities

State Name, Years of experience, Degrees, or Certifications and describe their relevant experience for each of the below Key Staff Roles.

We have assembled highly qualified Key Staff to align directly with the State's requirement for comprehensive, integrated support of the integrated eligibility system, including ongoing operations, implementation of new and deferred requirements, and support for federal programs and compliance activities. This Key Staff team structure supports coordinated management of system components, program areas and operational functions, while enabling alignment with the State's strategic priorities, including system modernization, compliance with federal requirements, and support for multiple assistance programs delivered through the WV PATH platform. In the key roles that follow, we clearly define qualified cations, experience and defined responsibilities tied to system operations, modernization priorities and multi-program integration across eligibility and case management services.

Our proposed Key Staff resumes are in **Exhibit 3**.

- **PATH Account Manager**

PATH Account Manager, Matthew Rager

Matthew has more than **25 years** of project leadership experience managing multiple DDI and M&O projects. He has successfully led several projects from initiation through statewide implementation and operations of IES projects, as well as Medicaid and HHS program data warehouses. Matthew managed design, development and implementation for the WV IES engagement, modernizing the legacy IES programs, including SNAP, TANF and Medicaid. He was also the program manager for the State of Indiana during DDI the Next Gen Solution. Matthew was program manager for the IN FACTS (Family & Care Through Technology Services) system. IN FACTS provided eligibility task and workflow management for Indiana's legacy IES for Medicaid, SNAP, and TANF programs and statewide deployment and subsequent M&O.

Degrees/Certifications

Matthew holds a BS, Nuclear Engineering, from Purdue University, West Lafayette, Indiana.

Experience qualifications

- ✔ Meets and exceeds 8 years of experience supporting human services departments through his more than 25 years of project leadership with WV, HI, KY and IN FSSA Division of Family Resources – demonstrating Matthew's deep familiarity with State programs, integrated eligibility and management.
- ✔ Exceeds management of organizational unit within human services qualification through 6 years of management as Program Manager for Indiana Eligibility Determination and Services System (IEDSS) project, WV DoHS programs, and leadership executing the full project lifecycle, including delivery, stabilization and ongoing operations.
- ✔ Exceeds experience qualification of large healthcare integrated eligibility setting or Agency as demonstrated by his direct Program Manager role on the WV PATH IES project including integration across Family Assistance, Child Support and Child Care programs.

Responsibilities

Matthew will serve as the primary liaison to DoHS and will provide leadership and oversight for all contract activities.

- Represents the project in meetings, hearings and engagements with legislative and governmental entities, as requested
- Manages integration across programs supported by the eligibility and enrollment (E&E) enterprise
- Maintains strong client relationships and delivers timely, informed responses to inquiries
- Delegates authority to the Deputy Account Manager, as needed, to maintain continuity
- Provides regular status reporting and updates to State staff and designated stakeholders

- **Change Control Manager**

Change Control Manager, Sankha Dey, MBA, PMP

Sankha has more than **20 years** of project and program management experience and extensive expertise in change control governance, program delivery and large-scale technology modernization initiatives supporting healthcare and state government organizations. He has more than 10 years of experience leading formal change control processes, including change request management, impact assessments, governance reviews, approval workflows and stakeholder coordination within highly regulated environments. His background includes leading change control and PMO functions for complex implementation and maintenance programs, including his current work on the WV PATH IES program. He has established and governed change management processes, facilitated cross-functional governance forums, managed requirements traceability and deliverable approvals, and provided executive-level reporting to support informed decision-making. His strengths include change governance, risk and dependency management, organizational change management, stakeholder engagement, regulatory compliance, process improvement and the successful coordination of multidisciplinary teams across state, vendor and business organizations.

Degrees/certifications

He holds an Executive Master of Business Administration in Business Analytics from the University of North Carolina and a Bachelor of Engineering in Information Technology from Jadavpur University, and maintains active Project Management Professional (PMP), as well as Certified Scrum Master, ITIL Foundation, and AWS Cloud Migration certifications.

Experience qualifications

- ✔ Meets and exceeds the required 4 years' IT change control lead experience demonstrated by his more than 20 years of project management roles leading change control and experience of large-scale healthcare where he has served in state government initiatives for WV, CO, HI and NC. These roles include extensive leadership of change control functions, governance and PMO functions.

- ✔ Meets and exceeds the 4 years' experience of change control functions during development and maintenance with over 10 years of DDI/M&O experience managing formal change control functions, including Change Control Boards (CCBs), change impact assessments, approval workflows and governance activities within highly structured environments including WV, CO, HI and NC.
- ✔ Demonstrated experience establishing and maintaining structured change request lifecycle processes, overseeing requirements traceability, change approvals and compliance with contractual and regulatory requirements on state government programs, and healthcare.

Responsibilities

Sankha will be responsible for overseeing and governing all aspects of the change control process to maintain alignment with project scope, schedule and stakeholder expectations.

- Lead change control activities, including change requests, impact assessments and approval workflows
- Develop and maintain change management processes, procedures and approval controls
- Facilitate Change Control Board meetings and coordinate stakeholder review of proposed changes
- Monitor change implementation, corrective actions and change-related reporting to support program oversight

- **Deliverables/Requirements Manager**

Deliverables/Requirements Manager, Rachel Holstein

Rachel is a results-driven Senior Technical Project Manager with over **8 years** of experience supporting large-scale, enterprise-level State system implementations, including direct involvement in deliverables and requirements management for integrated eligibility programs. Proven expertise leading the full lifecycle of deliverables from development and submission through State review and approval, confirming with timelines, SLAs and acceptance criteria. As a Senior Deliverables/Requirements and Communications Technical Project Manager, Rachel serves as the lead for strategic communications and integrated project coordination, while also overseeing end-to-end deliverables management and requirements lifecycle governance for the WV's People's Access to Help (PATH) Integrated Eligibility Project. She directs stakeholder communications, aligns cross-functional teams and confirms traceability and compliance of business and technical requirements throughout the lifecycle, including elicitation, documentation, validation and approval. She also supports alignment with project timelines, SLAs and acceptance criteria, while supporting requirements traceability, design and testing activities.

Rachel's skills include deliverables and requirements management across the full project lifecycle, cross-functional team coordination, stakeholder communication and executive-level reporting to support transparency and informed decision-making. She brings experience with enterprise tools and collaboration platforms, along with strengths in process improvement, risk identification, and project operations within regulated environments. Her background also includes mentoring staff, facilitating communication strategies and supporting project management office functions through structured reporting and documentation practices.

Degrees/certifications

She holds a Bachelor of Science in Communications, with minors in Public Relations and Political Science, from West Virginia State University.

Experience Qualifications

- ✔ Meets and exceeds 4 years in deliverable/requirements management, with 8 years serving in WV roles as Senior Deliverables/Requirements and Communications Technical Project Manager, leading and supporting management of project deliverables and requirements, including coordination of development, submission, review and approval activities aligned to acceptance criteria.
- ✔ Coordinates deliverable lifecycle activities across validation, design and testing phases in her WV roles.
- ✔ Supported management of deliverables and requirements, including development, submission, review and approval processes in her role as Senior Deliverables/Requirements and Communications Technical Project Manager at Optum.

Responsibilities

Rachel will lead the coordination and oversight of deliverables and requirements activities throughout the project lifecycle, supporting alignment between business needs and system implementation.

- Leads activities associated with delivering artifacts to the State from development through review and approval
- Coordinates preparation, submission and tracking of project deliverables across all phases of work
- Assist in requirements documentation activities during the design, development and implementation phases of enhancements and changes
- Supports validation of requirements to confirm alignment with business and program needs

- **PATH Deputy Account Manager/ Operations Manager**

PATH Deputy Account Manager/Operations Manager, Richelle Garlow

Richelle is a program manager and attorney with **more than 10 years of experience** supporting state agencies and leading complex HHS programs, with a focus on Medicaid, public health and program integrity. In her current role as Deputy Account Manager, she is responsible for assisting the Account Manager with the day-to-day management of the **WV PATH IES** operations/account, and providing knowledge and awareness of all issues, concerns and requirements of the project to executive leadership. Previously, Richelle led large-scale public health initiatives for the California Department of Public Health, overseeing statewide operations, financial performance, compliance activities and coordination across cross-functional teams. Rachel's skills include deliverables and requirements management across the full project lifecycle, cross-functional team coordination, stakeholder communication and executive-level reporting to support transparency and informed decision-making. She brings experience with enterprise tools and collaboration platforms, along with strengths in process improvement, risk identification, and project operations within regulated environments. Her background also includes mentoring staff, facilitating communication strategies and supporting project management office functions through structured reporting and documentation practices.

Her background includes serving as General Counsel for the WV Department of Health and Human Resources Office of Inspector General and as Deputy Director of the WV Medicaid Fraud Control Unit, where she led legal operations, supported fraud and abuse investigations, and contributed to program oversight and policy development. Richelle brings experience managing day-to-day operations, supervising staff, maintaining alignment across multi-program service delivery, and supporting federal and State reviews, positioning her to provide continuity of account leadership and operational management in the Deputy Account Manager role.

Degrees/certifications

Richelle holds a Juris Doctor from West Virginia University College of Law and a Bachelor of Arts in English from West Virginia University and has an active Project Management Professional (PMP) certification.

Experience Qualifications

- ✔ Meets 4 years of management experience within a State Human Services Department, where she currently serves as WV PATH IES Deputy Account Manager as well as previously serving as General Counsel for the operations of WV Department of Health and Human Resources (DHHS) Office of Inspector General
- ✔ Leadership of an organizational unit within a Medicaid program integrity and oversight environment, as Deputy Director and lead counsel for the WV Medicaid Fraud Control Unit
- ✔ Management of large-scale, multi-site operations within a State public health program, overseeing statewide service delivery for the California Department of Public Health
- ✔ Experience within large healthcare program environments, managing operations, financial performance and regulatory compliance across complex programs

Responsibilities

Richelle will will continue to provide overall account leadership and operational management, maintaining awareness of program activities, issues and requirements across the integrated eligibility enterprise.

- Serves in the role of Account Manager when needed to provide continuity of leadership
- Participates in day-to-day account management activities across all programs and components of the eligibility enterprise
- Maintains visibility into program issues, risks and requirements to support coordinated decision-making
- Supports integration management across multiple programs and system components within the enterprise
- Fulfills Operations Manager responsibilities, overseeing staff and daily operational business activities
- Provides support for oversight of the design, development and implementation efforts
- Contributes to federal and State review activities, including gate reviews, CMS evaluations and certification-related processes

- **PATH Project Manager**

PATH Project Manager, Catherine Hinz, PMP

Catherine is a project manager with more than **20 years** of experience leading complex information technology initiatives, including over a decade supporting healthcare technology programs for State governments. In her current role as PMO Lead for the WV PATH solution, she manages contract deliverables, change management activities, project schedules and status reporting, while overseeing issue, risk, action item, assumption and decision processes across the program.

She brings experience directing large-scale program and project efforts, including leading business delivery for Child Welfare Social Services and managing internal and vendor team deliverables. Catherine has led implementation and PMO functions for complex eligibility and provider management solutions, and has managed enterprise reporting, risk management and financial tracking activities that support program oversight and decision-making. Her background includes managing multiple concurrent projects, coordinating cross-functional and distributed teams, and applying Agile and traditional methodologies across the full project lifecycle. She is also experienced in resolving project issues, monitoring performance and using data-driven assessments to guide program execution and align activities with contractual requirements.

Degrees/certifications

Catherine holds a Master of Science in Computer Science from Stevens Institute of Technology and Bachelor of Science degrees in Physics and Chemistry from Georgian Court College; and has an active PMI Project Management Professional (PMP), as well as SAFe Agilist 5 and Datameer certifications.

Experience qualifications

- ✔ Catherine meets and exceeds the total of 4 years of experience, with more than 20 years of experience leading complex IT projects, including 11 years of healthcare technology initiatives for State governments in WV and NC
- ✔ As a certified PMP, Catherine has over 11 years managing healthcare technology projects for State programs, supporting eligibility-related solutions
- ✔ Experience managing full project lifecycle activities, including planning, scheduling, deliverables and status reporting as PMO Lead for the WV Integrated Eligibility program

Responsibilities

Catherine will continue to lead project management activities for system implementation and ongoing enhancements, serving as the primary point of contact for the State and coordinating efforts across all project phases.

- Leads project management activities for implementation of the modernized eligibility solution and ongoing enhancements during operations
- Serves as the primary point of contact for the State on all implementation and M&O project management activities
- Coordinates planning, execution and tracking of project activities across all phases of delivery
- Oversees alignment of project activities with scope, schedule and program priorities
- Manages communication and coordination between the State and vendor project teams
- Supports federal and State review activities, including gatepost reviews and certification processes involving CMS and other entities

- **Security Manager**

Security Manager, Colleen Katz, CISSP, CISM, CRISC, CICISO

Colleen is an information and cyber security IT professional with more than **24 years** of technical leadership overseeing the development and operations of advanced security solutions. Colleen and the Optum CSC team will have the support of UnitedHealth Group's enterprise security team, which includes full-time experts certified in security and privacy. As a Certified Information Systems Security Professional (CISSP) and senior manager of information security with Optum, Colleen oversees the security posture across system lifecycles for Customer Contact Centers, Behavioral Health, Health Insurance Exchange projects and Medicaid Enterprise Data Warehousing programs in states such as Alabama, Illinois and Hawai'i. She leads project workstreams to synthesize and analyze complex data. Her background includes cyber security planning for the Satellite Communications and Network Contract with Honeywell Technical Solutions. At General Dynamics, she managed Information Assurance initiatives for the Missile Defense Agency. As a senior security engineer with AT&T, Colleen developed enterprise-wide security requirements for a uniform security policy and architecture for the Air Force, Navy, Department of Commerce and NASA. She also developed a secure wireless architecture for the Treasury Department.

Degrees/certifications

Colleen maintains professional affiliations with the International Information Systems Security Certification Consortium, Inc. (ISC)2, Information Systems Security Association (ISSA), and Information Systems Audit and Control Association (ISACA). Collen holds a Bachelor of Science, in Business Administration, University of Central Florida. She has the following security certifications: Certified Information Systems Security Professional (CISSP), Certified Information Security Manager (CISM), Certified Risk and Information Security of Controls (CRISC), and Certified Chief Information Security Officer (CICISO).

Experience qualifications

- ✔ Certified Information Systems Security Professional (CISSP) active certification
- ✔ Colleen meets and exceeds the 5 years of required experience, having more than 24 years of IT security experience leading security solutions across complex multi-platform environments including state projects for Alabama, California, Illinois, Virginia, and Hawai'i and New York
- ✔ Leveraging her CRISC, security experience also includes demonstrated use of risk management, vulnerability management and security controls to address threats and system risks
- ✔ Extensive experience with federal security and privacy requirements, including FISMA, NIST, CMS, IRS, SSA and HIPAA standards

Responsibilities

Colleen will lead the coordination and oversight of security activities across the solution lifecycle, aligning security considerations with project delivery and operational needs.

- Support of alignment for the solution architecture with the State's security requirements during design, development and implementation
- Promotes integration of security practices across all phases of the system lifecycle and across vendor teams
- Works with management teams to identify and communicate security concerns or incidents arising during implementation and operations
- Leads development of responses and remediation activities for identified security issues
- Maintains visibility into security activities and escalates relevant information to the State in a timely manner
- Serves as the primary contact for coordination and support of security audits and collaborates closely with the Optum Legal, Compliance and Regulatory Affairs (LCRA) organization and our HIPPA Compliance lead, Tracy Ewing

- **PATH System Manager**

PATH System Manager, Murali Mulpuri, MS

Murali is a systems and operations leader with more than **24 years** of experience developing and managing enterprise applications, including extensive work supporting health insurance exchange systems. In his current role with Optum, he manages and leads the technical engineering team **WV IE M&O project**, Murali supports the WV PATH system and operational activities. Murali also is responsible for supporting maintenance and operational activities for the VT Health Connect program. He brings experience managing application lifecycle activities, including implementation and maintenance of releases, change requests and system enhancements, as well as overseeing lifecycle management processes across applications, infrastructure and environments. Murali supports integrated eligibility and exchange environments by managing system performance, availability and issue resolution, along with leading technical incident, request and problem management processes. His expertise also includes leading integration design and development activities across internal and external systems, including interfaces with federal and partner systems, and contributing to implementation of system changes tied to legislative initiatives. Prior to joining Optum, Murali held technical leadership roles supporting enterprise application development, including designing and developing customer-facing applications and integration solutions across large-scale environments.

Degrees/certifications

Murali holds a Master of Science in Computer Science from Swami Ramanand Teerth Marathwada University and a Bachelor of Science in Computer Science from Acharya Nagarjuna University.

Experience qualifications

- ✔ Murali meets and exceeds the minimum required total of 8 years of experience, with more than 11 years, managing an organizational unit within integrated eligibility environments as Technical Lead and Operations Manager for WV and the VT Health Connect project
- ✔ Leadership of DDI and M&O services for a State health insurance exchange, including system performance, availability and operational stability
- ✔ Management of application lifecycle activities, including design, development, implementation and maintenance of system changes and releases

Responsibilities

Murali will will continue to lead system lifecycle activities and data management functions across the integrated eligibility solution, supporting implementation and ongoing operations.

- Leads planning, development, testing, implementation and maintenance activities for the WV Integrated Eligibility System
- Supports management of Eligibility and Enrollment modernization efforts during design, development and implementation phases
- Provides support for required federal and State review activities associated with system implementation
- Oversees the conversion of existing eligibility data for transition into the modernized solution
- Directs the design and development of the data conversion approach
- Manages testing and implementation activities for data conversion across project phases
- Oversees execution of data conversion activities throughout both implementation and ongoing operations

- **Test Manager**

Test Manager, Anil Verma

Anil is a quality engineering leader with more than **20 years** of healthcare IT experience leading QA, test management and automation for large-scale public sector and healthcare programs. His experience includes 12 years of end-to-end ownership of the testing lifecycle for Health Insurance Exchange and Integrated Eligibility Systems, covering test strategy, planning, execution, defect management, readiness assessment and release support across programs serving Medicaid, CHIP, Qualified Health Plan, Disability and related public assistance populations. In his current role as Director of Quality Engineering for the Massachusetts HIX project at Optum, Anil leads enterprise testing efforts for HIX and integrated eligibility solutions, directing functional, integration, regression, API, performance and automation testing activities. He partners with State and program stakeholders to coordinate test planning, defect triage, and readiness decisions, while managing cross-functional teams to support timely execution and resolution of issues. His experience also includes overseeing performance testing and tracking results against defined quality and delivery metrics, supporting visibility into system readiness and release outcomes.

Anil brings experience advancing testing approaches through automation-first and API-first practices, expanding coverage across user interface, API, database and backend validation, and supporting testing activities aligned to program requirements and operational needs. His background includes leading test automation teams, implementing automation frameworks, managing defect resolution and coordinating project communications across teams and stakeholders.

Degrees/certifications

Anil holds a degree in Computer Engineering from the Institution of Engineers, Kolkata, and a Diploma in Electrical Engineering from the Uttar Pradesh Board of Technical Education.

Experience qualifications

- ✔ Meets and exceeds the more than 4 years of recent experience within the last 8 years as demonstrated by his 12 years of test management on the MA Health Insurance Exchange where he is responsible for the complete testing lifecycle for integrated eligibility or related COTS-based solutions
- ✔ Leadership of functional, integration, regression, API, performance and automation testing across large-scale eligibility modernization programs
- ✔ Experience coordinating test planning, execution, defect triage and readiness activities with State and program stakeholders

Responsibilities

Anil will lead testing strategy and execution activities across the solution lifecycle, coordinating efforts with the State and vendor teams to support timely and effective validation of system functionality.

- Oversees all testing activities for the solution across the full testing lifecycle
- Coordinates with the State to support active participation in testing efforts and review cycles
- Manages planning and execution of testing activities to support timely completion
- Directs test execution across functional, integration, regression and performance phases
- Leads identification, tracking, and resolution of defects throughout the testing process
- Coordinates with cross-functional teams to address issues impacting testing progress and outcomes
- Supports readiness activities to validate system performance and release quality prior to deployment

- **PATH CW Line of Business Manager**

PATH CW Line of Business Manager, Jana Patchen, MBA, PMP, CBAP

Jana brings more than **40 years** of experience leading business and technology initiatives for government programs, including 25 years implementing, modernizing and supporting complex State HHS systems. Her background includes extensive experience with SACWIS and CCWIS child welfare systems in both OH and WV, where she has led large-scale program delivery, operational support, business transformation, and stakeholder engagement efforts. In her current role as PATH Child Welfare Line of Business Manager for the **WV PATH IES project**, Jana leads M&O activities, oversees production support and enhancements, coordinates planning and reporting, facilitates triage and issue resolution, and provides quality oversight for child welfare system delivery. She has extensive experience leading quality-focused child welfare operations and supporting major system modernization initiatives. Her background includes change and incident management, proactive problem resolution, and the governance and reporting practices needed to support successful delivery and ongoing operations.

During her career, Jana has managed multidisciplinary teams, directed complex system implementations and maintenance efforts, and served as a trusted liaison between business stakeholders and technical organizations. Through leadership roles supporting Ohio SACWIS and WV CCWIS, Jana developed the operational governance, reporting disciplines, and issue-management practices required to maintain stable and effective program operations.

Degrees/certifications

Jana holds an MBA, in Executive Management, from Ashland University, Ashland, OH; a Bachelor of Art, in American Studies (history, art and communications), Computer Applications, from the University of Notre Dame, Notre Dame, Indiana, and is an active Certified Project Management Professional, (PMP), from the Project Management Institute and a Certified Business Analysis Professional (CBAP).

Experience qualifications

- ✔ Jana meets and exceeds the minimum requirement for 4 years of health and human services program management experience, bringing more than 25 years of experience implementing, managing, and supporting state government health and human services systems, which includes including 5 years on child welfare programs in Ohio and West Virginia
- ✔ Her experience includes leadership roles overseeing the design, implementation, modernization, maintenance and operations of SACWIS and CCWIS child welfare systems, as well as management of large multidisciplinary teams responsible for program delivery and operational support.
- ✔ She applies quality control and reporting practices through accountability for the creation, submission, and quality of client deliverables and through development of project work plans, risk tracking and mitigation strategies in CCWIS implementations
- ✔ Jana brings extensive documentation and reporting experience from roles supporting federal and State oversight, including development of policy guidance and completion of assessment reports and evaluations for State corrective actions

Responsibilities

As PATH CW Line of Business Manager, Jana will oversee configuration activities and support ongoing system updates and enhancements aligned to program and operational needs.

- Manages configuration activities for system components and applications, including development, modification and enhancement efforts within the assigned line of business
- Leads requirements gathering activities to support maintenance, operations and system updates, translating business needs into functional and technical actions
- Oversees routine system maintenance and modifications, including updates driven by changes to business rules and regulatory requirements
- Directs enhancement initiatives that support strategic objectives, new program implementation, and ongoing maturation of business capabilities

- **PATH CS Line of Business Manager**

PATH CS Line of Business Manager, Paul Shannon

Paul has more than **35 years** of experience in HHS technology, including extensive work within Child Support system modernization and operations, and expertise working with the **WV DHHR/DoHS Child Support** program, supporting modifications and enhancements. He has demonstrated experience supporting requirements gathering for M&O, facilitating system modifications driven by eligibility rule changes and regulatory updates, and contributing to enhancement initiatives that advance program objectives and system capabilities. His background includes leading and supporting system configuration-related activities, validating business processes and data integrity, and working within Agile environments to deliver compliant, high-quality solutions for state agencies.

Degrees/certifications

Paul holds a Bachelor of Science, Computer Science, from Marshall University.

Experience qualifications

- ✔ Meets and exceeds experience 4-year minimum requirement of HHS program management experience by bringing 35 years supporting State HHS systems, including 31 years of expertise specific to the WV Child Support modernization and operations
- ✔ Extensive experience supporting Child Support system modernization and maintenance efforts, supporting state engagements in WV, Pennsylvania, Indiana, Texas, Arizona, Tennessee and Ohio projects with responsibility for requirements analysis, system design support, policy interpretation, testing and implementation activities
- ✔ Deep knowledge of Child Support business processes, policy and program operations, translating State and federal requirements into system functionality, user stories, functional design specifications, workflow definitions and modernization requirements
- ✔ Proven leadership across the full system development lifecycle, including requirements management, testing and validation, stakeholder engagement, document management, Agile delivery support, system enhancements and operational support for large-scale Child Support systems

Responsibilities

As Line of Business Manager for child support, Paul will oversee configuration activities and support ongoing system updates and enhancements aligned to program and operational needs.

- Leads and manages all configuration activities for Child Support system components, including development, modification and enhancement efforts
- Directs requirements gathering for maintenance, operations and system changes, aligning solution functionality with program needs
- Oversees system modifications, including routine maintenance, updates to eligibility business rules, and changes required to meet federal regulations and standards
- Guides enhancement initiatives to support program objectives, implement new capabilities and advance business process maturity

- **PATH CC Line of Business Manager**

PATH CC Line of Business Manager, Vijay Patel, MBA, PMP

Vijay is an experienced Child Care and Child Welfare leader with a strong track record of driving program modernization, operational improvement, and large-scale system implementation. He has led business strategy, requirements validation and solution design for complex eligibility, provider management and financial workflows, delivering scalable solutions that align with State program objectives and support efficient service delivery. Vijay has more than **20 years** of expertise working with **WV** engagements, **18 years** of which focused on Child Care and Child Welfare. Driving innovation by automating and improving operations, he brings broad expertise across operational and technical disciplines, and deep expertise in translating policy into actionable processes and systems. Additionally, throughout his career Vijay has led initiatives in data governance, reporting and registry development, while managing large cross-functional teams and collaborating with State stakeholders, vendors and PMO partners to deliver high-impact outcomes across Child Care and Child Welfare programs.

Degrees/certifications

Vijay holds a Master of Business Administration, from the Ohio State University, Fisher College of Business, a Master of Technology, Micro Electronics, Indian Institute of Technology (IIT) Bombay, India and a Bachelor of Engineering, Electronics and Telecommunication, from GSITS, as well as an active Project Management Institute (PMI) Project Management Professional (PMP).

Experience qualifications

- ✔ Meets and exceeds more than 4 years of HHS program management experience by more than 20 years of leadership and services for WV DHHS, with 18 years specific to West Virginia Child Care / Child Welfare initiatives
- ✔ Acted as Child Care business lead for PATH development, partnering with State teams to validate/document requirements, lead design sessions, and resolve cross-functional issues/problems aligned to program goals
- ✔ Supports change and incident management through SDLC leadership, including managing enhancements, resolving cross-system issues and guiding modernization of Child Care eligibility and provider self-service processes
- ✔ Extensive knowledge of Child Care business and operations processes, WV policy, and insight into federal changes

Responsibilities

As PATH Line of Business Manager for Child Care, Vijay will oversee configuration activities and support ongoing system updates and enhancements aligned to program and operational needs.

- Leads child care solution requirements gathering efforts for maintenance, operations and system modifications
- Oversees child care solution system updates driven by routine maintenance and changes to eligibility business rules
- Supports updates required to align with federal regulations and applicable standards
- Coordinates child care solution enhancements initiated to address program goals and evolving business needs
- Supports implementation of changes related to new programs and expanded service capabilities
- Manages activities that contribute to ongoing maturity of business processes and system functionality

- **PATH FA/Medicaid Line of Business Manager**

PATH FA/Medicaid Line of Business Manager, Raghuram (Raghu) Mekala, MS, PMP

Raghu brings over **20 years** of enterprise IT and HHS program management experience, of enterprise IT and HHS program management experience, leading and supporting implementation, maintenance, and operations activities. As the WV Integrated Eligibility System (WV IES) M&O leader, he oversees operational support, application maintenance, service-level management, stakeholder engagement, reporting, and cross-functional teams supporting critical Medicaid and HHS functions. His experience includes QA and control activities, production support, system performance monitoring, operational reporting and continuous process improvement initiatives designed to enhance system stability and service delivery. Raghu has a strong background in proactive problem management, change and incident management and leading teams responsible for maintaining complex eligibility systems in production environments.

Degrees/certifications

Raghu holds a Master of Science, Technology Management with an Information Technology emphasis, from Marshall University, in Huntington, WV; a Bachelor of Science, Computer Science, from Nagarjuna University, India; and Active Certified Project Management Professional, (PMP), Project Management Institute

Experience qualifications

- ✔ Raghu meets and exceeds the required 4 years of HHS program management experience as demonstrated through his nearly 10 years of WV specific HHS program management experience providing maintenance and operational support for Medicaid, TANF, SNAP, LIHEAP, Child Welfare, Child Care, Adult Protective Services and Title IV-E programs
- ✔ WV IES hands-on approach to operational leadership and long-term support of Medicaid eligibility systems with deep expertise in managing M&O complex FA/Medicaid HHS environments
- ✔ Brings more than 10 years of HHS experience leading quality assurance and quality control-related activities for Medicaid and health and human services systems, including performance monitoring, production support, service-level management, reporting, software maintenance, and continuous process improvement initiatives
- ✔ Strong reporting background as demonstrated through development of methods to assemble data needed for dashboard reporting and identified and automated process to meet tight monthly deadlines

Responsibilities

As Line of Business Manager for FA/Medicaid, Raghu will oversee configuration activities and support ongoing system updates and enhancements aligned to program and operational needs.

- Leads requirements gathering and analysis for maintenance and operations activities, translating business needs into system improvements that support Medicaid and health and human services programs
- Oversees implementation of system modifications, including routine maintenance, operational updates, eligibility policy and business rule changes, and compliance-driven enhancements
- Directs evaluation, prioritization, and delivery of regulatory and programmatic changes required to maintain system performance, stability, and alignment with federal and state requirements
- Manages business-driven enhancements that support strategic objectives, enables new program initiatives, and strengthen organizational capabilities across health and human services operations

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Support Staff Roles *Section 4.3.1.4*

To support the named Key Staff outlined above, we will provide support staff with specialized skills to support critical project activities for the Optum WV PATH team. Their shared experience and insights will facilitate uninterrupted support of PATH upon contract award. Our staff bring unique skills and experiences that focus on Medicaid and social services government policy, Health and Human Services lines of business for child welfare, child support, child care, FA/Medicaid, technical solutions or use innovative, automated and AI techniques. All proposed staff, key, support, and other, are USA-based and more than meet the qualifications required for their role.

Mark Kurten
Director of General Management

Mark is a director of General Management and an executive of Operations at Optum. He led the 2016 transition of the **WV IES** from your previous vendor to Optum and continues to lead the project. With nearly a decade of experience in enhancing State and federal government HHS programs, Mark has a proven track record of improving operational efficiency, reducing operational costs, improving application stability, availability, and maintainability. In his role, Mark oversees M&O of PATH and is responsible for specialized, critical M&O activities/enhancements of the WV IES engagement. He and the team successfully managed the migration and transition of the Legacy WV RAPIDS eligibility solution. Notable achievements for WV include:

- Led delivery of PATH, a fully integrated eligibility solution, across Family Assistance, Child Care, Child Welfare and Child Support programs, supporting major modernization for the State of WV
- **Successfully stabilized and operated PATH post-go-live**, maintaining strong service levels while delivering ongoing enhancements
- **Improved PATH outcomes through automation**, including automated Medicaid eligibility processing that reduces manual work and speeds service delivery
- Upon takeover of legacy RAPIDS, defined a monthly maintenance release calendar within 3 months and reducing incidents from 400 per month upon takeover to fewer than 50 per month ongoing
- Implemented ITIL-based incident, problem, change and release management processes to improve issue resolution
- Reducing DoHS' operational costs by approximately $500K annually through implementation of workflow printing enhancements

Nicole Fuller, MS, CPM
Child Welfare SME

Nicole is a national leader in human services technology and child welfare systems, with more than 2 decades of experience supporting public sector transformation initiatives. In her current role as a Child Welfare Business Line professional, she provides leadership and subject matter expertise for the WV PATH CCWIS program, guiding system enhancements, operational alignment and delivery activities across the systems development lifecycle. Her career includes leadership roles at RedMane Technology, ICF and Deloitte Consulting, where she directed large-scale SACWIS and CCWIS implementations, supported federal and state agencies, and contributed to advancing program and system outcomes in child welfare.

Throughout her career, Nicole has demonstrated strengths in strategic planning, systems integration and program delivery within complex government environments. She has facilitated client engagement, and managed large, distributed teams while maintaining focus on project execution and business alignment. Her experience spans federal technical assistance, policy guidance, and implementation oversight, as well as thought leadership through industry publications and presentations. Nicole holds a Master of Social Work from Howard University and a Bachelor of Social Work from North Carolina Agricultural & Technical University and has completed the Certified Public Manager program at George Washington University.

Lori Hoppe
CMS Certification Lead

Lori has more than 25 years of leadership experience, including 10 years of Medicaid experience and 10 years of experience certifying systems against industry standards for MES. She oversees and coordinates the entire certification lifecycle process. Lori serves as the primary point of contact for certification efforts related to modular implementations and interactions with CMS and MITRE. Her experience as a certification lead includes making sure that system functionality and business operations meet the current CMS certification process and achieve CMS certification, business outcomes and CEF.

She has led and supported the management of compliance evidence documentation, CMS required artifacts, ongoing metrics reporting and formal certification reviews to successfully certify modules under various certification methods. Lori helped to pilot OBC/SMC, SMC, MECT 2.0–2.3, the Medicaid Enterprise Certification Lifecycle (MECL), MITA 3.0, CMS Seven Standards and Conditions and applicable federal regulations.

Tracy Ewing, CIPP
HIPAA Compliance Officer

Tracy Ewing serves as the proposed HIPAA Compliance Officer, overseeing incident management activities within the Enterprise Privacy Office, including directing Optum and UnitedHealthcare investigation teams, providing legal support to investigations functions, and maintaining adherence to regulatory standards. She provides line of business privacy support to Optum Serve and Optum State Government Solutions and brings more than 18 years of privacy expertise across legal and investigative roles at Optum and UnitedHealthcare. Her experience includes leading enterprise incident management efforts, supporting investigation functions with legal expertise, and serving multiple business lines with privacy guidance. She is a Certified Information Privacy Professional (CIPP).

Tracy will work collaboratively with our Security Manager Colleen Katz and will share this role with the Optum Privacy Office, which is a core component of the Legal, Compliance and Regulatory Affairs (LCRA) organization, which serves as the centralized compliance and legal backbone for Optum. The LCRA makes sure that privacy oversight is not dependent on a single individual, but is instead supported by a robust, multidisciplinary team of certified professionals with deep expertise across healthcare, government and payer domains. This approach leverages a network of certified professionals across its privacy and security teams. The model provides continuity, depth and scalability of expertise. The team includes individuals holding applicable role specific certifications.

Subcontractor Support

To supplement our staff, we include our proposed subcontractors that will bring extensive direct expertise to our team.

- **PCG:** A long term Optum partner who has been on the WV contract for more than a decade
- **IBM:** A well-known services vendor to the State of WV for its excellent technologies, tools and services

PCG has a long history of contracts with State governments across the U.S., as well as the District of Columbia. Since 1986, PCG has dedicated itself almost exclusively to the public sector and the firm has developed a deep understanding of the HHS line of business requirements. PCG has a deep bench of employees who have extensive experience across HHS programs. Having helped numerous public-sector organizations to maximize resources, PCG helps states with talented staff to support business processes, improve federal and State compliance, and State outcomes. PCG has been an Optum partner for the WV PATH project since 2018 providing training, Organizational Change Management and WV IES program subject matter experts that make the PATH project a success. PCG will continue to be part of the Optum team providing key Training Deliverables and Child Welfare subject matter experts and consulting.

IBM brings deep experience supporting Medicaid and HHS programs, with a multidisciplinary workforce skilled in integrated eligibility systems, eligibility policy, and case management operations. Through large-scale Medicaid system engagements and ongoing partnerships with state agencies, IBM provides FA/Medicaid staff who understand program workflows, support cross-program coordination, and operate effectively within complex IES environments. Optum has chosen to partner with IBM to support the modernization strategy. IBM is a leading global provider of mainframe modernization solutions for legacy application source code, data and platform transformations with over 30 years' experience performing mainframe modernization, and more than 500 modernization projects completed worldwide covering billions of lines of code across many high-transaction, large-scale, multi-national environments. IBM has successfully assessed and modernized prior mainframe applications containing your described technologies for hundreds of other clients.

FTE Staffing Chart for Support Staff Roles

The following table provides FTEs per Contract Year for Support Staff as required in RFP section 4.3.1.4. Note that contract years 4, 6, 7, 8 and 9 are omitted from the display for legibility, but the total column reflects all ten years.

RFP labor category	Yr 1	Yr 2	Yr 3	Yr 5	Yr 10	Total
Delivery Management & Supervision						
Director General Management	0.5	1.0	1.0	1.0	0.0	**5.5**
Manager Software Engineering	0.5	1.0	5.0	3.0	3.0	**28.5**
Director Software Engineering	1.0	2.0	2.0	2.0	2.0	**19.0**
Senior Manager, Software Engineering	2.0	4.0	1.0	1.0	0.0	**13.0**
Associate Director General Management	0.5	1.0	1.0	1.0	1.0	**9.5**
Manager Project Management	1.9	0.6	11.0	0.0	0.0	**2.5**
Senior Manager Data Engineering	0.5	1.0	0.0	0.0	0.0	**1.5**
Senior Manager Business Systems Analysis	0.5	1.0	0.0	0.0	0.0	**1.5**
Sr Mgr DevOps Engineering	0.5	1.0	0.0	0.0	0.0	**1.5**
Director Technology	0.25	0.0	0.0	0.0	0.0	**0.3**
Application Engineering						
Software Engineer	5.5	10.0	28.0	18.0	16.0	**164.5**
Senior Software Engineer	22.2	28.5	2.0	2.0	2.0	**66.8**
Business Analysis						
Business Analyst	5.4	8.6	8.0	7.0	6.0	**69.1**
Senior Business Analyst	2.5	5.0	1.0	1.0	1.0	**15.5**
Business Systems Analyst	0.5	1.0	1.0	0.0	0.0	**2.5**
Quality Engineering & Test						
Quality Engineer	5.1	7.6	2.0	1.0	1.0	**21.7**
DevOps, Data & Infrastructure Engineering						
DevOps Engineer	4.8	5.0	1.0	0.5	0	**12.3**
Sr DevOps Engineer	3.5	2.0	1.0	0.5	0	**8**
Data Engineer	1.3	1.8	0.0	0	0	**3**
Sr Data Engineer	2.2	0.0	0.0	0	0	**2.2**
Network Engineer	0.25	0	0	0	0	**0.25**
Project & Program Management						
Senior Project Manager	2.5	3.3	2.0	1.0	1.0	**15.9**
Project Manager	1.0	2.0	1.0	0.0	0.0	**5.0**
Training						
Trainer	0.011	0.003	0	0	0	**0.014**

Estimated FTEs by staff role. Years 4, 6, 7, 8 and 9 are omitted from the display for legibility; the total column reflects all ten years.

Other Staff Roles *Section 4.3.1.4*

In addition to the Key and Support staff, Optum has overall staffing levels to meet the ongoing O&M, federally mandated changes to PATH and enhancements. Optum understands that the Agency anticipates utilizing a pool of up to 180,000 hours annually for modification and enhancement activities, with usage based solely on Agency discretion, that usage is at the Agency's sole discretion, and that the estimate is not a guarantee. Optum assures that only Agency-approved activities are performed and invoiced against this pool, and that all work is formally initiated, tracked and governed through the established change management process. No hours will be invoiced without prior Agency approval.

Governing the pool as capacity, not a single bucket

A pool of this scale, roughly the equivalent of 100 full-time resources, is managed most effectively as governed capacity rather than an undifferentiated bank of hours. Optum proposes to organize the annual pool into planned allocations that make trade-offs visible and protect strategic work. The framework below is illustrative of our recommended starting structure; specific allocation targets would be confirmed jointly with the Agency through the annual planning cycle.

- **Operational modifications reserve:** Recurring business-as-usual and business-rule changes arising from normal WV PATH operations; forecastable steady-state demand.
- **Regulatory and compliance reserve:** State- and federally-driven changes that draw on the pool. Modifications required to comply with federally mandated requirements, and all mandatory requirements, are implemented at no additional cost to the Agency and fall outside the billable pool.
- **Strategic enhancement allocation:** The protected tranche reserved for Agency strategic objectives, new program implementations, and business-capability maturity. This directly addresses the Agency's requirement that programs focused on efficiency, usability, and operational maturity not be deprioritized by regulatory changes.
- **Contingency reserve** — capacity held for urgent, unplanned items, so that unforeseen work draws from contingency rather than silently eroding the strategic allocation.

The governing rule is what makes this framework meaningful: the strategic enhancement allocation carries a recommended protected floor of 20% of annual capacity, based upon historical consumption of enhancement pool hours. If mandatory or regulatory demand exceeds its reserve during the year, the resulting trade-off is surfaced to the Agency explicitly and the Agency decides whether to draw contingency, reprioritize or defer strategic work. That decision is never made by default at the strategic tranche's expense. This is how Optum operationalizes the Agency's intent that non-mandated improvements be given equitable, protected consideration alongside compliance work.

All personnel supporting modification and enhancement activities will be submitted for Agency approval prior to assignment, consistent with the Agency's approval rights over project personnel. Approved work is performed at Optum all-inclusive hourly rates proposed in RFP Attachment B: Cost Sheet, and eligible direct costs are managed within the separate annual pool, subject to Agency approval through the same change management process.

By leveraging our incumbent experience, mature governance and proven prioritization processes with the State, Optum will deliver modification and enhancement activities in a disciplined, transparent and collaborative manner that aligns with Agency priorities, regulatory requirements and program objectives — and that gives the Agency measurable control over how the pool is spent.

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Appendix XII: Vendor Reference Form

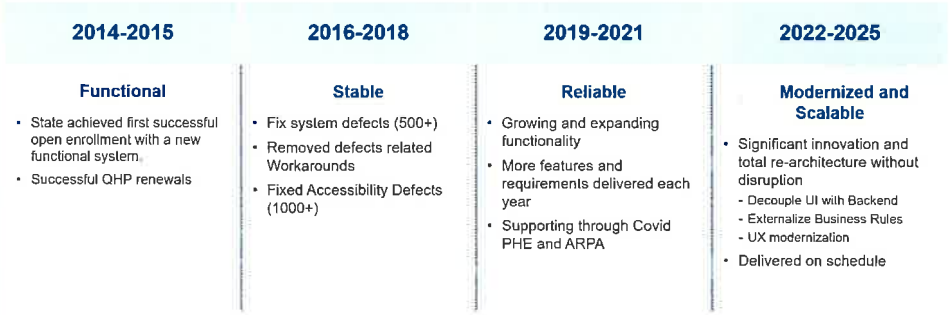
Appendix XII contains the form that the State intends for responding vendors to use in providing their reference. Each form should also be signed by the vendor reference contact.

Table 28: Vendor Reference Form (1)

	Vendor Reference Response
Name of Reference	Rishiraj Keshkamat Assistant CIO, Executive Office of Health and Human Services (EOHHS)
Name of Referencing Organization	Commonwealth of Massachusetts, Executive Office of Health and Human Services
Address of Referencing Organization	1 Enterprise Drive, Quincy, MA 02171
Telephone Number of Referencing Organization	857-207-05627
Email of Referencing Organization	Rishiraj.Keshkamat3@mass.gov
Title of Project	Health Insurance Exchange/Integrated Eligibility System (HIX/IES)
Description of Project	The Health Insurance Exchange/Integrated Eligibility System (HIX/IES) is the Commonwealth of Massachusetts' web-based eligibility and enrollment platform. It integrates MassHealth Medicaid MAGI, Aged, Blind and Disabled (ABD), and Health Insurance Exchange populations, supporting eligibility intake, determination, case maintenance, and renewals through a single point of entry across Medicaid and qualified health plans. The platform serves approximate two million consumers. Optum provides design, development, and implementation (DDI) for modernization enhancements together with ongoing maintenance and operations. The engagement began in March 2014 with the takeover and transition of the Massachusetts Health Connector, the Commonwealth's state-based exchange, and was formalized under a Master Services Agreement in September 2014. During transition, Optum migrated Medicaid rules into the replacement exchange application, hosted the legacy environment while the new infrastructure was built, and established operational readiness for more than 500 customer service representatives (CSRs) across Commonwealth agencies and third-party vendors. Under the current combined operations and technical services agreement, Optum's scope covers application management, enhancement delivery, incident and change management, release management, security and access integration, production operations, and DDI testing and validation. Over the term of the engagement, the scope has included migration of Medicaid business and membership rules from legacy systems and MAGI rules to a DROOLS business rules engine; data center hosting from 2014 through 2020; migration of the platform to AWS cloud hosting in 2020; and phased migration of additional traditional Medicaid populations into HIX beginning in 2022 to extend the

system beyond MAGI and Exchange populations. A concurrent modernization effort re-architected the platform and its APIs and included a user-experience modernization focused on simplified navigation, responsive design across devices, and a logical information architecture—informed by a heuristic evaluation following Monkman's principles and delivered through redesigned end-user portal prototypes—along with transition to an IBM BAM commercial-off-the-shelf (COTS) business rules engine (BRE).

The platform interfaces with other Commonwealth agencies, including the Department of Transitional Assistance, exchanging files that support SNAP and cash-benefit determinations and enable fast-track MassHealth renewals. Business rules within the system process MassHealth Medicaid renewals and generate transactions to the MMIS and other downstream systems.



Scope elements of the HIX/IES include:

- Case management back office
- Case management front office
- Enterprise content management
- FUSE ESB and service architecture
- Integration with CMS FDSH and external verification Systems
- IBM BAM Business Rules Engine
- EDI integration with carrier and trading partners
- Integration with the Commonwealth's Financial system (Softheon)
- Identity and access management
- Notice generation and fulfillment
- Customer and case management portals
- Oracle MDM
- Business intelligence and reporting
- Security wrapper
- Disaster recovery
- 24X7 Monitoring

The platform's scale and operations include the following:

- Implementation of the new solution to support the exchange marketplace in less than six months
- Reduced manual application processing time from 120 minutes to 27 minutes per application through a data-entry tool and staff training
- Determination of approximately 1.9M active members
- Support 1,600 active agents and 400 active assistors
- 1.69M active Mass Health Members and 300,000 CCA members

	• Support approximately 350,000 monthly visitors • Optum M&O supports on average 3 major and minimum of 4 minor functional releases • Optum M&O supports all critical business processes, by executing, managing, scheduling and reporting on various batch jobs (approximately 200) • SNAP support with automated eligibility data transfer from HIX/IES to SNAP system Optum's technical and reporting services team manages all technical upgrades and key tasks.
Start Date of Project	3/1/2014
End Date of Project	12/31/2028
What was your experience with this vendor?	Optum is a strategic partner that operates as an integrated, badgeless extension of the Commonwealth team. Optum collaborates with us to deliver Commonwealth-specific functionality while modernizing the platform and leveraging COTS products wherever practical. We communicate with Optum daily.
Were there delays in the project? What caused the delays?	Optum works with us on agreeable release schedules. We are also working with Optum on monthly releases. This will require us to move to a more agile approach in which Optum will assist with training a rollout. Optum has a commitment to the Eligibility and Enrollment market with the appropriate Subject Matter Experts (SME) and technical staff. Many of the staff have been with us for a decade.
Describe a situation where the vendor disappointed you, and how they responded?	During the early years of implementation, Optum was responsible for system integration testing (SIT) of the application under the Master Services Agreement. In its role as the Independent Verification and Validation (IV&V) vendor, CSG identified and documented several concerns regarding the quality and rigor of the testing process, including issues related to application development, test design, and test execution. In response, the Commonwealth worked closely with Optum's testing and development teams across multiple workstreams to strengthen testing practices and rapidly address the identified deficiencies. These collaborative efforts produced significant, measurable improvements and full closure of the IV&V observation. A defect backlog that once exceeded 600 items has been reduced to fewer than six outstanding defects. Notably, Optum also successfully remediated 100 percent of the application's identified accessibility issues.
What are some things you wish the vendor would do differently?	Optum should adopt a more proactive and forward-looking approach to understanding and anticipating the Commonwealth's evolving needs. In particular, product and technology roadmaps should account for changes in the broader technology landscape while continuing to prioritize system stability, reliability, security, and operational continuity. The Commonwealth would also welcome more strategic recommendations regarding emerging architectural, infrastructure, automation, and platform

	capabilities that could improve operational efficiency, reduce manual effort, lower long-term costs, and enhance the overall sustainability of the application.
Reference Signature	Rishiraj Keshkamat

Appendix XII: Vendor Reference Form

Appendix XII contains the form that the State intends for responding vendors to use in providing their reference. Each form should also be signed by the vendor reference contact.

Table 28: Vendor Reference Form (2)

	Vendor Reference Response
Name of Reference	Dan Fay, DVHA HAEEU Director of Operations
Name of Referencing Organization	State of Vermont, Agency of Human Services (AHS)
Address of Referencing Organization	280 State Drive-Center Building, Waterbury, VT 05671
Telephone Number of Referencing Organization	802-557-7523
Email of Referencing Organization	Daniel.Fay@vermont.gov
Title of Project	Vermont Health Connect
Description of Project	This following response provides summary information regarding the State of Vermont's historical contractual relationship with Optum, including project scope and services performed. Consistent with Vermont procurement and contracting guidance found in the Agency of Administration's Bulletin No. 3.5, the State does not endorse vendors, products, or services; therefore, this response should not be interpreted as an endorsement or recommendation and is provided solely for reference verification purposes. Optum maintains, operates, and hosts Vermont Health Connect (VHC), the State of Vermont's eligibility and enrollment solution built on the Health Services Enterprise Platform (HSEP). The engagement began on 10/7/2014, when the Department of Vermont Health Access selected Optum to assume responsibility for VHC operations and IT support from the prior vendor. The initial work included transition planning, system assessment, operational stabilization, backlog review, and support for the State's enrollment-related business objectives. Optum also transitioned VHC hosting from the prior vendor to Optum's hosting environment, including related data migration and production readiness activities intended to maintain continuity of services. Since stabilization, Optum has served as the prime contractor for ongoing VHC maintenance, operations, hosting, delivery, and enhancement services. The project includes application maintenance and enhancement services, incident and problem management, program management, change and release management, disaster recovery, event management, capacity and availability management, service asset and configuration management, CRM system management, legacy integrated eligibility integration, and identity and access management services.

	VHC solution supports eligibility determinations and enrollment-related processing for Qualified Health Plans, MAGI Medicaid, CHIP, and dental coverage for Vermont residents. The platform also supports integrations with CMS verification services, insurance carriers and trading partners, financial systems, document management capabilities, and legacy human services platforms. **Historical scope elements include:** • Eligibility and enrollment functionality for Medicaid, CHIP, Qualified Health Plans, and dental coverage • Case management front-office and back-office capabilities • Enterprise content management, notice generation, and document-related functionality • CMS Federal Data Services Hub and external verification integrations • Carrier, trading partner, financial-system, and legacy-system integrations • Business rules, reporting, identity and access management, hosting, security, and disaster recovery support • Enhancements related to premium processing, enrollment transaction integrity, ex-parte renewals, ARPA/APTC updates, and HR 1 policy changes • Major technical work including application software stack upgrades and data center migration activities
Start Date of Project	10/7/2014
End Date of Project	10/31/2028
What was your experience with this vendor?	This following response provides summary information regarding the State of Vermont's historical contractual relationship with Optum, including project scope and services performed. Consistent with Vermont procurement and contracting guidance found in the Agency of Administration's Bulletin No. 3.5, the State does not endorse vendors, products, or services; therefore, this response should not be interpreted as an endorsement or recommendation and is provided solely for reference verification purposes. The State of Vermont has contracted with Optum since 2014 for support of the VHC platform. Optum assumed operational and IT support responsibilities after the prior vendor experienced performance, availability, and delivery challenges. Optum worked with the State to assess the environment, stabilize the platform, address priority issues, and support the State's ability to continue enrollment-related operations. Optum also completed a complex transition of hosting and related data to Optum's hosting environment. The transition required coordination across application, data, security, and operational teams, including production readiness and migration validation activities to support continuity of service for Vermont constituents. Since the transition and stabilization period, Optum has continued to provide maintenance and operations, hosting, enhancement delivery, and compliance-related support for VHC. Examples of work performed during the engagement include QHP premium processing implementation,

	enhancements to CMS verification integrations, enrollment transaction and reconciliation improvements, enterprise content management integration, ex-parte renewal work, ARPA/APTC-related changes, HR 1 policy-related updates, and technology upgrade and migration support. Vermont has extended the M&O contract 7 times since 2014. Vermont most recently awarded Optum another contract for the same services in 2025.
Were there delays in the project? What caused the delays?	This following response provides summary information regarding the State of Vermont's historical contractual relationship with Optum, including project scope and services performed. Consistent with Vermont procurement and contracting guidance found in the Agency of Administration's Bulletin No. 3.5, the State does not endorse vendors, products, or services; therefore, this response should not be interpreted as an endorsement or recommendation and is provided solely for reference verification purposes. Optum has historically met their project timelines per their contractual obligations. There have been no major delays identified as impacting the overall engagement. During the initial transition and implementation period, additional collaboration was required to clarify functional requirements, assess the existing environment, and address gaps associated with prior-vendor work. For ongoing operations and enhancement efforts, Optum and the State have managed schedules through agreed-upon due dates, review of dependencies, impact analysis, and coordination with State stakeholders. Where changes to dates or scope were needed, the parties worked through governance and delivery processes to identify impacts, review options, and adjust plans as appropriate. Some delivery activities have included dependencies on external vendors, integration partners, policy changes, or federal/state program requirements. In those circumstances, Optum supported coordination, issue analysis, mitigation planning, and continued delivery against State priorities.
Describe a situation where the vendor disappointed you, and how they responded?	This following response provides summary information regarding the State of Vermont's historical contractual relationship with Optum, including project scope and services performed. Consistent with Vermont procurement and contracting guidance found in the Agency of Administration's Bulletin No. 3.5, the State does not endorse vendors, products, or services; therefore, this response should not be interpreted as an endorsement or recommendation and is provided solely for reference verification purposes. In a project of this size and complexity, there have been instances where delivery timing, requirements interpretation, or operational expectations required additional alignment. Contributing factors have included the complexity of the VHC environment, evolving policy requirements, competing priorities, and dependencies on external partners or vendors. When concerns were raised, Optum worked with State stakeholders to clarify requirements, review root causes or contributing factors, adjust plans where needed, and improve coordination. These responses have included additional analysis, communication through governance forums,

	escalation of issues, and implementation of corrective actions or process improvements. The State and Optum have continued to use these situations to refine planning, communication, coordination, and risk-management practices for subsequent work.
What are some things you wish the vendor would do differently?	This following response provides summary information regarding the State of Vermont's historical contractual relationship with Optum, including project scope and services performed. Consistent with Vermont procurement and contracting guidance found in the Agency of Administration's Bulletin No. 3.5, the State does not endorse vendors, products, or services; therefore, this response should not be interpreted as an endorsement or recommendation and is provided solely for reference verification purposes. Areas for continued improvement include proactive coordination, escalation, and issue resolution when technical or vendor-dependent issues arise. Recent examples include a Liferay-related issue that affected transaction performance at the beginning of 2024 and server availability issues in February 2022. For these types of events, continued emphasis on early detection, timely escalation, clear communication of impacts, coordination with external vendors, and documentation of mitigation steps would further support operational transparency and resolution. No critical unresolved items are identified in this response.
Reference Signature	Daniel Fay Daniel Fay (08/06/2026 09:45:12 EDT)

Appendix XII: Vendor Reference Form

Appendix XII contains the form that the State intends for responding vendors to use in providing their reference. Each form should also be signed by the vendor reference contact.

Table 28: Vendor Reference Form (3)

	Vendor Reference Response
Name of Reference	Patricia Grant, Deputy Executive Director/Chief Operating Officer Massachusetts Health Connector
Name of Referencing Organization	Commonwealth of Massachusetts Commonwealth Health Insurance Connector Authority (CCA)
Address of Referencing Organization	100 City Hall Plaza, Boston, MA 02108
Telephone Number of Referencing Organization	617-251-0736
Email of Referencing Organization	patricia.m.grant2@mass.gov
Title of Project	Commonwealth Connector Authority (CCA)
Description of Project	Since 2014, Optum has supported the Massachusetts Health Connector in the implementation, operation, maintenance, and modernization of the Commonwealth's State-Based Health Insurance Marketplace. The engagement encompasses the full lifecycle of a large, mission-critical integrated public healthcare platform, including initial system development, production operations, annual Open Enrollment, regulatory implementation, cloud migration, digital modernization, vendor transitions, security, and integration with federal, state, carrier, and financial systems. The initial marketplace was designed, developed, tested, and deployed in approximately eight months to meet Affordable Care Act implementation deadlines. The solution included consumer account management, healthcare coverage applications, eligibility determination, plan comparison and selection, enrollment processing, premium billing and payments, member notices, carrier transactions, administrative functions, reporting, and integration with state and federal verification services. The scale of the program has grown significantly since implementation. The health coverage applications processed for the Health Connector increased from approximately 30,000 in the early years to more than 600,000 auto-renewed in the recent years, while the broader technology ecosystem supports coordination with systems and processes serving approximately 2 million MassHealth members. Optum's ongoing responsibilities include application development and maintenance, infrastructure management, production monitoring, incident and problem management, capacity planning, performance testing, security remediation, release management, disaster recovery, and cross-vendor operational coordination. Hundreds of production releases have been delivered to support annual Open Enrollment, federal and state policy changes, system enhancements, security requirements, operational improvements, and technology modernization.

	Major project workstreams have included: • Continuous enhancement of eligibility, enrollment, renewal, redetermination, and life-event processing. • Annual Open Enrollment planning, configuration, testing, infrastructure scaling, deployment, and command-center support. • Redesign of consumer-facing applications to improve usability, accessibility, mobile responsiveness, and navigation. • Migration of the marketplace from on-premises infrastructure to Amazon Web Services, including cloud architecture, security controls, monitoring, backup, recovery, and production cutover. • Modernization of system integrations through APIs, modular services, enhanced transaction monitoring, and improved interoperability. • Integration with CMS, IRS, SSA, MassHealth, premium billing vendors, consumer checkbook, and member communication providers. • Integration support for premium billing, payment processing, enrollment reconciliation, member account balances, notices, and exception management. • Integration support for vendor transitions involving enrollment processing, billing, payments, and notice generation, including data conversion, interface development, testing, cutover, and stabilization. • Implementation of federal and state regulatory changes within fixed statutory deadlines. • Rapid delivery of eligibility, enrollment, renewal, notice, and operational changes during the COVID-19 Public Health Emergency. • Ongoing security, privacy, accessibility, audit, vulnerability-management, and disaster-recovery activities. Through this work, the Massachusetts Health Connector has maintained a secure, scalable, and resilient marketplace supporting eligibility determinations, health plan enrollment, premium billing, payment processing, carrier transactions, member communications, and regulatory reporting. The program has enabled the Commonwealth to expand access to affordable healthcare coverage while improving system reliability, operational efficiency, customer experience, security, and the ability to respond to evolving healthcare policies and enrollment demands
Start Date of Project	3/1/2014
End Date of Project	6/30/2028
What was your experience with this vendor?	From a delivery standpoint, the experience with Optum has been positive. The HIX platform is a complex system with business functions supporting the Health Connector and MassHealth that has been built out over the last fourteen years. As the system has grown larger and more complex, Optum has displayed a pattern of becoming more organized and mature in their delivery and operation of the system. This has resulted in the HIX becoming an increasingly stable system over the course of the engagement.

Were there delays in the project? What caused the delays?	There have been no significant implementation delays caused by Optum's performance. On infrequent occasions, Optum and the Commonwealth have made the decision to extend release timelines, but those decisions were made well in advance of the expected go-live dates.
Describe a situation where the vendor disappointed you, and how they responded?	In the years following the initial launch of the system, a defect backlog of several hundred defects accumulated which had significant negative impacts across many critical functional areas of the system. In response, the Commonwealth and Optum launched a concentrated defect remediation effort which was able to reduce the defect backlog in the short term. This effort also led to long term process changes, such as increased defect remediation capacity available in planned releases and increased regression testing coverage, which have been critical in keeping the defect backlog minimal and less impactful in more recent years.
What are some things you wish the vendor would do differently?	In developing their product roadmap, it would be beneficial if Optum would directly engage users/members more often to gain their feedback to inform new features and improve the UI/UX of the system.
Reference Signature	Patricia Grant July 28, 2026

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Optum

Deliverable Document
Deliverable Dictionary Template

Doc ID: D-009

Version 0.01

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1. Introduction

The *Deliverable Dictionary* provides a comprehensive list of planned deliverables for the West Virginia Peoples' Access to Help (WV PATH) Project.

1.1. Objective

Define the goal of the Deliverable Dictionary.

Explain how this document establishes a complete list of deliverables to be produced and delivered during the project.

1.2. In Scope

Define what is included in this document.

Typically includes all project deliverables across phases (e.g., planning, design, development, testing, operations).

1.3. Out Scope

Clarify exclusions from the deliverable dictionary.

Include items not governed or tracked as formal deliverables.

1.4. Plan Assumptions

List assumptions used while compiling the deliverables list.

Include assumptions about scope, governance, documentation standards, and lifecycle updates.

1.5. Plan Organization

Describe how the document is structured.

Explain how sections are organized (Introduction, Deliverable Dictionary, Appendix).

1.6. Related Documents

List dependent and supporting documents.

Typically includes:

- Project Management Plan (PMP)
- Sub-plans (Quality, Risk, Documentation, etc.)
- RFP and contractual documents

1.7. Review and Update

Explain how the document will be maintained.

Define frequency of updates, governance process, and alignment with documentation/version control practices.

2. Deliverable Dictionary

Provide a comprehensive list of all project deliverables with detailed descriptions and acceptance criteria.

2.1. Deliverable Dictionary Table Structure

Define the standard structure used for documenting each deliverable.

Each deliverable entry should include:

- **Deliverable ID** – Unique identifier (e.g., D001, D002)
- **Deliverable Title** – Name of the deliverable
- **Purpose** – Why the deliverable exists and its role in the project
- **Description** – Detailed explanation of deliverable content and scope
- **Deliverable Acceptance Criteria** – Conditions required for approval

2.2. Deliverable Categories (Optional Structuring)

Organize deliverables into logical groups for easier management.

Examples include:

- Project Management Deliverables
- Technical & Design Deliverables
- Data & Documentation Deliverables
- Testing Deliverables
- Training Deliverables
- Operational Readiness Deliverables
- Security & Compliance Deliverables
- Reporting & Status Deliverables

2.3. Standard Deliverable Acceptance Criteria

Define common criteria required for all deliverables.

Typically includes:

- Completeness (all required sections included)
- Alignment with Deliverable Dictionary description
- Consistency with Quality Management Plan
- Coverage of impacted resources (people, systems, stakeholders)
- Compliance with RFP/project requirements
- Defined update/version control process

2.4. Deliverable Template (Reusable Table)

Deliverable ID	Deliverable Title	Purpose	Description	Acceptance Criteria
DXXX	[Enter title]	[Describe why needed]	[Describe content and scope]	[List approval criteria]

Appendix

Table 0-1: Acronyms

Acronym	Term

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Optum

Deliverable Document
Stakeholder Management Plan Template

Doc ID: D-003

Draft Version 0.01

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Introduction

This *Stakeholder Management Plan* is designed to support overall stakeholder management.

Objective

The objective of the *Stakeholder Management Plan* is to analyze stakeholder expectations and outline a strategy by which stakeholders will be effectively and efficiently engaged.

The *Stakeholder Management Plan* provides an overall framework for managing and coordinating the wide variety of activities that directly or indirectly take place as part of the West Virginia Department of Human Services (DoHS) for the West Virginia People's Access to Help (WV PATH) project. Such a framework will make sure that the Optum team provides relevant, accurate, and consistent project information to other stakeholders in a timely manner.

Plan Assumptions

- List key assumptions made while developing the plan.
- Include expectations about stakeholder participation, communication, collaboration, and availability.

In Scope

- Define what aspects of stakeholder engagement are covered by this plan.
- Typically includes identification, analysis, communication, and engagement strategies.

Out of Scope

- Clarify what is not included in the plan.
- This helps avoid confusion and sets boundaries for stakeholder management activities.

Plan Organization

- Summarize the structure of the document.
- Briefly describe what each section of the plan contains to guide readers.

Related Documents

- List supporting documents that complement this plan.
- Include references such as project charter, communication plan, stakeholder analysis, etc.

Table 1-1: Related Documents

Document Name	Document Location

Stakeholder Identification Approach

- Describe the process used to identify stakeholders.
- Explain how stakeholders are recognized, categorized, and documented.

Ongoing Stakeholder Identification and Analysis

- Explain how stakeholders will continue to be identified and reassessed during the project.
- Include updates to stakeholder registers and continuous analysis.

Stakeholder Management Responsibilities

Define how stakeholders will be engaged and managed.

Describe engagement techniques such as:

- Inform
- Consult
- Partner
- Empower
- Influence
- Explain how these approaches will be applied based on stakeholder needs.

Responsibility: Monitor Stakeholder Engagement

- Define roles responsible for stakeholder engagement and communication.

- Clarify ownership of stakeholder-related activities and decision-making.

Responsibility: Develop Ongoing Communications

- Describe regular communication methods and channels.
- Include recurring reports (e.g., status reports) and meetings used to keep stakeholders informed.

Responsibility: Develop Ad-hoc Stakeholder Communications

- Describe how unplanned or situational communications will be handled.
- Include escalation processes and tailored messaging for specific stakeholder needs.

Responsibility: Control Stakeholder Engagement

- Explain how stakeholder engagement will be managed and adjusted.
- Include techniques for managing expectations, resolving concerns, and maintaining effective involvement.

Appendices

Appendix A – Acronym List

Acronyms

Acronym	Term

Appendix B – Definitions

- Define key stakeholder-related terms (e.g., stakeholder, internal/external stakeholder, stakeholder groups).

Optum

Deliverable Document
Staffing Management Plan Template

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1. Introduction

1.1. Objective

The objective of this plan is to define the process used to staff the West Virginia People's Access to Help (WV PATH) throughout the course of the project. The *Staffing Management Plan* addresses requirements regarding personnel, resources, and WV PATH requirements for contractor staffing.

1.2. Plan Assumptions

- List key assumptions used when developing the staffing plan.
- Include expectations around staffing fluctuations, resource availability, compliance requirements, and onboarding timelines

1.3. In Scope

Define what staffing-related activities are included.

Typically includes resource planning, staffing levels, hiring, onboarding, and workforce management.

1.4. Out of Scope

Clarify exclusions from the staffing plan.

Include items that are handled outside this plan or through other processes such as change management.

1.5. Plan Organization

- Provide an overview of the document structure.
- Briefly describe each section to guide readers through the plan

1.6. Related Documents

List supporting and dependent documents.

Include references such as project management plan, HR plan, quality plan, testing plan, etc.

Table 1-1: Related Documents

Document Name	Document Location

2. Staffing Approach

Describe the overall strategy for staffing the project.

Include staffing philosophy, sourcing approach (internal, subcontractors), scalability, and compliance with contract requirements.

2.1. Key and Support Staff Qualifications

Define required qualifications and experience for key roles.

Include criteria such as skills, certifications, domain expertise, and compliance with contractual requirements.

2.2. Key and Support Staff Roles and Responsibilities

Define responsibilities for key and support staff.

Include role descriptions, accountability areas, and how each role contributes to project success.

Table 2-1: Key & Support Staff* Roles and Responsibilities

Staff Member and Position	Responsibilities

2.3. Other Staff Responsibilities

Describe responsibilities for additional supporting roles.

Include broader team roles, resource allocation (FTEs), and contributions across project phases.

Table 2-2: Other Staff Responsibilities

DDI Org Chart Role	Responsibilities	*Location	FTEs
Total			

3. Project Organization

Describe the organizational structure supporting the project.

Include reporting lines, governance structure, and coordination across teams.

3.1. Organization Charts

- Provide visual representation of project organization.
- Include diagrams showing team structure, reporting lines, and relationship between stakeholders and teams. [Placeholder for Org Chart Figure]

3.2. Staff Management

Describe how staffing will be managed throughout the project lifecycle.

Include:

- Resource planning and forecasting
- Staffing adjustments and approvals
- Performance management
- Resource onboarding/offboarding
- Compliance with staffing requirements

3.3. Onboarding New Staff

Define the onboarding process for new team members.

Include training, system access, compliance requirements, and integration into project teams.

4. Use of Subcontractors

Describe how subcontractors will be utilized and managed.

Include:

- Roles of subcontractors
- Governance and oversight
- Integration with project teams
- Accountability and compliance expectations

Appendices

Appendix A - Acronyms

The following is a list of acronyms used within this document.

Acronym	Term

Optum

Deliverable Document
Facility Management Plan Template

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1. Introduction

1.1. Objective

Provide an overview of the Facility Management Plan and its purpose in supporting project operations through effective facility setup and management.

Define the overall goal of the plan.

Explain how the facility will be identified, leased, established, and maintained to support project needs.

1.2. Plan Assumptions

- List key assumptions used in developing the plan.
- Include assumptions related to facility scope, dependencies on other plans (e.g., security, DR), and operational expectations.

1.3. In Scope

- Define what facility-related activities are included.
- Typically includes facility setup, management, operations, and support for project teams.

1.4. Out of Scope

- Clarify exclusions from the plan.
- Examples may include data centers, future operations phases, or areas covered by other plans.

1.5. Plan Organization

- Summarize the document structure.
- Provide a brief description of each section for easy navigation.

1.6. Related Documents

List supporting and dependent documents.

Include references such as project management plan, security plan, communication plan, etc.

Table 1-1: Related Documents

Document Name	Document Location

2. Optum Facility Management Approach

Describe the overall strategy for establishing and managing the facility.

Include high-level details on location, capabilities, infrastructure, and how the facility supports project operations.

2.1. Identifying and Leasing Facility

Explain how facility locations are evaluated and selected.

Include criteria such as accessibility, compliance, capacity, cost, and proximity to stakeholders.

2.2. Establishing and Maintaining the Facility

Describe how the facility is set up and maintained.

Include:

- Build-out and setup activities
- Equipment and infrastructure
- Maintenance processes
- Vendor coordination
- Work order and issue resolution processes

3. Facility Access

Define how access to the facility is managed and controlled.

Include policies for employees, contractors, visitors, and compliance requirements.

3.1. Access Approval and Denial Process

- Describe the workflow for granting or denying access.
- Include request submission, approval steps, and system controls.

3.2. Removal of Access

- Explain how access is revoked.
- Include triggers such as termination, role change, or security concerns.

3.3. Lost/Replacement Badge ID

- Define the process for reporting and replacing lost or damaged badges.
- Ensure security and continuity of access control.

4. Approach to Disaster Recovery of the Facility

- Describe how facility-related disruptions will be handled.
- Include strategies to maintain operations and recover from emergencies

4.1. Facility Related Emergencies

Outline procedures for responding to various facility emergencies.

Include response actions, escalation paths, and safety measures.

4.1.1. Power Outage

- Describe actions to take in case of power disruption, including communication and operational continuity.

4.1.2. Elevator Failure

- Define safety procedures and communication during elevator malfunction.

4.1.3. Ventilation

- Outline steps for handling air quality or ventilation problems.

4.1.4. Gas Leak

- Provide emergency procedures for detecting and responding to gas leaks.

4.1.5. Steam Line Failure

- Explain how to identify and respond to steam system issues.

4.1.6. Flooding (due to plumbing failure or other problems)

- Describe response actions for water-related incidents and evacuation procedures.

Appendix – Acronyms

The following is a list of acronyms used within this document.

Acronym	Term

Optum

Deliverable Document
Documentation Management Plan Template

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1. Introduction

The *D006-Documentation Management Plan* describes how Optum develops, coordinates, updates, manages, and tracks all documentation delivered to the West Virginia Department of Human Services (DoHS) for the West Virginia People's Access to Help (WV PATH) project.

1.1. Objective

Define the goal of documentation management.

Explain how documentation and project artifacts will be created, maintained, accessed, and standardized across the project lifecycle.

1.2. Plan Assumptions

- List key assumptions used in developing the plan.
- Include assumptions related to repositories, tools, ownership, review cycles, compliance requirements, and versioning practices.

1.3. In Scope

Define what documentation activities are included.

Typically includes development, storage, tracking, sharing, and updating of all document types such as deliverables, artifacts, logs, and legal documents.

1.4. Out of Scope

Clarify exclusions from the plan.

Identify areas not covered (e.g., system-specific modules or tools outside documentation processes).

1.5. Plan Organization

- Provide a structured overview of the document.
- Describe key sections and how they guide documentation processes and governance.

1.6. Related Documents

List supporting documents and dependencies.

Include references such as communication, quality, change management, and security plans.

Table 1-1: Related Documents

Document Name	Document Location

2. Documentation Development Approach

Describe the overall approach to developing documentation.

Include standards, inputs (RFP, requirements), quality checks, and workflows for document creation.

2.1. Documentation Tools

Define tools used for documentation creation.

Include software such as Microsoft Office, Visio, Project, ALM tools, and PDF tools, along with standards for official versions.

2.2. Documentation Location and Versioning

Explain where documents are stored and how versions are managed during development.

Include internal repositories and shared platforms for collaboration and review.

2.3. Deliverable Documentation Development

Describe the process for creating formal deliverables.

Include:

- Acceptance criteria definition
- Drafting, review, and approval workflow
- Submission cycles and stakeholder feedback
- Final approval and storage process

2.4. Project Artifact Documentation Development

Describe how supporting project artifacts are created.

Include items such as meeting notes, diagrams, logs, presentations, and how they are documented and maintained.

3. Documentation Types

Define categories of documentation used in the project.

3.1. Deliverables

- Describe formal contract deliverables.
- Include project management plans, reports, and required contractual documents.

3.2. Artifacts

- Define supporting documents created during the project.
- Examples include diagrams, meeting notes, templates, and presentations.

3.3. Tracking Logs

Describe logs used to track project activities.

Include logs such as:

- Issue/Risk (IRAAD) logs
- Change request logs
- Requirements and testing logs
- Stakeholder and communication tracking
-

3.4. Legal Documents

Define documents with contractual or legal significance.

Includes contracts, agreements, amendments, and compliance-related artifacts.

4. Documentation Management

Describe how documentation is organized, stored, protected, and shared.

4.1. Documentation File Naming Approach

Define naming conventions for documents.

Include standard formats for deliverables, meeting notes, reports, and artifacts to ensure consistency.

Table 4-1: Document File Naming Conventions

Document Type	Document File Naming Convention	Example
Deliverable		
Meeting Notes		

Status reports		
Reference Document		
Other Artifacts		

4.2. Storing and Sharing Documentation

Explain how documents are stored and shared.

Include use of repositories (e.g., SharePoint, Google Drive) and processes for collaboration and access.

4.3. Protecting Documentation

- Describe security measures for documentation.
- Include access controls, backups, confidentiality policies, and disaster recovery considerations.

5. Version Control

Define how document versions are maintained and tracked.

5.1. Revision History

Describe how changes to documents are recorded.

Include version numbering, change tracking, and audit trail requirements.

Table 5-1: Sample Version History

Date	Version	Revised by	Reason for Revision

5.2. SharePoint Version Control

- Explain version control mechanisms within document repositories.
- Include check-in/check-out processes and control over document updates.

5.3. HP ALM Version Control

Describe version tracking in specialized tools.

Include audit capabilities for requirements, testing artifacts, and logs.

Appendices

Appendix A – Acronyms

Acronym List

Acronym	Term

Appendix B – Templates

Appendix B-1: Deliverable Document Template

Appendix B-2: Meeting Note Template

Appendix B-3: PowerPoint Presentation Template

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Appendix B-5: Deliverables Acceptance Form Template

Optum

Deliverable Document
Training Management Plan Template

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Version 0.01

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1. Introduction

The *Training Management* Plan outlines the training approach and methods the Optum team will use to effectively implement and support the West Virginia People's Access to Help (WV PATH) for the West Virginia Department of Human Services (DoHS). The *Training Management Plan* identifies training objectives and activities, targeted audiences and training methods, and the approach to developing, delivering, and evaluating training courses. The *Training Management Plan* is one component of the Training Management Module, which includes the training activities, the Learning Management System (LMS), and Organizational Change Management activities.

1.1. Objective

- Define the goals of the training program.
- Explain how training curricula, materials, delivery methods, and reporting will support user readiness and system adoption.

1.2. Plan Assumptions

List assumptions used when developing the training plan.

Include assumptions about:

- Training tools (e.g., LMS)
- Trainer availability
- facilities and environments
- stakeholder participation
- update cycles during operations

1.3. In Scope

Define the training activities included in this plan.

Typically includes:

- Training for users, trainers, and stakeholders
- Training delivery methods (ILT, virtual, eLearning)
- Curriculum development and materials
- Training for releases and system functionality

1.4. Out of Scope

Clarify exclusions from training.

Examples include:

- Policy/process training outside system usage
- Additional training outside contractual scope
- In-system help features (if covered elsewhere)

1.5. Plan Organization

- Describe how the document is structured.
- Provide a high-level summary of each section for easier navigation.

1.6. Related Documents

List supporting project documents.

Include references such as project schedule, documentation plan, quality plan, and change management plan.

Table 1-1: Related Documents

Document Name	Document Location

2. Approach to Training Management

Describe the overall training strategy and methodology.

Include how training aligns with project phases, continuous improvement, and learning objectives.

2.1. Training Objectives

Define measurable outcomes of training.

Examples:

- User proficiency in system usage
- Trainer readiness
- Adoption of tools and processes

2.2. Optum's Approach to Professional Development

Describe the framework for continuous learning.

Include concepts such as:

- Continuous Quality Improvement (CQI)
- assessment, creation, delivery, evaluation, and support cycle

2.3. Tailoring Training for Working Professionals

Explain how training is adapted to diverse learners.

Include:

- Adult learning principles
- Multiple learning styles (visual, auditory, hands-on)
- interactive and role-based learning approaches

3. Target Audience

Identify all groups receiving training.

Include:

- Trainers (Train-the-Trainer)
- End users
- Pilot/UAT participants
- Stakeholders and vendors

4. Types of Training

Define training types across project phases.

Include:

- Train-the-Trainer (T3)
- UAT training
- Pilot training
- End-user training
- Operational training

4.1. Training Modalities

Describe methods used to deliver training.

Examples:

- Instructor-led training (ILT)
- Web conferences
- Video-based/self-paced learning

4.2. Training Process

Explain the end-to-end training development process.

Include:

- Training readiness assessment
- course design and development
- training delivery
- feedback incorporation

4.3. Learning Management System

Describe the LMS used to manage training.

Include:

- course registration and tracking
- reporting and analytics
- content hosting and delivery
- user roles and access

5. Scheduling Training

Describe how training sessions are planned and scheduled.

Include coordination with:

- project schedule
- stakeholder availability
- training locations and logistics

5.1. Registering for Training

Describe the process for training enrollment.

Include:

- LMS registration
- session selection
- notifications and reminders
- tracking attendance and completion

6. Curriculum

6.1. Types of Training Curriculum and Materials

Describe training materials and content.

Include:

- user manuals
- job aids
- eLearning modules
- course outlines and guides

6.2. Maintaining Training Curriculum and Class Materials

Explain how training materials are updated.

Include:

- updates due to system changes
- version control
- periodic review cycles

7. Approach to Training Evaluation

7.1. Evaluation Activities

Describe how training effectiveness is measured.

Include:

- assessments
- knowledge retention checks
- feedback collection

7.2. Gathering and Responding to Feedback

Explain how feedback is collected and used.

Include:

- surveys
- LMS analytics
- improvement actions

7.3. Training Report

Describe reporting of training outcomes.

Include:

- attendance metrics
- performance results
- progress tracking

- status reports

8. Sustainability

8.1. Hand-off Process

- Describe transition of training responsibilities.
- Include transfer of knowledge to internal trainers or operations teams.

8.2. On-going T3 Activities

Define continuous training support.

Include:

- refresher training
- onboarding new trainers
- operational support activities

8.3. Updating Training Materials

Explain ongoing updates to training content.

Include:

- system enhancements
- user feedback incorporation
- scheduled updates

Appendices

Appendix A - Acronyms

The following is a list of acronyms used within this document.

Acronym	Term

Appendix B - Sample Training Schedule

Appendix C - Sample Training Materials

Appendix D - Sample Training Course Survey

Appendix E - Sample Training Reports

Optum

Deliverable Document

Testing Management Plan Template

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1. Introduction

The *D008-Testing Management Plan* (*TMP*) for the West Virginia People's Access to Health (WV PATH) program details Optum's overall approach to testing. The *TMP* defines roles and responsibilities for Stakeholders, entry criteria, activities, and tasks to be performed along with exit criteria for the different testing phases. The *TMP* also defines tasks regarding test deliverables, the defect management lifecycle process, and describes the status reporting procedures for the program.

1.1. Objective

Define the goals of testing.

Explain how testing will ensure system quality, validate requirements, identify defects, and support compliance and certification requirements.

1.2. Plan Assumptions

List assumptions that impact testing.

Include assumptions related to:

- Availability of environments and data
- Stakeholder participation
- test schedules and dependencies
- integration with external systems

1.3. In Scope

Define testing activities included in the plan.

Include all test phases, test types, environments, tools, and deliverables covered by the plan.

1.4. Out of Scope

Clarify what is not included in testing.

Typically includes non-testable requirements or activities covered via other deliverables.

1.5. Plan Organization

Describe document structure.

Provide a high-level overview of sections and how they guide testing activities.

1.6. Related Documents

List supporting plans and deliverables.

Include references such as:

- Requirements documents
- Project schedule

- Risk, change, and quality plans

Table 1-1: Related Documents

Document Name	Document Location

2. Testing Approach and Management

This section of the TMP outlines the approach and management to execute the testing related activities in an effective manner.

2.1. Approach

Define the high-level testing approach.

Include:

- Testing phases and types
- automation strategy
- functional and non-functional testing
- alignment with business and technical requirements

2.2. Test Design and Execution Strategy

Describe how test cases are designed and executed.

2.3. Test Lifecycle Phases

Define stages of the testing lifecycle.

Include:

- Test planning
- test design
- test execution
- test closure
- reporting and metrics

2.4. Test Phase Deliverables & Work Product

List key deliverables and outputs of testing.

Include test plans, test cases, test results, and summary reports.

2.5. Roles and Responsibilities

Define testing roles and accountability.

Include QA team, test leads, stakeholders, and governance roles.

2.6. Stakeholders Communications and Reporting

Describe communication methods during testing.

Include meetings, dashboards, reports, and escalation processes.

2.7. Test Case Development

Explain how test cases are created, reviewed, and managed.

Include templates, naming conventions, and review processes.

2.8. Requirements Traceability to Test Case Coverage Report

Describe how requirements are mapped to test cases.

Ensure full coverage via RTM (Requirements Traceability Matrix).

2.9. Test Automation

Define automation strategy and tools.

Include automation scope, frameworks, and execution approach.

2.10. Test Data Development

Describe how test data is created and managed.

Include synthetic data, converted data, and security considerations.

2.11. Defect Identification, Tracking & Resolution Management

Define the defect lifecycle process.

2.11.1. Defect Identification

Explain how defects are captured.

2.11.2. Defect Attributes

Define defect fields and required information

2.11.3. Defect Triaging

Describe prioritization and triage meetings.

2.11.4. Defect Fixes Deployment

Explain how fixes are released.

2.11.5. Defect Re-Testing

Describe validation of fixes.

2.11.6. Defect Status

Define lifecycle statuses.

2.11.7. Defect Severity & Priority Definitions

Define classification of defects.

Table 2-7 outlines the severities and definitions.

Table 2-7: Severity Definitions

Severity	Description	Example and Next Step
S1 – Critical		
S2 – High		
S3 – Medium		
S4 – Low		

Table 2-8 outlines the priority levels and description.

Table 2-8: Priority Definitions

Priority	Description
P1 – Critical	
P2 – High	
P3 – Medium	
P4 – Low	

2.11.8. Defect Resolution Root Causes

Explain how defect causes are identified.

2.12. Test Communications and Status Reporting

- Describe reporting cadence.
- Include daily status, weekly reports, and stakeholder communication.

2.13. Documentation Updates

Explain how the plan and artifacts are maintained.

Reference documentation management processes.

2.14. Suspension & Resumption Criteria

Define when testing is paused or resumed.

Include criteria for environment issues, defects, or dependencies.

3. Testing Methodologies

Define all testing types and methodologies used.

3.1. Unit/Unit Integration Testing

- Validate individual components and integrations at development level.

3.2. Iterative Functional (Sprint) Testing

Validate functionality during sprint cycles

3.3. System/System Integration Testing

Validate integrated system functionality and interfaces.

3.4. Regression Testing

Ensure existing functionality is not impacted by changes.

3.5. End-to-End Testing

Validate complete business workflows.

3.6. Security Testing

- Ensure system security and compliance.

3.7. Accessibility Testing

- Validate compliance with accessibility standards.

3.8. Usability Testing

- Ensure user experience and interface quality

3.9. User Acceptance Testing

Validate system meets business needs.

3.10. Data Conversion Testing

Validate migrated data accuracy.

3.11. Performance (Load/Stress) Testing

  - Validate system performance under load.

3.12. Parallel Testing

- Compare legacy and new system outputs.

3.13. Pilot Testing

- Test system in limited real-world scenarios.

3.14. Operational Readiness Testing

Ensure system readiness for production.

3.15. Interactive Voice Response (IVR) Testing

Validate telephony system functionality.

3.16. Smoke Testing

Verify basic functionality after builds.

4. Test Environments

Describe testing environments and configurations.

Include environment types (DEV, SIT, UAT, PROD-like) and setup.

5. User Acceptance Testing

UAT is an important testing phase in software testing. Product users test the software with most frequently used daily operational scenarios to make sure it meets the end user's day-to-day operational needs. The system, system integration, and conversion testing must be successfully completed before the start of the UAT phase to avoid duplication of effort and defects.

5.1. UAT Plan Development

- Describe how UAT is planned.

5.2. Test Case Data Development and Test Execution

Define execution and test data usage Explain how results are validated.

5.3. Defect Tracking and Repair

Describe UAT defect management.

5.4. UAT Final Report Development

Define reporting outputs.

6. Operational Readiness Testing

Validate readiness for production operations.

7. Requirement Traceability

Ensure traceability across requirements, test cases, and results.

8. Testing Tools

8.1. Requirements

Describe requirement management tools.

8.2. Test Design and Execution

Describe tools like ALM.

8.3. Defect Tracking

Describe defect management systems.

8.4. Reporting

Describe dashboards and reporting tools

9. Appendix

9.1. Appendix A – Acronyms

The below is a list of acronyms used in this document.

Table A-1: Acronyms

Acronym	Term

9.2. Appendix B – Defect Flow

9.3. Appendix C –Final Test Plan

9.4. Appendix D – Environment Diagram

9.5. Appendix E – Stakeholder Test Reporting

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Deliverable Document
Communication Management Plan Template

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1. Introduction

The *Communication Management* Plan outlines Optum's approach to communicating with the West Virginia Department of Human Services (DoHS) for the West Virginia Integrated Eligibility Solution (WV IES) Project. Implementing a regulated framework allows Optum to use established channels to achieve well-informed stakeholders and productive discussions resulting in appropriate project decisions, while avoiding lost productivity hours on duplicative or unnecessary communication activities.

1.1. Objective

Define the goals of communication management.

Explain how communication will:

- Support coordination across stakeholders
- Ensure accurate, timely, and consistent messaging
- Enable informed decision-making and collaboration

1.2. Plan Assumptions

- List assumptions guiding communication execution.
- Include expectations around stakeholder collaboration, communication frequency, and participation levels.

1.3. In Scope

Define communication activities covered in the plan.

Includes all communication approaches, channels, and interactions throughout the project lifecycle.

1.4. Out of Scope

Clarify exclusions from the plan.

Include:

- Activities covered by other plans (e.g., training, testing)
- Phases outside current scope (e.g., M&O if applicable)

1.5. Plan Organization

Describe the document structure.

Summarize each major section and how it contributes to communication governance.

1.6. Related Documents

List supporting documents.

Include plans such as:

- Stakeholder Management Plan
- Documentation Management Plan
- Risk, Issue, and Change Plans
- Project Schedule

Table 1-1: Related Documents

Document Name	Document Location

2. Stakeholder Engagement

Describe how stakeholders are engaged through communication to build awareness, understanding, and commitment.

2.1. Stakeholder Engagement Approach

Define strategies for engaging different stakeholder groups.

Include:

- Tailored communication based on audience needs
- Timely and relevant information delivery
- Continuous verification of message effectiveness

2.2. Stakeholder Commitment Awareness

Describe how stakeholder awareness and commitment are measured and improved.

Include:

- Monitoring through meetings, feedback, and interactions
- Actions to improve stakeholder engagement levels

2.3. Roles and Responsibilities

Define communication roles and accountability.

Include:

- Project leadership

- PMO
- Sponsors and stakeholders
- Responsibilities for communication execution and reporting

3. Communication Management Approach

Define the overall framework for managing communication across the project

3.1. Integrated Project Management and Project Governance

Describe governance structure and communication flow.

Include:

- Steering, management, and operations committees
- Roles in decision-making and communication escalation

3.2. Project Reporting

Define reporting approach and project health tracking.

Include:

- Status reports (weekly/monthly)
- Metrics (schedule, scope, quality, overall status)
- Issue and risk communication

3.3. External Communication Request

Describe process for external communications.

Include:

- Intake/request process
- Review and approval workflow
- Coordination with communications leadership and stakeholders

4. Project Communication

Describe communication channels, methods, and execution across the project.

4.1. Project Communication Events

Define key communication events.

Include meetings, reports, training sessions, governance events, and stakeholder communications.

4.2. Common Communication Principles

Define guiding principles for communication.

Include principles such as:

- Clarity and consistency
- Credibility and trust
- Audience-focused messaging
- Feedback-driven communication

4.3. Elements of Project Communication

Define key communication components.

Include:

- Audience groups
- Communicators
- Timing and frequency
- Communication channels (face-to-face, digital, written)

4.4. Weekly and Monthly Project Meetings

Describe recurring meeting structures.

Include:

- Status meetings
- Deliverables and outputs
- Documentation and follow-ups

4.5. Feedback and Measuring Effectiveness

- Describe how effective communication is evaluated.
- Include:
  - Feedback collection mechanisms
  - Metrics and evaluation criteria
  - Continuous approach

4.6. Meeting Management

Define best practices for effective meetings

4.6.1. Planning Meetings

Describe how meetings are planned and structured.
Include:

- Agenda, participants, and objectives
- Scheduling and logistics

4.6.2. Lifecycle of IRAAD Process

Define process for tracking actions and decisions.

Include:

- Capture of Issues, Risks, Assumptions, Actions, Decisions
- Ownership and tracking via tools and logs

4.7. Meeting Benefits

Highlight value of meetings.

Include:

- Alignment
- Decision-making
- Collaboration and feedback

5. Communication Matrix

Provide a structured view of all communication activities.

Include:

- Event name
- Objective
- Communication type/tool
- Frequency
- Audience
- Owner

Table 5-1: Communication Event Matrix

Communication Event	Objective	Type/Tool	Frequency	Audience	Owner

Appendix A - Acronyms

Table 6-1 is a list of acronyms used within this document.

Table 6-1: Acronym List

Acronym	Term

Appendix B - Definitions

Optum

Deliverable Document
Risk and Issue Management Plan Template

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The purpose of the *Risk and Issue Management Plan* is to define the process to identify, analyze, respond to, monitor, and control risk and issue for the West Virginia Integrated Eligibility Solution (WV IES) Project.

1.1. Objective

Define the goals of risk and issue management and explain how the project team will proactively identify and address threats and opportunities that could impact project success

1.2. Plan Assumptions

- Document assumptions used in developing the Risk and Issue Management Plan.

1.3. In Scope

- Define which risks and issue are governed by this plan.

1.4. Out of Scope

Identify items not covered by this plan.

1.5. Plan Organization

- Summarize the structure of the document and explain the purpose of each major section

1.6. Related Documents

List documents that support risk and issue management activities.

Table 1-1: Related Documents

Document Name	Document Location

2. Optum Risk Management Approach

Describe the overall methodology, framework, tools, and processes used to manage project risks and issues.

2.1. Integration with DHHR Common Governance Structure

- Describe how risk and issue management aligns with project governance, leadership oversight, escalation processes, and reporting structures

2.2. Risk Types

Identify common categories of project risks.

2.3. Risk Management Process Workflow

Describe the end-to-end process used to manage risks and issues throughout the project lifecycle.

2.4. Risk Management Tools

Describe tools used to capture, track, manage, and report risks and issues.

3. Risk Reporting & Communication

Describe how project risks and issues are reported, reviewed, communicated, and escalated.

4. Risk Management Roles and Responsibilities

Define accountability for all project participants involved in risk and issue management activities.

Appendices

Appendix A: Acronyms

Acronym	Term

Appendix B: Risk Priority Number

Appendix C: Sample HP ALM Risk Form

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1. Introduction

Provide an overview of the Change Management Plan and describe how project changes, system changes, and project decisions will be identified, evaluated, approved, implemented, and monitored

1.1. Objective

Describe the goals of the change management process.

Include:

- Governance for project and system changes
- Change approval and authorization process
- Change tracking and reporting
- Decision management process
- Roles and responsibilities for change control

1.2. Plan Assumptions

Document assumptions used to develop this plan.

Examples:

- Change requests follow a formal approval process.
- Supporting tools are available.
- Stakeholders participate in evaluations and approvals.
- Training will be provided on change management processes.

1.3. In Scope

Define changes governed by this plan.

Examples:

- Project scope changes
- Functional changes
- Production release changes
- Data fixes
- System configuration changes
- Production environment changes

1.4. Out of Scope

Identify activities managed by other processes or plans.

Examples:

- Issue management
- Risk management
- Business organizational changes
- Deliverable updates
- Non-production activities with no production impact

1.5. Plan Organization

- Describe document structure and major sections

1.6. Related Documents

List plans, procedures, and references supporting change management.

Table 1-1: Related Documents

Document Name	Document Location

2. Optum Project Change Management Process

Describe how project-level Change Requests (CRs) are managed throughout the project lifecycle.

2.1. Integration with WV DHHR Common Governance Structure

Explain how change management integrates with project governance, reporting, escalation paths, and approval bodies

2.2. Managing a Change Request

Define the types of project changes and how they are evaluated.

2.3. Control Process and Tools

Describe the governance process, workflow, and tools used to manage changes.

2.3.1. Change Management Process Flow

Describe the lifecycle of a Change Request.

Typical process:

1. Change Identified

2. Intake and Registration
3. Completeness Review
4. Impact Assessment
5. Leadership Review
6. Change Review Team Review
7. Change Control Board Review
8. Approval
9. Implementation
10. Closure

2.3.2. Change Evaluation Criteria

Define criteria used to approve, defer, or reject a change request.

Typical considerations:

- Business value
- Regulatory requirements
- Cost impacts
- Schedule impacts
- Resource impacts
- Risk impacts
- Stakeholder support

2.3.3. Determination of Chargeability

Define how funding responsibility is determined.

Include:

- Billable vs. non-billable
- Modifications
- Enhancements
- Funding approvals
- Cost estimates
- Statements of Work (SOW)

2.3.4. Change Control Tools

Describe tools used to manage and track changes.

Examples:

- ServiceNow
- HP ALM
- SharePoint
- Reporting dashboards

2.3.5. Process and Tool Training

- Describe training requirements for users of the change management process and associated tools.

2.4. Change Management Roles and Responsibilities

Define responsibilities for all stakeholders involved in change management.

Key Roles

- Change Requestor
- Change Control Manager
- Project Manager
- PMO
- Change Request Review Team (CRRT)
- Change Control Board (CCB)
- Steering Committee
- Subject Matter Experts
- Stakeholders

2.5. CR Monitoring and Reporting

Define how changes are tracked, measured, and reported.

Include:

- Open CRs
- Approved CRs
- Rejected CRs
- Aging Reports
- Funding Reports
- Change Metrics
- Executive Reporting

3. Optum System Change Management Process

Describe the process used to manage production system changes and operational releases.

3.1. Change Ticket Registration

Describe how system change requests are submitted and logged.

Include:

- Change creation
- Validation
- Assignment
- Registration in toolset

3.2. Change Ticket Planning

Define planning activities required prior to implementation.

Include:

- Risk assessment
- Impact analysis
- Implementation plan
- Validation plan
- Rollback plan
- Security review

3.3. Change Ticket Approval

Describe approval workflow before implementation.

Include:

- Technical approvals
- Business approvals
- CAB review
- Executive approvals for high-risk changes

3.4. Change Ticket Implementation

Describe execution and deployment of approved changes.

Include:

- Scheduled deployment
- Validation testing
- Change communications
- Rollback procedures

3.5. Change Ticket Closure

Describe activities required to formally close a change ticket.

Include:

- Validation results
- Closure codes
- Lessons learned
- Closure approval

3.6. Change Ticket Resubmit

Define process for modifying and resubmitting rejected or expired change requests.

3.7. Change Ticket Cancelation

Define cancellation criteria and approval requirements.

3.8. Incident Change Tickets

Describe emergency or incident-driven production changes requiring accelerated approval.

3.9. Post Implementation Review

Evaluate implementation success and identify process improvement opportunities.

3.10. System Change Ticket Management Guidelines

Define operational standards and controls for production changes.

3.11. System Change Ticket Management Roles and Responsibilities

Document responsibilities for operational change management participants.

Examples:

- Change Owner
- Change Requestor
- CAB Members
- Executive Approvers
- Change Reviewer
- Operational Support Teams

4. Optum Decision Management Process

Describe governance process for documenting, approving, and tracking project decisions.

4.1. Managing a Decision

Describe how decisions are identified, analyzed, documented, and approved.

Include:

- Business decisions
- Project decisions
- Escalated decisions
- Decision traceability

4.2. Decision Management Process Flow

Define lifecycle for project decisions.

Typical process:

1. Decision Need Identified
2. Impact Analysis
3. Draft Decision Statement
4. Leadership Review
5. Approval
6. Documentation
7. Communication
8. Escalation (if necessary)

Appendix A: Acronyms

The following is a list of acronyms used within this document.

Acronym	Description

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Optum

Deliverable Document
Security, Privacy, and Confidentiality Management Plan Template

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1. Introduction

The *D013-Security, Privacy and Confidentiality Management Plan* describes the data handling protocols used to secure and protect the confidentiality, integrity, and availability of information and citizens' privacy for the West Virginia People's Access to Help (WV PATH) project.

1.1. Objective

Define the goals of the plan and explain how security, privacy, and confidentiality controls are implemented throughout the project lifecycle.

Include:

- Security governance approach
- Privacy protection strategy
- Confidentiality requirements
- Compliance with state and federal regulations
- Security control implementation approach

1.2. Plan Assumptions

Document assumptions used in developing the plan.

Examples:

- Security assessments will be performed regularly.
- Control documentation will be maintained.
- Continuous monitoring activities will occur.
- Security and privacy artifacts will be updated as needed.
- Regulatory changes will be incorporated into the security program.

1.3. In Scope

Define systems, environments, applications, infrastructure, facilities, data, vendors, and cloud services covered by the plan.

Include:

- Production environments
- Cloud hosting providers
- Identity platforms
- Data storage and transmission environments

- Integrated applications and services

1.4. Out of Scope

Identify systems, services, facilities, or environments not governed by this plan.

1.5. Plan Organization

Provide a summary of the document structure and major sections.

1.6. Related Documents

The *Security, Privacy, and Confidentiality Management Plan* is subordinate to the overall Project Management Plan (PMP) and related to all other PMP sub-component plans. The plans listed below in Table 1-1 are referenced in this plan to provide additional context and content. The locations of these documents are listed for further details.

Table 1-1: Related Documents

Document Name	Document Location

2. Security, Privacy and Confidentiality

Describe the organization's overall security, privacy, confidentiality, governance, compliance, and risk management approach.

2.1. Security Objectives

Define security goals and controls used to protect systems, applications, infrastructure, and data. Include alignment with organizational and regulatory requirements.

2.2. State and Federal Regulations and Policies

Identify all regulatory, contractual, security, privacy, and compliance requirements governing the project.

Examples:

- NIST
- FISMA
- CMS MARS-E
- IRS Publication 1075
- HIPAA
- HITECH

- State security policies
- Privacy regulations

2.3. Privacy and Confidentiality Objectives

Define privacy and confidentiality principles used to protect sensitive information.

2.4. Annual Security Assessment

Describe annual and periodic security assessments, audits, accreditation reviews, vulnerability evaluations, and remediation tracking activities

2.5. Encryption

Describe encryption standards and controls used to protect data at rest, in transit, and during processing.

Include:

- Encryption algorithms
- Key management
- Certificate management
- Storage encryption
- Transmission encryption

2.6. Account Management and Role-Based Access

Describe account provisioning, identity management, RBAC, user lifecycle management, and access review procedures.

2.7. System Vulnerability and Penetration Testing

Describe security testing activities used to identify and remediate vulnerabilities.

Include:

- Vulnerability scanning
- Static code analysis
- Dynamic testing
- Baseline compliance scanning
- Security reviews

2.8. Penetration Testing Methodology

Describe the penetration testing lifecycle, methodology, reporting, and remediation processes.

2.9. Cyber Defense Technologies and Strategy

Describe layered security architecture and cyber defense capabilities.

Include:

- Firewalls
- IDS/IPS
- SIEM
- Threat intelligence
- Network segmentation
- Active cyber defense technologies

2.10. Security Logging and Monitoring

Describe security event logging, monitoring, alerting, correlation, retention, and forensic support capabilities.

2.11. Incident Response and Data Breach Reporting

Describe processes for handling security incidents, privacy incidents, breaches, regulatory notifications, investigations, containment, and recovery.

2.12. FedRAMP Compliant Cloud Services

Describe security responsibilities, compliance requirements, monitoring activities, and control inheritance associated with FedRAMP-authorized cloud environments supporting the solution.

Appendix A – Acronyms

The following is a table of acronyms used within this document.

Table 3-1: Acronyms

Acronym	Definition

Appendix B – Optum Data Center Overview

Appendix C –Optum GovID

Optum

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1. Introduction

Provide an overview of the Configuration Management Plan and describe how configuration items (CIs) will be identified, controlled, maintained, monitored, and audited throughout the project lifecycle.

1.1. Objective

Define the goals of configuration management.

Include how the project will:

- Identify and baseline configuration items
- Control modifications and releases
- Track configuration status
- Verify completeness and accuracy
- Manage storage, handling, and delivery of configuration items

1.2. Plan Assumptions

Document assumptions used in developing the plan.

Examples:

- Configuration management processes will be followed across teams.
- Configuration repositories and tools are available.
- Stakeholders will participate in reviews and approvals.
- Configuration data will be maintained throughout the project lifecycle

1.3. In Scope

. Define the systems, environments, applications, infrastructure, repositories, and configuration items covered by this plan

1.4. Out of Scope

Identify activities and systems not governed by this plan.

Examples:

- External systems not managed by the project
- Development activities outside change control
- Training activities
- Testing procedures documented elsewhere

1.5. Plan Organization

Provide a summary of the document structure and major sections.

1.6. Related Documents

List documents that support configuration management activities.

Table 1-1: Related Documents

Document Name	Document Location

2. Configuration Management Overview

Describe the overall configuration management methodology, governance structure, tools, and processes used to maintain configuration integrity.

2.1. Properly Identifying, Defining Configuration Items

Describe how Configuration Items (CIs) are identified, categorized, registered, and maintained.

Include:

- Configuration Item definitions
- CI hierarchy and relationships
- Automated discovery processes
- Registration procedures

2.2. Controlling Modifications to Configuration Items

Describe how configuration changes are requested, reviewed, approved, implemented, and documented.

Include:

- Change request process
- Approval requirements
- Traceability requirements
- Relationship to Change Management processes

2.3. Verifying Completeness, Consistency and Correctness of Configuration Items

Describe audit and verification processes used to ensure configuration data remains accurate and complete.

Include:

- CMDB reconciliations
- Scheduled reviews
- Attestation processes
- Independent audits

2.4. Controlling Storage, Handling and Delivery of Configuration Items

Describe how configuration information is securely stored, maintained, distributed, and protected.

Include:

- Configuration repositories
- Storage controls
- Access controls
- Stakeholder communication processes

3. Configuration Management Database

Provide an overview of the CMDB and explain how it serves as the system of record for configuration information.

4. Responsibility Matrix

Define roles, responsibilities, and accountability for configuration management activities.

5. Configuration Identification and Documentation

Describe how configuration information is collected, documented, maintained, and updated within the CMDB.

5.1. Configuration Item Creation Overview

Describe the process for creating and registering new configuration items.

Include:

- Manual registration

- Automated discovery
- Validation and approvals

5.2. Relationship/Dependency Map within the CMDB

Describe how dependencies between applications, infrastructure, services, and environments are identified and documented.

5.3. Configuration Items

Define the types of configuration items maintained within the CMDB.

5.3.1. Types of Cis

Identify categories of CIs.

Examples:

- Applications
- Servers
- Databases
- Networks
- Storage
- Services
- Workstations

5.3.2. Configuration Item Attributes

Define required metadata maintained for each CI.

Examples:

- Status
- Name
- Environment
- Owner
- Relationships
- IP Address
- Operating System
- Location

- Support Group

5.4. Commercially Available Software Configuration

Describe management of commercial software products, licenses, and version tracking

5.5. Code Configuration Management

- Describe source code management processes, repositories, branching strategies, build management, and deployment controls.

5.6. Baselining

Describe creation and maintenance of configuration baselines and comparison reporting processes.

5.7. Developer Workstation Configuration

Define approved workstation standards, hardware requirements, software requirements, and developer tool configurations.

5.8. Plan Maintenance

Describe how the Configuration Management Plan is maintained and updated over time.

5.8.1. Methodology and Process for *Configuration Management Plan* Updates

Define steps used to update the plan.

Typical steps:

1. Initiation
2. Analysis
3. Proposal
4. Review
5. Approval
6. Publication

5.8.2. Scenarios That Trigger Plan Updates

Identify events that require plan updates.

Examples:

- Organizational changes
- Architectural changes

- Regulatory changes
- Stakeholder requests
- Process improvements

6. Configuration Control

Describe controls used to govern configuration changes and maintain baseline integrity

6.1. Data Entry Controls

Define validation and approval controls for updating CI records and relationships.

6.2. Recording

Describe how configuration information is recorded, maintained, and archived.

6.3. Configuration Change Control

Describe change approval workflows, control boards, risk classifications, and implementation requirements.

7. Monitoring, Reporting, and Auditing

Describe the monitoring, reporting, auditing, and continuous improvement activities supporting configuration management.

7.1. Configuration Monitoring

Describe methods used to detect unauthorized changes, identify discrepancies, and validate CMDB accuracy.

7.2. Product Life Cycle Management

Describe processes for monitoring software lifecycle status, end-of-support dates, and technology upgrades.

7.3. Reporting

Define reports and metrics used to evaluate configuration management effectiveness.

Examples:

- CMDB accuracy
- Change success rates
- Configuration discrepancies
- Audit findings
- Compliance metrics

7.4. Audit and Verification

Describe audit processes used to validate configuration information and ensure compliance.

Include:

- Quarterly reviews
- Annual audits
- Attestation requirements
- Remediation tracking

7.5. Vendor Performed Change Activity

Describe controls and governance requirements for vendor-performed changes that affect managed configuration items.

7.6. Safeguards

Describe protection mechanisms used to maintain configuration integrity.

Include:

- Build tagging
- Rollback capabilities
- Release controls
- Audit trails
- Promotion approvals

7.6.1. Source Code Escrow

Describe source code escrow arrangements, deposit requirements, release conditions, and reporting obligations.

7.7. Quality and Continuous Improvement

Describe metrics, reviews, lessons learned, and process improvement activities used to enhance configuration management effectiveness

Appendix A – Acronyms

Below is a list of acronyms referenced in this plan.

Table A-1: Acronyms

Acronym	Term

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Optum

Deliverable Document

Disaster Recovery and Business Continuity Plan Template

Doc ID: D-015

Version 0.01

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Provide an overview of the Disaster Recovery and Business Continuity Plan (DRBCP), including the approach for maintaining operations and restoring services following a disaster or major disruption.

1.1. Objective

Define the goals of the disaster recovery and business continuity program.

Include:

- Recovery of critical systems and services
- Business continuity during disruptions
- Recovery testing and validation
- RTO and RPO compliance
- Recovery governance and accountability

1.2. Plan Assumptions

- Document assumptions used in developing the plan.
- Examples:
  - Recovery sites are available.
  - Recovery resources are adequately staffed.
  - Third-party vendors maintain recovery capabilities.
  - Recovery procedures are tested regularly.

1.3. In Scope

Define systems, services, applications, facilities, and operational processes covered by the plan.

1.4. Out of Scope

Identify services, facilities, or environments not covered by this plan.

1.5. Plan Organization

Provide a summary of document structure and major sections.

1.6. Related Documents

Identify supporting plans and procedures.

Table 1-1: Related Documents

Document Name	Document Location

2. Disaster Recovery and Business Continuity Planning

Describe the overall disaster recovery program, recovery strategy, business continuity approach, and recovery objectives.

2.1. Disaster Recovery Program Overview

Provide a high-level overview of the disaster recovery program, governance structure, and recovery capabilities.

2.2. Background

Describe the business need for disaster recovery and the importance of maintaining critical operations during disruptive events.

2.3. Enterprise Resiliency and Response – A Layered Model

Describe the organization's resiliency framework and how disaster recovery integrates with crisis management and business continuity.

2.4. Enterprise Disaster Recovery Program Mission and Objectives

Define program mission, recovery goals, and measurable objectives for disaster readiness and recovery.

2.5. Disaster Recovery Strategy

Describe the overall recovery strategy, including prevention, protection, recovery sites, and recovery methods.

2.6. Lifecycle Maintenance

Define how disaster recovery plans are reviewed, updated, and maintained throughout the operational lifecycle.

2.7. Disaster Recovery and Business Continuity Objectives

Define recovery targets including:

- Recovery Time Objective (RTO)

- Recovery Point Objective (RPO)
- Critical service restoration priorities
- Business continuity requirements

2.8. Prevention

- Describe preventative measures designed to reduce the likelihood of disruptions.
- Include:
  - Staffing resiliency
  - Operational processes
  - Infrastructure redundancy
  - Security controls
  - Monitoring capabilities

2.9. Protection

Describe technologies and safeguards that protect systems and data during disruptive events.

Include:

- Data replication
- Failover capabilities
- Backup systems
- Physical protections
- Power continuity controls

2.10. Backup and Recovery Procedures

Provide a summary of system backup, restoration, and recovery procedures.

2.11. Alternative Processing Sites

Describe alternate processing locations and recovery facilities that support continuity of operations.

2.12. Types of Disasters

Identify disaster scenarios addressed by the plan.

2.12.1. Loss of Facility

Describe recovery strategies when facilities become inaccessible or unusable.

2.12.2. Loss of Critical Resources

Describe continuity strategies for staffing shortages or workforce disruptions.

2.12.3. Loss of Critical Systems

Describe recovery procedures for major system failures or outages.

2.12.4. Loss of Critical Vendors

Describe recovery and escalation procedures when critical vendors become unavailable.

2.13. Business Continuity Procedures

Describe business continuity processes used to maintain critical operations during disruptions.

Include:

- Readiness and preparedness
- Activation procedures
- Continuity operations
- Reconstitution activities

2.14. Escalation Plans

Define escalation procedures, authority structures, and communication channels during recovery events.

3. Disaster Recovery and Business Continuity Process

Describe detailed disaster recovery activities from disaster declaration through restoration and validation.

3.1. Backup Protection Plans and Procedures

Describe backup protection mechanisms for data, applications, infrastructure, and network connectivity.

3.2. Alternative Sites

Define alternate recovery locations and capabilities available for disaster recovery operations.

3.3. Off-site Storage Procedures

Describe off-site backup storage methods, retention processes, and recovery procedures.

3.4. Solution Recovery Objectives

Define recovery objectives for each critical system or service.

Include:

- RTO
- RPO
- Recovery site
- Recovery approach

3.5. Risk Analysis and Mitigation for Core Business Processes

Describe Business Impact Analysis (BIA) methodology and associated risk mitigation activities.

3.6. Business Continuity Process

Describe how critical business functions are prioritized, maintained, and restored during a disruptive event.

3.7. Disaster Recovery and Business Continuity – Testing and Revision

Describe testing, training, validation, certification, and plan update activities.

3.7.1. Failover and Fallback Functionality

Describe testing and validation of failover and failback capabilities.

3.7.2. Back-up and Recovery Functionality

Describe backup restoration testing and validation procedures.

3.7.3. Testing

Describe disaster recovery and business continuity testing methodologies.

Include:

- Tabletop exercises
- Walkthroughs
- Simulation exercises

- Recovery validation testing

3.7.4. Updates and Revisions

Define plan maintenance, change management, and revision procedures.

4. Roles and Responsibilities

Define governance, accountability, and recovery team responsibilities during disaster events.

4.1. Governance Structure

Describe recovery governance, leadership oversight, escalation authority, and decision-making processes.

4.1.1. RACI

Provide a RACI matrix defining responsibilities for recovery planning, recovery exercises, communication, and disaster operations.

4.2. Roles and Responsibilities

Define responsibilities for key recovery personnel and teams.

Examples:

- Disaster Recovery Lead
- Business Continuity Lead
- Infrastructure Owner
- Recovery Team
- Business Owner
- Event Management Team (EMT)
- Subject Matter Experts (SMEs)

4.3. Integration with Other Providers

Describe coordination with vendors, third-party providers, state agencies, and external support organizations during recovery.

5. Assumptions and Risks

Document assumptions and risks that affect recovery planning and execution.

5.1. Key Assumptions

List assumptions regarding facilities, staffing, technology, recovery sites, and external dependencies.

5.2. Key Risks

Identify risks that may affect recovery capability and document mitigation strategies.

6. Backup, Storage, and Recovery of Backups

Describe backup strategies, retention schedules, storage methods, recovery procedures, and backup monitoring processes

7. Disaster Recovery Plan Development

Describe development, maintenance, review, testing, and certification of recovery plans.

7.1. Disaster Recovery Plans

Describe creation and maintenance of system-specific disaster recovery plans.

7.2. Plan Refresh Process

Describe annual review and refresh processes for recovery documentation.

7.3. Optum Internal Review

Describe leadership review, certification, and approval activities.

7.4. Disaster Recovery Plan Exercise and Testing

Describe testing schedules, recovery exercises, certification, and validation activities.

7.4.1. Disaster Recovery Exercise Results Summary

Summarize exercise results, identified gaps, lessons learned, and remediation plans.

7.4.2. Business Continuity Exercises

Describe continuity exercises used to validate operational readiness.

7.4.3. Plan Maintenance

Describe maintenance processes, update triggers, and document governance procedures.

7.5. Post Disaster Recovery Plan Exercise Guidelines

Define post-exercise review procedures, validation activities, and continuous improvement actions.

8. Disaster Event Declaration

Define the process used to identify, evaluate, declare, and manage a disaster event.

8.1. Definition of a Disaster

Define criteria used to determine when a disruption qualifies as a disaster event.

8.2. Declaration of a Disaster

Describe authority, approval process, communications, and activation procedures for disaster declarations.

9. Recovery Contacts

Identify recovery personnel, stakeholders, vendors, and emergency contacts required during recovery operations.

9.1. Optum Contacts

Provide recovery contact information for key project and operational personnel.

9.1.1. Critical Required Skills

Identify required skill sets and resource requirements supporting recovery efforts.

9.2. DoHS Contacts

Document key customer or agency contacts involved during disaster response.

9.3. Critical Vendor Contacts

Document vendor support contacts and escalation paths required for recovery activities.

10. Recovery Requirements

Define assets, information, dependencies, and business functions required for recovery.

10.1. Vital Records

Identify records and data required to support recovery and business continuity.

10.2. System Information Inventory

Document infrastructure, applications, databases, and configuration information required for recovery.

10.3. Critical Solution and Data Feed Dependencies

Identify internal and external system dependencies affecting recovery prioritization.

10.4. Supported Critical Business Processes

Document critical business functions supported by the solution and associated recovery priorities.

11. Recovery and Validation Procedures

Provide detailed procedures for restoring and validating infrastructure and application services.

11.1. Infrastructure Procedures

11.1.1. Infrastructure Recovery Procedures

Provide step-by-step procedures for restoring infrastructure components.

11.1.2. Infrastructure Validation Procedures

Define validation activities that confirm infrastructure recovery success.

11.2. Solution Procedures

11.2.1. Solution Recovery Procedures

Provide procedures for restoring applications, databases, and supporting services.

11.2.2. Solution Validation Procedures

Define validation steps confirming the solution is operational and ready for business use.

12. Return to Normal Operations

Describe the process for transitioning operations back to the original production environment or establishing a permanent operating environment after recovery.

Appendices

Appendix A – Acronyms, Terms, and Definitions

Table A – 1 is a list of acronyms used within this document.

Table A - 1: Acronyms

Acronym	Term

Appendix B – Solution Recovery and validation procedures templates

Optum

Deliverable Document
Data Quality and Governance Plan Template

Doc ID: DEL-016

Version 0.01

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1. Introduction

Provide an overview of the Data Quality and Governance Plan and describe how data governance, stewardship, quality management, and compliance activities are implemented throughout the project lifecycle.

Objectives

Define the goals of the data quality and governance program.

Include:

- Data governance framework
- Data quality management
- Data integrity controls
- Data verification processes
- Regulatory compliance requirements
- Continuous data improvement initiatives

Plan Assumptions

Document assumptions used in developing the plan.

Examples:

- Data governance applies throughout implementation and operations.
- Data quality standards will be reviewed regularly.
- Data sharing requirements are defined by federal and state regulations.
- Change management processes govern updates to data rules and standards.
- Data exchanges will comply with approved agreements and standards

In Scope

Define the data governance, data quality, metadata, master data, and monitoring activities covered by the plan.

Out of Scope

Identify activities, systems, and documentation managed by other plans.

Examples:

- Detailed data mappings
- Interface specifications

- Security and privacy controls
- Data retention procedures
- Data conversion execution activities

Document Organization

Provide a summary of the document structure and major sections.

Related Documents

The deliverables listed below in Table 1-1 are referenced in this plan to provide additional context and content. The table below represents the locations of these deliverables for further details.

Table 1-1: Related Documents

Document Name	Document Location

2. Data Governance

Describe the governance framework used to manage data as an enterprise asset and establish accountability for data quality, stewardship, and compliance.

3. Data Quality

Describe how data quality is measured, maintained, monitored, and continuously improved throughout the solution lifecycle.

Data Quality Management

Describe the continuous data quality management process used to monitor, assess, and improve data quality.

Include:

- Data profiling
- Metrics development
- Rule definition
- Exception management
- Continuous monitoring
- Root cause analysis

Data Quality Project Deliverables

Identify project deliverables that support and enforce data quality standards.

Examples:

1. Data Dictionary
2. Data Models
3. Data Conversion Specifications
4. Interface Inventory
5. Security Management Plan
6. System Backup and Retention Plan

Data Quality Measures and Monitoring

Define quantitative and qualitative measures used to assess data quality and performance.

Metadata Management

Describe processes used to define, manage, document, and govern metadata across the organization.

Master Data Management

Describe how master records are maintained and governed to ensure consistent, accurate, and non-duplicative information across systems.

Include:

- Golden record strategy
- Duplicate detection
- Matching and merging processes
- Reference data management
- Record survivorship rules

Data Exchange

Describe standards, controls, and governance for information sharing between systems and external organizations.

Policies and Procedures

Document the policies, standards, procedures, and controls used to support data governance and data quality objectives.

Tools and Infrastructure

Describe tools, technologies, repositories, and environments supporting data governance and data quality activities.

Automated Data Quality Tools

Describe automated solutions used to monitor, measure, and improve data quality.

Include:

- Data profiling
- Data discovery
- Data matching
- Duplicate detection
- Data monitoring
- Metadata management
- Business glossary management
- Automated alerts and notifications

Roles and Responsibilities/Training

Define the organizational responsibilities and training requirements supporting data governance and quality programs.

Roles and Responsibilities

Define roles responsible for governance, stewardship, monitoring, compliance, and quality management.

Training

Describe training programs that promote awareness and adoption of data governance and quality requirements.

Appendices

Appendix A - Acronym List

Acronym	Term

Appendix B - Federal Data Quality Standards

Optum

Deliverable Document
System Backup and Record Retention Plan Template

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1. Introduction

Provide an overview of the System Backup and Record Retention Plan and describe the approach for protecting, backing up, retaining, restoring, and disposing of organizational data and records.

1.1. Objective

Define the goals of the backup and record retention program.

Include:

- Data protection strategy
- Backup and recovery capabilities
- Record retention compliance
- Data accessibility requirements
- Long-term preservation of critical records

1.2. Plan Assumptions

Document assumptions used in developing the plan.

Examples:

- Infrastructure components are available and supported.
- Backup and recovery tools are operational.
- Retention schedules will be finalized and periodically reviewed.
- Regulatory and contractual requirements will govern retention periods.

1.3. In Scope

Define the systems, applications, databases, records, and environments covered by this plan.

1.4. Out of Scope

- Identify systems, services, facilities, or environments not governed by this plan.
- Examples:
  - Third-party managed environments
  - Customer-owned infrastructure
  - Disaster recovery activities covered under separate plans

1.5. Plan Organization

Provide a summary of the document structure and major sections.

1.6. Related Documents

List plans and procedures supporting backup and retention activities.

Table 1-1: Related Documents

Document Name	Document Location

2. System Backups and Schedules

Describe the backup methodology, media management, retention controls, restoration procedures, and operational standards used to protect system data.

2.1. Media Tracking

Describe how backup media is tracked, monitored, and controlled throughout its lifecycle.

Include:

- Media inventory management
- RFID or asset tracking
- Status monitoring
- Chain of custody controls

2.2. Data Center Backups

Describe backup architecture and storage strategy across primary and secondary data centers.

Include:

- Onsite backups
- Offsite backups
- Replication
- Alternate data centers
- Recovery site support

2.3. Destruction Processes

Describe processes used for secure destruction of backup media and records after retention requirements are met.

Include:

- Approval workflow
- Legal hold review
- Secure media destruction
- Destruction certificates
- Audit requirements

2.4. Testing of Restores

Describe how backup restorations are tested and validated.

Include:

- File restoration testing
- Database restoration testing
- Environment restoration testing
- Validation procedures
- User acceptance verification

2.5. Backup Success

Define monitoring and reporting of backup job success and failure.

Include:

- Backup completion reporting
- Failure tracking
- Root cause analysis
- Corrective actions
- Operational review processes

2.6. Database Synchronization and Transaction Logging

Describe database synchronization methods, transaction logs, replication, and recovery support mechanisms.

2.7. Backup and Retention Policies

Define organizational policies governing backup creation, storage, retention, and disposal.

2.7.1. Backup Policy

- Describe backup frequency, backup types, retention periods, and operational requirements.
- Include:
  - Full backups
  - Incremental backups
  - Ad hoc backups
  - Storage locations
  - Security requirements

2.7.2. Retention Policy

Describe record retention requirements based on operational, legal, contractual, and regulatory obligations.

Include:

- Retention schedules
- Legal hold procedures
- Regulatory compliance
- Destruction requirements

2.8. Data Retention and Accessibility

Describe how records are retained, accessed, transferred, and protected throughout their lifecycle.

Include:

- Access request procedures
- Retrieval processes
- Security controls
- Record transfer requirements
- Final disposition procedures

2.9. Data Retention Schedules

Define backup retention periods and record retention requirements for each environment and record category.

2.10. Operational Backup Standards

Document technical standards governing backup operations.

Include:

- Backup frequency
- Version management
- Retention parameters
- Storage requirements
- Recovery standards

2.11. Roles and Responsibilities

Define ownership and accountability for backup and retention activities.

3. Retention Methodology by Project Phase

Describe how project records, data, and deliverables are retained throughout each project lifecycle phase.

Appendix A – Acronyms

Appendix A - Acronyms

Acronym	Term

Appendix B - Definitions

Appendix B - Definitions

Term	Definition

Appendix C - Reporting and Communication Artifacts Storage and Retention Information

Optum

Deliverable Document
Turnover and Closeout Management Plan Template

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Provide an overview of the Turnover and Closeout Management Plan and describe the approach for transitioning operations, maintenance responsibilities, knowledge, documentation, assets, and data to the customer organization or successor vendor at contract completion.

1.1. Objective

Define the goals of the turnover and closeout program.

Include:

- Operational continuity
- Knowledge transfer
- Data transfer
- Asset transfer
- Staff transition
- Contract closeout activities
- Successful transition to the customer or successor vendor

1.2. Plan Assumptions

Document assumptions used in developing the plan.

Examples:

- Successor vendor resources will be available throughout transition.
- Knowledge transfer sessions will be attended by designated personnel.
- Customer leadership will provide timely approvals.
- Transition activities will follow approved schedules.
- Intellectual property and licensing restrictions will be honored.

1.3. In Scope

Define the services, applications, operational processes, data, assets, and documentation covered by turnover and closeout activities.

1.4. Out of Scope

Identify activities, technologies, licenses, and intellectual property not included in the turnover process.

Examples:

- Third-party proprietary software
- Commercial off-the-shelf (COTS) source code
- Vendor-owned intellectual property
- Non-transferable software licenses

1.5. Plan Organization

Provide a summary of the document structure and major sections.

1.6. Related Documents

. Identify plans and documentation supporting turnover and closeout activities.

Examples:

- Documentation Management Plan
- Training Management Plan
- Project Schedule
- Quality Management Plan
- Communications Management Plan
- Risk Management Plan
- Issue Management Plan
- Change Management Plan
- Configuration Management Plan
- System Backup and Record Retention Plan

Table 1-1: Reference Documents

Document Name	Document Location

2. Turnover and Closeout

Describe the overall transition strategy, governance structure, schedules, resources, and activities required to support successful turnover and contract closeout.

2.1. Turnover Schedule

Describe the timeline and schedule used to plan, monitor, and execute turnover activities.

Include:

- Major milestones
- Deliverables
- Decision points
- Transition windows
- Readiness reviews

2.2. Turnover Management Team

Define the organizational structure supporting turnover and closeout activities.

2.3. Turnover Approach

Describe the phased methodology used to transfer operations, knowledge, assets, and responsibilities.

2.3.1. Step 1: Turnover Initiation and Planning

Purpose:
Establish the foundation for turnover activities and prepare detailed transition plans.

Include:

- Turnover work plan
- Knowledge transfer plan
- Staff transition plan
- Communication plan
- Data migration strategy
- Acceptance criteria
- Success measures
- Resource planning

2.3.2. Step 2: Turnover and Training

Transfer operational knowledge and provide training to customer staff and/or successor vendor personnel.

Include:

- Governance setup
- Knowledge transfer sessions
- Shadowing activities
- Training workshops

- Lessons learned reviews
- Playback demonstrations
- Progress monitoring

2.3.3. Step 3: Prepare for Cutover

Validate readiness through reverse shadowing and operational ownership transfer activities.

Include:

- Reverse shadowing
- Operational readiness assessments
- SLA monitoring
- Metrics reporting
- Deliverable reviews
- Coaching and support

2.3.4. Step 4: Turnover Closeout

Complete final transition activities and formally transfer operational ownership

Include:

- Final acceptance
- Access revocation
- Asset confirmation
- Final sign-offs
- Closeout reporting

2.3.5. Analysis of open tickets and change orders

Provide the successor organization with a complete understanding of the current operational landscape.

Include:

- Open incidents
- Problems
- Change requests
- Known workarounds
- Enhancement requests

- Backlog items

2.3.6. Knowledge Transfer Approach

Describe the strategy used to transfer technical, operational, and business knowledge

2.3.7. Turnover Transition Execution Approach

Define the major functional areas and solution components that must be transferred during turnover.

Include:

- Tools and technologies
- Infrastructure
- Solution architecture
- Databases
- Project management processes
- Middleware
- Configuration management
- Operations processes
- Batch processing
- Interfaces

2.3.8. Continuous Transition Governance and Monitoring

Describe governance meetings, progress monitoring, issue management, readiness assessments, and status reporting activities.

2.3.9. Turnover Tools

Describe tools used to manage and execute turnover activities.

3. Project Documentation

Describe the approach for transferring project and operational documentation to the customer and/or successor vendor.

Include:

- Deliverables
- Runbooks
- Training materials
- Technical documentation

- System documentation
- Operational procedures
- Architecture diagrams
- Support documentation

4. Asset Transfer

Describe the transfer of physical, technical, and operational assets required to support ongoing operations.

5. Final Administrative Items

Describe the final administrative activities required to formally close out the contract and transition responsibilities.

5.1. Escrow

Describe source code escrow arrangements, ownership rights, release conditions, and transition requirements.

5.2. Data Transfer

Describe how customer-owned data will be inventoried, packaged, transferred, validated, and accepted.

Include:

- Data inventories
- Reference data
- Data exports
- Transfer methods
- Validation procedures

5.3. Certificates of Destruction

Describe secure destruction requirements for retained media, records, and data after turnover completion.

5.4. Turnover Transition Closeout Report

Document turnover completion, transferred assets, knowledge transfer activities, transition outcomes, and final acceptance.

Include:

- Completed activities
- Transferred asset inventory
- Knowledge transfer summary
- Documentation inventory
- Physical asset catalog
- Data disposition summary
- Compliance documentation
- Final approvals
- Outstanding financial items

Appendix A - Acronyms

The following is a table of acronyms used within this document.

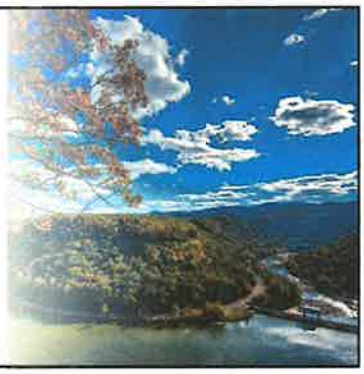
Acronym	Term

West Virginia People's Access to Help (WV PATH)

Weekly Status Report – mm/dd/yyyy

Reporting Period: mm/dd/yyyy – mm/dd/yyyy

Optum



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Topics

1. WV PATH Maintenance & Operations (M&O) Executive Summary
2. WV PATH Health
3. WV PATH Releases
4. WV PATH Decisions
5. WV PATH Change Requests (CRs)
6. Appendix

Optum

2

WV PATH M&O Executive Summary

Status

Overall	Schedule	Scope	Quality

Actions to Green Mitigation Plan	Due Date	Status	Comment

Optum

Status Key: Green | Yellow | Red | Planned | Complete

3

WV PATH M&O Executive Summary

Key Accomplishments & Upcoming Activities

High Impact Risks & Issues

Optum

4

WV PATH Health

5

M&O Dashboard – PATH Monthly Availability

Performance Standard	Goal	Actual	SLA Monthly Met
Client Facing Portal	3 hours or less in total for a calendar day	1 outage more than 3 hours	
All Other Solution Components*	>= 210 minutes (~5% of Monthly Hours)	5 minutes	
Test Environments	95%	100%	
Training Environment	95%	100%	

Performance Standard	Incident ID	Description / Summary	Priority	Open Time (CT)	Restore Time (CT)	Impacted Duration (hrs)	Service Hours	Liable Downtime (mins)

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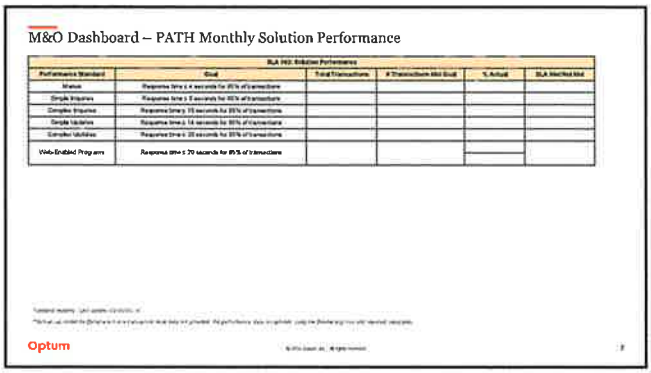
M&O Dashboard – PATH Monthly Solution Performance
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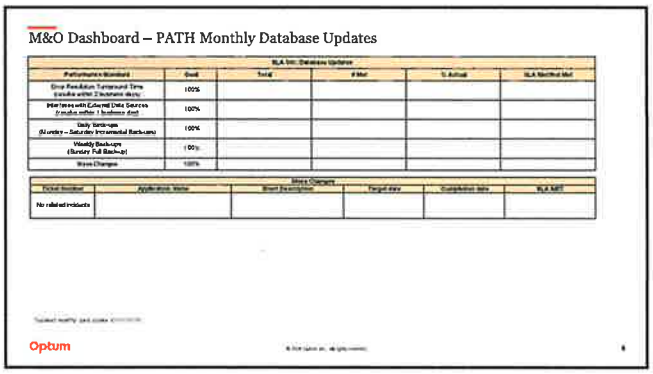
M&O Dashboard – PATH Monthly Database Updates
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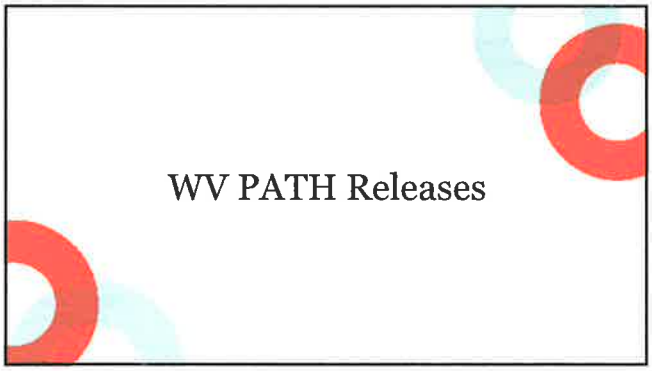
WV PATH Releases

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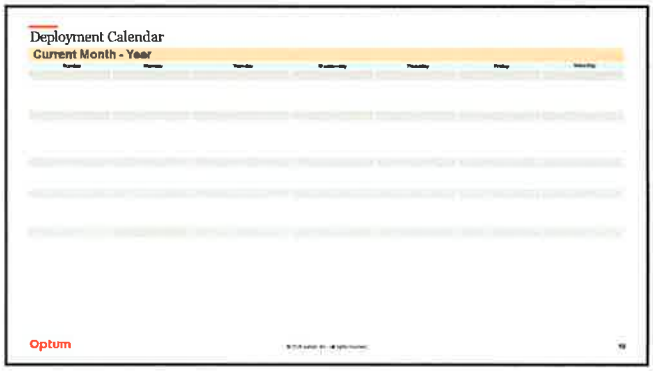
Deployment Calendar
Current Month - Year
Optum

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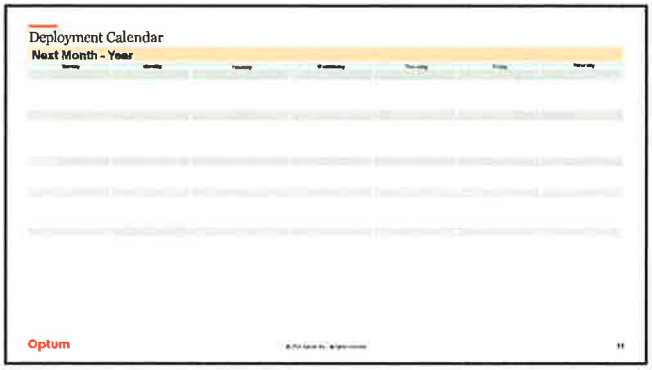
Deployment Calendar
Next Month - Year
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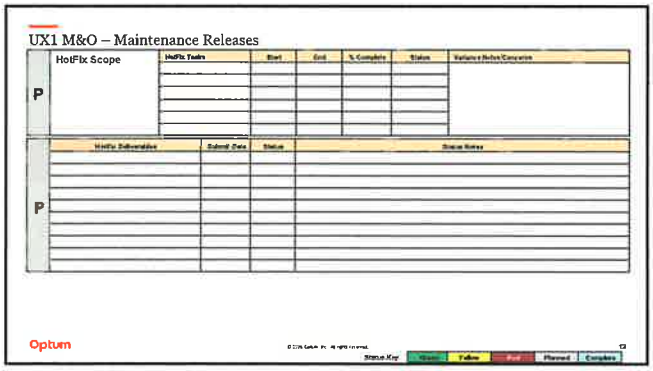
UX1 M&O – Maintenance Releases
HotFix Scope
Optum

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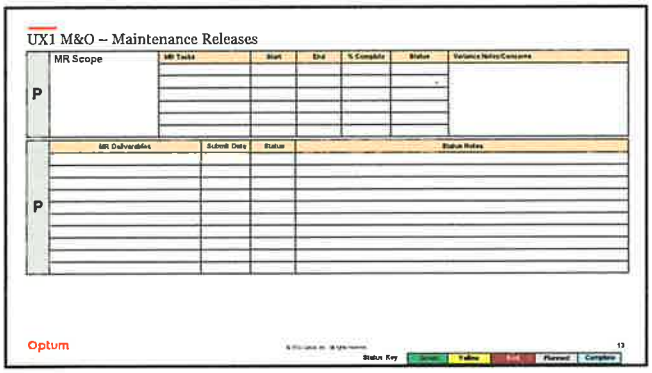

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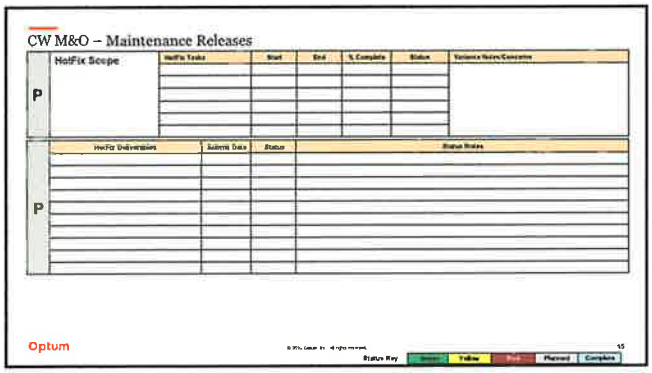

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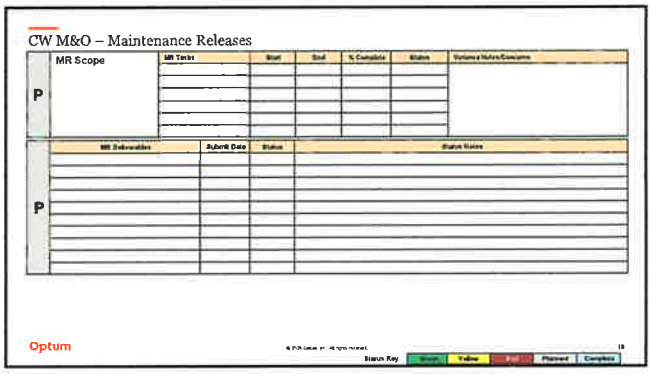

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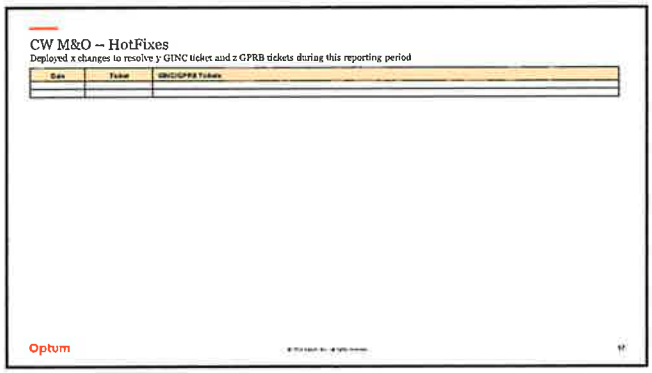

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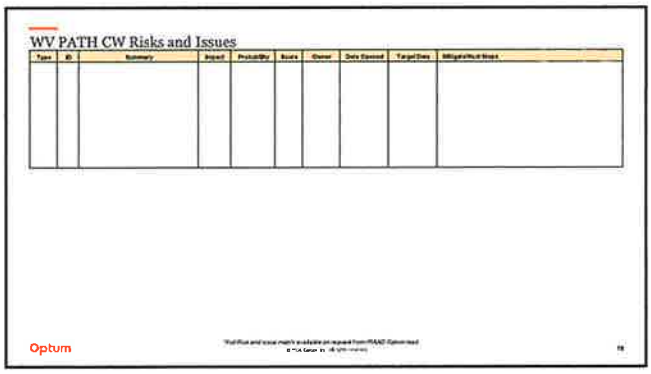

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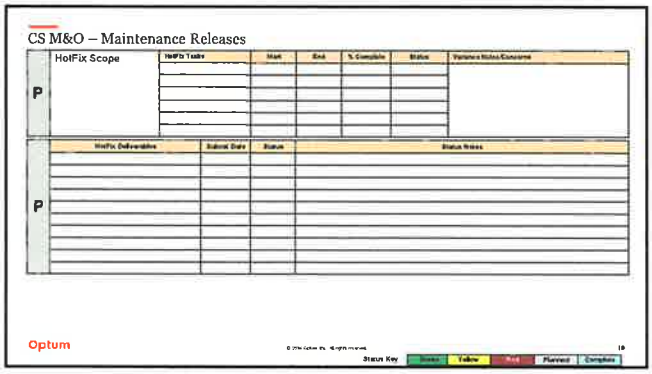

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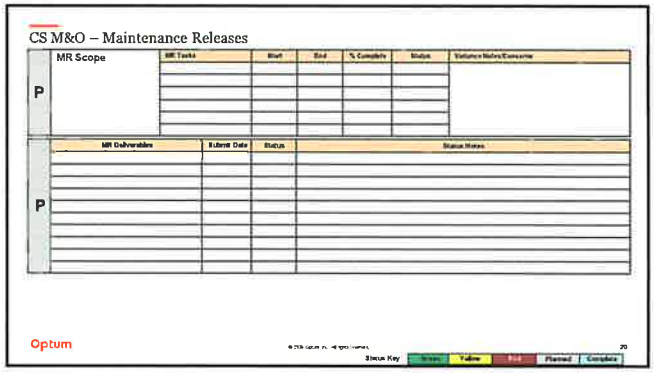

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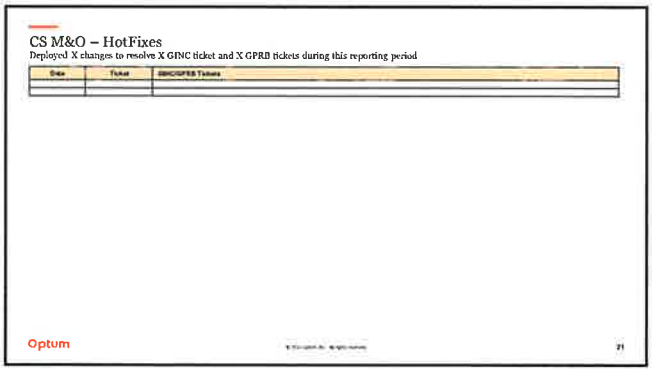

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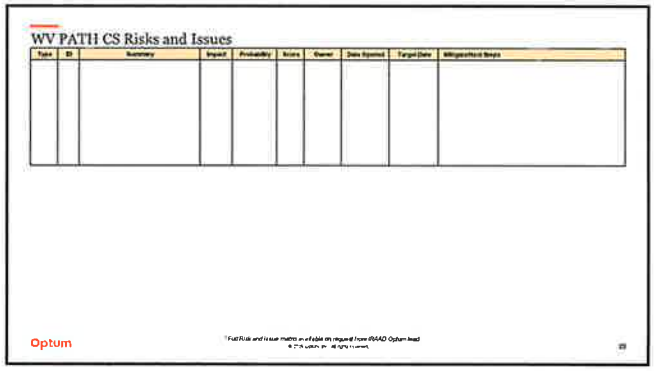

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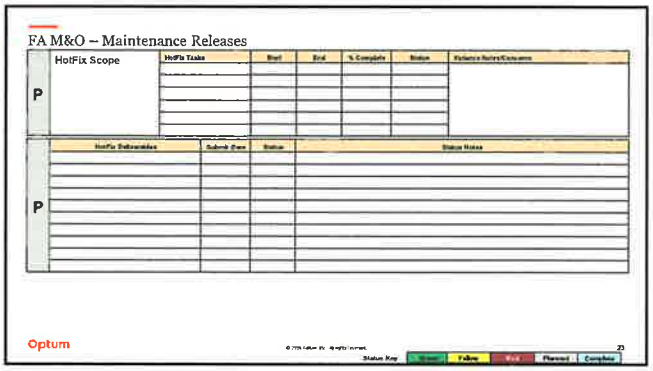

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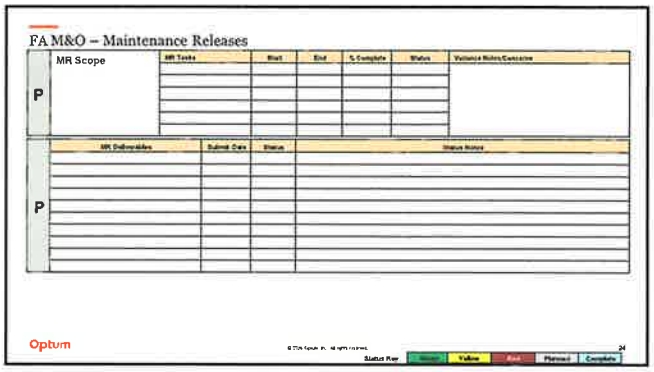

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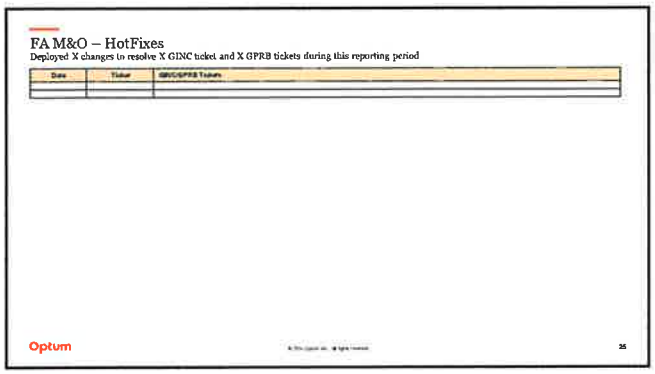

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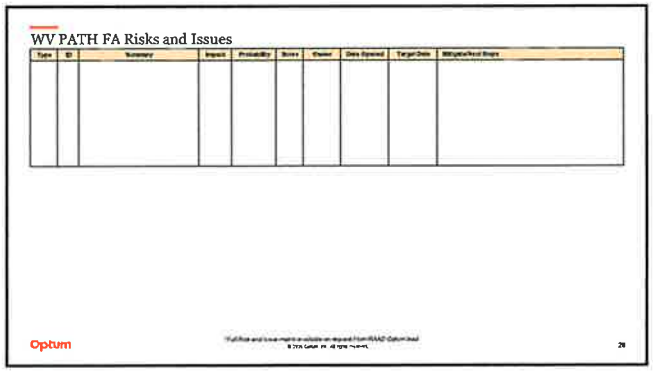

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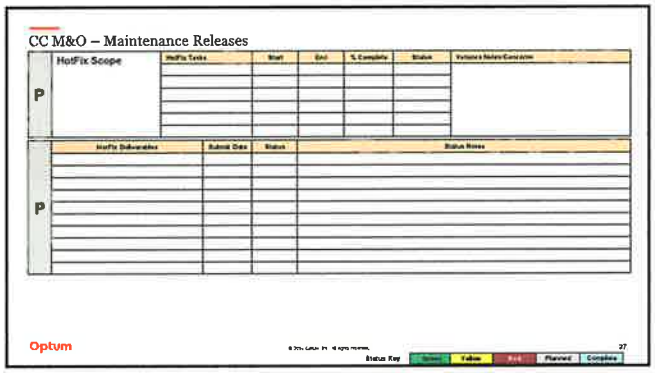

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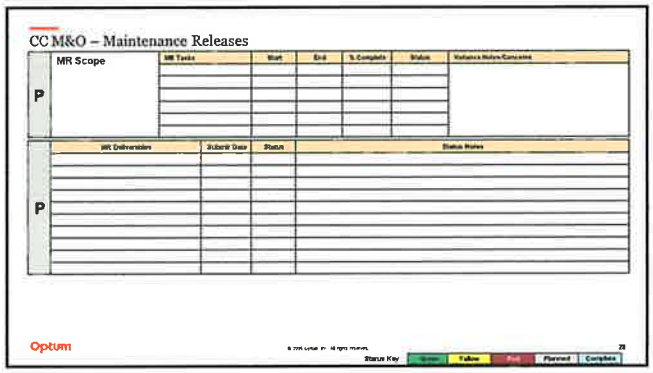

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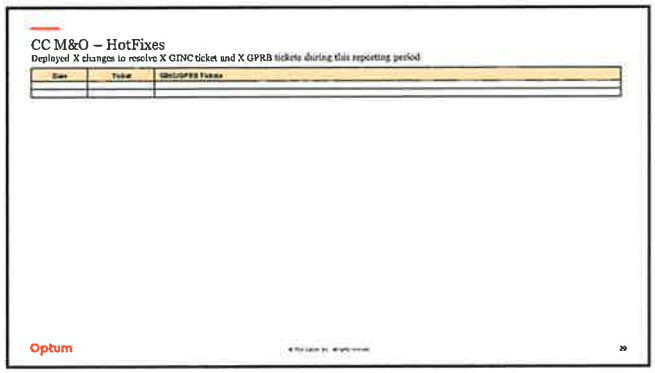

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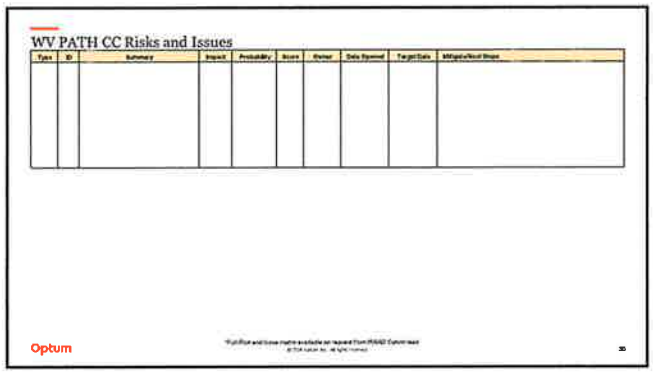

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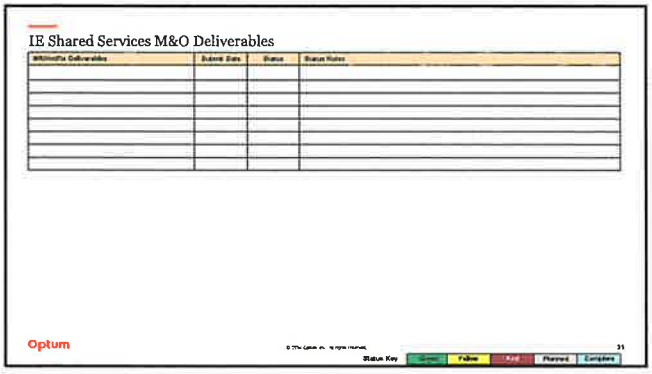

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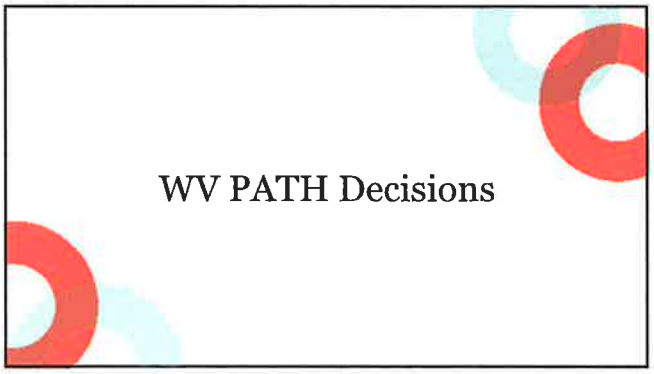

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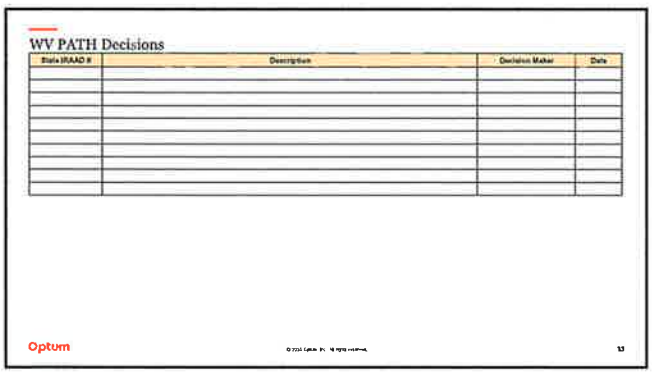

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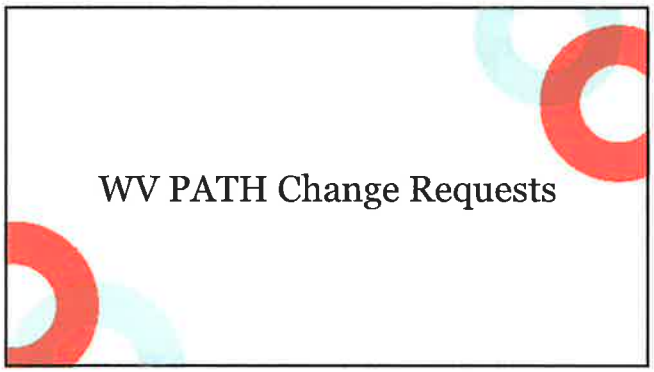

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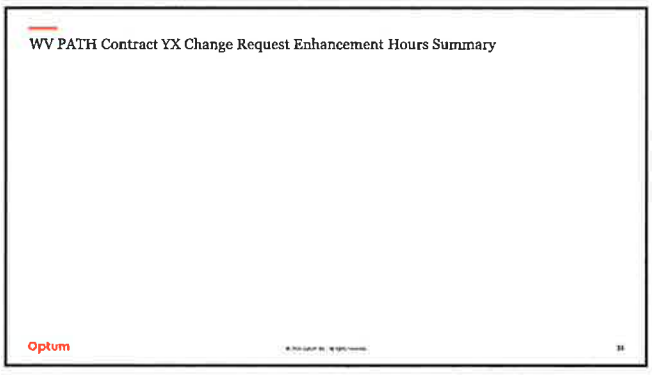

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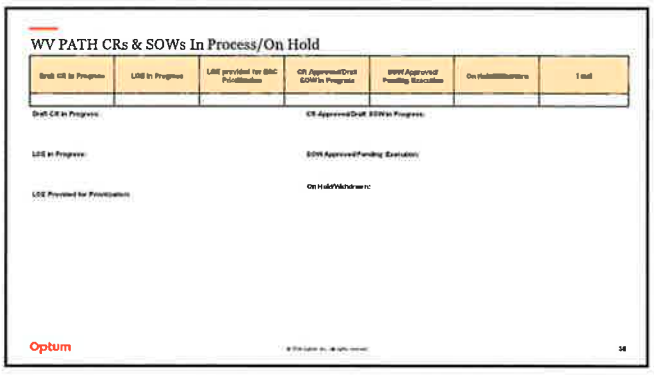

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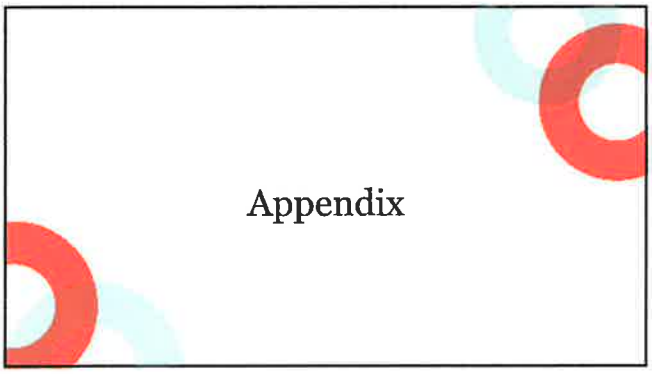
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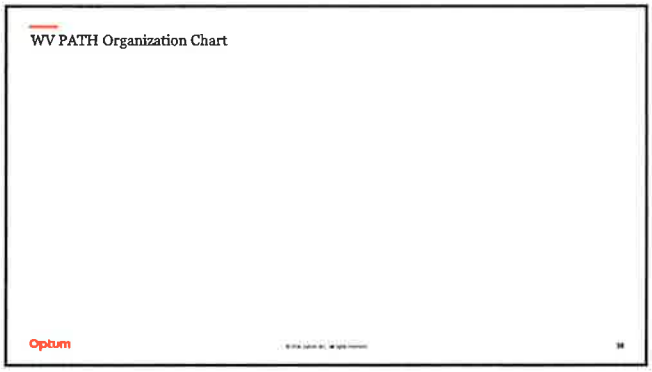
WV PATH Organization Chart
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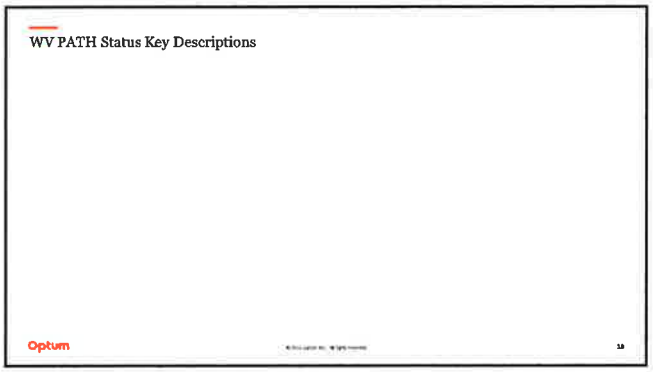
WV PATH Status Key Descriptions
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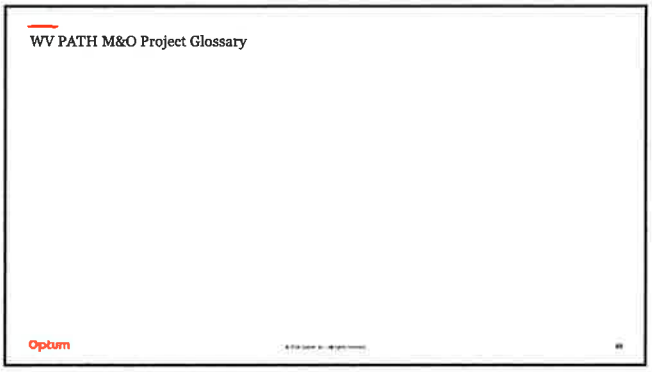
WV PATH M&O Project Glossary
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West Virginia People's Access to Help (WV PATH)

Monthly Status Report – mm/dd/yyyy

Reporting Period: mm/dd/yyyy – mm/dd/yyyy

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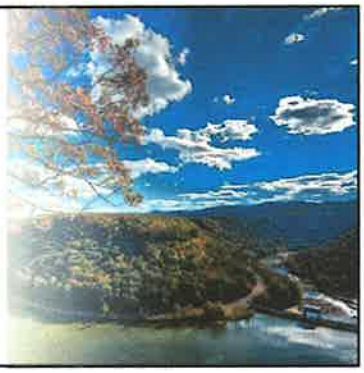

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Topics

1. WV PATH Maintenance & Operations (M&O) Executive Summary
2. WV PATH Health
3. WV PATH Releases
4. WV PATH Decisions
5. WV PATH Change Requests (CRs)
6. Appendix

Optum

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WV PATH M&O Executive Summary

Status

Optum

3

WV PATH M&O Executive Summary

Key Accomplishments & Upcoming Activities

High Impact Risks & Issues

Optum

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WV PATH Health

5

M&O Dashboard – PATH Monthly Availability

Optum

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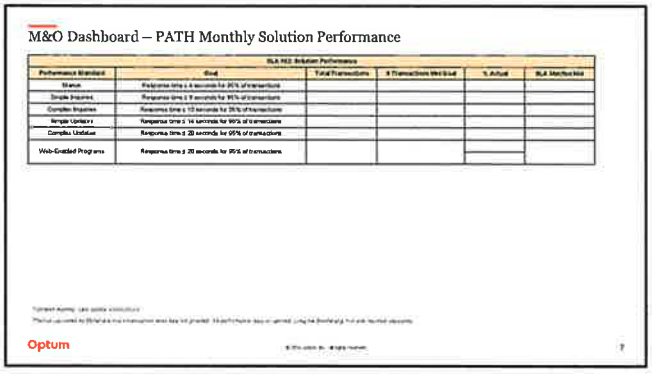
M&O Dashboard – PATH Monthly Solution Performance
Optum

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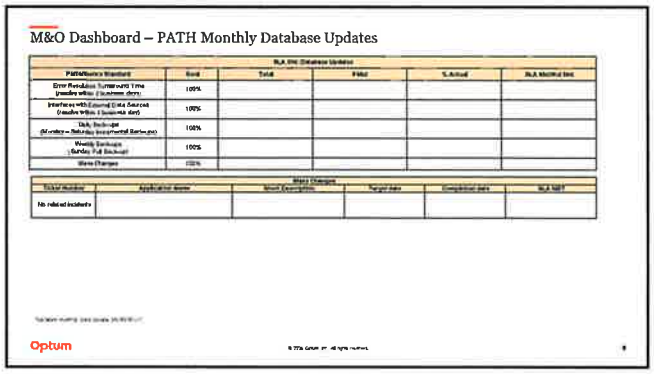
M&O Dashboard – PATH Monthly Database Updates
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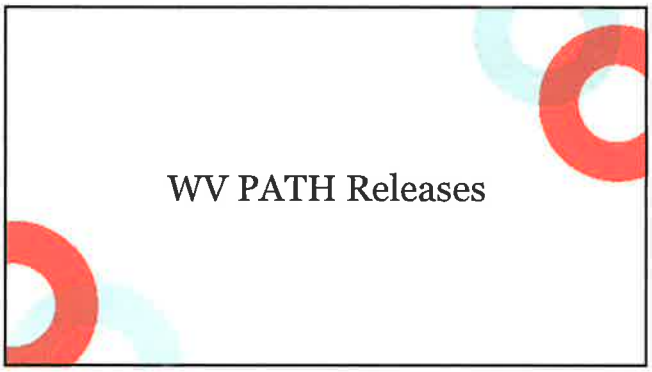
WV PATH Releases

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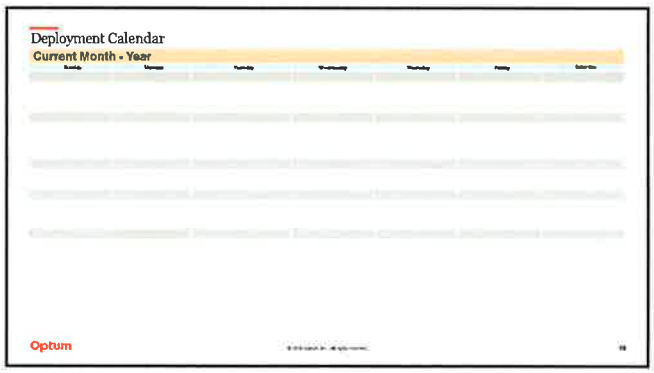
Deployment Calendar
Current Month - Year
Optum

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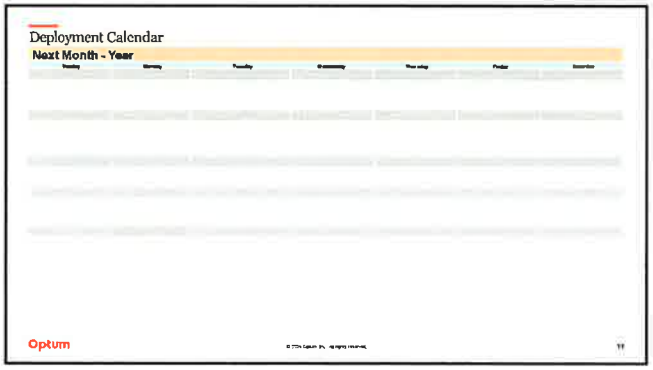
Deployment Calendar
Next Month - Year
Optum

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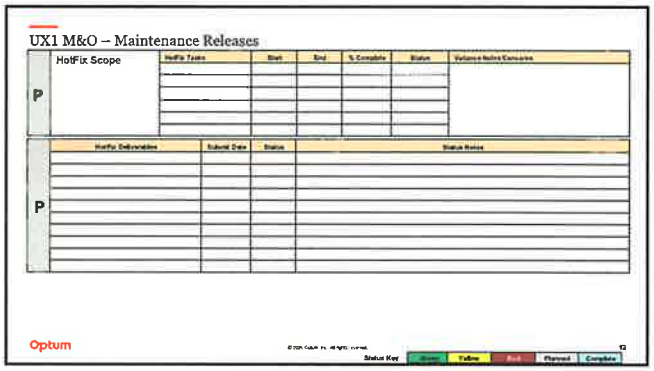
UX1 M&O – Maintenance Releases
HotFix Scope
Optum

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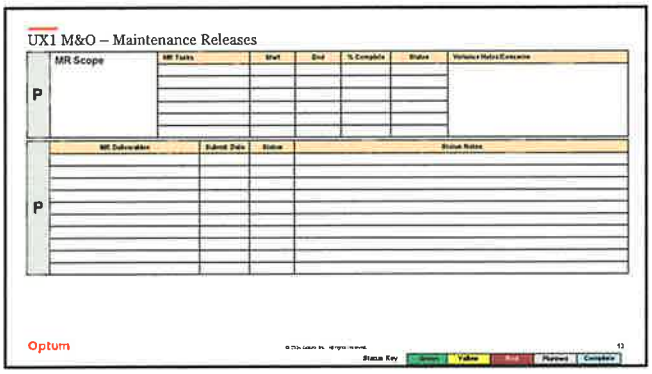

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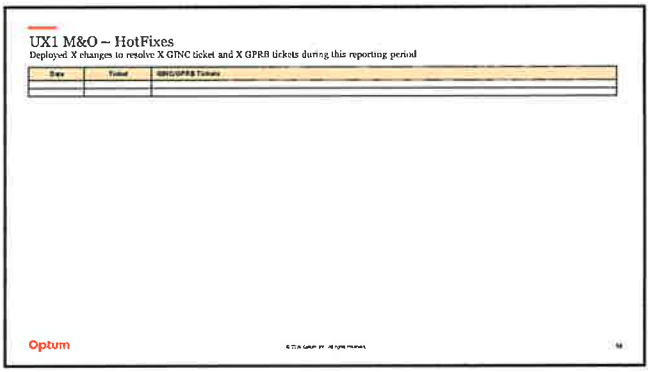

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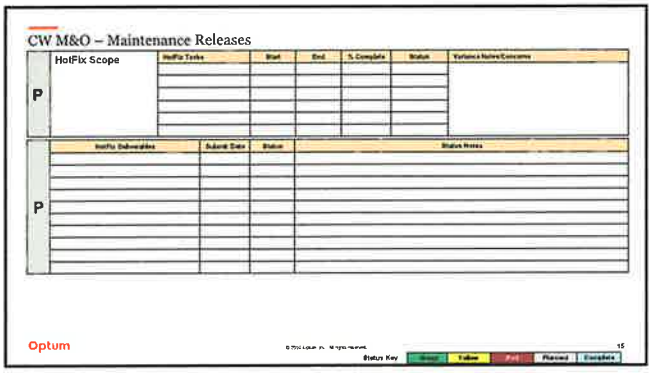

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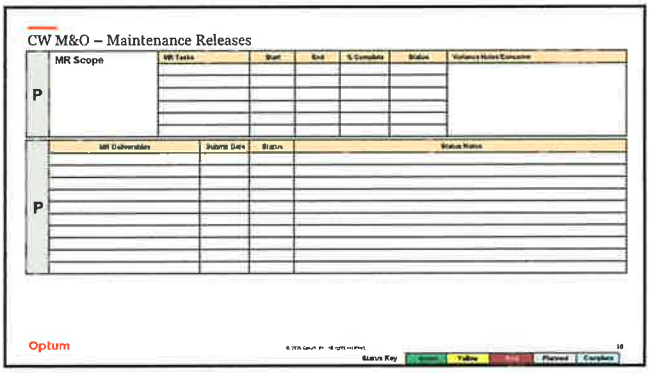

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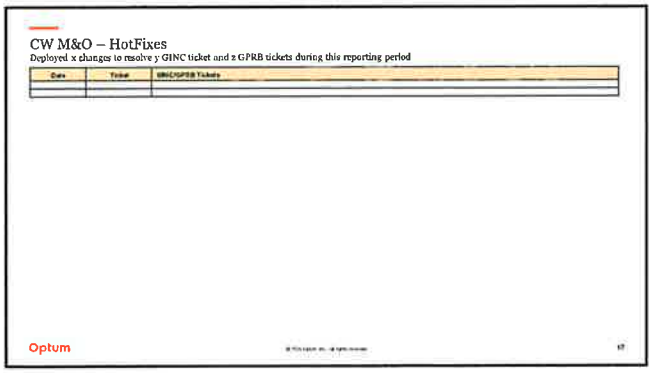

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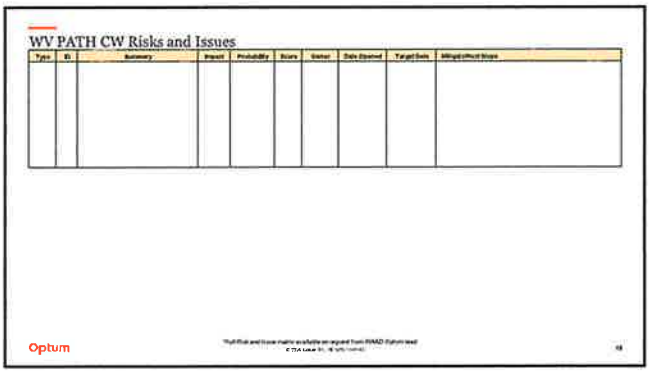

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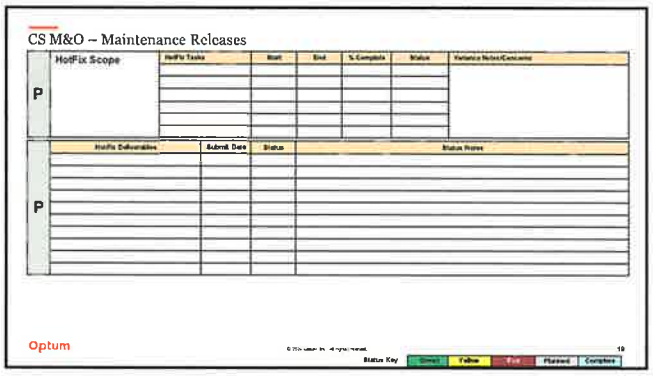

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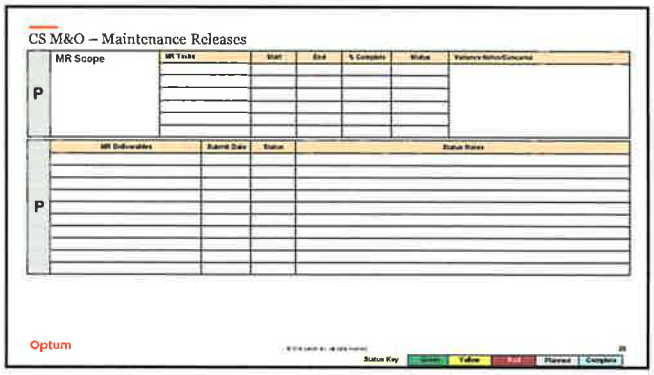

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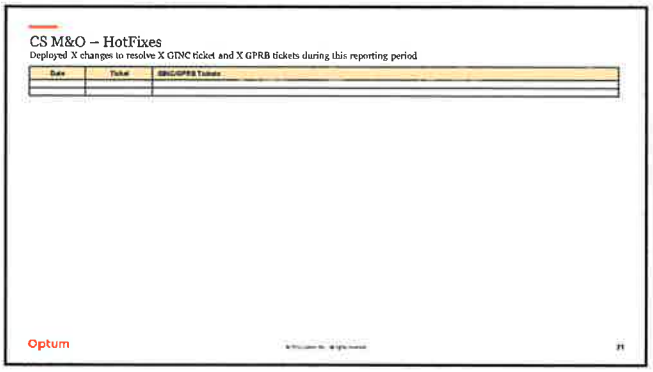

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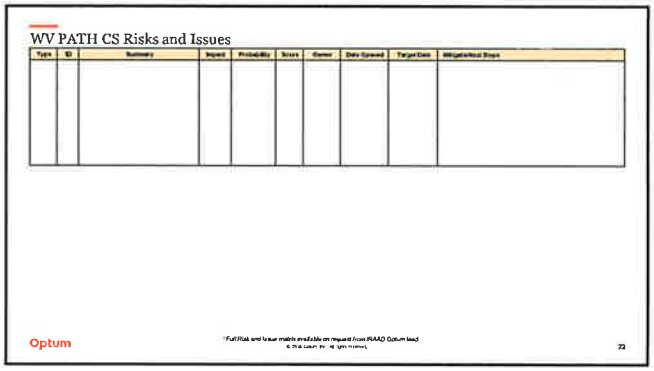

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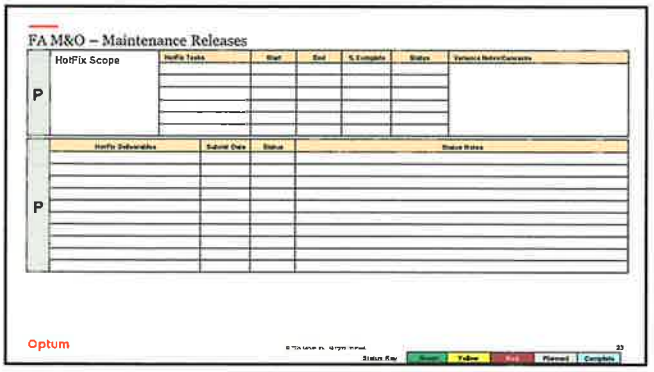

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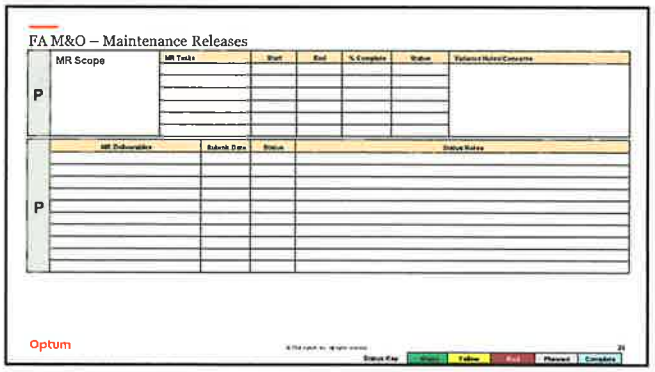

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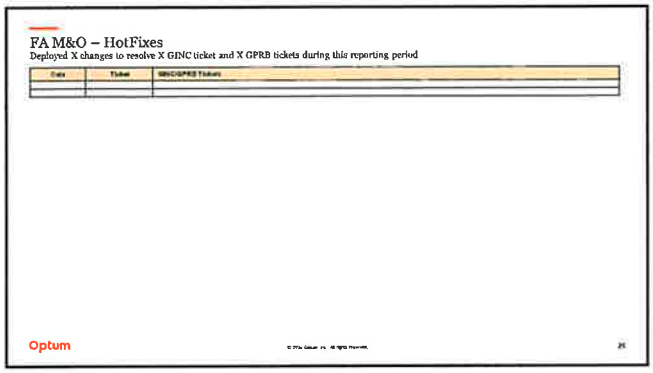

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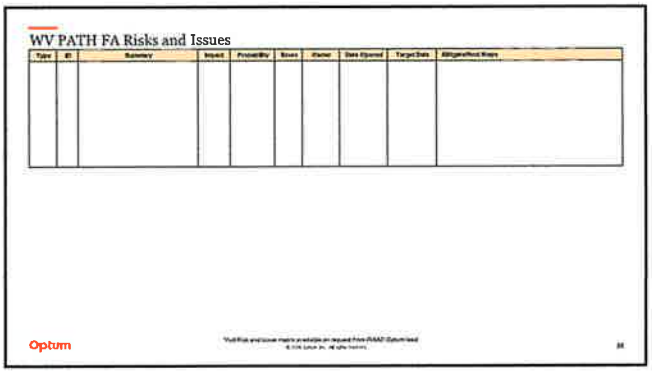

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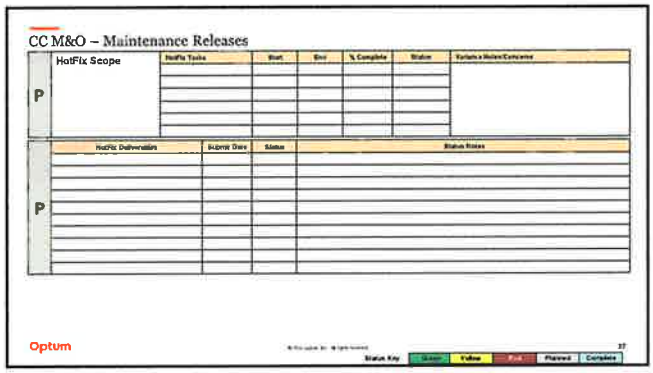

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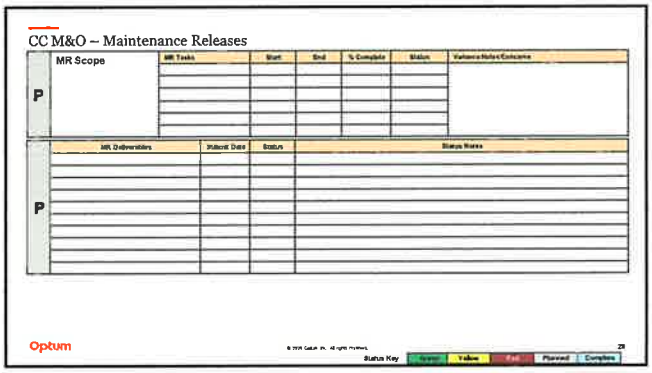

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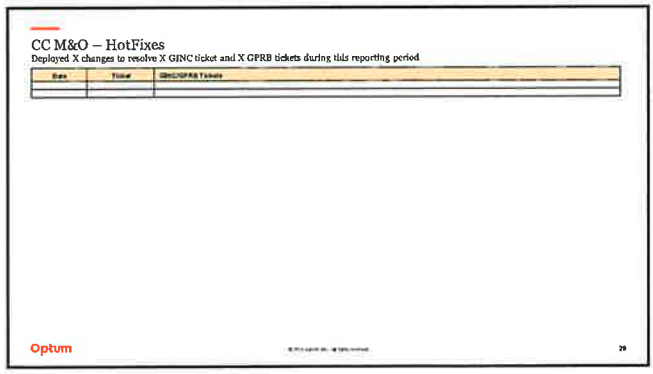

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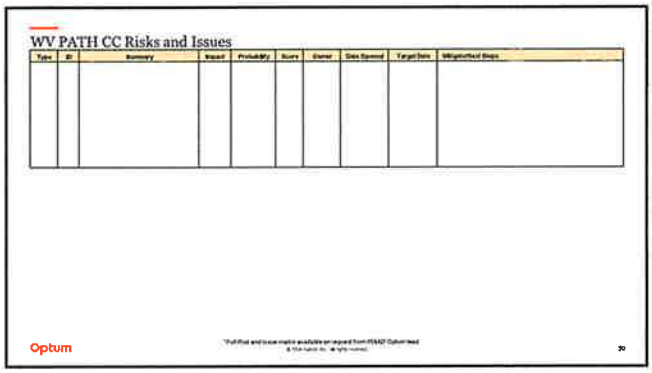

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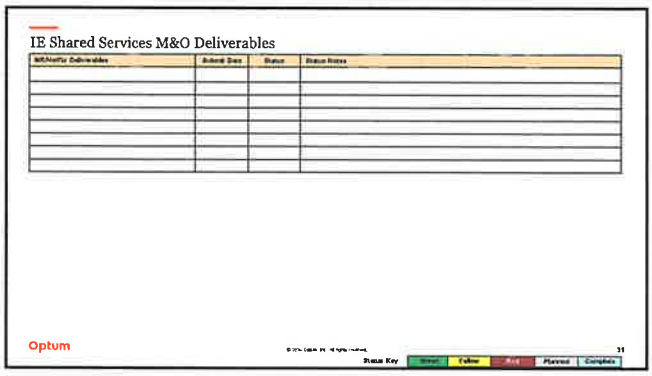

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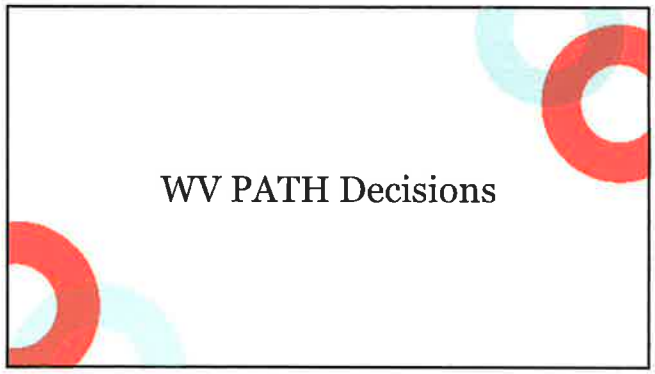

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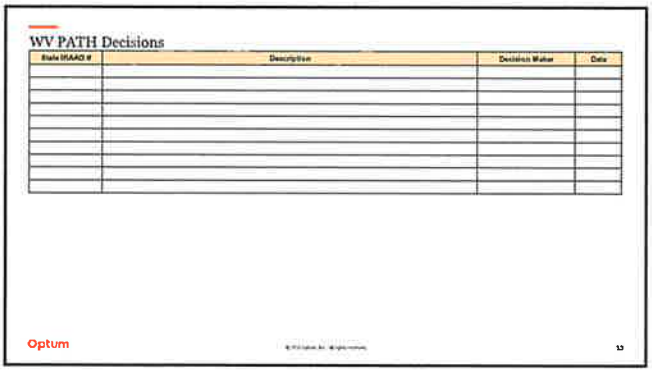

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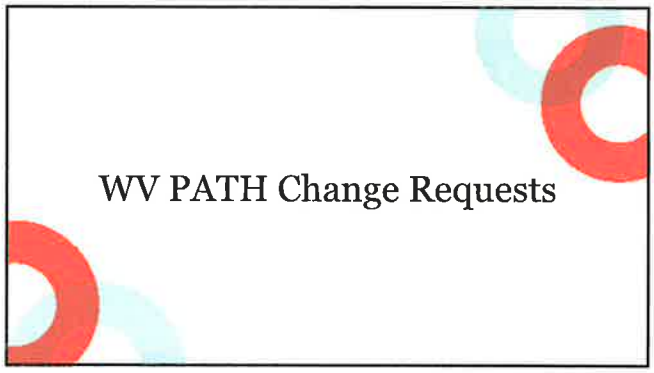

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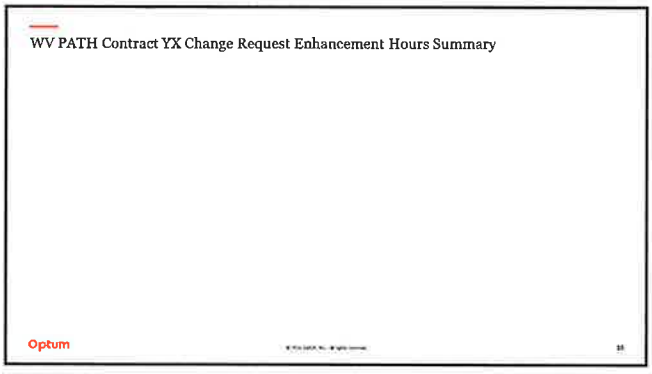

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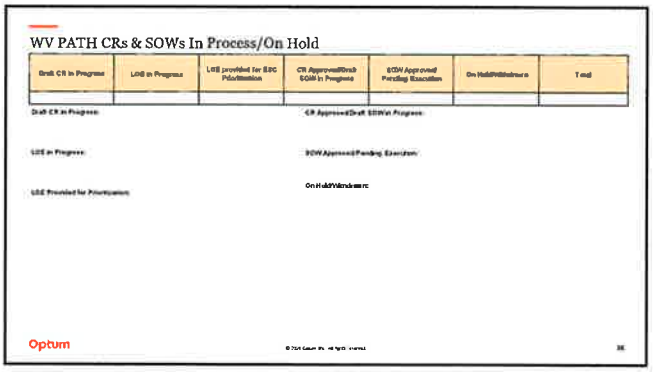

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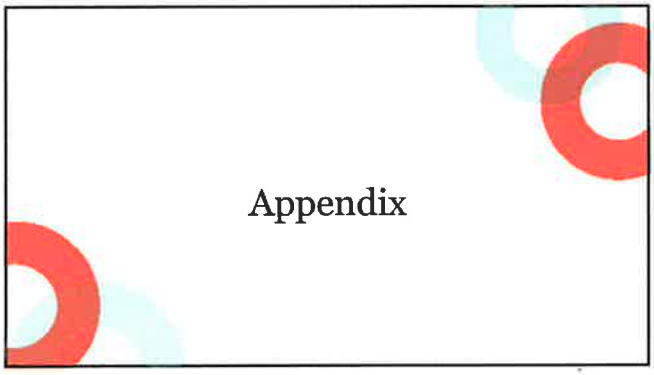
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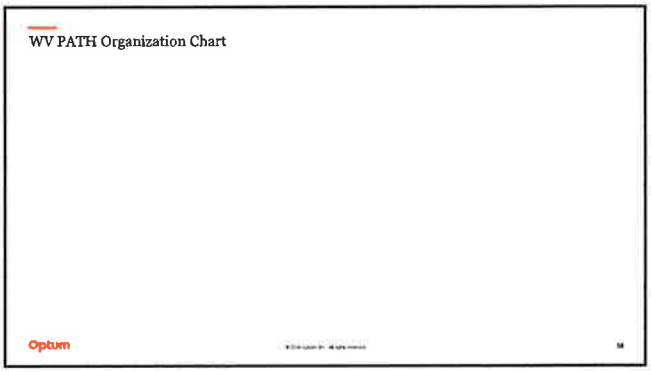
WV PATH Organization Chart
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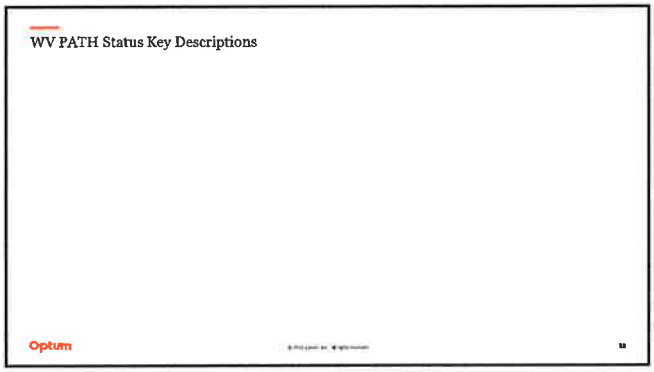
WV PATH Status Key Descriptions
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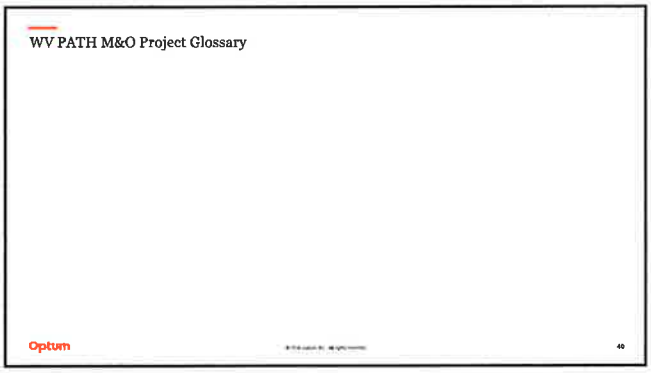
WV PATH M&O Project Glossary
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Deliverable Document

Operations Project Management Plan Template

Doc ID: D-023a

Version 0.01

Review and Revision History

Date	Version	Revised By	Reason for Revision

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1. Introduction

This document summarizes all of the plans that are included in Optum's Operations Management Plans for West Virginia People's Access to Help (WV PATH) solution. All plans Optum uses during the Operational phase are listed and summarized into the document with their objectives.

1.1. Objective

Describe the purpose of the Operations Project Management Plans and define how operational processes are managed throughout the maintenance and operations (M&O) lifecycle.

1.2. In Scope

Define the operational services, support activities, governance processes, maintenance functions, and service management activities covered by these plans.

1.3. Out of Scope

Identify systems, infrastructure, applications, and processes that are not supported under the Operations Project Management Plans

1.4. Plan Assumptions

- Document assumptions used in developing and maintaining operational management processes.
- Examples:
  - Customer personnel are available for assigned responsibilities.
  - Operational resources and tools are available.
  - Supporting management plans remain current.
  - Service management processes continue throughout the contract lifecycle.
  - Required governance and reporting processes remain in effect.

1.5. Document Organization

Provide a summary of the document structure and major operational management plans included within the Operations Management framework.

1.6. Related Documents

Identify supporting project management, governance, security, quality, operational, and maintenance plans used during operations.

Table 1-1: Referenced Documents

Document Name	Document Location

2. Incident Management Plan

Describe the incident management process used to restore service following system interruptions, defects, outages, or other operational incidents.

Include:

- Incident identification
- Incident logging
- Prioritization
- Escalation procedures
- Resolution management
- Service restoration
- Communication processes

3. Problem Management Plan

Describe the process used to identify, analyze, and eliminate the root causes of recurring incidents.

4. Service Request Management Plan

Describe the process for receiving, evaluating, approving, fulfilling, tracking, and reporting service requests.

5. Capacity Management Plan

Describe how system capacity is monitored, forecasted, and managed to ensure services meet business demand and performance objectives.

6. Adaptive Maintenance, Availability, and Performance Management Plan

Describe the operational processes used to maintain solution performance, availability, system lifecycle currency, and operational stability.

7. Release Management Plan

Describe the process used for planning, testing, approving, deploying, and validating software releases.

8. Communication and Reporting

Describe operational communication, governance, reporting, and stakeholder engagement activities.

Appendix

Appendix A: Acronyms

Table 0-1: Acronyms

Acronym	Term

Appendix B: Maintenance Activity Index

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Optum

West Virginia People's Access to Help (WV PATH) Project Request for Approval of Change in Key Personnel Form	
Purpose	Request for approval of change in key personnel
Date of request	
Name of Key Staff Member	
Role of Key Staff Member	
Last Day on the Project	
Justification	Onboarding resource of equal qualifications
Replacement Resume	
Replacement/Transition Plan & Timeline	Current staff will overlap the replacement candidate by up to 4 business weeks during which time detailed knowledge transfer and augmentation will take place. Transition of core duties will be monitored by the Optum leadership team to ensure a successful handover.
Employment Status of Replacement Candidate	Employee
Reviewer	West Virginia Office of Management Information Services West Virginia Office of Management Information Services Project Management Office

Based on the criteria above, this request for a change in key staff is recommended for State approval:

WV Project Sponsor Name	
WV Project Sponsor Signature	
WV Project Sponsor Title	
Date	

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Optum

West Virginia People's Access to Help (WV PATH) Project SOW Approval Form	
SOW	<insert title of SOW>
SOW Description	<insert SOW Description>
Reviewer	West Virginia Office of Management Information Services Project Management Office
Approver	West Virginia Department of Human Services – Chief of Technology and information Systems
Vendor Payment Retainage	10% payment retainage of T&M monthly invoices tied to this SOW

The following completion criteria for the SOW have been validated:

☑	SOW in-scope functionality has been implemented in production. (XX MRn mm/dd/yyy)
☑	Applicable deliverables deemed accepted by WV DoHS.

Approval of this document confirms that Contractor has successfully completed project scope in accordance with the terms of the SOW agreement and authorizes Contractor to invoice for the <insert SOW name> SOW payment retainage amount. WV DoHS will review and respond within five business days of email receipt of this form with approval or any proposed corrections, otherwise the SOW will be deemed approved, where Optum will proceed to submit the invoice with this form partially executed by Optum.

Authorizing Signatures

WV DoHS – Project Sponsor
Chief of Technology and information Systems

Optum Engagement Leader

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Clarifications, Modifications and Exceptions

As allowed in the RFP, Optum requests that the following provisions be clarified, modified, or addressed during contract negotiations. The requests are intended to support successful contract performance, appropriately allocate risk, clarify the parties' respective responsibilities, and help ensure that obligations under the resulting contract are aligned with the scope, dependencies, and operational realities of the WV PATH Maintenance and Operations engagement. Optum respectfully submits the following modifications:

1. ORDER OF PRECEDENCE

Optum requests that a resulting Contract include an order of precedence that outlines the contractual precedence of the various documents that make up the contract. Any terms and conditions in the first priority document shall prevail over conflicting terms in the second priority document and so on.

Order of Precedence shall contain the following Contract Documents:

a. Addendum containing clarifications – First Priority

b. RFP and Addenda – Second Priority

c. Optum's Proposal including Technical and Cost Proposal's submitted in response to the RFP and clarifications – Third Priority

d. Optum's IE License Terms – Forth Priority

2. CANCELLATION AND TERMINATION

Optum requests that any termination for cause provision include reasonable written notice and cure period. Optum further requests compensation for services performed, accepted deliverables, approved transition activities, approved wind-down activities, and non-cancellable costs incurred through the effective date of termination.

Rationale

Because of the critical nature of the WV PATH services, both parties benefit from a process that allows performance concerns to be identified, escalated, and remediated before termination rights are exercised. A reasonable cure period promotes continuity of operations, avoids unnecessary disruption to beneficiaries and agency staff, and encourages collaborative resolution of issues. Similarly, payment for services performed and approved commitments incurred before termination reflects standard practice and helps maintain that resources deployed for the benefit of the State are appropriately compensated.

Proposed Language to Section Three: General Terms and Conditions; 19 Cancellation:

> The provision entitled "Cancellation" is deleted in its entirety and replaced with the following: "The State may terminate the Contract for cause upon written notice to Vendor if Vendor materially breaches the Contract and fails to cure such breach within thirty (30) days after receipt of written notice. If the breach is not reasonably capable of cure within thirty (30) days, Vendor shall not be in default provided Vendor commences corrective action within such period and diligently pursues cure to completion. In the event of termination for convenience, Vendor shall be notified with a thirty (30) days written notice and compensated for all services performed, accepted deliverables, approved transition or wind-down activities, and any documented, non-cancellable obligations incurred prior to the effective date of termination."

3. TIME OF PERFORMANCE

Optum requests clarification that performance obligations will be governed by mutually agreed project schedules, milestones, service levels, and change management procedures. Optum further requests schedule relief for delays outside of its reasonable control.

Rationale

Successful delivery of maintenance, operations, enhancement, and modernization activities depends on active coordination among Optum, the State, incumbent vendors, third-party technology providers, federal partners, and other stakeholders.

Proposed Language to Section Three: General Terms and Conditions; 20 Time:

The provision entitled "Time" is deleted in its entirety and replaced with the following: "Vendor shall perform services in accordance with mutually agreed project plans, schedules, milestones, service levels, and change management procedures."

4. WARRANTY

Optum requests that warranty obligations be limited to a professional services warranty and deliverable conformance obligations, and that correction or re-performance be the exclusive remedy for any warranty claim.

Rationale

The services contemplated under this Contract consist primarily of professional services, maintenance and operations, application support, modernization, and enhancement activities, rather than the sale of a commercial product with broad implied warranties. Optum is willing to stand behind the quality of its services and deliverables and to correct deficiencies. Limiting the remedy to correction, repair, or re-performance provides a practical mechanism to resolve issues while preserving operational continuity.

Proposed Language to Section Three: General Terms and Conditions; 28 Warranty:

The provision entitled "Warranty" is deleted in its entirety and replaced with the following: "Vendor warrants that services will be performed in a professional and workmanlike manner by qualified personnel. Vendor further warrants that mutually agreed deliverables shall materially conform to approved requirements and acceptance criteria following delivery, unless a different period is expressly agreed in writing by the parties. Additionally, Vendor warrants that its mutually agreed upon Deliverables shall conform in all material respects to their relevant specifications and/or published documentation 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 after each release. State's exclusive remedy for breach of warranty shall be correction, repair, or re-performance of the non-conforming services or deliverables.

Except as expressly stated herein, Vendor disclaims all other warranties, whether express, implied, statutory, or otherwise, including implied warranties of merchantability, fitness for a particular purpose, title, and non-infringement, to the maximum extent permitted by law."

5. INDEMNIFICATION

Optum requests clarification that indemnification obligations are limited to third party claims and do not apply to claims caused by the State, other State contractors, or circumstances outside Optum's reasonable control. Optum further requests the right to control the defense of covered claims.

Rationale

Indemnification is intended to allocate responsibility to the party best positioned to prevent or mitigate the underlying risk. Optum agrees it is appropriate to assume responsibility for claims arising from its own acts or omissions. However, Optum should not be responsible for claims arising from actions taken by the State, other third parties outside Optum's control, or events that Optum cannot reasonably prevent. Allowing Optum to manage the defense of claims for which it has financial responsibility also promotes efficient claim resolution and is consistent with standard contracting practices.

Proposed Language to Section Three: General Terms and Conditions; 36 Indemnification:

The provision entitled "Indemnification" is modified by adding the following: "Vendor's indemnification obligations shall not apply to claims arising from the acts or omissions of the State, other State contractors, third parties not under Vendor's control, State-provided materials, State instructions, State systems, or circumstances outside Vendor's reasonable control. Vendor shall have the right to control the defense and settlement of any third-party claim for which Vendor has an indemnification obligation, provided that any settlement imposing obligations on the State, admitting liability on behalf of the State, or requiring payment by the State shall require the State's prior written consent."

6. REPORTING REQUIREMENTS

Optum requests clarification that reporting obligations under Section 3 are limited to contract administration, purchasing, utilization, and financial reporting requirements and do not expand technical, operational, project management, service-level, security, or compliance reporting obligations beyond those expressly set forth elsewhere in the Contract.

Rationale

The general reporting provision in Section 3 should be interpreted as an administrative contract-reporting provision rather than an open-ended expansion of all other reporting obligations. This clarification avoids duplication and reduces ambiguity.

Proposed Language to Section Three: General Terms and Conditions; 39 Reporting:

The provision entitled "Reports" is modified by adding the following: "Reporting obligations under this Section shall be limited to purchasing, utilization, administrative, and financial reporting relating to the Contract and shall not expand reporting obligations beyond those expressly identified elsewhere in the Contract or in mutually approved project plans."

7. CHANGE MANGEMENT:

Optum requests that for this large scale complex IT project, that both teams manage modifications to scope, cost, schedule, staffing, regulatory requirements, service levels, schedule, technical requirements, technology requirements, or contractual obligations through a formal change management process.

Rationale

The RFP contemplates a long-term engagement involving maintenance and operations, modernization activities, system enhancements, evolving program requirements, and potential technology changes including in increase to 180,000 pool of hours to support the changes. A formal change management process provides a controlled and transparent mechanism for evaluating the business impact of such changes and ensuring that both parties understand impacts to schedule, resources, staffing, risk, and possible cost before implementation. This approach reduces ambiguity and creates a documented process for managing project evolution.

Proposed Language

The Contract is modified by adding the following: "Changes affecting scope, schedule, deliverables, staffing, service levels, regulatory obligations, technology requirements, costs, pricing, security obligations, hosting obligations, licensing obligations, or contractual responsibilities shall be addressed through the mutually agreed change management process. No such change shall be binding unless approved through applicable contractual change procedures by the parties whose approval is required under the Contract."

8. SERVICE LEVELS AGREEMENTS

Optum requests that service-level remedies apply only where Optum is responsible for the underlying issue.

Rationale

Optum supports reasonable service levels and accountability measures as outlined in the RFP. However, penalties and performance remedies should be assessed only where the underlying issue is attributable to Optum's actions or omissions. Similar to the current contract, this approach promotes equitable risk allocation and avoids penalizing Optum for circumstances it cannot reasonably control or prevent.

Proposed Language

The Contract is modified by adding the following: "Parties agree that Service Legal Agreements and Key Performance Indicators (KPIs) will include adjustments via the periodic review process. During this process, parties will identify and document the process by which root cause analysis will be performed as needed. Service level penalties/credits shall apply only to the extent the applicable deficiency is caused by Vendor. Vendor shall receive relief from performance obligations where failures are caused or materially contributed to by the State, other contractors, third parties, delayed approvals, force majeure events, or other circumstances beyond Vendor's reasonable control. Vendor shall not be subject to duplicate remedies for the same event, and any service level credits, or similar remedies shall be counted toward any applicable limitation of liability."

9. LIMITATION OF LIABILITY

Optum requests inclusion of a reasonable limitation of liability provision, similar to the current contract.

Rationale

The services contemplated under the Contract involve significant operational responsibilities and support critical State programs. At the same time, the Contract contains numerous performance mechanisms, including service levels, corrective action processes, security obligations, reporting requirements, acceptance procedures, and other remedies designed to address performance concerns. A limitation of liability for both parties helps ensure that risk remains proportionate to the value of the services being provided and allows both parties to manage risk predictably over the term of the engagement. Such provisions are common in complex technology and outsourcing agreements and support sustainable pricing.

Proposed Language

The Contract is modified by adding the following: "Except for liabilities that cannot be limited under applicable law, each party's aggregate liability arising out of or relating to the Contract shall not exceed an amount equal to one (1) times the fees paid or payable under the applicable portion of the Contract (Maintenance and Operations Services and Enhancement and Modifications Services) during the twelve (12) month period immediately preceding the event giving rise to the claim under the applicable portion of the Contract. The foregoing cap is a cumulative aggregate limit on liability and is not applied separately to individual claims, events, or occurrences.

Neither party shall be liable for indirect, consequential, incidental, special, exemplary, or punitive damages, including lost profits, lost revenue, lost business opportunity, loss of goodwill, loss of anticipated savings, or loss or corruption of data, except to the extent such exclusion is prohibited by applicable law."

10. INTELLECTUAL PROPERTY AND PROPRIETARY RIGHTS

Optum requests clarification regarding ownership of pre-existing intellectual property, reusable assets, methodologies, tools, templates, platforms, and other proprietary materials.

Rationale

In providing services of this nature, Optum utilizes proprietary methodologies, accelerators, frameworks, tools, templates, operational processes, automation capabilities, and industry knowledge that have been developed through substantial independent investment over many years. Optum understands and supports the State's interest in receiving appropriate ownership or usage rights to custom deliverables developed specifically for the Contract. However, ownership of Optum's pre-existing intellectual property is fundamental to Optum's ability to efficiently deliver services and continue supporting clients across multiple engagements. This clarification ensures the State receives the benefit of the contracted deliverables while preserving Optum's ownership of independently developed assets. We have included an attachment to this Exhibit that outlines licensing terms for Optum's IP that is used as part of the PATH solution.

Additionally, similar to the existing contract, Optum seeks a license back to reuse developments for WV consistent with the federal code on reusability.

Proposed Language

The Contract is modified by adding the following: "Vendor shall retain ownership of all pre-existing intellectual property, software, tools, methodologies, templates, processes, know-how, frameworks, accelerators, data models, utilities, documentation, and other proprietary materials developed, acquired, or owned by Vendor independently of this Contract. To the extent Vendor proprietary materials are incorporated into a deliverable, Vendor grants the State a perpetual, non-exclusive, non-transferable, royalty-free license to use such materials solely as incorporated within the deliverable and solely for the State's internal governmental purposes. Ownership of custom deliverables developed specifically for the State under this Contract shall transfer only to the extent expressly required by the Contract and only upon payment of all applicable fees.

"DoHS grants Vendor 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."

11. SOFTWARE LICENSING AND THIRD-PARTY PRODUCTS

Optum requests clarification regarding responsibility for existing software licenses, third-party products, commercial-off-the-shelf software, cloud services, and future changes in third-party licensing requirements.

Rationale

The WV PATH environment includes third-party software, legacy tools, commercial products, cloud services, SaaS offerings, open-source components, and other technology products that are licensed or controlled by third parties. Optum can assume licensing obligations that are expressly identified, scoped, and reflected in approved pricing. However, newly identified licenses due to new regulatory requirements or requested enhancements, or new third-party terms may be addressed through the change management process.

Proposed Language

The Contract is modified by adding the following: "Vendor's responsibility for software, hardware, cloud, SaaS, open-source, or third-party licensing include items expressly identified in RFP and Vendor's proposal and pricing or otherwise approved through the change management process. Any newly required licenses, due to DoHS requested enhancements, modifications to licensing models, changes in usage metrics, or new third-party terms shall be addressed through the change management process. Vendor

shall not be required to assign ownership of third-party products, COTS products, SaaS products, cloud services, open-source software, or Vendor proprietary tools."

12. SOURCE CODE AND ESCROW

Optum requests that COTS, SaaS, cloud platforms, third-party software, open-source software, and Optum proprietary tools be excluded from source-code escrow obligations.

Rationale

Source-code escrow is appropriate in limited circumstances involving custom-developed software owned by the State. However, cloud platforms, SaaS products, COTS products, open-source software, third-party tools are subject to separate ownership, licensing, and access restrictions. This clarification ensures that escrow obligations apply only where legally permissible and commercially appropriate.

Proposed Language

The Contract is modified by adding the following: "Source-code escrow obligations shall apply only to custom-developed software expressly required under the Contract and owned by the State. Source-code escrow obligations shall not apply to commercial-off-the-shelf software, software-as-a-service offerings, cloud platforms, third-party products, open-source software, Vendor third party tools, or other materials that Vendor does not own or does not have the legal right to escrow. "

13. DELIVERABLE ACCEPTANCE

Rationale

Optum requests a formal deliverable acceptance process with mutually agreed acceptance criteria, review periods, and approval procedures.

Rationale

Clear deliverable acceptance procedures promote efficient project execution and reduce uncertainty regarding whether deliverables meet contractual expectations. In a complex project environment, deliverables may depend on State input, stakeholder participation, data availability, technical access, and timely review by subject matter experts. A defined acceptance process helps both parties understand expectations, timelines, and responsibilities.

Proposed Language

The Contract is modified by adding the following: "The parties shall establish mutually agreed acceptance criteria and review periods for Contract deliverables. Deliverables shall be deemed accepted if reviews are outside the 10-5-5 review cycle unless the State provides written notice identifying specific deficiencies within the applicable review period. Delays caused by State review, approval, dependency, or data, shall result in corresponding adjustments to project schedules, milestones, and performance obligations."

14. STAFFING REQUIREMENTS

Optum requests that any requirement for enhanced or additional staffing as a corrective measure be tied to a mutually agreed corrective action process and limited to circumstances where additional staffing is reasonably necessary to address Optum-attributable performance issues.

Rationale

Staffing plans are developed based on the scope, assumptions, schedules, service levels, and responsibilities defined in the Contract. Changes in business requirements, regulatory demands, volume, modernization activities, technology requirements, State priorities, or third-party dependencies may require staffing adjustments that should be evaluated through change management. Optum supports appropriate corrective action where performance issues are attributable to Optum. However, staffing increases required due to expanded scope, new

requirements, State-driven changes, or factors outside Optum's control should be addressed through a mutually agreed process.

Proposed Language

The Contract is modified by adding the following: "Any requirement for increased staffing as a corrective action shall be limited to circumstances in which additional staffing is reasonably necessary to address Vendor-attributable performance deficiencies and shall be determined through a mutually agreed corrective action process, and after Optum has been given time to try to remediate. Staffing increases required due to scope changes, regulatory changes, increased volumes, modernization activities, new requirements, State-driven priorities, or other circumstances outside Vendor's reasonable control shall be addressed through the change management process."

15. SECURITY AUDIT INFORMATION

Optum requests clarification regarding disclosure of security assessments, audit reports, penetration testing results, vulnerability reports, and similar sensitive security materials.

Rationale

Security audit materials may contain sensitive technical information that could create security risk if distributed without appropriate controls. Such materials may also be subject to third-party confidentiality restrictions, cloud provider limitations or contractual limitations. Optum is committed to supporting appropriate security oversight and audit requirements. Security materials should be shared in a controlled manner that protects the confidentiality and security of the system and complies with applicable third-party restrictions. Redacted reports, summaries, attestations, bridge letters, and equivalent documentation often provide an appropriate balance between transparency and security.

Proposed Language

The Contract is modified by adding the following: "Security assessments, audit reports, penetration testing results, vulnerability reports, SOC reports, and similar materials may be provided subject to confidentiality obligations, security restrictions, third-party contractual limitations, and information protection requirements. Vendor may provide summaries, redacted versions, executive summaries, attestations, bridge letters, or equivalent documentation where full reports cannot be disclosed due to security, confidentiality, legal, contractual, or third-party restrictions. The State shall protect such materials from unauthorized disclosure to the extent permitted by applicable law."

16. NOTICE OF AWARD

Optum requests that upon Notice of Award that parties work to define the agreement to include these negotiated terms and any other aspects as a result of BAFO or negotiations.

Attachment 1 To Exhibit 2

Optum IE License

West Virginia PATH Solutions

Optum proprietary intellectual property is integrated throughout critical PATH solutions, including the PATH Common Landing Portal, PATH Client Portal, PATH Child Care Agency Portal, PATH Child Care External Provider Portal, PATH Child Care Provider Agency Module, PATH Admin Portal and PATH Family Assistance Benefit Recovery Module. There are no user limits.

Definitions for Optum PATH License

Documentation means the user manuals, training manuals, documentation, and other written or digital materials provided by Optum in connection with the use of the Software.

Software means the Optum proprietary intellectual property and software identified in Schedule A, including any third party software embedded in the Software, together with the Documentation and all subsequent updates, replacements, modifications, or enhancements made accessible to Department of Human Services (DoHS) by Optum.

Services means the services presented in the Contract.

Grant of Optum IE License

2.1 Subject to the terms and conditions set forth in this section, Optum hereby grants to Department of Human Services (DoHS) a non-exclusive, non-transferable license to connect to, access, and use the Software and the Services as contemplated in the Contract. All licenses granted hereunder shall be for the Software and for the term of the Contract between Optum and DoHS.

2.2 Optum proprietary intellectual property is integrated throughout critical PATH solutions, including the PATH Common Landing Portal, PATH Client Portal, PATH Child Care Agency Portal, PATH Child Care External Provider Portal, PATH Child Care Provider Agency Module, PATH Admin Portal, and PATH Family Assistance Benefit Recovery Module. There are no user limits for Department of Human Services (DoHS)'s access to and use of these PATH solutions under this License.

2.3 Department of Human Services (DoHS) may use the Software and the Services for its internal purposes and for interactions with customers, providers, business partners, and other users as contemplated by the Contract. Access to the Client Portal remains subject to the applicable Terms of Use.

2.4 Department of Human Services (DoHS) shall not: (i) copy, print, reproduce, distribute, download, frame, mirror, republish, modify, transfer, assign, or create derivative works of the Software; (ii) license, sell, transfer, assign, distribute, display, disclose, grant a security interest in, commercially exploit, or otherwise permit use by or for the benefit of any third party, except for customers, providers, or business partners of Department of Human Services (DoHS) for purposes of interacting with Department of Human Services (DoHS) in furtherance of Department of Human Services (DoHS)'s services as outlined in the Contract; or (iii) decompile, disassemble, or otherwise reverse engineer the Software. Department of Human Services (DoHS) will use reasonable efforts to prevent unauthorized access to or use of the Software or the Services and will promptly notify Optum of any such access or use.

2.5 Department of Human Services (DoHS) may copy the Documentation as needed for Department of Human Services (DoHS)'s internal use. Department of Human Services (DoHS) shall not alter or remove any notices, graphics, or text contained on or in the

Documentation. This excludes Documentation Deliverables provided as Work Product under the Contract.

2.6 Department of Human Services (DoHS)'s rights to access and use the Software and the Services are limited to those expressly granted herein, including that such access and use shall be only in conjunction with the Services and only until the later of the expiration or termination of the Contract or completion of any transition services under the Contract. This License does not create, and shall not be construed as, an assignment or transfer to Department of Human Services (DoHS) of any right, title, or interest in or to the Software. Optum or its licensors retain all right, title, and interest, including patents, copyrights, trade secrets, and other intellectual property rights, in and to the Software.

2.7 Department of Human Services (DoHS) shall not, in connection with any access to or use of the Software or related services provided by Optum under this Agreement, knowingly transmit illegal, infringing, harmful, or malicious material; knowingly interfere with or disrupt the integrity of data, systems, servers, or networks connected to the Software; knowingly attempt to gain unauthorized access to the Software or the Services; or knowingly interfere with another user's use and enjoyment of the Software or the Services.

2.8 Department of Human Services (DoHS) will establish passwords to use in connection with the Software and the Services. Department of Human Services (DoHS) and each user are responsible for maintaining the confidentiality and security of passwords and for activities that occur under their accounts. Passwords may not be used by more than one individual and may not be transferred or shared. Department of Human Services (DoHS) shall ensure that users exit or log off from their accounts at the end of each session of use.

2.9 Third party providers of content embedded in Optum PATH solutions are intended third party beneficiaries of this Agreement.

Schedule A

Optum PATH Software Components (this list does not include any Open Source licensing that may be used)

List of Optum IE Software Components and 3rd Party Software embedded in Optum IE
PATH Common Landing Portal, PATH Client Portal, PATH Child Care Agency Portal, PATH Child Care External Provider Portal, PATH Child Care Provider Agency Module, PATH Admin Portal and PATH Family Assistance Benefit Recovery Module
3rd Party Software includes:
Adobe Experience Manager (AEM) Forms
Chainguard - Java
Chainguard - Redhat Enterprise Linux Server
Cincom Eloquence
Cyberark
Dynatrace
Flexi Financials (Based On .Net)
Github
Gojs
Hashicorp Vault
Herodevs - Angular
IBM Cognos
IBM Entirex
IBM Operation Decision Manager (ODM)
Informatica MDM And Address Doctor
Informatica Power Center
Jboss Datagrid
Jboss Eap 7.X
Jspell Evolution
Kong
Kubernetes
Microfocus- Application Lifecycle Management (ALM)
Microsoft Sql Server 2016
Microsoft Sql Server Integration Services (SSIS) 2016
Mulesoft Muleesb
OpenAI Codex And Copilot
Oracle Enterprise Edition Database 19c
Oracle Soa Suite
Oracle Weblogic
Pivotal Software Rabbitmq
Salesforce
ServiceNow
Softwareag Natural
Spatialitics
Splunk
Spring Batch
Spring Framework
Tableau Server & Client
Testmail.App Pro
Visual Subversion(SVN)
Windows 2016

License metric: No user limits apply to the PATH solutions listed above.

Matthew Rager
PATH Account Manager

Experience summary

Matthew brings more than 25 years of state health and human services leadership experience, including direct management of integrated eligibility, DDI, analytics, modernization, deployment, maintenance and operations initiatives. Matthew managed the design, development and implementation for the WV IES engagement. It included modernizing the legacy IES programs, including SNAP, TANF and Medicaid. Project goals also included updating systems to replace the Child Care, Child Support and Child Welfare systems. His background also includes managing the Indiana IEDSS DDI activities of Deloitte Consulting to deliver a new Integrated Eligibility System for Medicaid, SNAP and TANF. Matthew was also program manager for the IN FACTS (Family & Care Through Technology Services) system. IN FACTS provided eligibility task and workflow management for Indiana's legacy IES for Medicaid, SNAP and TANF programs, and statewide deployment and subsequent maintenance and operations.

His background exceeds the RFP's 8 year requirement through documented leadership roles across WV, IN, KY, CA and HI. He has managed staff, vendors, budgets, schedules, scope, release activities, change requests, risk, client coordination and senior state stakeholder interactions for large-scale human services and healthcare integrated eligibility environments. Matthew meets RFP experience requirements for RFP Appendix IV skills including 8 years in:

- Management of organizational unit within a HS Department in a U.S. state/territory-and/or
- Management of organizational unit within a HS Department performing operations of similar scope to WV-and/or
- Experience in other large healthcare integrated eligibility setting/or agency contracted with the state/territory responsible for performance of the same

Work experience

Optum

HR1 Lead, West Virginia Integrated Eligibility Systems Project, 2026 – Present

- Led requirements gathering, solution design, development, and testing activities for implementation of House Resolution 1 (HR1) regulatory changes
- Managed cross-functional team responsible for Medicaid, SNAP and TANF system enhancements, for PATH compliance with January 2027 regulatory deadlines

Account Manager, Hawaii Health Analytics Program (HAP), 2022 – Present

- Managed final contract negotiations and coordinated pre-contract kick-off activities including onboarding and orienting staff, developing initial project schedule and planning with the State of Hawaii's Health Analytics Office, MedQuest Division, DHS
- Lead Design, DDI activities of the HAP's Integrated Data Analytics Platform (IDAP)
- Primary liaison with State of Hawaii client and project team and their supporting vendors

Deployment and Release Lead, California COVID Reporting System (CCRS), 2020 – 2022

- Led the Solution Integration and Architecture Team through DDI activities and was responsible for generation of cut-over plan and leadership of go live activities
- Responsible for leading post go live M&O activities
- Worked with CCRS application teams and PMO to validate the application teams, deliver system fixes, new product development and change requests with no impediments
- Partnered with client PMO and Optum M&O teams to plan deployment releases and share status information of the current sprint and development efforts and managed activities throughout product releases and coordination of enhancement schedule
- Prioritized and managed change requests and sprint backlog for timely and accurate product delivery using project management applications (i.e., Microsoft Project, Visio)

Program Manager, West Virginia Integrated Eligibility System (IES) Project, 2018 – 2020

- Managed DDI activities for delivery to the State of West Virginia of new WV IES for Medicaid, SNAP, TANF and 8 other Family Assistance programs, a Child Care solution, Child Support system and Child Welfare system
- Supported modifications to IES product, delivering specific functionality, delivered a Child Welfare transfer system, and conversion and modernization of Child Support System
- Managed Optum staff and vendors responsible for solution delivery; provided direction, decision-making for project scope and schedule activities
- Led interactions with the State's senior management responsible for project oversight

Rager Management Solutions

Consultant, KY HEALTH Project through HMA Medicaid Market Solutions, Inc., 2018

- Provided direction to Deloitte, DXC and the MCOs for the testing and statewide implementation of the Kentucky HEALTH Program

Program Manager, FSSA Division of Family Resources, 2012 – 2018

- Program Manager for the IN Eligibility Determination and Services System (IEDSS) responsible for managing DDI activities of Deloitte Consulting to deliver a new Integrated Eligibility System for Medicaid, SNAP and TANF

Program Manager (PM), Indiana Eligibility Modernization Project, 2007 – 2012

- Program manager for FACTS, accountable for budgets and schedules; led a team of 70 staff that conducted all design, development, testing, deployment, maintenance and operations of this statewide integrated eligibility system used by over 4,000 TANF, SNAP/Food Stamps and Medicaid eligibility case workers

Education

- Bachelor of Science, Nuclear Engineering, Purdue University, West Lafayette, IN

Technologies and certifications

- Software: Microsoft Project, Visio and Microsoft Office Suite
- Project Management Professional (PMP), Project Management Institute (PMI) (inactive)

Richelle Garlow, J.D., PMP
PATH Deputy Account Manager/Operations Manager

Experience summary

Richelle is an accomplished West Virginia attorney and program manager with extensive experience in Public Health, Health and Human Services, Medicaid and Managed Care oversight. She specializes in program integrity, regulatory compliance and government partnerships. Richelle has a rich history of leading complex, high risk programs while balancing operational execution, financial performance and legal requirements. In her current role as Deputy Account Manager, she is responsible for assisting the Account Manager with the day-to-day management of the WV IES M&O/account, and providing knowledge and awareness of all issues, concerns and requirements of the project to executive leadership. In her previous role as program manager at Optum, Richelle was responsible for day-to-day operational management of public health projects and has previously supported operations and compliance for the California Department of Public Health. As a West Virginia attorney, she helped protect Medicaid program integrity and support human services for vulnerable residents.

Richelle leads day-to-day enterprise operations, supervises staff and aligns multi-program service delivery. She provides continuity of account leadership, maintains visibility into risks and requirements, and supports federal and state reviews while sustaining regulatory compliance. Richelle meets RFP experience requirements for RFP Appendix IV skills including 4 years in:

- Management of organizational unit in a HS Department in a U.S. state/territory-and/or
- Management of organizational unit in a HS Department performing operations of similar scope to WV-and/or
- Experience in other large healthcare integrated eligibility setting/or agency contracted with the state/territory responsible for performance of the same

Work experience

Optum, 05/2019 – Present

Deputy Account Manager, WV IES Project, 05/2026 – Present

- Assist with the day-to-day oversight and management of the WV EIS Project
- Serves in the role of Account Manager when needed to provide continuity of leadership
- Maintains visibility into program issues, risks and requirements to support coordinated decision-making
- Contributes to federal and state review activities, including gate reviews, CMS evaluations and certification-related processes

Program Manager, Public Health Preparedness and Emergency Response - Optum Serve, 05/2022 – 05/2026

- Developed and maintained client relationships, collaborating with leaders to support operations and compliance
- Conducted strategic planning, coordination and resource management services with local health jurisdictions
- Oversaw performance in alignment with of contractual obligations

- Leveraged leading-edge analytics and data visualization reporting to analyze necessary resources and capabilities to respond effectively to public health emergencies
- Served as primary client executive for the CA Department of Public Health, maintaining trusted relationships and resolving high risk operational and compliance issues
- Served as client executive for Veterans Health Administration; fostered strong strategic stakeholder relationships; saw resolution of high-risk operational and regulatory matters

Account Manager - Deputy Program Manager, Health Projects, 02/2021 – 05/2022

- Managed testing and vaccination sites across multiple California counties, supporting day to day operations and logistics; partnered with local health jurisdictions to confirm staffing, supply chain readiness and service continuity; coordinated vaccination events for migrant health workers, elementary schools and community and faith based organizations; program expansion, maintaining regulatory compliance and quality

Senior Consultant, Optum Serve - The Lewin Group Projects, 05/2019 – 01/2021

- Supported the State of WV Department of Health and Human Resources (DHHR) in administering its Medicaid Managed Care program, with a focus on program integrity and oversight; assisted with managed care contracting, waiver development, network adequacy reviews and vendor monitoring

General Counsel, WV DHHR – Office of Inspector General (OIG), 01/2018 – 05/2019

- Provided legal counsel on matters involving waste, fraud and abuse; proposed, drafted, reviewed, and monitored legislation, regulations and policy; directed and assisted outside counsel in litigation; supervised and directed assistant general counsel; planned and executed litigation and resolutions related to fraud and abuse within programs

Early Career

- Deputy Director and Lead Attorney, West Virginia DHHR Medicaid Fraud Control Unit, 04/2015 – 01/2018
- Associate Attorney, General Litigation, Law Office of Michael T. Clifford, 3/2010 – 4/2015
- Assistant Prosecuting Attorney, Jackson & Kanawha Counties in WV, 01/2005 – 12/2009

Education

- Juris Doctor, West Virginia University College of Law, Morgantown, West Virginia
- Bachelor of Arts, English, West Virginia University, Morgantown, West Virginia

Technologies, certifications, and professional affiliations

- Microsoft Office Suite, SharePoint, Tableau
- Active Project Management Institute (PMI) Project Management Professional (PMP) Certification

Bar Admissions

- West Virginia State Bar
- United States District Court for the Southern District of West Virginia
- United States Court of Appeals for the Fourth Circuit

Catherine Hinz, PMP
PATH Project Manager

Experience summary

Catherine Hinz has more than 20 years of experience leading complex IT projects, including 11 years managing healthcare technology projects for state governments. As a senior program manager at Optum, Catherine facilitates the development of goals and plans, while steering progress and deliverables to achieve customer requirement commitments and exceed client expectations. She establishes and oversees processes, metrics and technology standards to meet contractual obligations and complete projects on time and within budget. Currently, Catherine is the PMO lead for the WV IES. She oversees contract deliverables, change management, project schedules and status reporting. She is also responsible for managing the project's Issue, Risk, Action Item, Assumption and Decision (IRAAD) processes.

Catherine is an experienced Agile practitioner, scrum master and product owner. She is skilled at problem solving to resolve project blockers and production issues. Catherine focuses on performance by monitoring the effectiveness and value of processes and implementing changes for improved results. She also prepares data-driven assessments to guide project and program decisions and meet contract requirements.

Catherine meets RFP experience requirements for RFP Appendix IV skills including:

- Project Management Professional (PMP) Certification
- Four years in project management of an IT project(s), using the full system development life cycle from initiation through post implementation within a HS department or health insurance marketplace in a U.S. state or territory

Work experience

Director, Project Management, Optum, 2015 – Present

- PMO Lead for WV IES Project responsible for transition from DDI to M&O processes and overseeing IRAAD, schedule, change management, deliverables and weekly status
- PMO Lead for NC Provider Management responsible for overseeing PMO team including IRAAD, schedule, change management, deliverables, weekly status and managing overall implementation
- Established and maintains internal executive reporting framework and Tableau dashboards for the WV IES Project and coordinates external executive status reports
- Served as business delivery lead for Child Welfare Social Services for WV IES Project and managed internal and vendor team deliveries
- Led Enterprise Risk Management reporting, financial PPMO timesheet and BWAP compliance and contributed to new initiatives including Agile WBS, data solutions migration to PPMO and Agile cost modeling
- Led PPMO Data Solutions migration training and communication and PPMO analysis, training and communication for Modern User Interface MVP release
- Piloted Agile methodology and approach with EQI reporting team
- Facilitated roll-out to EQI Team and all of the demand management organization

- Led the EQI reporting team to implement complex estimating accuracy data assets, reports and dashboards, including assets to support multi-rate card with effort, cost and blended rate accuracy

Early Career

- Senior Project Manager and Scrum Master, NextGen Information Services, 2009 – 2015
- Senior IT Project Manager, VOLT Technical Services, 2007 – 2008
- Founding partner-principal consultant, APEX Consulting Group, LLC, 2005–2007
- District manager, AT&T IT Production Cost Operations & Support Technology, 1999–2004
- District manager/technical supervisor, AT&T CIO, Business Markets Service Delivery, 1992–1998
- Project leader-member of technical staff, AT&T Labs and Bell Laboratories Research, 1982–1991

Education

- Master of Science, Computer Science, Stevens Institute of Technology, Hoboken, NJ
- Bachelor of Science, Physics, Georgian Court College, Lakewood, NJ
- Bachelor of Science, Chemistry, Georgian Court College, Lakewood, NJ

Technologies, certifications, and training

- Agile (Scrum) Methodology, Scaled Agile Framework (SAFe), Rally (formerly Agile Central), Microsoft Office Suite & Project, Tableau, Datameer, SharePoint, HP Quality Center, BMC Remedy, Mindjet Mindmgr Pro, Adobe Creative Suite
- Active Project Management Institute (PMI) Project Management Professional (PMP) Certification
- SAFe Agilist 5 Certification
- Datameer Certification
- Agile Scrum Master training
- Product Owner training

Jana L. Patchen, MBA, PMP
PATH CW Line of Business Manager

Experience summary

Jana has 40 years of experience in identifying business requirements and determining user-friendly, effective technical solutions. Her extensive career includes experience in design, implementation and support of SACWIS and CCWIS systems for the states of Ohio and West Virginia. In her current role as Delivery Manager for the WV IES Child Welfare project, Jana is responsible for the planning, monitoring, delivery and overall maintenance of child welfare functionality. She has 25 years of experience in implementing and managing package software predominantly in state government environments. Jana has worked for the states of Delaware, Georgia, Kentucky, Ohio, Utah, Virginia and West Virginia, where she implemented projects for child welfare, taxation, workers' compensation and transportation agencies. For Ohio, Jana was the manager of the 20-person team handling maintenance and operations for the SACWIS product. For West Virginia, Jana managed a 50-person team that transitioned the Ohio SACWIS product to a modernized, CCWIS-compliant product customized specifically for WV business needs. Most recently, Jana served as Senior Director of Delivery at Flairdocs, where she handled customer relationships, resource management, and scope, quality and timeliness of product delivery. Jana meets RFP experience requirements for RFP Appendix IV skills including:

- 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 4 years in maintenance and operations experience in the solution and/or functionality for child welfare

Work experience

Senior Manager Child Welfare Delivery – Optum, 4/2026 – Present

- Serves as Delivery Manager for the child welfare functional area, responsible for coordinating maintenance and operations, production corrections and enhancements
- Plans and reports on progress for child welfare work
- Leads process and best practice discussions; coordinates intra-team work
- Facilitates meetings on both triage and enhancements as needed to move forward and meet deadlines
- Oversees quality for all child welfare delivery

Senior Director – Flairdocs, Flairsoft Ltd., 12/2023 – 4/2026

- Served as Delivery Manager for Flairdocs product implementations; coordinating hiring, personnel management, adherence to scope and statement of work, procurement of appropriate technical tools, and formal delivery of product
- Coordinated AI research and development for Flairdocs products
- Served as operational Project Manager and Interface Business Analyst for the Commonwealth of Virginia DOT, the State of Delaware DOT, and the State of Utah DOT responsible for coordination of the design, development and quality assurance teams to deliver business requirements
- Served as operational Engagement Manager for the State of Georgia DOT; architectural design, project timeline, initial coordination and kickoff

Director Consulting Services – Manager/Senior Consultant, CGI Technology and Solutions Inc., 5/2008 – 12/2023

- Served as Project Manager/Delivery Manager for a replacement Child Welfare system for the WV DHHR; coordinated hiring, personnel management, conducted scope and statement of work adherence, procurement of technical tools, and delivery of product
- Served as Engagement Manager for support of the State of Ohio Child Welfare system, coordinating defect resolution, creation and execution of new statements of work, and estimation of initiative efforts
- Acted as Functional Lead and Delivery Manager for the Ohio Bureau of Workers' Compensation focusing on collecting business requirements, coordination of testing and training, and formal delivery with complete documentation; Performed as Functional Lead and Design Coordinator for the Ohio Department of Taxation

Early Career

- Deputy Director - Information Technology Services Division, State of Ohio, Department of Mental Retardation and Developmental Disabilities, 4/2006 – 2/2008
- Multiple Roles, State of Ohio, Department of Administrative Services, 9/2000 – 3/2007
  - Agency CIO; Manager, Workforce Development Program, Human Resources Division; Administrator, High Performance Workplace, Human Resources Division
- Project Manager, Consultant, State of Ohio IVV/DHS projects - Dynamics Research Corporation, 4/1999 – 9/2000
- Manager, Applications Development, Franklin International, 3/1997 – 3/1999
- Project Manager, MIS, Structure Inc., 5/1994 – 3/1997
- Project Manager, Network Development Labs, Sterling Software Inc., 12/1992 – 5/1994
- Manager, Financial & Administrative Systems, Warner Cable Communications, 11/ 1989 – 11/1992
- Senior Technical Analyst,/Technical Analyst, American Electric Power Service Corp., 6/ 1986 – 11/1989
- Internal Control Auditor/Systems Analyst/ Applications Programmer, Marathon Oil Company, 5/1981 – 5/1986

Education

- MBA, Executive Management, Ashland University, Ashland, OH
- Bachelor of Art, American Studies (history, art and communications), Computer Applications, University of Notre Dame, Notre Dame, IN

Technologies and certifications

- Word, Excel, Visio, PowerPoint; Microsoft Project; Outlook; Azure DevOps; HP Application Lifecycle Management and Quality Center; Jira
- Active Certified Project Management Professional, (PMP), Project Management Institute
- Certified Business Analysis Professional (CBAP)

Paul B. Shannon
PATH CS Line of Business Manager

Experience summary

Paul has more than 35 years of experience serving as a Child Support subject matter expert and information technology professional, currently supporting system modernization and support activities within state health and human services environments. In his current role, as senior business analyst Paul leverages expertise working with the WV DHHR child support program, supporting modifications and enhancements for the PATH child support line of business. Previously his career included roles as Director/Technical Manager, Senior Business Analyst, Product Owner, Trainer, DBA and Child Support SME across multiple large-scale Child Support system implementations and modernization initiatives. He led requirements gathering, supported system design and document management, conducted testing and validation, and partnered with state stakeholders to align system functionality with business processes and compliance requirements.

Paul has an extensive career managing child support activities across the system development lifecycle, including requirements definition for maintenance and operations, support for system modifications driven by policy, procedure and legislation changes, and participation in enhancement initiatives to modernize child support platforms. His capabilities include business and functional analysis, requirements management, testing and validation, Agile delivery support, stakeholder engagement, and translating policy into system functionality aligned with federal and state standards. Paul meets RFP experience requirements for RFP Appendix IV skills including:

- 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 4 years in maintenance and operations experience in the solution and/or functionality for child support

Work experience

Senior Business Analyst – WV IES Project, Optum contractor, 05/26 – Present

- Translates Child Support system requirements into user stories, storyboards and Functional Design Specifications for State of West Virginia, PATH child support line of business
- Provides testing effectiveness by creating validation scenarios aligned to verify program logic, reduce false failures and improve quality assurance
- Maintains child support document processing by mapping workflows to capabilities, providing clarity and alignment across business and technical stakeholders, while supporting child support line of business including scheduling, troubleshooting, deliverables and reporting

Senior Consultant and Child Support Subject Matter Expert (SME), Deloitte Consulting, State 09/2022 – 04/2025

- Gathered requirements and logic from legacy COBOL and SQL for the Commonwealth of Pennsylvania HHS Mainframe migration and modernization
- Defined functional pathways for the Pennsylvania HandS (Workers' Comp – Health and Safety) to WCAIS (Workers' Comp) migration, resolving rule conflicts and translating legacy behavior into clear specifications and design for their statewide platform

- Stabilized testing for AZCARES (child support) using scenarios anchored in validated program behavior and improving defect accuracy
- Assessed financial processing for Indiana InVest system (child support), tracing case, distribution and logic to uncover failure points and provided regression and smoke testing after deployment
- Interpreted workflow and rule interactions for Texas child support modernization and mainframe migration, resolving discrepancies and improving alignment for downstream design and development
- Analyzed and interpreted mainframe legacy screen designs, workflows and rule interactions for Tennessee child support system modernization redesign, focusing on uncovering original system logic, processes and data flows

Senior Business Analyst, Optum, 10/2019 – 8/2022

- Served as a Child Support SME on the WV DHHR Family Assistance, Child Care, Child Welfare and Child Support System Replacement, working in an Agile environment, clarifying business rules modernization by translating legacy system behavior to user stories, to increase accuracy and reduce rework across sprints
- Reinforced testing quality by designing validation scenarios tied to verified program logic, lowering false failures and improving throughput for QA and development teams

User Liaison, Trainer, Product Owner, Northwoods Consulting Partners, 5/2018 – 6/2019

- Orchestrated child support adoption of the State of Ohio Child Support Electronic Document Management System, delivering system design, testing, training, readiness planning and county-level alignment

Senior Associate (Business Development), FEI Systems, 2/2017 – 5/2018

- Advanced FEI's HHS pursuits by shaping functional narratives and RFP responses grounded in actual program behavior, strengthening proposal clarity and competitiveness; attended HSITAG and national industry forums; translating domain patterns into clear, accessible messages for buyers

Director/Technical Manager/DBA/Mainframe Developer, State of WV, Dept of Health and Human Resources (DHHR), Office of Management Information Services, 9/1988 – 2/2017

- Guided stability and accuracy across statewide Child Support, SACWIS and HHS applications supporting high-volume financial and case operations
- Clarified policy requirements, workflow logic, financial rules and case behavior, shaping specifications for major implementations and modernization cycles and reducing risk across statewide transitions
- Delivered full lifecycle system development across mainframe and distributed platforms, improving deployment reliability

Education

- Bachelor of Science, Computer Science, Marshall University, Huntington, WV

Technologies

- MS Office Suite, SharePoint, Visio, MS Project, Azure DevOps, Jira, SQL, COBOL, JCL, Natural/Adabas, DB2, SQL Server, EntireX, Salesforce (functional); qTest, Rally, ALM; Compass (Northwoods), Hyland OnBase, Cincom Elegance; Microsoft Dynamics CRM

Raghuram (Raghu) Mekala, MS, PMP
PATH FA/Medicaid Line of Business Manager

Experience summary

Raghu is a certified Project Management Professional (PMP) with over 20 years of enterprise IT and HHS program management experience, leading and supporting implementation, maintenance and operations activities. As Director of Client Operations and System Services for the WV IES for nearly 10 years, Raghu serves as a Client Operations and System Services leader for the WV IES and legacy eligibility system RAPIDS with a focus on eligibility, child welfare and child support. Raghu has a proven ability to identify and adopt the optimal processes, technologies and tools for helping businesses achieve their strategic goals.

He has managed multidisciplinary teams responsible for production support, performance monitoring, reporting, software maintenance and ongoing operational activities while driving process improvements that strengthen system stability and service delivery. His experience includes oversight of quality-focused operational activities, development of reporting methodologies and dashboards, as well as supporting Medicaid, SNAP, TANF, Child Welfare, Child Care, Adult Protective Services, and Title IV-E programs. Raghu meets RFP experience requirements for RFP Appendix IV skills including:

- 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 4 years in maintenance and operations experience in the solution and/or functionality for FA/Medicaid

Work experience

Director, Client Operations and System Services, Optum, 2016 – Present

- Serves as the lead architect for the WV IES project; owned the implementation for the Integrated Eligibility, Child Welfare and Child Support program areas; manages cross-functional team of business analysts, project managers, data architects and senior developers to perform complex work using applicable PMI practices such as oversight of quality, performance and issues
- Communicates and coordinates operations and system services activities to executive leadership
- Identified and implemented process improvements for smooth and efficient operation of critical system
- Met service level agreements; delivered reports on time and maintained the availability of MDM application
- Developed a plan to improve system availability and stability with identified areas of improvement including current hardware and software support contracts, scheduled software maintenance, regular system backups and monitoring system performance
- Supervised and mentored the team, whose achievements included: improving productivity through work management and clearly defined roles, proactive client and stakeholder engagement, and encouraging team members to learn new skills and improve work efficiency

- Created methodology to gather and provide all the data needed for dashboard reporting; identified and automated process to meet the tight monthly deadlines
- Mentored and managed the implementation and M&O team members and their activities; provided oversight of staff supporting Corticon (Business Rules Engine)

Project Manager, CDI Professional Services, 2009 – 2016

- Managed dynamic cross-functional project teams; responsible for project management, enterprise architecture, database design, development, testing, implementation, maintenance, system software maintenance, software and hardware evaluation, performance monitoring, production support, reporting and quality assurance
- Developed and implemented strategy for modernizing the legacy application built in PowerBuilder; served as principal architect to integrate 2 large social welfare applications, to unify benefits (e.g., food stamps, Medicaid); prepared a proposal for starting a Project Management Office at WV DHHR

Early Career:

- Technical Consultant, Terradon Communications Group, 2009
- Project Manager, CDI Professional Services, 2002 – 2008
- Consultant/Team Leader, ONE Community, Inc., 2000 – 2002
- Software Engineer, DCR, Inc., 1998 – 2000
- Software Engineer, Renaissance Informatics Ltd., 1995 – 1998

Education

- Master of Science, Technology Management with an Information Technology emphasis, Marshall University, Huntington, West Virginia
- Bachelor of Science, Computer Science, Nagarjuna University, India

Technologies and certifications

- **Hardware/Other:** ASP.Net, ASP.Net MVC, Java Server Pages, Windows Communication Foundation, AJAX, ASP, HTML, Bing Maps v7, Telerik RadControls, Kendo UI and Component Arts GUI controls, Oracle SOA Suite 11g/10, Service Oriented Architecture (SOA), Component-Based Scalable Logical Architecture (CSLA) Framework, Aspose.Total (Web Reporting tool), Cognos 11/10.1(BI Reporting tool), Mobile Web Applications, IIS Administration, Windows Server 2012/2008, Windows 7/XP, HP UNIX, Red Hat Linux Enterprise, Palm, Oracle 11g/10g, additional Modules: XML DB, Locator, Advanced Queuing, SQL Server 2008/2005, DB2, Sybase 10.x,
- **Software:** Microsoft Access, Corticon (Business Rules Engine), Visual Studio .Net 2012/2010, Oracle JDeveloper 11g/10, PowerBuilder 12/10, Oracle Warehouse Builder 11, Cognos Framework Manager 10.1, erwin Data Modeler, PL/SQL Developer, TOAD, MS Visio, Microsoft SharePoint Server 2013/2010/2007, Microsoft Team Foundation Server 2010, PVCS, Dynatrace (Application Performance Management tool), QAS (Address Management tool), FxCop, Fiddler, Crystal Reports, and MS Office (Word, Excel, Outlook, PowerPoint, Access)
- Active Certified Project Management Professional, (PMP), Project Management Institute
- Sun Certified Programmer for Java 2 (sunset version)

Vijay Patel, MBA, PMP
PATH CC Line of Business Manager

Experience summary

Vijay is Project Management Institute (PMI) certified Project Management Professional (PMP) with a Master of Business Administration (MBA) and more than 29 years of IT and business operations leadership experience for HHS programs. In his current role as an Associate Director Vijay is a Child Welfare Program lead, Vijay supports the Child Welfare line of business for the modernized WV IES solution.

Vijay has more than 20 years of expertise working with West Virginia HHS engagements with 18 years which focused on Child Care and Child Welfare. Driving innovation by automating and improving operations, he brings broad expertise across operational and technical disciplines and leads large, high-performing teams with strong communication across all levels to deliver successful outcomes. His areas of expertise include operational support, portfolio management, process improvement, requirement analysis, budgeting, scheduling, testing, quality assurance, risk management and Agile development. Vijay meets RFP experience requirements for RFP Appendix IV skills including:

- 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 4 years in maintenance and operations experience in the solution and/or functionality for Child Care

Work experience

Optum, 2016 – Present

Associate Director - Child Welfare Program lead, WV IES Project, 8/2024 – Present

- Provides executive oversight of cross functional delivery teams (Development, SME, BA, QA), confirming operational excellence, SLA attainment and rapid response to high impact risks and unplanned events
- Oversees delivery of multiple Child Welfare maintenance releases to make sure portfolio initiatives were delivered on time, within budget, and aligned to strategic roadmaps and meeting or exceeding the SLAs
- Sets and executed enterprise level strategy for Child Welfare systems by aligning specialized talent, defining performance and implementing governance and reporting frameworks for transparency and executive decision support

Project Manager, WV IES Project, 2/2023 – 7/2024

- Directed full lifecycle data and document conversion for Child Welfare and Child Care systems across all DDI phases
- Stabilized the Child Welfare financial module to support consistent, high-value provider payments each month; led design improvements for Child Care Agency, provider and administrative portals to enhance workflows and user management capabilities

Line Of Business Manager – Child Care, WV IES Project, 3/2018 – 1/2022

- Served as Child Care business lead for WV IES, partnering with State teams to validate requirements, led design sessions, and resolve cross-functional issues aligned to

program goals; Conceptualized and launched new statewide business processes for end-to-end Child Care invoice submission, payment processing and improper payment recovery, including provider self-service and system integrations

- Defined and implemented core Child Care business processes; led implementation of federal Child Care policy changes within FACTS

Senior Manager IT Health Care, WV Recipient Automated Payment Information Data Systems (RAPIDS) Legacy Eligibility System, 2016 – 2018

- Authored and managed multiple SOWs to address critical federal and state business needs

Early Career

- Project Manager, Global Science and Technology, Inc., State of West Virginia Department of Health and Human Resources (DHHR), 2006 – 2016
  - Child Care Modernization Project, Child Welfare Project
- Enterprise Architect/Team Lead, Global Science and Technology, Inc., 2003 – 2005
- Senior Programmer/Analyst, Global Science and Technology, Inc., 1997 – 2002
- Scientist/Team Lead, Indian Space Research Organization Satellite Center, 1992 – 1997

Education

- Master of Business Administration, The Ohio State University, Fisher College of Business, Columbus, Ohio
- Master of Technology, Micro Electronics, Indian Institute Technology (IIT) Bombay, India
- Bachelor of Engineering, Electronics and Telecommunication, GSITS, Indore (MP), India

Technologies and certifications

- **Languages:** C#, Java, Java Development Kit (JDK), JavaScript, jQuery, XML
- **Web**: .Net Framework, ASP. Net, MVC, ASP, HTML, IIS Administration, Mobile Web Applications, Telerik/Kendo and Component Arts GUI controls. Component-Based Scalable Logical Architecture (CSLA) Framework, AJAX, Database driven dynamic web sites, Aspose.Total, Service Oriented Architecture (SOA)
- **Methodologies/Processes:** Agile, Waterfall, object-oriented programming, UML, ITIL
- **Databases:** Oracle, Transact SQL, erwin Data Modeler, PL/SQL Developer, SQL Server, and Microsoft Access
- **Business Intelligence:** Oracle Data Warehouse, Cognos, Master Data Management (MDM), Crystal Reports
- **Development Tools:** Oracle SOA Suite, Visual Studio, Power Builder, JCreator, SoapUI
- **Team Collaboration:** ServiceNow, SVN, SharePoint, Microsoft Project, Visio, Team Foundation Server, and Microsoft Office Suite
- **Other Tools:** DynaTrace (Application Performance Management tool), QAS (Address Management tool), Document! X (document extraction tool from source code), iRise (Prototyping and Agile Requirements Tool), Corticon (rules engine)
- Active Project Management Institute (PMI) Project Management Professional (PMP)

Muralidhar (Murali) Mulpuri, MS
PATH System Manager

Experience summary

Murali has more than 27 years of software engineering experience in the development and operations of enterprise applications. He is a systems and operations leader with more than 24 years of experience developing and managing enterprise applications. In his current role at Optum he manages and leads the technical engineering team WV PATH IES Project in support of design and develop for WV PATH system solutions and operational activities. Murali has extensive experience in large healthcare eligibility determination projects, where he oversees system operations. He also provides leadership of the Vermont Health Connect HIE and was involved from the beginning managing development, integrations development and initial go-live. As a senior member of the Optum team, he is deeply involved in planning, developing, testing, implementing and maintaining integrated eligibility engagements.

Prior to working at Optum, he spent 11 years at IBM designing and developing an E-commerce suite of applications for supply chain management and enabled customer facing interfaces to help customers view their specifications, manage their orders and supply chain management activities. Prior to this, Murali worked for Universal Music group to design and develop the online customer-facing application maintaining digital wallets and managing purchases. Murali meets RFP experience requirements for RFP Appendix IV skills including total of 8 years-any combo:

- Manager of an organizational unit in a HS agency in a U.S. state or territory; and/or
- Manager of an organizational unit in an integrated eligibility engagement performing operations in a U.S. state or territory; and/or
- Experience in another large healthcare eligibility determination organization

Work experience

Optum, 2015 – Present

Technical Lead - WV IES Project, 9/2025 – Present

- Manages the technology team and solutions for M&O and DDI services for WV PATH integrated eligibility solution, monitoring application availability, reliability and stability
- Supports the contract enhancements and new policy implementations
- Works collaboratively with LOB workstream leads, development leads and security to make sure that system availability is meeting SLA expectations

Technical Lead/Operations Manager-Vermont Health Connect Project, 2017 – Present

- Manages the M&O and DDI services for Vermont's health insurance exchange, monitoring application availability, reliability and stability 24/7
- Manages project budget and forecasts; participates in the budget planning processes including the justification of planned staffing levels
- Oversees the product lifecycle management process to manage changes in the environment, COTS products, operating systems, databases and hardware configurations
- Manages implementation and maintenance of application changes, releases and change requests
- Manages technical incident, request and problem ticket workflow for the exchange

Technical Development Manager/Integration Lead-Vermont Health Connect, 2015 – 2017

- Reduced projects/enhancements completed with 40 to 50% less time by working with team to come up with cross modular solutions, this applies to both DDI and M&O releases
- Led OE activities and OE Notices with 92 to 98% success rate
- Led the notice OE/Yearly updates, High priority tickets and driving them to closure
- Maintained product/stack and integrations knowledge and understanding of the functionality and issues

Senior Consultant/Integration Lead, Vermont Health Connect, CGI, 2013 – 2015

- Defined, designed and developed all Mediation Layer composites which interact with different internal interfaces like Web application, Siebel, Web center and Thunderhead
- Established connectivity with External Partners like CMS, carriers and payment processor over two-way SSL and Security Token Digested password mechanism
- Designed and developed interfaces to interact with payment processor APIs; designed and developed interfaces to communicate with CMS and interaction back
- Responsible for completing customized security policies to accommodate payment processor security model for digital security token and message encryption and worked on enrollment and functional error messages and sync/async acknowledgements with partners
- Developed individual and group mappings to carriers and payment processor as per their API mappings

Early Career

- Technical Lead, IBM, IBM Customer Connect, 2002 – 2013
- Software Engineer, Agari Mediaware Inc, 2001 – 2002
- Senior Software Engineer, ClickAction Inc., 2001
- Software Engineer, DES, 2000 – 2001
- Programmer/Analyst, Universal Studios, DEMD, 1999 – 2000

Education

- Master of Science, Computer Science, Swami Ramanand Teerth Marathwada University (SRTM) University, Nanded, Maharashtra, India
- Bachelor of Science, Computer Science, Acharya Nagarjuna University, Andhra Pradesh, India

Technologies

- Oracle Fusion Middleware, Oracle SOA Suite (BPEL, OSB, OWSM, B2B), Oracle Databases, JAVA, EJB, JMS, JSP, JNI, JNDI, JDBC, JavaScript, ODBC, Servlets, RMI, XML, JFC/Swing, Java Beans, Web services and SOAP, XPATH, XSLT, WSDL, WebSphere, WPS, WBIC, WebLogic Commerce Server, Weblogic, ATG Dynamo, IBM MQ Series, Open JMS

Anil Kumar Verma
Test Manager

Experience summary

Anil is a strategic, quality engineering leader with more than 20 years of experience in QA, test management and automation for large-scale public sector, healthcare and technology projects. For more than 18 years, he has led functional, integration, regression, API, performance and automation testing for complex eligibility modernization initiatives. In his current role of Director of Quality Engineering for the Massachusetts HIX project, Anil is responsible for the end-to end testing life cycle. He drives modernization of quality through automation-first, AI-enabled, and API-first testing approaches that improve resource utilization, expand coverage and accelerate delivery.

Anil brings a strong technical understanding and leadership throughout the SDLC, from proposal to operations, where he actively contributes to all stages of the process. He has hands on experience with the technical ownership for test automation projects where he builds test automation frameworks from scratch for large scale projects. His test management capabilities include unit testing, system testing, regression testing, API testing and test automation. As skilled and effective communicator, Anil has excellent leadership skills integrated with analytical and technical abilities that identify areas for potential improvement. Anil meets RFP experience requirements for RFP Appendix IV skills including:

- Four years of experience within the last 8 years, managing the complete testing lifecycle on an integrated eligibility or related COTS-based solution

Work experience

Director Quality Engineering - Massachusetts HIX Project, Optum, 2014 – Present

- Leads quality engineering for HIX/IES and related COTS-based solutions, responsible for test strategy, planning, execution governance, defect management, readiness assessment and release support
- Leads end-to-end testing across functional, integration, regression, API, performance and automation phases for large-scale HIX/IES modernization programs
- Leads adoption of an automation-first and AI-enabled testing model to reduce manual effort, optimize QA capacity, improve regression efficiency and support faster, higher-quality releases
- Expands API-first and intelligent automation practices to streamline test design and execution, enable earlier defect detection and improve utilization of testing resources
- Builds scalable automation and reporting capabilities across UI, API, database and backend validation to improve regression coverage, execution efficiency and release visibility
- Partners with state and program stakeholders to drive test planning, review cycles, defect triage, status reporting and go-live readiness decisions
- Drives timely test execution by coordinating cross-functional teams, managing dependencies and resolving issues affecting delivery timelines
- Directs defect management and resolution efforts, improving visibility, prioritization and closure of critical issues

- Oversees performance testing and readiness reviews to identify risks, validate system stability and address issues prior to release
- Tracks testing performance against key quality and delivery metrics to strengthen transparency, predictability and release confidence
- Supports Medicaid, CHIP, Qualified Health Plan (QHP), disability and related public assistance programs with a strong focus on traceability, coverage and business-critical outcomes
- Applies deep healthcare and state program knowledge to align test coverage with policy, regulatory and operational requirements

Test Architect, Think Future Technologies, 2008 – 2014

- Led functional and regression test automation teams and assumed ownership of project delivery
- Implemented test automation tools for functional, regression and API testing
- Designed and maintained functional and regression automation suites and frameworks
- Visited client locations to strengthen relationships and understand environment and knowledge transfer needs
- Planned and executed automated test scripts and managed defect tracking and resolution
- Resolved issues related to test scope, approach and execution
- Coordinated project meetings and stakeholder communications
- Reviewed deliverables and ensured quality standards were met
- Built and shared business and technical knowledge across project teams
- Supported implementation and sustainment of SQA processes
- Recommended automation improvements to maximize return on investment

Early Career

- Senior Quality Assurance Analyst, UnitedHealth Group, 2008
- Test Analyst, Entity Solutions Ltd, 2005 – 2008
- Assistant Engineer, Moserbaer India Ltd, 2003 – 2005
- Junior Project Engineer, Finetec Controls, 2002 – 2005

Education

- Graduate of Computer Engineering, Institution of Engineers, Kolkata, India
- Diploma in Electrical Engineering, Uttar Pradesh Board of Technical Education, Lucknow, Uttar Pradesh, India

Technologies

- WebInsure, Test Automation Frameworks, Java, Clean Code Principles, Cucumber/BDD, TestNG, CI/CD, Jenkins, GitHub, Selenium, Playwright, AWS EC2, Docker, Healthcare, HTML, JSON, XML, YAML, SQL, Oracle RDBMS, Oracle APEX, Linux, Shell scripting, REST APIs, and Visual Studio Code

Colleen Katz, CISSP, CISM, CRISC, CICISO
Security Manager

Experience summary

Colleen is an information security professional with 24 years of technical leadership overseeing the development and operations of advanced security solutions. As a Six Sigma Green Belt, Colleen applies Six Sigma techniques to client projects with a focus on continuous process improvement. She is a Senior Manager of Information Security with Optum. In this role, she oversees the security posture across system lifecycles for Medicaid Enterprise Data Warehousing type programs, in state projects for Alabama, California, Illinois, Virginia and Hawai'i, and the New York All Payer Database (NYAPD) as well as other projects. She leads project workstreams to synthesize and analyze complex data. Her background includes cyber security planning for the Satellite Communications and Network Contract with Honeywell Technical Solutions. At General Dynamics, she managed Information Assurance initiatives for the Missile Defense Agency. As a senior security engineer with AT&T, Colleen developed enterprise-wide security requirements for a uniform security policy and architecture for the Air Force, Navy, Department of Commerce and NASA. She also developed a secure wireless architecture for the Treasury Department.

Colleen has in-depth experience with Department of Defense, federal and State regulations and security frameworks (e.g., HIPAA, FISMA, NIST, CMS, IRS, SSA). Her expertise spans security program management, risk and compliance, assessments and authorizations, data analysis, security architecture, engineering and lifecycle management. She applies security best practices and strong communication skills to help organizations achieve strategic security objectives. Colleen meets RFP experience requirements for RFP Appendix IV skills including:

- Certified Information Systems Security Professional (CISSP) or Certified Information Systems Auditor (CISA) Certification
- Five years of IT security work experience, infrastructure/network and multi-platform environments with similar scope to West Virginia RFP
- Familiarity with technical and risk assessment techniques, tools and practices, and experience working with federal security and privacy requirements

Working experience

Senior Manager, Information Security, Optum, 11/2014 – Present

- Serves as segment information security officer managing the security operations for state enterprise data warehouse programs, for Health Insurance Exchanges (HIX) for MA and VT, the MA LTSS project, MT PSM project, a well as the AR AL EDS, CA MIS/DSS, IL EDW, VA EDWS, HI HAP, and the NY All Payer Database (NYAPD), as the AR ARIA project, and Optum Behavioral Health
- Manages information security officers providing strategic direction and oversight for governance, risk and compliance initiatives across on-premises, cloud and hybrid environments
- Collaborates with the security architecture group to design and implement appropriate controls and countermeasures
- Mitigates operational risks by selecting and using appropriate information security controls and working to prevent loss or compromises of IT systems

- Establishes and operates standardized vulnerability management to improve accuracy and timeliness of client reporting
- Developed and instituted security risk management methodology to correspond with contractual and legal requirements
- Built and lead a nationwide team of SISOs supporting Medicaid programs across multiple states; developed and implemented a harmonized Risk Management Framework tailored to state and federal healthcare regulations; supported development of multi-tenant government enclave meeting Federal Information Security Management Act (FISMA), National Institute of Standards and Technology (NIST), CMS, and IRS security and privacy standards; partnered with policy governance team to evaluate and align EIS security policy standards with regulatory frameworks

Early Career

- Information Assurance Engineering Manager, Honeywell Technology Solutions, Colorado, 08/2011 – 11/2014
  - Served as advisor, leader and strategic planner for the cyber security technology services activities on the Satellite Communications and Network Contract
- Senior Principal Analyst/Information Assurance, General Dynamics, 2010 – 07/2011
  - Managed and directed the Information Assurance initiatives for the Missile Defense Agency
- Senior Information Assurance and Systems Engineer, SRA International, Inc., 2003 – 2010
  - Responsible for the risk assessment and security analysis determination for the certification and accreditation of Ballistic Missile Defense Systems
- Senior Security Engineer, AT&T, 2001 – 2003
  - Served as the task and project lead for the AT&T Labs Security Center of Excellence; defined comprehensive strategies for engineering solutions for Information Assurance initiatives; worked as the lead security engineer on National Polar Orbiting Environmental Satellite Systems program

Education

- Bachelor of Science, Business Administration, University of Central Florida, Orlando, FL

Technologies, certifications, and affiliations

- Microsoft Office Suite, SharePoint
- Certified Information Systems Security Professional (CISSP), 2002 – Present
- Certified Information Security Manager (CISM), 2011 – Present
- Certified Risk and Information Security of Controls (CRISC), 2011 – Present
- Certified Chief Information Security Officer (C|CISO), May 2017 – Present
- Six Sigma Green Belt, 2013
- Vice President, Pikes Peak Chapter of (ISC)2

Sankha Dey, MBA, PMP
Change Control Manager

Experience summary

Sankha Dey has more than 20 years of experience leading large-scale technology modernization, business transformation and State government programs. He currently serves as Senior Project Manager for the WV PATH IES Project, where he leads change control management across maintenance and operations activities. In this role, he manages structured change request lifecycles, supports requirements traceability, coordinates State and vendor reviews, and aligns approved changes with release plans, schedules, contractual requirements and program priorities.

Sankha's change control experience includes leading governance forums, assessing business and technical impacts, tracking risks and dependencies and reporting change status to executive stakeholders. His background across Medicaid, healthcare, insurance and public sector programs gives him the ability to maintain transparency, control scope and guide changes through approval and implementation in highly structured environments. Sankha meets RFP experience requirements for RFP Appendix IV skills 4 years of experience including:

- Working as an IT change control lead or manager for a vendor of HHS systems, state HHS agency, and/or large healthcare organization
- 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

Work experience

Optum, 05/2023 - Present

Senior Project Manager - WV IES Project, 1/2026 – Present

- Leads end-to-end deliverables management activities for the WV PATH program across M&O, confirming compliance with State contractual and regulatory requirements
- Serves as the primary liaison between WV DoHS, State PMO, vendors and cross-functional delivery teams; oversees requirements and deliverables management, including RTM, change control and State approval processes

Senior Project Manager/Project Scheduler - HI Integrated Data Analytics Platform Project, 2/2025 – 1/2026

- Integrated change management practices into project delivery, including formal scope control and change approval cycles; established structured change request lifecycle processes, assuring traceability and governance compliance; coordinated with stakeholders to analyze business and technical impacts of proposed changes
- Led governance forums to review change risks, dependencies and schedule implications; confirmed all changes aligned with contractual obligations and State regulatory frameworks

Senior Program Manager/Project Scheduler, CO Call Center Implementation, 7/2024 – 1/2025

- Enforced change control processes across deliverables, assuring alignment with client policies and industry standards; defined and standardized change and deliverable approval workflows; maintained end-to-end visibility of change status, ensuring transparency with leadership and client stakeholders; conducted lessons learned sessions to improve change and release processes

Senior Project Manager - NC PDM/CVO Project, 5/2023 – 7/2024

- Responsible for the coordination and completion of various functional areas of North Carolina PDM/CVO project; served as PMO lead for governance and change control , overseeing all program changes, risks and risks dependencies; managed IRAAD processes, confirming complete traceability of change-related decisions; led cross-functional alignment to assess, prioritize and implement changes across workstreams
- Supported organizational change and process standardization initiatives, improving adoption and operational efficiency

Tech Project Manager, Baylor Scott & White Health, 12/2021 – 5/2023

- Managed and delivered medium to large-scale IT initiatives translating strategic plans into operational outcomes; developed project estimates, resource plans, risk, escalation and change management strategies in coordination with the IT PMO for programs

Early Career

- Sr. Program Manager, Genworth Financial, 11/2015 – 12/2021
- Tech Lead, Infosys, 2005 – 2006
- Information Technology Manager, AG, 2006 - 2015

Education

- Master of Business Administration (Executive MBA) - Business Analytics University of North Carolina (UNC)
- Bachelor of Engineering – Information Technology, Jadavpur University, India

Technologies, certifications, and training

- **Project Management Tools:** IPMS, Daptiv, MS Project, MS Office (Word, Excel, PowerPoint, Visio), Workday, Service-Now PMO, ALM
- **Defect Tracking Tools:** Jira, HP Quality Center
- **Service Management Tools:** Service-Now, Guide soft
- **Version Control Tools:** VSS, TFS
- **Mainframe Technologies**: Cobol, JCL, DB2, IDMS, CICS, TSO, VSAM
- **Business Analytics Tools:** Tableau, R Programming, Python, Demand Analysis, Forecasting, Neural Networks, Demand Modeling, Artificial Intelligence /Machine Learning and Executive Reporting
- **Other Technologies**: C++, Java, .Net, C#, Salesforce, WebMethods, Active Batch
- Active Project Management Institute (PMI) Project Management Professional (PMP)
- Certified Scrum Master
- ITIL Foundation Level
- Professional Certificate, Migrating to the AWS Cloud
- Agile/Scrum Methodology

Rachel Holstein
Deliverables/Requirements Manager

Experience summary

Rachel is a results-driven Senior Technical Project Manager with over 8 years of experience supporting large-scale, enterprise-level state system implementations, including direct involvement in deliverables and requirements management for integrated eligibility programs. Proven expertise leading the full lifecycle of deliverables from development and submission through state review and approval, confirming with timelines, SLAs and acceptance criteria. As a Senior Deliverables/Requirements and Communications Technical Project Manager, Rachel serves as the lead for strategic communications and integrated project coordination, while also overseeing end-to-end deliverables management and requirements lifecycle governance for the WV PATH IES project. She directs stakeholder communications, aligns cross-functional teams and confirms traceability and compliance of business and technical requirements throughout the lifecycle, including elicitation, documentation, validation and approval. She also supports alignment with project timelines, service level agreements and acceptance criteria, while supporting requirements traceability, design and testing activities.

Rachel is an expert at overseeing requirements across the DDI and M&O phases, including validation, design alignment and testing to confirm successful implementation. Adept at coordinating cross-functional teams, she manages stakeholder communications and produces executive-level reporting to drive transparency and decision-making. Rachel has a strong background in managing complex project operations, facilitating collaboration across technical and business teams, and delivers high-quality outcomes in highly regulated environments. A strong communicator and leader she is committed to aligning project deliverables with client expectations and project goals. Rachel meets RFP experience requirements for RFP Appendix IV skills for 4 years of experience including:

- Management of deliverable development, submission, review, and acceptance tasks for an enterprise State or territory system implementation

Work experience

Optum

Senior Deliverables/Requirement and Communications Technical Project Manager – WV IES Project, Optum, 07/2026 – Present

- Management of full lifecycle of project deliverables and requirements for the system implementation, overseeing development, submission, review and approval processes while confirming alignment across requirements validation, design and testing phases to meet acceptance criteria and compliance standards
- Confirms traceability and compliance of business and technical requirements throughout the lifecycle, including elicitation, documentation, validation and approval.
- Skilled in translating business needs into clear, actionable requirements, managing documentation standards and confirming timely, high-quality outputs by coordinating cross-functional teams, mitigating risks and maintaining stakeholder alignment for deliverables and requirements
- Develops and maintains comprehensive project deliverables, including requirement specifications, status reports and change logs

Senior Communications Technical Project Manager – WV IES Project, Optum, 04/2018 –07/2026

- Led strategic communications planning and execution, delivering targeted messaging across multiple channels (newsletters, executive briefings, policy updates, and stakeholder communications) to confirm alignment and transparency across internal and external audiences
- Directed end-to-end coordination of high-volume, cross-functional meetings and events, managing complex scheduling, logistics (virtual and in-person), stakeholder communications and executive-level engagement across competing priorities.
- Mentored and developed a diverse team through hands-on leadership, coaching and performance management, fostering professional growth, improving team effectiveness, and aligning individual development plans with organizational goals.
- Administered and optimized enterprise collaboration tools, including SharePoint, ServiceNow and Application Lifecycle Management systems, for effective content governance, system integrity and seamless user experience across business units
- Designed and implemented enterprise communication strategies by partnering with business leaders to streamline processes, improve messaging effectiveness and align communication initiatives with organizational priorities and transformation goals
- Provided delivery of communication products within established timelines, SLAs, compliance standards and client expectations, consistently supporting overall project success and operational excellence
- Served as project coordinator, accurately documenting discussions, decisions and action items for distribution and follow-up; drafted, edited and proofread reports, proposals, and technical documents to maintain clarity, consistency and brand voice

Early Career

- Project Control Specialist - AEP Kentucky Power Whole House Efficiency Program, Honeywell, 6/2016 – 3/2018
  - Provided strategic planning and documentation, contract administration, scheduling, cost control, forecasting and invoicing of all operational aspects of ongoing customer and product support projects while maintaining budgets/goals
- Retail Support Department Manager, Ticketmaster, Livenation, 09/2015 – 06/2016
- Acting General Manager/Assistant Store Manager, Gap, Inc. 4/2013 – 8/2015
- Assistant Manager/Lead – Customer Experience, American Eagle Outfitters, 06/2009 – 04/2013

Education

- Bachelor of Science, Communications, minor in Public Relations and Political Science, West Virginia State University, Institute, WV

Technologies

- Microsoft Office Suite applications, SharePoint, Adobe, social media (Instagram, TikTok, Facebook, etc.) Tableau, Application Lifecycle Management, Salesforce, Google Suites, WebEx, MS Teams, Zoom, Cisco Jabber, and Slack

Attachment D: Specifications

Responses to the requirements have been provided in Addendum 6_Attachment D Specifications - PATH M&O RFP. In addition to addressing each requirement, we have included our understanding of the objectives and our proposed approach regarding how Optum will successfully deliver the requested services.

Optum Understanding and Approach

As the incumbent provider of WV PATH M&O services, Optum brings extensive knowledge of the State's current production environment, business processes, interfaces, operational procedures and program requirements. Our responses to Appendix VI were developed through research and careful consideration. They reflect our commitment to meeting the requirements of the resulting contract while leveraging established governance, requirements management and implementation practices that make sure solutions are delivered in a sustainable, operationally sound manner.

For all requirements identified with a response of "Yes," Optum confirms that the capability is either:

a) Currently available within the existing WV PATH environment and is supported through the application's established functionality, business rules, workflows, interfaces, reporting capabilities, operational procedures, security controls, infrastructure services and M&O processes, or

b) The capability is included in the work covered in this RFP bid and will be provided through an industry standard system development life cycle (SDLC) in collaboration with the State.

Current Implemented Functionality

The capabilities currently in place in the WV PATH system are actively supported within the contractual M&O scope and are delivered using the State-approved architecture, technology platform, data model and operational framework. Optum will continue to support these capabilities via the M&O procedures. New business functionality that is identified as outside the scope of these implemented requirements will be documented as a change request and discussed with the State. Maintenance for the health of the WV PATH system and mitigation of industry-identified vulnerabilities will continue, with care being taken to avoid downtime during high activity periods. Monitoring and support of critical systems, such as payments and federal reporting, will be prioritized. 24/7 coverage will respond to system availability issues drawing on all technical expertise.

A "Yes" response to currently implemented requirements should not be interpreted as a commitment to redesign existing functionality, re-engineer business processes, expand services beyond currently implemented program operations, support new program areas or populations, or undertake modernization efforts beyond the scope of current operations. Should future federal mandates, State policy changes, program modifications or business process improvements necessitate changes to existing functionality, Optum will collaborate closely with the State to assess impacts, define requirements and implement approved changes through established governance and change management processes.

As the State's business priorities, policies, regulations and operational needs evolve, Optum will continue to work collaboratively with DoHS to assess impacts, recommend solution options and implement approved modifications using established governance, requirements management, testing, release management and deployment processes.

Future Functionality

Functional capabilities not currently available will require validation of the State's business requirements and may include design sessions to define the solution approach. For example, new interfaces will require collaboration with the applicable interface partner.

All new functionality will be documented, prioritized and managed through the established change management process before implementation. Approved enhancements will be planned within the release schedule and tracked through delivery. Enhancements estimated at 100 hours or less may be implemented through the weekly hot-fix process. Requests exceeding 100 hours will require a Statement of Work (SOW), defined timelines and release planning.

Optum will work with designated DoHS stakeholders to validate requirements, confirm business objectives and success criteria, identify dependencies and evaluate business value, technical complexity, operational impact, implementation risk and overall feasibility. Approved functionality will be tested in accordance with standard quality processes, including regression and performance testing when applicable. UAT will be coordinated with the State unless the change is approved for hot-fix deployment.

This approach makes sure all approved enhancements align with program priorities, operational needs and applicable federal and State requirements.

Our established change management process is used to analyze, estimate, prioritize, schedule and implement all system changes across parallel projects. Changes are identified through multiple sources, including transition activities, stakeholder discussions, defects, enhancement requests, compliance requirements and system or infrastructure updates. With oversight from our Change Control Manager, Sankha Dey, all identified changes are documented, categorized and tracked with visibility into priority, impacted functionality and estimated level of effort. All approved changes are incorporated into an integrated release management program.

Governance is supported through defined roles, release management coordination, and structured planning and communication practices. Daily cross-team meetings and regular stakeholder updates provide ongoing visibility into change activities, dependencies, risks and schedules. Each release follows standardized, repeatable procedures that include documentation updates, deployment planning, stakeholder approvals and post-deployment validation.

Comprehensive audit trails, release documentation and version-controlled deployment processes provide traceability and accountability for all changes. Risk management practices including impact analysis, deployment checklists and back-out planning are incorporated into each release cycle.

Through this integrated approach, change management activities remain aligned with release planning and execution, supporting consistent application of RFP-defined modification and enhancement processes across all ongoing and overlapping projects.

By maintaining clear communication and alignment across teams, Optum minimizes disruption and risk to project timelines. Our Organizational Change Management (OCM) framework facilitates positive behavioral change and successful transformation by putting people at the center, focusing on their experiences and the technology enablement that will help benefit from the change.

Governance and Partnership

Optum recognizes that technology modernization and continuous improvement remain important priorities for the State. Optum is committed to partnering with WV to evaluate, prioritize and implement enhancements that improve program effectiveness, user experience, automation, interoperability, operational efficiency and regulatory compliance.

Our philosophy is to operate as a strategic partner to DoHS by maintaining transparency, promoting collaboration and assuring business and technical decisions are aligned with the State's objectives. Throughout the contract period, Optum will engage with DoHS through existing governance structures to:

- Review emerging business and program needs
- Validate and refine requirements
- Assess impacts and dependencies
- Review solution designs and implementation approaches
- Establish implementation priorities
- Coordinate release schedules
- Support user acceptance and operational readiness activities
- Monitor outcomes and incorporate lessons learned into future improvements

This governance-driven approach enables the State to continue modernizing the PATH solution while maintaining operational stability, supporting compliance obligations and making sure enhancements are implemented in a manner consistent with program priorities and business objectives.

Conclusion

Our Appendix VI responses reflect our commitment to maintaining a stable, secure, compliant and reliable WV PATH environment while providing the State with a structured pathway for future enhancement and modernization. Requirements marked “Yes” represent capabilities that are currently implemented, operational and supported within the existing solution and capabilities that will be added to the WV PATH system as part of this bid.

This approach provides the State with transparency regarding current capabilities, protects against unintended scope expansion, and makes sure future investments are strategically planned, appropriately governed and executed in a predictable and cost-effective manner. Through this balanced approach, Optum will continue to support the State’s operational needs while enabling the evolution of the WV PATH platform to meet future business, programmatic and regulatory requirements.

Appendix VI: Business and Technical Specifications Instructions

The vendor should complete the "Vendor Response" columns in Attachment D, Appendix VI. The Vendor should select only one level per specification. The Vendor should check "Yes" if the vendor will meet the specification. The vendor should check "No" if the vendor will not meet the specification. Please note, any specifications without a selection will automatically be considered as not being met. Specifications containing the language "INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED" do not require a vendor response.

The following are the definitions for the columns supplied in the specifications checklist in this appendix:

- Specification ID: This is the unique identifier for the specification. All specifications will use an alphanumerical specification, which describes the business area the specification is tied to, followed by a four-digit number.
- Hierarchy: The hierarchy column defines relationships between parent and child specifications. The State refers to parent specifications as specifications that rely on the content of a subset of related specifications (children) to fully define the scope of the requirement. The State refers to child specifications as specifications that rely on additional context provided by a higher-level specification (parent) to fully define the scope of the specification. A hierarchy value of 1 denotes the highest-level specification. Any greater hierarchy value denotes a child specification. For example, a hierarchy level 2 is a child to the nearest prior hierarchy level 1. As another example, a hierarchy level 3 is a child to the nearest prior hierarchy level 2 specification, which is in turn a child to the nearest prior hierarchy level 1 specification. See the diagram below for an illustration of a hierarchy relationship:
    - Hierarchy Level 1 Specification
        - Hierarchy Level 2 Specification
- Specification Description: This field contains the language of record for the specification.
- Procurement Library Reference: This field denotes the source of the initial specification. Not applicable represents a specification that was not drawn directly from federal or state policy located in the Procurement Library.
- Yes: As mentioned above, the vendor should check "Yes" if the vendor will meet the specification.
- No: As mentioned above, the vendor should check "No" if the vendor will not meet the specification.

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
BRM0001	1	The solution should exchange Medicare Premium Assistance (MPA) data (for eligibility) with the Medicaid Management Information System (MMIS).	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	
BRM0016	1	The vendor should maintain and 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	
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	
BRM0030	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
BRM0031	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
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	
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	
BRM0088	1	The vendor should maintain the solution to ensure the solution electronically transmits 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	The vendor should maintain the solution to ensure that, at the time of a change, the solution continues to 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	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response 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	
BRM0125	1	The solution should schedule and maintain court dates at the case level according to West Virginia business rules.	BCSE Policy Manual	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	
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	
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	
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	
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	
BRM0159	1	The solution should receive case data with the National Adult Maltreatment Reporting System (NAMRS).	Not Applicable	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	
BRM0180	1	The solution should support data sharing between the CCWIS and Child Welfare Contributing Agencies (CWCA), as defined by the State per requirements under 45 CFR § 1355.52.	CCWIS Assessment Documentation	X	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
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	
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	
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	
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	
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	
CM0056	1	The solution should track if a client is a resident of a drug and alcohol treatment center.	Income Maintenance Manual	X	
CM0060	1	The solution should track the history of a case and approval/denials.	Income Maintenance Manual	X	
CWPP008	1	Provider Pre-service Orientation and Training Viewing Maintain Provider allows tracking of pre-service orientation Training module allows attendance tracking. Providers can view tracking of completed training.	Not Applicable	X	
CWPP009	1	Provider waiver or variance requests and approvals Maintain Provider Waiver functionality allows for authorized users submitting and approving waiver requests for providers. Provider can view "Yes/No" for their own requests.	Not Applicable	X	
CWPP010	1	Dual Provider Policy waiver requests and approvals Maintain Provider Waiver functionality allows for authorized users submitting and approving waiver requests for providers. Providers can submit a variance request in the Portal and view "Yes/No" for their own requests.	Not Applicable	X	
CWPP017	1	Provider Inquiry Support The Provider Inquiry functionality addresses this requirement.	Not Applicable	X	
CWPP019	1	Waiver review and approval details Maintain Provider Waiver functionality addresses this requirement. Provider can access/view their own approval record.	Not Applicable	X	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
CWPP028	1	System user determination of applicant's eligibility to become a foster/adoptive parent Maintain Provider Inquiry and Maintain Provider Home Study Information functionality addresses this requirement. Not every provider will meet the requirement; Providers would have access to the data inclusive of the child placement agency's group of foster families, but not providers outside their organization. Role-based security would apply here.	Not Applicable	X	
CWPP032	1	Ability for Child Protective Services/Adult Protective Services (CPS/APS) mandated reporters to directly log non-emergent abuse/neglect referrals into the system Providers credentialed as mandated reporters receive a login to access specific CPS/APS intake screens to capture abuse and neglect information, including setting identifiers for allegations, victims and perpetrators. The system routes completed referrals to the Centralized Intake Unit (CIU) for screening and assignment.	Not Applicable	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	
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 redetermination.	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	
EE0086	1	The vendor should manage the authorized employee enrollment process 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	
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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
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	
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	
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	
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	
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	
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	
EE0382	1	The solution should adjust or waive enrollment fees in accordance with West Virginia business rules as needed.	Income Maintenance Manual	X	
FFI-012	1	The PATH System should be able to record unpaid services for the Children's Mobile Crisis Response program.	Not Applicable	X	
FFI-013	1	The PATH System should be able to record unpaid services for the ACT program.	Not Applicable	X	
FFI-015	1	The PATH System should be able to record services for the PBS program.	Not Applicable	X	
FFI-017	1	The system should prompt the user to remind them to consider prevention services when exiting foster care.	Not Applicable	X	
FFI-021	1	The system should only allow one Temporary Exit Reason to be selected per Temporary Placement Exit. (For Placement)	Not Applicable	X	
FFI-022	1	The system should indicate if Mental Health Screening has been performed for all children who are receiving Ongoing Services and indicate if there is a need for further assessment if the screening occurred.	Not Applicable	X	
FFI-027	1	The system should give a tickler to a case worker when the QRTP extension is needed.	Not Applicable	X	
FFI-037	1	When a parent is identified as the recipient for a Prevention service, the system should prompt the user that this is incorrect before it is sent to ASO for approval.	Not Applicable	X	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
FFI-064	1	The system should automatically report missing children to NCMEC when the child has been gone for 12 hours unless the child is considered to be endangered where it should be reported immediately.	Not Applicable	X	
FFI-065	1	The system should record all of the endangerment criteria of the child.	Not Applicable	X	
FFI-067	1	There should be a method of reporting with details that a child has returned from being missing.	Not Applicable	X	
FFI-068	1	The system should automatically report the return of a missing child that has been sent to NCMEC.	Not Applicable	X	
FFI-069	1	The system should generate a report of SNS services being rendered by a client and is sent to Todd White.	Not Applicable	X	
FFI-070	1	The system should generate a caregiver report for adoptive, legal guardianship and kinship caregivers authorized to have Family Connect access.	Not Applicable	X	
FFI-073	1	The system should generate a report for the number of SNS clients by county of residence.	Not Applicable	X	
FFI-075	1	The system should generate a report for foster children enrolled and exempt from the MCO.	Not Applicable	X	
FFI-076	1	The system should generate a report for legal guardianship children enrolled and opted out in the MCO.	Not Applicable	X	
FFI-077	1	The system should generate a report for adoptive children enrolled and opted out in the MCO.	Not Applicable	X	
FFI-079	1	The system should generate a report for enrollees who exited foster care.	Not Applicable	X	
FFI-080	1	The system should generate a report with Title 19 waiver and TBI eligible children with MCO enrollment status and waiver status.	Not Applicable	X	
FFI-085	1	The system should produce a report regarding the ICD10.	Not Applicable	X	
FFI-086	1	There should be a single sign-on with CANS Management System so that the user does not need to remember their CANS Management credentials.	Not Applicable	X	
FFI-087	1	The system should allow for the launch of the CANS Management System from inside the PATH application.	Not Applicable	X	
FFI-088	1	There should be an interface with CANS Management System to send basic demographic information about Clients to that system.	Not Applicable	X	
FFI-089	1	The system should send an alert to Aetna when provider or staff member Family Connect access to a particular child's information needs to be activated or revoked.	Not Applicable	X	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
FFI-093	1	There should be a special identification created for a client when they are identified as being eligible for Safe at Home and/or Wrap Around in the CANS Management System that appears in the PATH case.	Not Applicable	X	
FFI-095	1	The generated report (in PDF or WORD) of the Case Plan should be sent to the CANS Management for any Children/Youth that have a Youth Services Assessment associated with it or is an open wraparound client.	Not Applicable	X	
FFI-096	1	The system should send the Youth Services Case Worker's Name and telephone number along with their supervisor's information to CANS Management System when the Youth Services Assessment is approved.	Not Applicable	X	
FFI-098	1	The system should send the immediate family member basic demographic information including relationships for any Youth Services or Open Wrap Around client to the CANS Management System.	Not Applicable	X	
FFI-100	1	The system should receive generated CANS Assessment files from the CANS Management System to send to the PATH Case.	Not Applicable	X	
FFI-101	1	The system should receive a payment roster from an invoice in the CANS Management System that is ready for DOHS approval and payment.	Not Applicable	X	
FFI-102	1	The system should send back a list of payments that were paid that were invoiced from the CANS Management System.	Not Applicable	X	
FFI-103	1	The system should generate a tickler or notification when there is a change to the Qualified Residential Treatment Program (QRTP) enrollment/eligibility.	Not Applicable	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	
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	
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	
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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
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	
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	
GT0048	1	The solution should capture and track information about mail returned from a bad address.	Not Applicable	X	
GT0050	1	The vendor should implement business rules in the business rules engine (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	
GT0053	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0054	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0055	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0056	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0057	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0058	1	The vendor should provide an integrated contact management system that tracks and manages user contacts from all channels.	Not Applicable	X	
GT0059	1	The vendor should provide an integrated contact management system that provides reporting on user contact metrics based on user-defined queries.	Not Applicable	X	
GT0061	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0062	1	The vendor should provide an after-hours contact for technical support during all non-business hours, seven (7) days a week, 365 days a year. The solution should provide electronic call answering methods for callers to a toll-free phone line to leave messages. The after-hours contact should respond to all verbal (telephone) inquiries from State staff within two hours of receipt.	Not Applicable	X	
GT0063	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0064	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0065	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0066	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0067	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0068	1	The solution should provide functionality that creates, edits, sorts, and filters tickets or electronic records of calls made to the State Help Desk to be used by both vendor staff and State staff.	Not Applicable	X	
GT0069	1	The solution should track the following:	Not Applicable	X	
GT0070	2	The caller	Not Applicable	X	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
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	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0078	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0079	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0080	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0081	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0082	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0083	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0084	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0085	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0086	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0087	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0088	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0089	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0090	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0091	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0092	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0093	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0094	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0095	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0096	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0097	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0098	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0099	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0100	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0101	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0102	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0103	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0104	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0105	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
GT0106	1	The vendor should perform online back-ups without interruption to production operations.	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	
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	
GT0139	1	The solution should generate machine-readable Quick Response (QR) codes on forms.	Not Applicable	X	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
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	
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 Human Services (DoHS) should establish and maintain separately, as well as the necessary skill sets that users should develop to use vendor-owned tools.	Not Applicable	X	
GT0157	1	The vendor should provide Department of Human Services (DoHS) 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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
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	
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	
GT0174	1	The solution should generate all notices, forms, and letters as requested in Spanish.	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	
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 email and fax notifications.	Not Applicable	X	
GT0185	1	The solution should generate machine-readable Quick Response codes on notices.	Not Applicable	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	
GT0222	1	The solution should report on both duplicate and unduplicated counts.	Not Applicable	X	
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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
GT0230	1	The vendor should provide a searchable data dictionary.	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	
GT0253	1	The solution should provide a control to restrict highlighting, cutting, copying, and modifying reports based on roles.	Not Applicable	X	
GT0270	1	The solution should allow clients to schedule appointments with their local county office via self-service.	Not Applicable	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	
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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
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	
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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response 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	
GT0319	1	The solution should allow configured reminders for time-sensitive workflows and events.	Not Applicable	X	
GT0320	1	The vendor should maintain the solution to ensure the solution provides workflow functionality that supports the escalation of overdue user alerts and lists items based on configurable business rules.	Not Applicable	X	
GT0321	1	The vendor should maintain the solution to ensure the solution provides 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 vendor should maintain the solution to ensure the solution provides 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 vendor should maintain the solution to ensure the solution continues to resume suspended workflows, as defined by the State.	Not Applicable	X	
GT0324	1	The vendor should maintain the solution to ensure the solution continues to support configuration of custom status values for a workflow or workflow step, as defined by the State.	Not Applicable	X	
GT0325	1	The vendor should maintain the solution to ensure the solution continues to 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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
GT0329	1	The vendor should maintain the solution to ensure the solution continues to 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	
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	
GT0364	1	The solution should provide an automated software modifications change request tracking system.	Not Applicable	X	
GT0365	1	The solution should enable the Department of Human Services (DoHS) 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 Human Services (DoHS) Change Management Plan).	Not Applicable	X	
GT0367	1	The solution should allow the Department of Human Services (DoHS) to set and change priority levels on individual change requests.	Not Applicable	X	
GT0368	1	The solution should allow the Department of Human Services (DoHS) 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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
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 Human Services (DoHS) 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 Human Services (DoHS) Data Retention Policy.	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	2	Full and complete back-up copies of all data and software on tape and/or disk	Not Applicable	X	
GT0384	2	Storage of all back-up copies in a secure off-site location	Not Applicable	X	
GT0385	2	Routine testing to verify the completeness, integrity, and availability of back-up information	Not Applicable	X	
GT0386	2	Support for immediate restoration and recovery of lost or corrupted data or software from a disaster event	Not Applicable	X	
GT0387	2	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	
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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
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	
GT0396	1	Major releases should be evaluated and approved by the Department of Human Services (DoHS) prior to application.	Not Applicable	X	
GT0397	1	The vendor should send notification to the Department of Human Services (DoHS) when releases are available to be evaluated.	Not Applicable	X	
GT0398	1	The vendor should provide the Department of Human Services (DoHS) with detailed documentation that lists all fixes and functionality for each release.	Not Applicable	X	
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 Human Services (DoHS) 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	
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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
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 vendor should maintain the solution to ensure the solution continues to provide a common "look and feel" which gives users a seamless Integration Eligibility Solution 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	
GT0422	1	The vendor should maintain the solution to ensure the solution continues to produce required Federal and State data sharing.	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 DOHS-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 Human Services (DoHS).	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	2	Transaction reconciliation reporting for file/ data reconciliation with external data sources (e.g., totals and detail information, difference reports, change reports).	Not Applicable	X	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
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. Business rules may exist, or may request to be added, to address specific training needs (such as the ability to "reset" cases or the ability to prevent persons from "aging" in the system). 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 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	
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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
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	
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 vendor should maintain the solution to ensure the solution continues to provide integrated print capability for any page within the Integrated Eligibility Solution (IES).	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	
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 Human Services (DoHS).	Not Applicable	X	
GT0482	1	The vendor should provide web applications that satisfy the Web Content Accessibility Guidelines 2.1 Level AA developed by the World Wide Web Consortium (W3C), as detailed at:https://www.w3.org/TR/WCAG21/.	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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
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	
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 Human Services (DoHS).	Not Applicable	X	
GT0493	1	The vendor should, for the web portal, establish user access to predefined Department of Human Services (DoHS) levels such as page level, field and data element level.	Not Applicable	X	
GT0494	2	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 Human Services (DoHS) standards.	Not Applicable	X	
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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
GT0502	1	The vendor should, for the web portal, notify Integrated Eligibility Solution (IES) users at regular intervals defined by the Department of Human Services (DoHS) 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	
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 Human Services (DoHS).	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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
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	
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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
GT0534	1	The vendor must develop and maintain a business rules engine (BRE) strategy that enables separation of business logic from core programming and efficient management of business rules throughout the contract term.	Not Applicable	X	
GT0535	1	The vendor should assess the current workflow for document upload, retrieval, searching, sharing, and security controls to identify gaps and address findings. The vendor should then prioritize these findings based on business needs to ensure efficient document management and compliance with security standards in accordance with 45 CFR § 1355.53.	CCWIS Assessment Documentation	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	
OM0012	1	The solution should generate a monthly case load reduction report.	Not Applicable	X	
OM0019	1	The vendor should maintain the solution to ensure the solution continues to 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	
OM0023	1	The vendor should maintain the solution to ensure the solution continues to 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	
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	
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	
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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
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	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
OPP0009	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
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	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
OPP0016	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
OPP0017	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
OPP0018	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
OPP0019	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
OPP0020	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
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	
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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
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 and the State Project Management 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	
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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
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	
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 back-ups 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 vendor should maintain the solution to ensure the solution continues to 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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
OPP0068	1	The vendor should assist the State in the development and refinement of Comprehensive Child Welfare Information System (CCWIS) Self-Assessment Tools to support system design and ongoing CCWIS Monitoring Reviews, in alignment with federal guidance and Technical Bulletin #7: CCWIS Technical Assistance, Self-Assessment Tools, and Monitoring Reviews.	CCWIS Assessment Documentation	X	
OPP0069	1	The vendor should support the State, as needed, through preparation and participation in ongoing CCWIS Monitoring Reviews, as defined by ACF CB and in alignment with Technical Bulletin #7: CCWIS Technical Assistance, Self-Assessment Tools, and Monitoring Reviews.	CCWIS Assessment Documentation	X	
OPP0070	1	The vendor should assist the State, as needed, in the development, implementation, and maintenance of a Comprehensive Child Welfare Information System (CCWIS) Data Quality Plan (DQP) to ensure compliance with 45 CFR §1355.52(d)(5) and related ACF guidance.	CCWIS Assessment Documentation	X	
OPP0071	1	The vendor shall implement and maintain a structured incident and service management process, to be documented in the Operations Management Plans, and in collaboration with the State Help Desk, to support ongoing operations of the PATH system, including defined severity levels, response targets, escalation procedures, and resolution timelines consistent with the Service Level Agreements (SLAs).	SLA 003	X	
OPP0072	1	The vendor shall provide regular reporting on incident trends, root causes, and resolution performance.	SLA 003	X	
OPP0073	1	The vendor shall establish and follow a formal change and release management process governing all system changes, including enhancements, defect fixes, configuration updates, and federally mandated changes. The process shall ensure changes are reviewed, approved, tested, and deployed in a controlled manner that minimizes risk to production operations.	Not Applicable	X	
OPP0074	1	The vendor shall maintain a defect and problem management process that supports identification, prioritization, tracking, and resolution of system defects, including root cause analysis for recurring or high impact issues. Corrective actions resulting from problem management activities shall be documented and incorporated into ongoing operational improvements.	SLA 003	X	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
OPP0075	1	The vendor shall utilize standardized and repeatable deployment processes across development, testing, and production environments to support timely, reliable implementation of approved changes while maintaining system availability.	Not Applicable	X	
OPP0076	1	The vendor shall implement a continuous improvement approach for maintenance and operations, incorporating operational data, audit findings, stakeholder feedback, and system performance trends to proactively identify and address operational risks and improvement opportunities.	Not Applicable	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	
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	
PM0040	1	The solution should associate employees and volunteers with a provider record.	Child Care Provider Regulation: Policy & Procedures Manual	X	
PM0106	1	The solution should bi-directionally interface with the DOHS provider module according to West Virginia business rules.	Not Applicable	X	
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	
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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
SC0005	2	The vendor should ensure that its employees and subcontractors 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	
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	
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	
SC0024	1	The vendor should provide a secure web-based method to receive requests for authorization to access the solution.	Not Applicable	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	
SC0041	1	The vendor should maintain an operational back-up power supply capable of supporting vital functions.	Not Applicable	X	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
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	
SC0061	1	The vendor should provide authorized requestors a report containing the security profile for an individual or role.	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	
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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
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	
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	
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	
SC0084	1	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	
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	
SC0094	1	The vendor should provide State-designated resources with necessary access to components of the solution.	Not Applicable	X	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
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	
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	
SC0112	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
SC0113	***INTENTIONALLY LEFT BLANK; NO REPLY REQUIRED***				
SC0115	1	The Vendor should comply with NIST SP 800-53 Rev. 5 Personnel Security (PS) controls, including PS-02, PS-03, PS-04, and PS-05.	Not Applicable	X	
SC0116	1	The Vendor should ensure that all contractor key staff undergo personnel screening prior to being granted access to any State systems or data.	Not Applicable	X	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
SC0117	1	The Vendor should maintain current background investigations for all key staff and ensure periodic re-screening at least every five (5) years, or more frequently if required by the position risk designation.	Not Applicable	X	
SC0118	1	The Vendor should review and update position risk designations annually and upon any change in duties.	Not Applicable	X	
SC0119	1	The Vendor should immediately notify the State of any staffing changes and ensure timely removal or modification of access in accordance with NIST personnel security requirements.	Not Applicable	X	
SC0120	1	The Vendor should ensure that all sensitive data, including PII, PHI, and Federal Tax Information (FTI), is Encrypted in transit and at rest Protected using FIPS 140-2 or 140-3 validated cryptographic modules. Encryption key management practices must align with federal and state security requirements.	Not Applicable	X	
SC0121	1	The Vendor should implement an incident response capability aligned with NIST IR controls, including defined incident classification and escalation procedures, timely reporting of security incidents to the Agency Coordination with State and Federal entities, including WVOT and the State Privacy Office.	Not Applicable	X	
SC0122	1	The Vendor should support incident response activities, investigations, and reporting requirements associated with federal data.	Not Applicable	X	
SM0009	2	Most recent contact with client doctor	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	
SM0048	1	The solution should automatically calculate and track interest on arrearages according to West Virginia business rules.	BCSE Policy Manual	X	
SM0062	1	The solution should support the use of appropriate foreign currency exchange rates on intergovernmental processes with foreign countries.	BCSE Policy Manual	X	
SM0089	1	The solution should maintain a log of cases for which a "stop payment" has been issued.	BCSE Policy Manual	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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
SM0165	1	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	
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	
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	
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	1	Direct deposit	BCSE Policy Manual	X	
SM0212	1	Debit card	BCSE Policy Manual	X	
SM0213	1	Paper check	BCSE Policy Manual	X	
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	
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	
SM0302	1	The solution should authorize and track a partial payment.	Child Care Subsidy Policies and Procedures Manual	X	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
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 DOHS Staff	X	
SM0485	1	The solution should capture the findings of the maltreatment allegation according to West Virginia business rules.	Child Protective Services Policy	X	
SM0557	1	The solution should support the preparation of the Child Assessment Form.	Foster Care Policy	X	
SM0659	2	The solution should automatically end date the subsidy according to West Virginia business rules.	Legal Guardianship 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 Polic y	X	
SM0743	1	The solution should track referrals to the Social Security Administration.	Not Applicable	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	
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	
SM0839	1	The vendor should maintain the list of local resources with quarterly updates provided by the county offices.	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	
UM0042	1	The vendor should maintain the solution to ensure the solution continues to 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	
UM0055	1	The vendor should maintain the solution to ensure the solution continues to 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	
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	

Table 12: Business and Technical Specifications

Specification Information				Vendor Response	
Specification ID	Hierarchy	Specification Description	Procurement Library Reference	Vendor Response Yes	Vendor Response No
UM0083	1	Payment of incentive payments	Child Support Enforcement: A Guide for States	X	
UM0084	1	Receipt of incentive payments	Child Support Enforcement: A Guide for States	X	
UM0085	1	Distribution of incentive payments	Child Support Enforcement: A Guide for States	X	
UM0121	1	The vendor should maintain the solution to ensure the solution continues to track providers with Corrective Action Plans.	Child Protective 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 VIII: Optional Specifications Instructions

The vendor should complete the "Vendor Response" and "Comments" columns in Attachment D, Appendix VIII. The specifications in this appendix represent the requirements that may be necessary to enhance the agency's Integrated Eligibility Solution.

The following are the definitions for the columns supplied in the specifications checklist in this appendix:

- Specification ID: This is the unique identifier for the specification. All specifications will use an alphanumerical specification, which describes the business area the specification is tied to, followed by a four-digit number.
- Hierarchy: The hierarchy column defines relationships between parent and child specifications. The State refers to parent specifications as specifications that rely on the content of a subset of related specifications (children) to fully define the scope of the specification. The State refers to child specifications as specifications that rely on additional context provided by a higher-level specification (parent) to fully define the scope of the specification. A hierarchy value of 1 denotes the highest-level specification. Any greater hierarchy value denotes a child specification. For example, a hierarchy level 2 is a child to the nearest prior hierarchy level 1. As another example, a hierarchy level 3 is a child to the nearest prior hierarchy level 2 specification, which is in turn a child to the nearest prior hierarchy level 1 specification. See the diagram below for an illustration of a hierarchy relationship:
    - Hierarchy Level 1 Specification
        - Hierarchy Level 2 Specification
        - Hierarchy Level 2 Specification
            - Hierarchy Level 3 Specification
        - Hierarchy Level 2 Specification
    - Hierarchy Level 1 Specification
- Specification Description: This field contains the language of record for the specification.

Vendor Response: When providing responses to the specifications, vendors shall use the indicators in Column R.

Indicator	Definition	Instruction
O	**Out of the Box:** The specification will be met in the current version of the base product/solution without requiring configuration or customization.	Select this option if the specification is supported as-is by the product/solution. Vendors should provide supporting detail in the Comments column.
VC	**Vendor Configuration:** The specification will be met through system configuration performed by the vendor, without modifying code.	Vendors should explain the configuration approach and confirm the vendor will perform this as part of implementation of the specification.
CC	**Customer Configuration**: The specification will be met through configuration that can be performed by the State, without vendor assistance or coding.	Vendors should indicate the level of effort required and any support tools or documentation available.
M	**Modified:** The specification will be met by modifying existing product/solution functionality (e.g., extending base code or altering default behavior).	Vendors should provide a summary of the modification, potential impacts on upgrades, and required maintenance.
C	**Custom:** The specification will be met through development of a new, fully custom solution.	Vendors should describe the proposed custom development, timelines, and long-term support implications.
N	**No:** The specification cannot be provided.	Any blank response will be considered an "N."

Table 14: Optional Specifications

Specification Information			Vendor Response	
Specification ID	Hierarchy	Specification Description	Vendor Response (Indicator)	Comments
OM0072	1	The vendor should support potential future integration with the State's Asset Verification System (AVS). At the State's discretion, the vendor may be required to assume responsibility for the AVS contract currently held by a separate vendor. This may include, but is not limited to:	O	The solution supports future integration with the State's AVS through a modular, service-oriented architecture using secure, standards-based APIs and data exchange methods, enabling incremental adoption with minimal disruption. At the State's discretion, we are also prepared to assume responsibility for the AVS contract, leveraging structured transition methods including knowledge transfer, coordinated cutover, and risk mitigation to ensure continuity of operations. We provide the staffing, governance, and operational support needed to successfully manage AVS on an ongoing basis.
OM0073	2	Maintaining and managing the AVS interface and ensuring continued compliance with federal asset verification requirements.	O	We will maintain and manage the AVS interface using established operational practices, including secure data exchange, real-time monitoring, error handling, and performance tracking to ensure reliable and consistent operation. To ensure continued compliance with federal asset verification requirements, we implement ongoing regulatory monitoring, periodic compliance reviews, and controlled configuration updates aligned with policy changes. Our approach includes documented procedures, audit readiness, and collaboration with State stakeholders to ensure accuracy, accountability, and sustained compliance.
OM0074	2	Coordinating with the current AVS vendor and the State to support an orderly transition of contract responsibilities, including data exchange, service continuity, and vendor performance obligations.	O	We will coordinate closely with the State and the incumbent AVS vendor to execute a structured transition of contract responsibilities. Our approach includes detailed planning, knowledge transfer, defined roles, and coordinated data exchange activities—such as validation and testing—to support continuity of operations. Vendor performance obligations will be incorporated into our service management framework with defined SLAs, monitoring, and reporting to maintain accountability throughout and after the transition.
OM0075	2	Supporting any required technical modifications to enable a seamless integration between PATH and the AVS solution.	O	We will support required technical modifications to integrate PATH with the AVS solution through configurable APIs, interface adapters, and standards-based messaging. Changes will include impact analysis, interface updates, and coordinated data mapping, followed by integration and regression testing to validate functionality. All modifications will be deployed through established change management processes in collaboration with the State to support stable and efficient system interoperability.

Table 14: Optional Specifications

Specification Information			Vendor Response	
Specification ID	Hierarchy	Specification Description	Vendor Response (Indicator)	Comments
OM0076	2	Assuming operational and maintenance responsibilities for the AVS services as directed by the State.	O	At the State's direction, we will assume operational and maintenance responsibilities for AVS services through a structured service management model that includes application support, interface management, incident resolution, and routine maintenance. Our approach incorporates defined SLAs, monitoring, and escalation procedures, supported by dedicated staff and regular reporting. We will align operations with State priorities while maintaining system stability and performance through disciplined operational processes.
OM0077	1	The solution should provide AI-powered virtual assistant or chatbot functionality to support PATH users in navigating the system, answering frequently asked questions, and triaging inquiries based on user input.	O	The solution includes a native AI-powered virtual assistant that supports PATH users with system navigation, answers to frequently asked questions, and intelligent triage of inquiries based on natural language input. Using built-in conversational AI, NLP, and knowledge-grounded response capabilities, the virtual assistant delivers accurate, contextual assistance and can route complex inquiries to appropriate support channels without custom development. This capability improves user self-service, reduces support-center workload, accelerates access to information, and enhances the overall customer experience while providing a scalable, secure, and governed digital assistance platform.
OM0078	1	The solution should enable chatbot functionality to support multiple languages, including at minimum English and Spanish, and adapt responses over time based on usage patterns and feedback.	CC	The solution supports multilingual chatbot interactions, including English and Spanish, through State-managed configuration of language settings, localized knowledge content, and conversational responses without vendor assistance or custom coding. Additional languages can be enabled through administrative tools and content localization as business needs evolve. The chatbot continuously improves through built-in analytics, user feedback, and knowledge management capabilities that allow State administrators to refine responses and enhance user experiences over time. Initial language enablement and content updates require minimal administrative effort and are supported by configuration guides, online help, and administrator documentation. This approach promotes digital accessibility, expands self-service options, reduces support-center workload, and provides a scalable, citizen-centric experience for diverse WV PATH users.

Table 14: Optional Specifications

Specification Information			Vendor Response	
Specification ID	Hierarchy	Specification Description	Vendor Response (Indicator)	Comments
OM0079	1	The solution should include or support integration with Intelligent Document Processing (IDP) capabilities to extract, classify, and validate data from user-submitted documents such as PDFs, images, and scanned forms.	O	The solution includes native Intelligent Document Processing (IDP) capabilities that automatically classify, extract, validate, and process information from user-submitted PDFs, images, scanned forms, and handwritten documents using built-in OCR and AI technologies. The base solution provides document classification, data extraction, confidence scoring, validation, audit logging, exception handling, and human-review workflows without requiring custom development. These capabilities enable faster case processing, reduce manual data entry and document review efforts, improve data quality and accuracy, and provide a scalable foundation for supporting eligibility, case management, Child Welfare, and Child Support operations while reducing implementation risk and ongoing operational costs.
OM0080	1	The vendor should describe how AI components within the solution (e.g., chatbot, IDP, predictive analytics) are trained, maintained, and monitored to ensure accuracy, transparency, and compliance with applicable data privacy and security requirements.	O	The solution includes built-in AI governance, monitoring, and lifecycle management capabilities for conversational AI, Intelligent Document Processing (IDP), and analytics. Native features provide performance monitoring, confidence scoring, audit logging, usage analytics, model oversight, human-review workflows, and explainability controls to support accuracy, transparency, and accountability. AI services operate within established security and privacy frameworks using role-based access controls, data protection safeguards, and comprehensive audit trails to support compliance with applicable federal, state, and healthcare regulations. These capabilities enable the State to deploy trusted AI services more quickly, reduce implementation risk, strengthen regulatory compliance, and ensure secure, scalable, and responsible use of AI across the PATH ecosystem.

Table 14: Optional Specifications

Specification Information			Vendor Response	
Specification ID	Hierarchy	Specification Description	Vendor Response (Indicator)	Comments
OM0081	1	The solution should provide configurable thresholds, rules, and override capabilities that allow PATH administrators to monitor and control AI-driven decisions or recommendations.	VC	The solution provides configurable thresholds, business rules, confidence scoring, routing logic, and override capabilities that enable PATH administrators to monitor and control AI-driven recommendations and automated processes. As part of implementation, Optum will configure these settings to align with PATH program policies and operational requirements without modifying application code. For AI-enabled capabilities such as Intelligent Document Processing (IDP), configurable confidence thresholds determine when information is automatically accepted versus routed for human review. Similar configuration options are available for conversational AI, including escalation rules, approved knowledge sources, response controls, and human-assistance routing. Authorized users can review, modify, or override AI-generated recommendations at any time. This configuration-driven approach ensures the State retains full operational control and transparency while enabling consistent application of business policies. By combining configurable governance controls with human oversight, the solution reduces operational risk, improves accuracy and auditability, increases worker efficiency, and supports responsible, scalable adoption of AI across the WV PATH ecosystem.
OM0082	1	The solution should log AI activity and decision-making logic in a manner that allows the State to audit, review, and evaluate the outcomes of AI-generated actions or suggestions.	O	The solution includes native auditability and explainability capabilities that automatically log AI-generated actions, recommendations, decisions, confidence scores, source references, user overrides, and related workflow activities. Built-in audit trails, reporting, dashboards, and activity logs enable authorized State personnel to review, evaluate, and validate AI-assisted outcomes across conversational AI, Intelligent Document Processing (IDP), and other AI-enabled services without custom development. For knowledge-based AI, source attribution and confidence scoring provide transparency into how recommendations were generated, while human-review and override capabilities ensure continued oversight and accountability. These capabilities strengthen audit readiness, support regulatory compliance, improve operational transparency, reduce program risk, and enable the State to confidently govern and evaluate AI use across the WV PATH ecosystem.

Table 14: Optional Specifications

Specification Information			Vendor Response	
Specification ID	Hierarchy	Specification Description	Vendor Response (Indicator)	Comments
OM0083	1	The vendor should provide transparency into the origin and training of any AI models used in the solution, including the data sources, methodology, and ability to refine or retrain models using PATH-specific data.	O	The solution includes built-in AI governance and transparency capabilities that provide documentation and visibility into model origin, intended use, training methodology, approved data sources, performance metrics, version history, and validation results. For knowledge-based AI, Retrieval-Augmented Generation (RAG) grounds responses in approved PATH content and provides source attribution to improve explainability and transparency. Native lifecycle management, auditability, and governance capabilities support controlled refinement and retraining using PATH-specific data, documents, policies, and operational content when required. These capabilities enable the State to confidently evaluate AI performance, maintain regulatory compliance, reduce operational risk, and ensure AI solutions remain transparent, trustworthy, and aligned with evolving PATH program requirements.
OM0084	1	The solution should support integration with third-party or State-preferred AI services, including those offered by cloud providers such as AWS, Microsoft Azure, or Google Cloud, if requested by the State.	O	The solution includes native integration capabilities that support third-party and State-preferred AI services through secure, standards-based APIs and integration frameworks. The current solution supports integration with AI services from AWS, Microsoft Azure, Google Cloud, and other State-approved providers without custom development. Built-in security controls, audit logging, and governance capabilities ensure external AI services can be incorporated in a secure and compliant manner. This flexible, cloud-agnostic approach enables WV PATH to leverage emerging AI innovations, preserve technology choice, avoid vendor lock-in, and adapt to evolving business and regulatory requirements while minimizing implementation risk and long-term operating costs.

Table 14: Optional Specifications

Specification Information			Vendor Response	
Specification ID	Hierarchy	Specification Description	Vendor Response (Indicator)	Comments
OM0085	1	The vendor should implement a methodology for validating AI tools included in the solution, including testing for accuracy, identifying potential bias, and ensuring reliability prior to deployment within PATH.	O	The solution includes built-in AI governance and validation capabilities that support accuracy testing, bias and fairness assessment, explainability review, reliability testing, security and privacy evaluation, and production-readiness validation prior to deployment. Native lifecycle management and monitoring capabilities provide ongoing performance analytics, confidence scoring, audit logging, drift detection, and periodic revalidation to help ensure AI-assisted capabilities remain accurate, reliable, and aligned with business objectives. AI services are governed through Optum's established AI Review Board (AIRB) processes, which provide oversight for responsible AI practices, transparency, compliance, and risk management. This approach reduces implementation and operational risk, strengthens regulatory compliance, increases confidence in AI-driven outcomes, and enables the State to deploy trusted, auditable, and reliable AI capabilities across the WV PATH ecosystem.
OM0086	1	The solution should ensure that all AI features, including chatbot interfaces and IDP tools, are fully accessible to individuals with disabilities and compliant with WCAG 2.1 and Section 508 accessibility standards, or the latest equivalents.	O	The solution includes native accessibility features that support compliance with WCAG 2.1, Section 508, and applicable accessibility standards across AI-powered capabilities, including chatbot interfaces, virtual assistants, Intelligent Document Processing (IDP), and associated user workflows. Built-in capabilities include screen-reader compatibility, keyboard navigation, accessible forms and controls, appropriate color contrast, responsive design, and support for assistive technologies without custom development. Accessibility validation is incorporated into the product lifecycle through automated and manual testing processes to help ensure ongoing compliance and usability. These capabilities promote equitable access to PATH services, improve self-service adoption, reduce compliance risk, and deliver an inclusive, citizen-centered experience for all users, including individuals with disabilities.

Table 14: Optional Specifications

Specification Information			Vendor Response	
Specification ID	Hierarchy	Specification Description	Vendor Response (Indicator)	Comments
OM0087	1	The Vendor should provide a detailed roadmap for migration of mainframe-based components to a cloud-based environment, including sequencing, dependencies, and alternative migration approaches.	O	The solution supports the development and delivery of a comprehensive mainframe-to-cloud migration roadmap as part of its standard implementation methodology. The roadmap includes recommended migration sequencing, identification of application and infrastructure dependencies, milestone-based transition planning, and evaluation of alternative migration approaches (e.g., rehost, replatform, refactor, or replace) based on business and technical requirements. This capability is provided through established migration frameworks, assessment tools, and best-practice guidance available within the proposed solution.
OM0088	2	The Vendor should define options to accelerate migration timelines, including parallel workstreams, phased releases, or prioritized module transitions.	O	The solution supports migration acceleration planning through standard delivery methodologies and migration frameworks included with the base offering. These capabilities provide options such as parallel workstreams, phased release strategies, and prioritized module transitions to align migration activities with business objectives, resource availability, and risk considerations. Standard assessment and planning tools help identify opportunities to reduce overall migration duration while maintaining operational continuity, with no additional customization required to support this requirement.
OM0089	1	The Vendor should provide options to modernize legacy applications as part of migration, including modularization, service decomposition, or re-architecture to support scalability and maintainability.	O	The solution includes standard modernization capabilities and proven migration methodologies that support the transformation of legacy applications as part of the migration journey. These capabilities provide evaluation and implementation options for modularization, service decomposition, and application re-architecture to improve scalability, maintainability, and cloud alignment. Established assessment frameworks and modernization best practices are included within the base offering to help determine the most appropriate modernization approach for each application portfolio, with no product customization required to meet this requirement.

Table 14: Optional Specifications

Specification Information			Vendor Response	
Specification ID	Hierarchy	Specification Description	Vendor Response (Indicator)	Comments
OM0090	1	The Vendor should support containerization of system components, where feasible, to enable portability, consistency across environments, and reduced infrastructure dependencies.	O	The solution supports containerization of application and system components through standard cloud-native deployment capabilities available within the base offering for AWS environments. Where appropriate, workloads can be packaged and deployed in containers to improve portability, promote consistency across development, test, and production environments, and reduce dependencies on underlying infrastructure. The solution leverages established containerization and orchestration practices as part of its standard architecture and migration methodology, providing a scalable and maintainable deployment model without requiring product customization.
OM0091	1	The Vendor should provide automated tools and processes to support data extraction, transformation, validation, and reconciliation during migration.	O	The solution includes automated tools and established migration processes to support data extraction, transformation, validation, and reconciliation as part of standard migration activities. These capabilities can be applied to data migrated from WV's current data center and the Ensono mainframe environment to AWS, providing structured data conversion workflows, automated validation routines, exception reporting, and reconciliation processes to verify data completeness and accuracy throughout the migration lifecycle. The base solution leverages proven migration frameworks, data integration utilities, and repeatable methodologies to streamline data movement and reduce manual effort, with no product customization required to satisfy this requirement.
OM0092	2	The Vendor should define validation and reconciliation approaches to ensure data completeness, accuracy, and integrity during and after migration.	O	The solution includes standard data migration methodologies that define comprehensive validation and reconciliation approaches for data that will be migrated from WV's current data center and the Ensono mainframe environment to AWS. These approaches include automated record counts, control totals, field-level validation, exception reporting, and reconciliation processes to verify data completeness, accuracy, and integrity before, during, and after migration activities. Standard migration tools and quality-control procedures within the base offering provide traceability across source and target environments, supporting consistent validation outcomes without requiring product customization.

Table 14: Optional Specifications

Specification Information			Vendor Response	
Specification ID	Hierarchy	Specification Description	Vendor Response (Indicator)	Comments
OM0093	1	The Vendor should support parallel operations between legacy and cloud environments, including synchronization and validation processes to support controlled transition and cutover.	O	The solution supports parallel operations between legacy and cloud environments through standard migration and transition capabilities included in the base offering. For migrations from WV's current data center and the Ensono mainframe environment to AWS, the solution provides data synchronization, transaction validation, reconciliation, and environment comparison processes that enable legacy and cloud platforms to operate concurrently during testing, transition, and cutover activities. Established migration methodologies, monitoring tools, and validation procedures support a controlled transition approach, allowing business and technical teams to compare results, verify operational readiness, and execute cutover with minimal disruption, without requiring product customization.
OM0094	1	The Vendor should provide options to modernize system interfaces, including transition from batch-based processing to service-based or near real-time integration methods.	C	The solution will meet this requirement through interface modernization services designed to transform legacy integration patterns into service-based and near real-time architectures. Custom development activities may include decomposition of existing batch processes, creation of APIs and microservices, implementation of event-driven integration patterns, and redesign of interface workflows to support cloud-native operations and improved responsiveness. The modernization approach will be tailored to the specific application landscape, interface dependencies, business processing requirements, and operational objectives identified during discovery and assessment phases. Development timelines will vary based on the complexity, volume, and criticality of interfaces being modernized. Long-term support considerations include ongoing maintenance of newly developed services, API lifecycle management, integration monitoring, and enhancement activities as business and technology requirements evolve.

Table 14: Optional Specifications

Specification Information			Vendor Response	
Specification ID	Hierarchy	Specification Description	Vendor Response (Indicator)	Comments
OM0095	1	The Vendor should implement or enhance automated deployment pipelines to support consistent and repeatable releases in the target cloud environment.	VC	The solution will meet this requirement through vendor-performed configuration of automated deployment and release management capabilities within the target cloud environment. As part of implementation, the vendor will configure CI/CD pipelines, deployment workflows, environment promotion processes, approval gates, and release automation settings using supported platform features and native tooling, without requiring modifications to application source code. The configuration approach includes establishing standardized deployment processes, integrating version control and build tools, and configuring automated testing and release orchestration capabilities to support consistent and repeatable deployments. All required configuration activities will be performed by the vendor as part of the implementation effort, with supporting documentation and operational guidance provided for ongoing administration and maintenance.
OM0096	1	The Vendor should provide monitoring, performance management, and cost management capabilities within the cloud environment.	VC	The solution will meet this requirement through vendor-performed configuration of AWS-native monitoring, performance management, and cost management capabilities, without modifying application code. As part of implementation, the vendor will configure monitoring dashboards, alerts, logging, metric collection, performance thresholds, cost allocation structures, budget controls, and reporting capabilities using supported AWS services and platform features. The configuration approach includes establishing operational visibility across application, infrastructure, and platform components; defining performance monitoring and alerting parameters; and configuring cost tracking and optimization tools to support ongoing cloud governance. All required configuration activities will be completed by the vendor as part of the implementation effort, with documentation, reporting frameworks, and administrative guidance provided to support ongoing operations and cloud financial management.

Table 14: Optional Specifications

Specification Information			Vendor Response	
Specification ID	Hierarchy	Specification Description	Vendor Response (Indicator)	Comments
OM0097	1	The Vendor should support enhanced security capabilities in the cloud environment, including identity management, access controls, and audit logging.	VC	The solution will meet this requirement through vendor-performed configuration of AWS-native security services and platform capabilities, without modifying application code. As part of implementation, the vendor will configure identity and access management policies, role-based access controls, authentication integrations, security monitoring, and audit logging capabilities using supported AWS services and established security best practices. The configuration approach includes defining user roles and permissions, implementing least-privilege access models, configuring centralized logging and audit trails, and establishing monitoring and alerting for security-related events across the cloud environment. All required security configurations will be performed by the vendor as part of the implementation effort, with supporting documentation, operational procedures, and administrative guidance provided to support ongoing security management, compliance, and governance.
OM0098	1	The Vendor should provide support for workforce transition, including training, documentation, and knowledge transfer to enable ongoing operations in the cloud environment.	O	The solution includes standard workforce transition services that support cloud adoption through structured training, comprehensive documentation, and formal knowledge transfer activities. These capabilities provide operational, administrative, and technical training for client personnel, along with runbooks, support procedures, architecture documentation, and operational guidance to support ongoing management of the cloud environment. Established transition methodologies, workshops, and knowledge-sharing sessions are included within the base offering to facilitate skill development and operational readiness without requiring product customization.

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