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REQUEST FOR PROPOSAL (RFP)

ELIAS Maintenance and Operations

MED 22-005

Amendment 1 Incorporated Redline Version

February 21, 2022

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Table of Contents

[*Acronyms.* 6](#_Toc86410716)

[*RFP Purpose.* 9](#_Toc86410717)

[*Legal Authority.* 9](#_Toc86410718)

[*Duration of Contract.* 10](#_Toc86410719)

[*Procurement Timetable.* 10](#_Toc86410720)

[*1. Background and Scope of Work* 11](#_Toc86410721)

[1.1 Background. 11](#_Toc86410722)

[1.2 RFP General Definitions. 12](#_Toc86410723)

[1.3 Definitions Specific to this RFP. 13](#_Toc86410724)

[1.4 Scope of Work. 13](#_Toc86410725)

[1.4.1 Deliverables. 13](#_Toc86410726)

[1.4.1.1 Staffing. 13](#_Toc86410727)

[1.4.1.2 Transition Phase. 16](#_Toc86410728)

[1.4.1.3 Maintenance and Operations Phase. 19](#_Toc86410729)

[1.4.1.4 Turnover Phase 31](#_Toc86410730)

[1.4.1.5 Technical Requirements. 32](#_Toc86410731)

[1.4.2 Contractor Performance Measures. 43](#_Toc86410732)

[1.4.3 Agency Responsibilities. 45](#_Toc86410733)

[1.4.4Contract Payment Methodology. 46](#_Toc86410734)

[Section 2 Basic Information About the RFP Process 48](#_Toc86410735)

[2.1 Issuing Officer. 48](#_Toc86410736)

[2.2 Restriction on Bidder Communication. 48](#_Toc86410737)

[2.4 Online Resources. 48](#_Toc86410738)

[2.7 Questions, Requests for Clarification, and Suggested Changes. 48](#_Toc86410739)

[2.8 Submission of Bid Proposal. 49](#_Toc86410740)

[2.9 Amendment to the RFP and Bid Proposal. 49](#_Toc86410741)

[2.10 Withdrawal of Bid Proposal. 49](#_Toc86410742)

[2.11 Costs of Preparing the Bid Proposal. 49](#_Toc86410743)

[2.12 Rejection of Bid Proposals. 49](#_Toc86410744)

[2.13 Review of Bid Proposals. 50](#_Toc86410745)

[2.13.1 Mandatory Requirements. 50](#_Toc86410746)

[2.13.2 Reasons Proposals May be Disqualified. 50](#_Toc86410747)

[2.14 Bid Proposal Clarification Process. 51](#_Toc86410748)

[2.15 Verification of Bid Proposal Contents. 51](#_Toc86410749)

[2.16 Reference Checks. 51](#_Toc86410750)

[2.17 Information from Other Sources. 51](#_Toc86410751)

[2.18 Criminal History and Background Investigation. 51](#_Toc86410752)

[2.19 Disposition of Bid Proposals. 51](#_Toc86410753)

[2.20 Public Records and Request for Confidential Treatment. 51](#_Toc86410754)

[2.21 Copyrights. 52](#_Toc86410755)

[2.22 Release of Claims. 52](#_Toc86410756)

[2.23 Reserved. 52](#_Toc86410757)

[2.24 Notice of Intent to Award. 52](#_Toc86410758)

[2.25 Acceptance Period. 52](#_Toc86410759)

[2.26 Review of Notice of Disqualification or Notice of Intent to Award Decision. 52](#_Toc86410760)

[2.27 Definition of Contract. 53](#_Toc86410761)

[2.28 Choice of Law and Forum. 53](#_Toc86410762)

[2.29 Restrictions on Gifts and Activities. 53](#_Toc86410763)

[2.30 Exclusivity. 53](#_Toc86410764)

[2.31 No Minimum Guaranteed. 53](#_Toc86410765)

[2.32 Use of Subcontractors. 54](#_Toc86410766)

[Section 3 How to Submit A Bid Proposal: Format and Content Specifications 55](#_Toc86410767)

[3.1 Bid Proposal Formatting. 55](#_Toc86410768)

[3.2 Contents and Organization of Technical Proposal. 56](#_Toc86410769)

[3.3 Cost Proposal. 60](#_Toc86410777)

[Section 4 Evaluation of Bid Proposals 62](#_Toc86410778)

[4.1 Introduction. 62](#_Toc86410779)

[4.2 Evaluation Committee. 62](#_Toc86410780)

[4.3 Proposal Scoring and Evaluation Criteria. 62](#_Toc86410781)

[Attachment A: Release of Information 66](#_Toc86410782)

[Attachment B: Primary Bidder Detail & Certification Form 67](#_Toc86410783)

[Attachment C: Subcontractor Disclosure Form 70](#_Toc86410784)

[Attachment D: Additional Certifications 72](#_Toc86410785)

[Attachment E: Certification and Disclosure Regarding Lobbying Attachment 76](#_Toc86410786)

[Attachment F: Cost Proposal 78](#_Toc86410788)

[Attachment G: Interfaces 79](#_Toc86410789)

[Attachment H: IAS Template 83](#_Toc86410790)

[Attachment I: Vendor Security Questionnaire (VSQ) 84](#_Toc86410810)

[Attachment J: SLAs and Tasks 85](#_Toc86410811)

[Attachment K: List of Agency Software 86](#_Toc86410812)

[Attachment L: Sample Contract 89](#_Toc86410813)

[Attachment M: Reporting 95](#_Toc86410814)

[Attachment N: Workload 96](#_Toc86410815)

[Attachment O: DHS General Terms for Service Contracts (Section 2) 98](#_Toc86410816)

[Attachment P: DHS Contingent Terms for Service Contracts (Section 3) 99](#_Toc86410817)

[Attachment Q: Current Software Agreement 100](#_Toc86410818)

# *Acronyms.*

|  |  |
| --- | --- |
| Acronyms | Definition |
| ACA | Affordable Care Act |
| ACF | Administration for Children and Families |
| ADC | Agile Development Cycle or Aid to Dependent Children *aka AFDC, FIP, TANF* |
| Adobe AEM | Adobe Experience Manager |
| AISDM | Agile Eligibility Information Services Development |
| AKA | Also Known As |
| ANSI | American National Standards Institute |
| API | Application Programming Interface |
| ASDLC | Agile System Development Life Cycle |
| BPEL | Business Process Execution Language |
| BPM | Business Process Modeling |
| BPR | Business Process Reengineering |
| BPMN | Business Process Modeling Notation |
| CAP | Corrective Action Plan |
| CFR | Code of Federal Regulations |
| CHIP | Children’s Health Insurance Program |
| CMS | Centers for Medicare & Medicaid Services |
| COLA | Cost of Living Adjustment |
| COTS | Commercial Off-the-Shelf |
| DAS | Department of Administration Services |
| DBCR | Database Change Request |
| DDI | Design, Development, and Implementation |
| DHHS | Department of Health and Human Services (Federal) |
| DHS | Department of Human Services |
| DOT | Department of Transportation |
| DQ | Data Quality |
| DRP | Disaster Recovery Plan |
| DSD | Detailed System Design |
| DW/DSS | Data Warehouse/Decision Support System |
| EAI | Enterprise Application Integration |
| EBT | Electronic Benefits Transfer |
| ECF | Electronic Case File |
| EDI | Electronic Data Interchange |
| ESB | Enterprise Service Bus |
| EV | Environment Requirements |
| FA | Food Assistance, see SNAP |
| FACS | Family and Children’s Services |
| FFP | Federal Financial Participation |
| FIA | Family Investment Application |
| FIP | Family Investment Program, see TANF |
| FMAP | Federal Medical Assistance Percentages |
| FNS | Food and Nutrition Services |
| FPL | Federal Poverty Limit |
| FTE | Full Time Equivalent |
| GAAP | Generally Accepted Accounting Principle |
| GAAS | Generally Accepted Auditing Standards |
| GAGAS | Generally Accepted Government Auditing Standards |
| GAX | General Accounting Expenditure |
| GUI | Graphical User Interface |
| HBE | Health Benefit Exchange |
| HIE | Health Information Exchange |
| HIPAA | Health Insurance Portability and Accountability Act of 1996 |
| HIPP | Health Insurance Premium Payment |
| HIT | Healthcare Information Technology |
| HIX | Health Insurance Exchange (Iowa uses the term HBE) |
| HTTP | Hypertext Transfer Protocol |
| IA | Iowa |
| IABC | Iowa Automated Benefit Calculation |
| IAPD | Implementation Advance Planning Document |
| ICN | Iowa Communications Network |
| ID | Identification |
| IDPH | Iowa Department of Public Health |
| IEC | International Electro-technical Commission |
| IEEE | Institute of Electrical and Electronic Engineers |
| IEVS | Income and Eligibility Verification System |
| IIEP | Iowa Integrated Eligibility Project |
| ISIS | Individualized Services Information System |
| ISO | International Organization for Standardization |
| IT | Information Technology |
| ITE | Information Technology Enterprise |
| IV&V | Independent Verification and Validation |
| LAN/WAN | Local Area Network/Wide Area Network |
| MAGI | Modified Adjusted Gross Income |
| MARS | Management and Administrative Reporting Subsystem |
| MARS-E | Minimum Acceptable Risk Standards for Exchanges |
| MCI | Master Client Index |
| MITA | Medicaid Information Technology Architecture |
| MMIS | Medicaid Management Information System |
| MPEP | Medicaid Presumptive Eligibility Portal |
| OBIEE | Oracle Business Intelligence Enterprise Edition |
| OBRA | Omnibus Budget Reconciliation Act |
| OCIIO | Office of Consumer Information and Insurance Oversight |
| OCR | Optical Character Recognition |
| OIAM | Oracle Identity Access Manager |
| OIG | Office of Inspector General |
| OIM | Oracle Identity Manager |
| PDF | Portable Document Format |
| PGL | Process Guideline |
| PERM | Payment Error Rate Measurement |
| PMO | Project Management Office |
| PWP | Project Work Plan |
| QA | Quality Assurance |
| QC | Quality Control |
| RE | Rules Engine System Requirements |
| RFI | Request for Information |
| RFP | Request for Proposal |
| RSD | Requirements Specification Document |
| RTM | Requirements Traceability Matrix |
| SFY | State Fiscal Year |
| SID | State Identification Number |
| SL | Software License |
| SM | System Modification |
| SME | Subject Matter Expert |
| SMME | Supplement for Medicare and Medicaid Eligibles |
| SNAP | Supplemental Nutrition Assistance Program |
| SOA | Service Oriented Architecture |
| SOAP | Simple Object Access Protocol |
| SP | Security and Privacy Requirements |
| SPMP | Software Project Management Plans |
| SSA | Social Security Administration |
| SSN | Social Security Number |
| TANF | Temporary Assistance for Needy Families |
| TM | Trademark |
| TXIX | Title Nineteen |
| UAT | User Acceptance Test or Testing |
| UDDI | Universal Description, Discovery, and Integration |
| UML | Unified Modeling Language |
| UPS | Uninterruptable Power Source |
| USDA | United States Department of Agriculture |
| USPS | United States Postal Services |
| VSAM | Virtual Storage Access Method |
| WAN | Wide Area Network |
| WBS | Work Breakdown Structure |
| WBTs | Web Based Tutorials |
| WEDI | Workgroup for Electronic Data Interchange |
| WM | Workflow Management |
| WP | Web Portal |
| WS | Web Services |
| WSDL | Web Services Description Language |
| WS-I | Web Services Interoperability |
| XIX | Title XIX |
| XMI | Metadata Interchange |
| XML | Extensible Markup Language |
| XSD | Schema Definitions |
| XSLT | Extensible Style Sheet Language Transformation |

# *RFP Purpose.*

The purpose of the RFP is to solicit bids to select a Contractor to provide Maintenance and Operations Services for Iowa's Eligibility System known as Eligibility Integrated Application Solution (ELIAS), as well as federal and state reporting and related activities using an agile methodology. **This may include additional support requests as needed, including but not limited to technical architecture activities. It is at the Agency’s discretion if additional work will be needed.**

The ELIAS system shall comply with the Twenty-Two Conditions and Standards. See 42 CFR 433.112(b) for details. The Contractor shall be required to meet and ensure the ELIAS System complies with; all future federal guidance that may be issued during the life of the contract. This includes, but is not limited to, updated versions of MITA, IT guidance, and other federal regulations.   
  
The ELIAS System shall meet CMS certification requirements for Enhanced Federal Financial Participation (FFP). The Eligibility System must also meet USDA/FNS, and ACF certification for standard FFP. The Maintenance and Operations (M&O) must include the requirements identified in RFP Section 1.4.1.5 Technical Requirements, upon review and certification byCMS, USDA/FNS, and ACF.

*Legal Authority.*  
This RFP is issued under the authority of Titles XIX and XXI of the Social Security Act (as amended), the regulations issued under the authority thereof, mandatory provisions of the ACA, and the Code of Iowa and rules of the Office of the Chief Information Officer (OCIO) and Iowa Department of Human Services (DHS) related to Medicaid, *hawk-i* (CHIP), SNAP, TANF, and Childcare assistance. The submission of a valid bid proposal by any Bidder will constitute admission of such knowledge on the part of the Bidder.

Title XIX purposes, "systems mechanization" and "mechanized claims processing and information retrieval systems" is identified in section 1903(a)(3) of the Social Security Act (the Act) and defined in regulation at 42 C.F.R. § 433.111.

Section 1903(a)(3) of the Act provides for Federal Financial Participation (FFP) in State expenditures for the design, development, or installation of mechanized claims processing and information retrieval systems and for the operation of certain systems. Additional HHS regulations and CMS procedures for implementing these regulations are in 42 C.F.R. part 433; 45 C.F.R. part 75; 45 C.F.R. part 95, subpart F; part 11, State Medicaid Manual;CMS sub-regulatory guidance; and Section 1903(r) of the Act, which imposes certain standards and conditions on mechanized claims processing and information retrieval systems (including eligibility determination systems) in order for these systems to be eligible for Federal funding under section 1903(a) of the Act.

United States Department of Agriculture (USDA) Food and Nutrition Service (FNS) applicable requirements:

1. 7 CFR 277.18 – APD, procurement and testing requirements
2. FNS Handbook 901 - United States Department of Agriculture (USDA) Food and Nutrition Service (FNS) applicable requirements (https://www.fns.usda.gov/apd/fns-handbook-901-v2-advance-planning-documents) for Supplemental Nutrition Assistance Program (SNAP)
3. FNS E&T State Plan Handbook: https://www.fns.usda.gov/snap/et-state-plan-handbook
4. 7 CFR 277.15 - SNAP Review of Major Change in Program Design and Management Evaluation Systems: <https://www.fns.usda.gov/snap/fr-011916>
5. FNS Test Plan requirements: <https://www.fns.usda.gov/apd/new-rule-system-testing>
6. 2 CFR 200 – procurement requirements
7. 7 CFR 272.1(c) – applicable safeguard requirements

# *Duration of Contract.*

The Agency anticipates executing a contract that will have an initial six-year contract term with the ability to extend the contract for fouradditional one**-**year terms. The Agency will have the sole discretion to extend the contract. The ability of the Agency to enter into contracts with up to a 10-year duration for IT Procurement is delegated to the Agency by the Iowa Office of the Chief Information Officer.

# Procurement Timetable

There are no exceptions to any deadlines for the Bidder; however, the Agency reserves the right to change the dates. Times provided are in Central Standard Time (CST).**For more information regarding the events listed below, please see Section 2 of this RFP.**

|  |  |
| --- | --- |
| **Event** | **Date** |
| Agency Issues RFP Notice to Targeted Small Business Website (48 hours): | January 5, 2022 |
| Agency Issues RFP to Bid Opportunities Website | January 7, 2022 |
| Bidder Letter of Intent to Bid Due By | January 31, 2022  3:00 p.m. CST |
| Bidder Written Questions Due By | Date and Time for First Round of Questions: February 14, 2022  12:00 p.m. CST  Date and Time for Second Round of Questions: March 1, 2022  12:00 p.m. CST |
| Agency Responses to Questions Issued By | Date for First Round of Responses: February 21, 2022  Date for Second Round of Responses: March 8, 2022 |
| **Bidder Proposals and any Amendments to Proposals Due By** | April 11, 2022  12:00 p.m. CST |
| Agency Announces Apparent Successful Bidder/Notice of Intent to Award | June 1, 2022 |
| Contract Negotiations and Execution of the Contract Completed | August 29, 2022 |
| Anticipated Start Date for Transition Phase | August 29, 2022 |
| Anticipated Start Date for Maintenance and Operations Phase | September 14, 2022 |

# *1. Background and Scope of Work*

# 1.1 Background.

In 2012 as part of the Affordable Care Act (ACA) DHS elected to replace the legacy eligibility system.  DHS purchased a COTS solution from Accenture to replace the current mainframe legacy system.  The new eligibility system is called ELIAS.  The ELIAS system is comprised of three portals the Medicaid Presumptive Eligibility Portal (MPEP) that is used by state contractors called Qualified Entities that assist applicants in applying for presumptive and ongoing Medicaid coverage.  The Self Services Portal (SSP) which is used by applicants and members to apply for SNAP, Medicaid and Cash Assistance Programs.  The SSP also contains functionality for applicants and members to create an account, elect paperless communications, view and upload case information, report changes and complete Medicaid renewals electronically.    The Accenture Benefits Management System (ABMS) is the worker portal where applicant and member information are stored and Medicaid eligibility is determined.   The new contract holder will perform ongoing maintenance of the current programs, as well as future additions and changes to stay current with Federal and State policies. If there are field enhancement requests, those will become separate Statements of Work (SOWs) and will follow the Change Service Request (CSR) process.

**ELIAS**

A contract with Accenture, LLP was awarded in August 2012 (IIEP RFP# ACFS 11-134) for system integration services that included business and technical requirements in support of the Iowa Medicaid, CHIP, Health Benefit Exchange (HBE) Insurance Affordability Programs, SNAP, TANF, and other state-funded programs. The current contract ends August 14, 2022. See Attachment Q Current Software Maintenance Agreement. The Agency is in the process of securing a software maintenance and technical support agreement with Accenture, LLP for their Accenture Benefits Management System (ABMS), Accenture Citizen Self-Service Portal (ACSSP), and Accenture Public Service Platform (APSP) with an effective date of August 15, 2022.

Implemented in 2013, ELIAS is the Agency’s eligibility determination system for the Medicaid and CHIP programs. The ELIAS system utilizes SOA, and data and workflow triggers to maintain real-time up to date recipient information within the MMIS. ELIAS utilizes the Modified Adjusted Gross Income (MAGI) methodology to determine eligibility for Children, Adults under age 65, Parents and Caretakers, Pregnant women and for MAGI-exempt populations, for whom income is not an eligibility factor, such as foster care children. MAGI is a methodology based on federal tax rules for how income is counted, and family size is determined for Medicaid and CHIP eligibility.

On March 21, 2016, FNS notified DHS of 7 CFR 272.15 *Major Changes in Program Design* reporting requirements, which requires formal notification of the impacts of moving SNAP eligibility determinations into ELIAS. Work on SNAP Discovery and Delivery was discontinued so the project could focus on completing the Medicaid requirements.

In October 2020, the Agency retired its OASIS application and SNAP/FIP applications are accepted using the ELIAS Self Service Portal (SSP). Spanish versions of the application are also available to the public.

**Worker Information System Exchange (WISE)**

WISE is a client server application used in the process and includes issuance of alerts, entry, and storage of narrative.

**Platforms Used.  
 ELIAS:**

1. Base Hardware: Oracle Server X7-2 (4 Production, 8 Development)
2. Data Base(s): Oracle
3. Application Language: Java
4. Operating System: Linux
5. Storage Type: IBM v7000 SAN disk
6. Reporting Tool(s): PL/SQL based. OBIEE.

**IABC**:

1. Base Hardware: Z/OS Mainframe
2. Data Base(s): VSAM file structure
3. Application Language: COBOL
4. Reporting Tool(s): CA VIEW, information sent via FTP to a web system, WISE, through a reports viewer

**Table 1: Program Data**

|  |  |  |
| --- | --- | --- |
| **Program** | **Average Monthly Enrollment** | **State Fiscal Year 2020**  **Benefit Expenditures to Date** |
| **TANF/ FIP** | **7,004 (cases)** | **$28,071,556** |
| **SNAP/Food Assistance** | **152,297 (cases)** | **$475,197,135** |
| **Medicaid** | **607,920 (individuals)** | **$6,052,476,792** |

On December 4, 2015, CMS published a final rule, “Mechanized Claims Processing and Information Retrieval Systems (90/10),” which became effective January 1, 2016. This final rule revised the conditions and standards state Medicaid IT systems must meet to qualify for enhanced federal funding to better support Medicaid eligibility, enrollment, and delivery systems. This final rule also supported existing requirements for modular systems development. State Medicaid Director (SMD) Letter #s 16-004, 16-009, 16-010, and 18-005 provided further guidance on this final rule, APD enhanced funding requirements, modularity, and reuse. Iowa’s goal is to achieve the most cost effective and administratively efficient solutions consistent with the guidance provided above. 42 CFR 433.112(b).

# 1.2 RFP General Definitions.

When appearing as capitalized terms in this RFP, including attachments, the following quoted terms (and the plural thereof, when appropriate) have the meanings set forth in this section.

***“Agency”*** means the Iowa Department of Human Services.

***“Bid Proposal”*** or ***“Proposal”*** means the Bidder’s proposal submitted in response to the RFP.

***“Bidder”*** means the entity that submits a Bid Proposal in response to this RFP.

***“Contractor”*** means the Bidder who enters into a Contract as a result of this Solicitation.

***“Deliverables”*** means all of the services, goods, products, work, work product, data (including data collected on behalf of the Agency), items, materials and property to be created, developed, produced, delivered, performed, or provided by or on behalf of, or made available through, the Contractor (or any agent, contractor or subcontractor of the Contractor) in connection with any contract resulting from this RFP.

***“Invoice”*** means a Contractor’s claim for payment. At the Agency’s discretion, claims may be submitted on an original invoice from the Contractor or may be submitted on a claim form accepted by the Agency, such as a General Accounting Expenditure (GAX) form.

# 1.3 Definitions Specific to this RFP.

When appearing as capitalized terms in this RFP, including attachments, the following quoted terms (and the plural thereof, when appropriate) have the meanings set forth in this section.

***“Business Hours”*** means 8:00 AM thru 4:30 PM Central Time (CT), excluding state holidays and Contractor’s resource(s) available 24/7 for monitoring batches, etc.

***“Centers for Medicare and Medicaid Services”*** or “***CMS”*** is part of the U.S. Agency of Health and Human Services. CMS oversees Medicare and Medicaid, as well as many other federal healthcare programs, including those that involve Health Information Technology such as the meaningful use incentive program for electronic health records (EHR). In addition to Medicare and Medicaid, CMS administers the Children's Health Insurance Program (CHIP), the Health Insurance Portability and Accountability Act (HIPAA) and key portions of the 2015 Medicare Access and CHIP Reauthorization Act (MACRA) law.

***“Enhancement”*** means modificationswhich change the functions of information technology services, software and hardware beyond their original purposes, not just to correct errors or deficiencies which may have been present in the software or hardware, or to improve the operational performance of the software or hardware.

***“IME Units”*** are the professional and system services contractors within the IME that perform the majority of Iowa Medicaid program business functions under performance-based contracts.

***“Post-Implementation***” means the period after a change or Enhancement has been implemented. It determines if the change and its implementation were successful and identifies opportunities for improvement.

***“Transition Phase***” means the time the Contractor works with the incumbent vendor to take over control and maintain operations of the ELIAS Eligibility System in Iowa.

# 1.4 Scope of Work.

The successful bidder will continue to support and comply with relevant legal authority and mandates under Health Insurance Portability and Accountability Act (HIPAA) legislation and also CMSMEET, SMC, and FNS Handbook 901. The Contractor shall provide deliverables which include, but may not be limited to the following:

# 1.4.1 Deliverables.

# 1.4.1.1 Staffing.

**A. Minimum Qualifications.** The successful bidder must be able to supply the following knowledge and any specifically identified skills/qualifications throughout the term of this RFP:

* Database Administration
* Middleware
* Other software listed in Attachment K
  + Pitney Bowes, Adobe AEM, WebLogic, OBIEE
  + WebLogic, OIAM, prod end user admin, sync job
* Security
  + OIAM
* Security Compliance
  + MARS-E, Compliance regulation, OIAM
* Solution Architecture
  + Automation and monitoring lead
* Development Architecture
  + Configuration Management, release organization
  + Code merge lead, environment triage, AppDev liaison
  + Release and M&O prioritization lead
  + Environment orchestration and triage
  + Build & Deploy, Code merge, AppDev daily builds
  + Environment orchestration and triage
* Infrastructure
  + Linux admin, batch, Time Machine
  + User administration, roll-on/off, Worksoft admin, Windows/Linux admin

**B. Key Personnel.** The Contractor shall designate individuals as “key personnel” within 5 days of contract execution, subject to Agency approval. All roles must be assigned to an individual, however a single individual may fulfill multiple roles. The Agency reserves the right to interview any and all candidates for named key positions prior to approving the personnel. Special requirements for key personnel are as follows:

1. **Account Manager.** Responsible for the overall service delivery of the team, complying with contractual requirements and meeting the Agency’s expectations. The Account Manager shall be responsible for Contract compliance and general project oversight. The Account Manager shall collaborate, cultivate, and promote the spirit of trust and professionalism with the Agency, other IME Unit***s***, and stakeholders. The Account Manager shall represent the Contractor and be the primary liaison with the Agency.
2. **Transition Manager**. Responsible for facilitating all planning and operational readiness activities necessary to ensure a successful transition. This position shall no longer be required once the Contractor has successfully transitioned to operations.
3. **Operations Manager**. Responsible for overseeing and managing all day-to-day activities to ensure successful operations.
4. **Systems and Quality Assurance Manager.** Responsible for overseeing and managing all systems-related and quality assurance activities within the Contract.
5. **Technical Architecture Resources.** Responsible for overseeing and performing the Technical Activities and Responsibilities.
6. **ELIAS Team Lead.** Coordinate the communication of implementation decision impacts and deployment project updates.
7. **Infrastructure Lead.** Liaison to IT infrastructure teams.
8. **Project Manager.** Responsible for planning, organizing, and directing the completion of the project.

**C. Named Key Personnel shall:**

1. Be committed to the project full time. The Agency anticipates that many of the meetings required as part of the scope of work will be conducted virtually as a result of the continuing COVID-19 pandemic. The Contractor’s approach to achieving the following the deliverables shall include the use of an Agency approved virtual meeting platform(s) that provides for video and ensures that contractor staff participate with video enabled. The Agency reserves the right to request face-to-face meetings. When face-to-face meetings are required, CDC guidelines will be followed as appropriate.
2. Be available during Business Hours to respond to questions and concerns related to the Contract, except for routine absences or participation in required off-site meetings. Account Manager and Operations Manager positions are required to communicate absences with the Agency contract manager and provide suitable coverage during extended absences lasting more than one (1) week:
   1. Prepare and present status updates periodically to the Agency and other stakeholders, as requested by the Agency.
   2. Develop and maintain Agency approved dashboards and reports to ensure the Agency staff have the appropriate information at the time needed to effectively and efficiently operate the program.
   3. Comply with all timelines in the Agency-approved project work plans; and
   4. Develop and maintain an Agency approved plan for job rotation and knowledge transfer to ensure that all functions can be adequately performed during the absence of key personnel for vacation and other reasons. Any planned absences of key personnel shall be communicated to the Agency within 24-hours. The Contractor shall ensure staff are trained and able to perform the functions of sensitive positions when the primary staff member is absent.

**D. Change of Personnel.** The Agency reserves the right to request a change in contract personnel with thirty (30) days’ notice of prior and continued approval for any key personnel or replacement of the key personnel:

1. The Contractor shall commit named key personnel to the project on or before the conclusion of the transition period of the Contract and for at least six months (except for the Transition Manager), and must not replace key personnel during this period except in cases of termination, death, or the key person’s resignation.
2. The Contractor shall provide the Agency with a minimum of 15 days’ notice prior to any proposed transfer or replacement of named key personnel. At the time of providing notice, the Contractor shall also provide the Agency with the resumes and references of the proposed replacement of named key personnel.
3. Replacement personnel shall be in place performing their new functions before the departure of the personnel they are replacing.
4. Replacement personnel shall have knowledge transfer, experience, and ability comparable to the person originally in the position.
5. The Agency may waive requirements (a) through (d) above upon presentation of good cause by the Contractor. In those instances when good cause is granted, the Contractor commits to replacing key personnel within thirty days (30) of the departure of a key person and to providing temporary personnel in the interim that are capable of maintaining operational performance at acceptable levels.
6. **Non-Managerial Personnel**. The Contractor shall provide the following non-managerial positions in sufficient quantities:
7. Programmers dedicated to maintenance and operations of the ELIAS.
8. Technical resources to perform business rules updates, benefit plan, database workflow, interfaces reporting management and maintenance, and technical assistance for ELIAS-related issues such as availability of the system, system access and user notifications as system changes are implemented, as necessary.
9. Business Analysts who are responsible for meeting with IME policy and unit staff to capture and document modifications to the ELIAS system to support organization and mandated change. The analyst(s) must work across multiple levels of the organization and be able to identify and articulate the necessary workflow, configuration, rules, reporting requirements and interface modifications changes needed to support the business process change.
10. Core help desk staff to support technical issues identified by external stakeholders. These issues will be routed and escalated to the Contractor's help desk when necessary.
11. Quality assurance/quality control staff with experience monitoring the timeliness and accuracy of developing, executing, and reporting formal quality assurance plans.
12. **Hourly Rates.** The Contractor shall provide a table listing the hourly rates for all positions identified above.

# 1.4.1.2 Transition Phase.

1. **Planning.** The Contractor shall develop, maintain, and comply at all times with the following, subject to Agency approval:
2. Project work plans. Work plans shall include:
3. A transition plan detailing Contractor’s strategy to implement the staff, systems, and services contemplated by this Contract.
4. An operations plan detailing the daily performance of all required activities by the Contractor, including required coordination and safeguards to maintain the system.
5. A project management plan (PMP) based upon industry best practices and standards. The PMP shall include change management, configuration, and performance plans.
6. A quality assurance plan detailing requirements and timeframes for monitoring the quality and accuracy, as well as continuous workflow analysis, of the Contractor’s functions.
7. Review and update existing reporting plan detailing requirements and outcome metrics for submitting reports to the Agency. This plan shall be developed in consultation with the Agency. Reporting plan requirements include, but are not limited to:
8. Use of standard naming conventions.
9. Templates for standardized reports that may be necessary to implement the project. The Contractor shall revise report content as needed and upon Agency request.
10. Use of the Agency-designated product/site (OBIEE and SharePoint) to upload reports, with links sent to relevant Agency staff via email.
11. Detail of whom the reports should be delivered to for review and approval, as necessary.
12. Any posting requirements for external stakeholders.
13. Frequency and due dates for reports.
14. Agency reports similar to the sample in Attachment M.
15. Review and update existing training plans detailing, at minimum:
    * 1. Training of Contractor in all systems functions that they will use.
      2. Training of Contractor staff in system and Operation Procedures Manuals and Process Guidelines (PGLs) required to perform the Contractor’s functions under the Contract.
      3. Training of Contractor staff on HIPAA and information security policies and procedures at minimum:
         1. Orienting new employees to policies and procedures.
         2. Conducting periodic review sessions of policies and procedures; and
         3. Quarterly reporting to the Agency on staff training completion.
      4. Continuous standard operating procedures training process for Contractor staff. At minimum, the Contractor shall train staff when:
         1. New staff or replacement staff are hired.
         2. New policies or procedures are implemented; and
         3. Changes are made to any existing policies or procedures prior to the change’s implementation if possible, and if not, concurrent with the change’s implementation.
16. Each plan shall adhere to the requirements set forth in this section, to include, at minimum:
17. Definition of each project activity.
18. Sequence of activities.
19. Identification of Contractor resources responsible for each project activity.
20. Defined deliverables and outcomes.
21. Timeframe in which each activity will be completed.
22. A plan update schedule, which shall include updates no less frequently than quarterly.
23. Identification of Agency responsibilities and expectations subject to Agency approval.
24. **Transition Phase Performance Measures.** The Agency shall provide the following plans to Contractor upon Contract execution. Contractor shall review the provided plans and update as necessary within the timelines identified in Table 2 below.

**Table 2. Plans due to Agency.**

|  |  |  |
| --- | --- | --- |
| Plans due to agency | Due Date | High-Level Expectations |
| Operations plan | 30 days from Contract execution | The plan should include production operational procedures including batch and interface changes, release processes, database changes, calendar updates, and production annual updates. |
| Systems Implementation plan | 30 days from Contract execution | The plan should include an overview of the systems and the resources needed to maintain those systems. |
| Technical Architecture Plan | 30 days from Contract execution | The plan should include the environments for ongoing application maintenance, development, and testing purposes. It should also include descriptions of the hardware, OS, and application software installed in environments. |
| Transition Plan | 30 days from Contract execution | The plan should include transition activities, responsible team members, and the timeline for transition. |
| Project Management Plan | 30 days from Contract execution | The plan should include the project management approach. |
| Corrective Action plan | 30 days from Contract execution | The plan should include an action plan for specific issues. |
| Data Backup/Replication Plan | 30 days from Contract execution | The plan should include procedures for ad-hoc and scheduled backups, including how to restore environments. |
| Disaster Recovery and Business Continuity Plan | 30 days from Contract execution | The Disaster Recovery Plan should define the activities necessary to restore ELIAS production processing capabilities. The Business Continuity Plan should include the identification of the ELIAS core business processes and analysis of the impacts to not being able to execute core business processes. |
| Help Desk Plan | 30 days from Contract execution | The plan should include the approach for providing Level 2 and Level 3 support related to the ELIAS system and its stakeholders including coordination, ticket and incident management, and reporting. |
| Interface Plan | 30 days from Contract execution | The plan should include the approach and list of interfaces that were implemented originally. |
| Job Rotation and Knowledge Transfer | 30 days from Contract execution | The plan should include the approach by which the ELIAS System and policy knowledge are transferred to the end-users. In addition, a framework for the ELIAS Training program. |
| Quality Assurance Plan | 30 days from Contract execution | The plan should include the approach to manage quality for the program. |
| Reporting Plan | 30 days from Contract execution | The plan should describe the process of providing all required federal, state, and ad-hoc reports. |
| Test Plan to include CMS expectations and guidance | 30 days from Contract execution | The plan should include the testing approach for system changes and releases. |
| Training Plan | 30 days from Contract execution | The plan should outline necessary training that will be needed. |
| Turnover Plan | 30 days from Contract execution | The plan should include the turnover approach, planned activities, and a schedule to transfer and transition vendor responsibilities and applicable systems. |
| Work Plans, Schedules, and WBS | 30 days from Contract execution | The plan should include upcoming work and activities for the project. |
| Vendor By Name Organization Charts | 30 days from Contract execution and revisions due to CMS when staffing changes occur within 30 days of the change | The plan should include vendor organizational charts. |
| Security Plan including Independent Third-Party Security & Privacy Assessment on production, dev and test environments. The Security and Privacy Assessment Report (SAR) will be deliverable to CMS. | 30 days from Contract execution | The plan should include Independent Third-Party Security & Privacy Assessment on production, development and test environments. |

# 1.4.1.3 Maintenance and Operations Phase.

A partial list of the current workload is presented in Attachment N. Please note that this is not a comprehensive or exhaustive list of all activities or workload that will be performed by Contractor.

**Post-Implementation Activities.** The Contractor shall be required to assign Contractor resources to conduct a Post Implementation evaluation. This event will take place for each Enhancement that moves into production and Contractor shall update all plans as required to document the changes. Enhancements are separate work items that will be set forth in a separate SOW and follow the CSR process identified in Section 1.4.1.3.N.2.

**Maintenance.** The Contractor shall continue to support and comply with relevant legal authority and Federal mandates. The Contractor support shall include the following:

1. Investigate User Interface and batch job failures
2. Investigate and correct defects
3. Repair jobs scheduled or run incorrectly
4. Investigate system hardware or software failures
5. Repair problems due to operator/scheduler error
6. Repair problems due to program or control language errors
7. Repair security problems
8. Repair corrupted files/databases
9. Repair documentation
10. Repair problems due to jobs run with incorrect data
11. Repair defects
12. Perform routine maintenance on reference files
13. Emergency requests shall be defined as problems preventing benefit issuance or those having a significant impact on the end user’s ability to perform their job. These requests will require “emergency fixes” and shall be resolved within 24 hours of notification.
14. Corrective Maintenance shall be defined as “bug” fixes to correct data and/or functionality not working per requirements. The Contractor shall:
    1. Bundle corrective maintenance requests together and perform a production software release on a monthly basis.
    2. Deploy non-emergency corrective maintenance requests in the next Production software release.
    3. Deploy technical/environments maintenance to address upgrades to the system due to technical changes to system components to keep the system maintainable, including the following services:
       1. Upgrades or patches of application server, operating system, RDBMS, or other system software.
       2. Software modifications and upgrades necessary because of expiring Contractor support.
    4. Deploy hardware, database, or application conversions that do not modify user functionality
    5. Move files (from one device to another) due to hardware swaps
    6. Deploy one-time loads or reformats of user data (due to upgrades) 
    7. Apply report distribution changes
       1. These changes should have minimal impact the end user. The Contractor shall release technical/environments maintenance changes in a monthly patch release. For major upgrades requiring a more significant amount of time to develop, test, and implement, the changes shall be completed as part of a longer development release.
       2. Report distribution changes can typically be completed independent of a production release.
15. Perfective Maintenance addresses activities to improve the performance of the application, as well as investigate and fix potential problems that have NOT YET occurred. The Contractor shall perform the following Perfective maintenance services, but is not limited to:
    1. Improving the performance, maintainability, or other attributes of an application system
    2. Preventive maintenance
    3. Data table restructuring & re-indexing
    4. Data purges to reduce/improve data storage
    5. Run time improvements
    6. Replace utilities to reduce run time
    7. Potential problem correction
    8. Data set expansions to avoid space problems
    9. Recommending administrative functions or automation when recurring ad-hoc manual fixes and adjustments are needed
16. Release perfective maintenance changes in a monthly production release or, for major changes requiring a more significant time to develop, test, and implement, the changes should be completed as part of a larger development release.
17. Activities that can typically be completed independent of a production release (e.g., data set expansions, data purges) may be completed on a more frequent basis (e.g., daily or weekly).
18. Application Support – Support for the system to keep it operating as expected including, but not limited to, the following services:
    1. Monitoring and reporting system performance
    2. Investigation as to why data was not processed
    3. Monitoring and reporting computer resource usage
    4. Preparing and participating in application system problem review meetings.
19. Automation
    1. The Contractor shall maintain the following capabilities:
       1. Incorporating eligibility determinations for additional populations in online enrollment
       2. Updating the data model to standardize the data used across multiple agencies; this will allow online enrollment to process a greater number of eligibility determinations across those agencies
       3. Utilizing an automated rules engine to enforce and enhance policy implementation and enhance automated workflow
    2. The Contractor shall maintain the following:
       1. Store all member information electronically, and make it more accessible to authorized users and other business areas
       2. Automated daily update of member information with date stamp and audit trail capabilities, manual updates are the exception
       3. Increased automation of requested and scheduled data extraction (direct access to query parameters by authorized users)
       4. Improved controls to eliminate duplicate records
    3. New Capabilities
       1. The Contractor shall support the day-based eligibility/enrollment periods
    4. The Contractor shall maintain the following Automated workflow management capabilities:
       1. Processes to improve customer service and lower application-processing times
       2. Increased digitization to allow for easier use for customers while reducing the need for print

**C. Technical Architecture Activities and Responsibilities**. The Contractor shall be able to perform the following at the request of the Agency or its designee:

1. Database
   1. AppDev Assistance
   2. DBCR review and implementation
   3. Deployment Assistance
   4. Environment Data Refresh
   5. OEM
   6. Production and Non-Production Monitoring, Trending, and Support
   7. User Administration for Account Creation/Privilege Grants
2. DevOps
   1. Build & Deployment Scheduling, Monitoring, and Env Configuration
   2. Build & Deployment Script Support
   3. Environment Support and Triage
   4. Network Analysis and Capacity Planning
   5. Non-Production Event Monitoring and Infrastructure Support
   6. Non-Production User Authorization and Administration
   7. Dev Ops Administration and User Assistance
   8. Stream Management for Release Candidates
   9. Tools Admin and Maintenance (Pitney Bowes, Twiki, etc.)
   10. Support for future Design, Development, Implementation (DDI) efforts and M&O efforts that the Agency undertakes with any future contracts with other vendors or with Contractor through the CSR process
3. Disaster Recovery
   1. Simulation Test /Desktop Test/ Penetration Test preparation and execution
   2. Disaster recovery test results will be deliverable to CMS
4. Infrastructure
   1. OCIO Coordination and Ticket Management
   2. Physical Hardware Installation, Migration and Coordination
   3. System Monitoring Review
   4. Support for future DDI efforts and M&O efforts that the Agency undertakes with any future contracts with other vendors or with Contractor through the CSR process
5. Security
   1. Compliance reviews and planning
   2. Production and Non-Production ABMS and MPEP User Account Maintenance
   3. Production and Non-Production OIM Monitoring and Routine Cleanup
   4. Support OIAM updates
   5. Support for future DDI efforts and M&O efforts that the Agency undertakes with any future contracts with other vendors or with Contractor through the CSR process
6. Support Request Management and Prioritization
7. Technical Coordination for M&O Objectives
8. Technical Documentation Updates
9. Ongoing updates to Plans identified in Table 2
10. Technical Initiative Alignment with DoIT and OCIO
11. Technical Resource Utilization Planning
12. Technical Roadmap Planning
13. Technical Team Checkpoints and Status
14. Release Staging Deployment and Test Runs
15. Release Implementation Planning
16. CMS Meet R3 Review and Operational Review
17. MARS-E assessment

**D. User Support.**

* + - 1. The Contractor shall manage the receipt, classification, prioritization, and communication of Help Desk Tier 1 and Tier 2 tickets.  Contractor shall provide direct support of the end user for technical questions and issues that cannot be handled by the Tier 1 DHS Help Desk.

The Contractor shall provide User Support for the application, in the capacity of a Tier 2 DHS Systems and Policy Interpretation Resource System (SPIRS) Help Desk, including the following services:

* + - * 1. **Tier 1 SPIRS Help Desk Tasks:**

1. System broadcasts - DHS IME MPEP Support – MPEP Blasts
2. Answering customer questions about the application - Contact Center for SSP/MPEP
3. Informal user knowledge transfer
4. Maintain a log of e-mail and telephone inquiries, including the username, date of receipt, date of response, nature of inquiry, and disposition of inquiry. The log shall be made available for review by the Agency at any time.
5. Respond to phone and email inquiries from users requiring assistance.
6. Follow issues to resolution and contact the user once the issues are resolved.
   * + 1. The Contractor shall provide user technical assistance during Business Hours, utilizing the Agency’s Service Now ticketing system, to include but not limited to:
   1. **Tier 2 Contractor Tasks:**
      1. Emergency fixes as required
      2. Monthly Production releases (to all relevant environments)
      3. Monthly report on system performance
      4. Monthly report on computer resource usage
      5. Documented resolution for each production support request
      6. Daily Batch Job Schedule
      7. Preliminary investigation into possible problems identified by customer
      8. Ad hoc reporting
      9. Customer requested updates to data in database tables
      10. Documented production support requests, including the following information:
      * Requestor
      * Date of request
      * Production support category (i.e., user support, corrective maintenance, etc.)
      * Brief description of problem or question
      * Estimated severity (priority)
      * Ticket management process

**E. Operating Procedures Documentation**. The Contractor shall:

1. Maintain and update Agency-approved Operation Procedures Manuals and PGLs in the Agency-prescribed format using standard naming conventions in the documentation.
2. Follow approved Operation Procedures Manuals and PGLs by the Agency.
3. Document the processes and procedures used by the Contractor in the performance of its obligations under this Contract to include notification and issue escalation procedures and timelines.
4. Maintain and update all approved Operation Procedures Manuals and PGLs with any changes to the methods and procedures used by the Contractor in the performance of its duties under this Contract. The Contractor shall document all changes within 10 business days of the change. The Contractor shall use version control to identify the most current documentation and any previous versions, including their effective dates. The Contractor shall provide all documentation in electronic form and store all documentation within the Agency-designated repository.
5. Review Operation Procedures Manuals and PGLs with the Agency no less than annually or as determined by the Agency.
6. Use version control to identify current documentation. All documentation shall be provided in electronic form and made available online. The Contractor shall maintain standard naming conventions in the documentation. The Contractor shall not reference the Contractor's corporate name in any of the documentation.
7. **Accounting.** The Contractor shall maintain accounting and financial records (such as books, records, documents, and other evidence documenting the cost and expenses of the contract) to such an extent and in such detail as will properly reflect all direct and indirect costs and expenses for labor, materials, equipment, supplies, services, etc., for which payment is made under the contract. These accounting records shall be maintained in accordance with generally accepted accounting principles (GAAP). Furthermore, the records shall be maintained separate and independent of other accounting records of the Contractor and such records shall be accessible to CMS in accordance with 45 CFR 95.615 and also to FNS.

See Section 2 General Terms attached as Attachment O and available at: <https://dhs.iowa.gov/sites/default/files/DHS_Section_2_Terms_5.19.21.pdf>

See also Section 3 Contingent Terms attached as Attachment P and available at: <https://dhs.iowa.gov/sites/default/files/DHS_Section_3_Terms_3.12.20.pdf>

1. **Subcontractors.**
   1. All subcontracts shall be in writing and fulfill the requirements of 42 C.F.R. § 434.6 that are appropriate to the services or activity delegated under the subcontract.
   2. No subcontract terminates legal responsibility of the Contractor to the Agency to assure that all activities under the Contract are carried out.
2. **Audit support.**
   1. The Contractor shall respond to Agency requests for information and other requests for assistance within the timeframe that the Agency specifies. The Contractor shall provide information in response to:
      1. Freedom of Information Act (FOIA) requests
      2. Requests for Information (RFIs) from Iowa Legislators
      3. Open Records Act requests, as required in Iowa Code Chapter 22
      4. Production of documents or other discovery items for State or federal audits; and
      5. Miscellaneous requests
   2. The Contractor shall comply with information protocols and response timeframes determined by the Agency Public Information Officer.
   3. The Contractor is to support and provide assistance with any state and federal audits and certifications as the Agency requests.
3. **Facilities.**
   1. The Agency requires that all Contractor staff directly associated with the provision of contract services to the Agency during the Maintenance and Operational Support, and Turnover Phases will be located at the Agency’s permanent facility in Des Moines, IA unless prior approval is requested and granted by the Agency for remote work.
   2. Contractor’s key personnel shall be available in Des Moines within 24 hours if an in-person meeting is requested by the Agency at the Contractor’s expense.
4. **System Availability**.
   1. The Contractor shall schedule maintenance during the approved maintenance windows and outside of the Agency’s normal Business Hours. An application is considered unavailable when the screens are not responsive to actions taken while using the system. The Agency will notify the Contractor when they have determined the system is unavailable.
   2. The Contractor shall establish a performance dashboard that will report to the selected service level indicators from the Agency applications to indicate availability of the selected application, plus an exception log identifying those applications that were not available during the reporting period. The Contractor shall also include the calculation of user access availability in the report. The frequency, content, and methodology for the reports must be approved by the Agency. The Contractor shall be responsible for providing and maintaining all necessary tele-communications circuits between the Agency offices and the Contractor's facilities.
   3. The Contractor shall provide an automated means to measure and report network response time that meets the Agency requirements. The network response time is measured from the time the transaction is entered until all data is displayed on the screen or print process begins. Network response times are outlined in the performance standards.
5. **System and Software Requirements**.
   1. The Contractor shall maintain the ELIAS system and software, as necessary, to support the ELIAS functions, including the ability to interface with data sources as determined by the Agency.
      1. If customization is needed, the Agency is allowed to selectively apply edits based on Iowa's rules and policies at no additional cost.
      2. Point of Contact. The Contractor shall appoint a dedicated project team with appropriate business and technical expertise for Enhancements, design, and testing.
      3. The Contractor shall comply at all times with the CMS conditions and standards set forth in 42 CFR 433.112(b) and 45 C.F.R. §§ 95.615 and 95.617.
      4. The Contractor shall perform system quality assurance and testing in accordance with the existing Agency-approved systems implementation and testing plans.
      5. The Contractor shall meet the Agency and the OCIO security standards for data collection, storage, and secured electronic transmissions. This includes, but is not limited to, a minimum 256-bit encryption for both authentication and data transmission. See OCIO Standards | Office of the Chief Information Officer (iowa.gov) included in the Procurement Resource library.
      6. From FNS, the SNAP Review of Major Change in Program Design and Management Evaluation Systems (https://www.fns.usda.gov/snap/fr-011916) (also see 7 CFR 272.15 -https://www.ecfr.gov/cgi-bin/retrieveECFR?gp&SID=554a114787306539d28c8b2866266b28&r=PART&n=7y4.1.1.3.20#se7.4.272\_115) and Test Plan requirements (as part of FNS Handbook 901 and 7 CFR 277.18 (7 CFR § 277.18 State Systems Advance Planning Document (APD) process - Code of Federal Regulations (ecfr.io) are applicable to the Contractor. The State also requires support from the Contractor on ensuring that the FNS System Integrity Review Tool (SIRT) (SNAP System Integrity Review Tool | USDA-FNS) requirements are supported. While addressing a major enhancement, the Contractor shall support the State in completing Major Change and Test Plan documentation, as applicable for the “Major Change”. While the State will own and be responsible for documentation submitted for review to FNS, the Contractor will be expected to provide content as directed by the State and also address any questions, concerns, or corrective actions that FNS indicates throughout their review or during SDLC activities.
   2. The Contractor shall ensure that the ELIAS and Contractor solutions:
      1. Accept and maintain accurate current and historical data.
      2. Create sufficient audit trails for all activity as per state and federal regulations regarding data retention; and
      3. Deliver all interfaces timely. Real-time exchange of data shall occur whenever possible to ensure data is consistent and accurate.
   3. The Contractor shall manage application security for the ELIAS systems to ensure access is available and appropriate for all users.
   4. The Contractor shall ensure security safeguards are in place to assure the integrity of system hardware, software, records, and files, including, but not limited to:
      1. Orienting new employees to security policies and procedures
      2. Conducting periodic review sessions on security procedures
      3. Developing lists of personnel to be contacted in the event of a potential or suspected security breach.
      4. Maintaining entry logs for limited access areas
      5. Maintaining an inventory of Agency assets, not including any financial assets
      6. Limiting physical access to systems hardware, software, and libraries; and
      7. Maintaining confidential and critical materials in limited access, secured areas
   5. The Contractor shall update and maintain, subject to Agency approval, a disaster recovery and business continuity plan to address recovery of business functions, business units, business processes, human resources, and the technology infrastructure. The Contractor shall comply with the Agency-approved plan at all times. The Contractor shall protect against hardware and software failures, human error, natural disasters, and other emergencies that could interrupt services and operations. The plan will also address how the Disaster Recovery application environment is recovered for each product component and artifact needed for full system recovery. The Contractor shall update the plans at a minimum yearly and test every two years or upon Agency request if a material change occurs.
   6. The Contractor shall coordinate with and track all systems and software used by the Contractor for Operations, specifically any software packages utilized.
   7. The Contractor shall maintain and support system integration with other systems. See Attachment G (Interfaces).
   8. The Contractor shall support system modifications (including workflow, business rules, data capture) needed as requested, following Agency-approved procedures.
   9. The Contractor shall provide and maintain all applicable system documentation, data model/governance documentation, and business flows for ELIAS and provide to the Agency upon request.
   10. The Contractor shall not use live data, unless prior written approval from the Agency has been granted for any testing required to implement any updates and changes to the ELIAS system.
   11. The Contractor shall develop, maintain, and comply at all times with an Interface Agreement Specifications (IAS) subject to Agency approval. See Attachment H (IAS Template). The IAS shall include, but is not limited to:
       1. The Contractor shall maintain this document with consultation from Agency data management staff and update as changes occur, but not less than annually.
       2. Any Contractor system Enhancements or modifications may be subject to CMS conditions and standards as identified in 42 C.F.R. § 433.112 and either MEET or SMC, as appropriate. Upon Agency request, the Contractor shall engage with the Independent Verification and Validation (IV&V) and participate and cooperate with CMS operation reviews.
6. **Systems & User Documentation.**
   1. The Contractor shall provide to the Agency complete, accurate, and timely documentation of all system components.
   2. All Eligibility System documentation shall be maintained online with access provided for all Agency authorized personnel. The Contractor shall provide the Agency a complete electronic copy of the Eligibility System documentation, including version numbers and modification dates. All previous versions shall be available and viewable online and on demand.
7. **Internal Quality Assurance.**
   1. The Contractor shall follow the Agency-approved quality assurance plan to perform quality assurance. The Contractor shall update as necessary and maintain the quality assurance plan.
   2. The Contractor shall implement quality improvement procedures that are based on proactive improvements rather than retroactive responses. The Contractor must understand the nature of and participate in quality improvement procedures that may occur in response to critical situations and shall assist in the planning and implementation of quality improvement procedures based on proactive improvement. Duties include, but are not limited to:
      1. Monitor the quality and accuracy of the Contractor’s own work.
      2. Perform continuous workflow analysis to improve performance of Contractor functions and submit quarterly reports of the quality assurance activities, findings, and corrective actions (if any) to the Agency electronically. The quality assurance report shall at a minimum show the number of items sampled by category, the number of errors and the percent accurate.
      3. Provide the Agency with a description of any changes to the workflow for approval prior to implementation; and

Survey the submitters of the defects, incidents, and Enhancementsto verify that the user was satisfied with the timeliness, communication, accuracy, and result of the process each month. A report of results of the sample shall be delivered to the Agency by the 15th of each month.

1. **Change Management Process**
   1. A Change Management Request (CMR) shall be used to identify all changes for system maintenance. Work performed under a CMR is included within the cost proposal. Such work shall include but not be limited to:
      1. Repair defects
      2. Perform routine maintenance on reference files
      3. Make additions and modifications to business rules
      4. Make additions and modifications to benefit plans
      5. Make additions and modifications to workflow processes
      6. Manage user security levels of access
   2. A Change Service Request (CSR) will be used to identify all changes for system Enhancements. Work performed under a CSR will be performed under a separate SOW with cost and details to be agreed upon between the parties. Such work shall include but not be limited to:
      1. Make Enhancements to system functionality
   3. Utilize the workflow management tool to track and generate reports on the progress of all CMRs and CSRs. Duties include but are not limited to:
2. Image and include all attachments pertinent to each CMR and CSR, including request, business and technical requirements, test plan and test results and approval sign-off.
3. Provide notification to affected parties when a CMR or CSR status changes.
4. Maintain all changes made by the Agency or the Contractor to each CMR or CSR, identifying the change made, the person making the change and the date and time of the change.
5. Provide status report coding changes, attach test results and record all notes from the Agency and Contractor staff related to each CMR or CSR.
   1. Produce Change Control Reports that are downloadable to other formats such as Excel. Information to be captured shall include at a minimum the following:
6. Change Management Request number
7. Modification description
8. Modification related notes or comments
9. Request date
10. Requester
11. Modification start dates
12. Assigned resource(s)
13. Hours worked to date
14. Documentation impact and status
15. Testing status
16. Agency approval of the modification
17. Implementation date
    1. Be responsive to all requests from the Agency for system modification, whether categorized as maintenance, defect, enhancement, or modification.
    2. Complete CMRs and CSRs on or before requested completion dates.
    3. Provide clear and complete responses to all CSRs including:
18. Definition of the problem
19. Proposed solution
20. Proposed approach to implement the solution
21. Proposed schedule for completion
22. Constraints and assumptions
23. Financial impact
24. Stakeholder impact (e.g., providers, Members, Agency)
25. Estimated effort detailed by:
26. Labor in hours
27. Hours per task
28. Hours per full-time equivalent (FTE)
29. Equipment
30. General and administrative support in hours
31. Ongoing support requirements
32. Documentation
    1. Maintain documented and proven code promotion procedures for promoting changes from the initiation of unit testing, through the final implementation to production. The promotion procedure must maintain separation of duties between solution developers and production promotion to ensure modifications are well tested prior to moving to production.
    2. Maintain documented version control procedures that include the performance of regression tests whenever a code change or new software version is installed, including maintaining an established baseline of test cases, to be executed before and after each update, to identify differences.
    3. Maintain adequate staffing levels to ensure CMRs are completed within the specified timeframe determined by the Agency.
    4. Ensure that all CSRs are addressed within timeframe determined by the Agency.
    5. Update documentation and operational procedures impacted by the change management process.
    6. Provide a status report to the Agency that includes new CMRs/CSRs, closed CMRs/CSRs, and the status for high priority CMRs/CSRs. The report shall include emergency production fixes and system outages during the reporting period. The report shall include performance standard results as requested by the Agency. The report should be delivered to the Agency at a frequency to be determined by the Agency.
33. **System Remediation**. The Contractor shall maintain the ELIAS system for the proposed price. The Contractor shall expeditiously correct any item that CMS, USDA/FNS, or ACF will not certify. The Contractor shall correct the items on a schedule mutually approved by CMS, USDA/FNS, ACF, and the Agency.
34. **Program Management Reporting.**
    1. The Contractor shall provide the Agency with production reports to assist management and administrative personnel monitoring the eligibility system’s performance.
    2. At the Agency’s discretion, the Contractor shall work with the Agency project management office (PMO) office to provide the information needed for project intakes, cost estimates, and resources for the Agency’s projects.
    3. The Program Management Reporting module provides statistical information on key eligibility program functions. Production reports are designed to assist management and administrative personnel monitoring Eligibility System performance. This does not include preparation of federal reports.
35. **Federal Reporting Management.**
    1. The Contractor shall generate required reports to support federal reporting on demand and scheduled within timeframes and formats required by the Agency.
    2. Payment Error Rate Measurement (PERM). The Contractor shall provide support to the Agency during the CMS PERM project on a tri-annual basis and throughout each PERM cycle, as requested. This includes but is not limited to:
       1. Provide timely review on all cases that were identified by the auditors and assigned to the Contractor, to include, but not limited to:
          1. Provide findings with detailed explanation and documentation of agreement or disagreement with the PERM auditor’s findings to the Agency; and
          2. Explain in detail any disputes with CMS findings to the Agency liaison with supporting rationale from the Iowa Administrative Code (IAC), as necessary.
    3. Comply with information protocols and response timeframes determined by the Agency.
    4. Make system changes as identified based on PERM findings.
    5. Modify reports supporting federal reporting as requested by the Agency. Modifications are made available within timeframes required by the Agency.
    6. Conduct research and respond to questions from CMS, OIG, and state auditors regarding federal reports.
36. **Interfaces**
    1. The Contractor shall maintain online updates to the Agency’s data systems or file transfers among the respective partner data systems and the Agency data systems. The Contractor shall have online access and authority to update files on the Agency data systems (except systems that other state agencies operate) as necessary to perform their required responsibilities. These updates require ongoing, effective communication between the respective Contractor and the Agency to assure timely maintenance that is transparent to the Agency’s data systems.
    2. In situations where the Agency permits the Contractor to use external data systems, the Contractor shall provide electronic interfaces from those external data systems to the eligibility system.
    3. A list of present interfaces is included as Attachment G (Interfaces).

**Use of Offshore Resources for limited work.** The Agency will allow the use of offshore resources with approval to conduct certain project related activities (not including technical architecture) subject to limitations. The Contractor shall not conduct any services offshore without the prior written consent of the Agency, which may be withheld in the Agency’s sole discretion.

If the Contractor chooses to use offshore resources, work is limited to the following items:

Offshore resources can only operate in Development and Test environments that do not have any access to production data or connections to the Federal data marketplace

Offshore resource shall not perform any technical architecture activities.

1. **Contractor Responsibilities.** The Contractor shall:
   1. Log time to Project Online / Day-to-day activities
   2. The Contractor shall work with Agency staff to understand the scope, purpose, and implications of each Enhancementrequirement during the planning meeting at the beginning of each agile development cycle (ADC).
   3. The Contractor shall work with the COTS Vendor to ensure system changes do not hamper code feasibility.
   4. The Contractor shall work with additional vendors as needed.
   5. The Contractor shall identify and develop additional rules, as needed, to meet the requirements specified in the Enhancementrequirements and those elaborated or added prior to each ADC, as prioritized by the Agency.
   6. The Contractor shall work with state subject matter experts (SMEs) to further refine the Enhancement requirements and arrive at the detailed design requirements, which must be traced throughout the Agile System Development Life Cycle (ASDLC)
   7. Develop an Implementation Plan for each Enhancement
   8. Maintain the existing production environment
   9. Develop and obtain the Agency approval of the back-out strategy for each implementation
   10. Produce and update all system, testing, user, operations, and security documentation
   11. Produce and distribute report distribution schedule
   12. Ensure compliance with and maintenance of DoIT’s hardware, software, and facility security procedures and process guidelines
   13. Ensure compliance with DoIT’s existing and future development standards
   14. Develop and obtain the Agency approval of the production schedule
   15. Develop and implement backup and recovery procedures
   16. Complete knowledge transfer for all appropriate Agency staff
   17. Communicate to the Agency that the Eligibility System meets performance requirements
   18. Provide unobstructed access to the evaluation team to review operational and system areas
   19. Prepare a Corrective Action Plan (CAP) for problems or deficiencies identified by the contract manager for review and obtain approval by the Agency.
   20. Execute the CAP
   21. Archive all first run federally required reports for inclusion in the CMS, USDA/FNS, and ACF certification documentation.
   22. Contractor shall provide staff to manage and resolve on-call production issues according to the Service Level Agreement (SLA). See Attachment J SLAs and Tasks.
   23. Contribute information for the Operational Advance Planning Document (OAPD), Planning Advance Planning Document (PAPD’s) and Implementation Advanced Planning Document (IAPD’s) yearly.
   24. The Contractor shall provide an electronic “folder” (a type of repository for information that demonstrates that a system criterion is satisfied) for each criterion that contains reports, print screens, or other documentation that demonstrate that the criterion is satisfied.
   25. Assist the Agency in any federal agency requests prior to any site visits, including on-site certification and audit visits.
   26. The Contractor shall provide necessary resources to the Agency for such certification and audits such as and not limited to State, IRS, MARS-E, MEET, SSA.
   27. Contractor shall assign an individual to coordinate all Agency activities for the certification process (to be clarified in Definitions).
   28. IRS audits: The Contractor shall provide necessary resources to the Agency for such audits.
   29. MARS-E documentation:The Contractor shall provide necessary resources to the Agency to complete and maintain for such reviews by CMS and ISPO.
   30. MEET and Streamlined Modular Certification Standards (SMC): The Contractor shall provide necessary resources and documentation to the Agency to complete and maintain for CMS review.
   31. MITA: The Contractor shall provide necessary resources to the Agency to complete and maintain for such reviews.
   32. Reports:The Contractor shall provide necessary resources to the Agency to complete and maintain reports as needed.
   33. Certification cycles for federal hub services and authority to connect: The Contractor shall provide necessary resources to the Agency to complete and maintain documentation for such reviews.
2. **Regulatory Compliance.** System Maintenance and Operational Support components acquired through this procurement are to be fully compliant with state and federal requirements (including HIPAA requirements) in effect as of the date of release for the RFP and with any changes that subsequently occur, unless otherwise noted.

Bidders are responsible for describing how their proposed solution meets and will remain in compliance with state and federal requirements (including HIPAA requirements and privacy and security).

# 1.4.1.4 Turnover Phase

This phase will begin twelve (12) months before the end of the Service Contract, or as requested by the Agency. The Contractor shall prepare for turning over responsibilities and operations at the end of the Contract. The Contractor shall cooperate with the successor Contractor, other Contractors, and the Agency in the planning and transfer of operations. No loss of service should result during the turnover. The Contractor shall dedicate special additional resources to this phase.

* + - 1. **Contractor Responsibilities**

1. Create a schedule for turnover activities and submit the schedule for Agency approval.
2. Track both Agency and Contractor responsibilities associated with the Turnover Phase.
3. Work closely with the successor Contractor, if one exists and the Agency during the planning for the Turnover Phase.
4. Provide a Turnover Plan to the Agency within six months before the start of the Turnover Phase. This Plan must include:
   1. Proposed approach to the turnover
   2. Tasks and sub-tasks for the turnover
   3. Schedule for the turnover
5. Provide all enterprise production data, program libraries, and documentation, including documentation update procedures for the turnover.
6. Provide a statement of resource requirements required by the Agency or a successor Contractor to take over Eligibility System operations.
7. The Contractor shall devise work schedules that are agreeable for both the Agency and the successor Contractor.
8. Transfer all non-proprietary source program code onto media approved by the Agency. The Contractor must submit a letter stating all proprietary source code is held by an escrow agent, approved by the Agency, and is current as of the date of system turnover.
9. Ensure that the Eligibility System is error-free and complete when turned over to the Agency or the successor Contractor; the Agency may make exceptions for low-priority defects that are planned and scheduled for repair, but not completed.
10. Correct, at no cost to the Agency, any malfunctions that existed in the system prior to turnover or that were caused by the lack of support by the Contractor, as may be determined by the Agency.
11. Supply a detailed organizational chart and an estimate of the number, type of personnel to operate the equipment, and other functions of the Agency. The estimate shall be separated by type of activity of the personnel.
12. The Contractor shall provide a statement that includes all resources required to operate the Eligibility System including, but not limited to:
    1. Data processing and imaging equipment
    2. System and special software
    3. Other equipment
    4. Telecommunications circuits
    5. Office space
13. All turnover data shall be delivered in an organized and structured format and must be approved by the Agency.
14. At the turnover date, the Contractor shall transfer to the Agency or the successor Contractor a copy of the Eligibility System data including, but not limited to:
    1. All necessary data and reference files
    2. Imaged documents stored on optical and magnetic disk
    3. All production computer programs
    4. All production scripts, routines, control language, and schemas
15. At turnover, the Contractor shall provide all production documentation including, but not limited to, user and operations manuals, system documentation in hard and soft copy needed to operate and maintain the Eligibility System, and procedures for updating computer programs and other documentation.
16. The Contractor shall provide knowledge transfer to the successor staff in the operation of the Eligibility System. Such knowledge transfer shall be completed at least two (2) months prior to the end of the Contract. Such knowledge transfer shall include:
    1. Computer operations
    2. Controls and balancing procedures
    3. Exception handling
    4. Any manual procedures
17. Draft or update training plans.
18. On a schedule to be determined by the Agency, the Contractor shall package, insure, and deliver all hardware used in the Eligibility System to a location designated by the Agency.
19. At a turnover date to be determined by the Agency, the Contractor shall provide to the Agency or the successor Contractor, all updated computer programs, data and reference files, and all other documentation and records, as will be required by the Agency or its agent to operate the Eligibility System.
20. The Contractor shall turn over all reports associated with the Operations Phase. Reports must be provided to the Agency and placed in a designated folder determined by the Agency.
21. The Contractor shall provide a turnover results report to the Agency.

# 1.4.1.5 Technical Requirements.

High-level and general technical requirements with which the Eligibility System must comply are described below. Bidder fails to be fully responsive in the Bidder’s Approach to Meeting Deliverables Section, states an element of the Scope of Work cannot or will not be met, or does not include information necessary to substantiate that it will be able to meet the Scope of Work specifications.

At a time determined by the Agency, the Contractor shall work with Agency’s Technical Architecture provider to transition the following:

1. **Medicaid Information Technology Architecture (MITA) and SOA.** Maintenance of the eligibility system will also significantly enhance the ability for providers to have prompt access to member eligibility and enrollment information and to ensure that eligible individuals receive the health care benefits to which they are entitled and that providers are reimbursed promptly and efficiently. Eligibility system aligns to MMIS CMS regulations.

**Table 3: SOA Requirements**

|  |  |
| --- | --- |
| **Req. Number** | **Description of Requirement** |
| SO.03 | Standards-Based Interoperability: Maintenance of the eligibility system must be able to support multiple industry standards, including, at a minimum: HL7 (V 3), XML, Extensible Style sheet Language Transformation (XSLT), Web Services Interoperability (WS-I), Web Service Description Language (WSDL), Simple Object Access Protocol (SOAP)1.1 or 2.0, Universal Description , Discovery and Integration (UDDI), Web Services (WS)-BPEL (Business Process Execution Language), Representational State Transfer (REST) (in place of SOAP), W-Message Transmission Optimization  Mechanism (MTOM) Policy. |
| SO.05 | Invoke Interfaces: The Service interfaces must be able to be invoked locally or  remotely. |
| SO.06 | Communication Protocol: A Service must be able to be invoked by multiple  protocols. The choice of protocol must not restrict the behavior of the service. Binding to a specific protocol must take place at run-time and deployment-time and not at the design or development time. |
| SO.07 | Flexibility: The Contractor shall focus on the business processes that comprise the systems, with the following in mind:  a. Ability to adapt applications to changing technologies.  b. Easily integrate applications with other systems.  c. Leverage existing investments in desired legacy applications.  d. Quickly and easily create a business process from existing services. |
| SO.09 | Maintenance of ELIAS shall include:  a. A library of services providing the documentation referencing the services.  b. Use of MITA standard interface definitions (expressed in WSDL) and messages (expressed as an XML and schema) for all services.  c. Use of the MITA/HL7 methodology for defining the information model and messages. |

1. **Compliance with State Standards.**

**Table 4: State Standards Requirements**

|  |  |
| --- | --- |
| **Req. Number** | **Description of Requirement** |
| SS.02 | The Agency will approve industry-standard languages appropriate to the task that operate without additional add-on licenses. |

1. **Environmental Requirements.** The Contractor shall, at the Agency’s request, maintain, update, and provide the following when fully transitioned from the Agency.

**Table 5: Environment Requirements**

|  |  |
| --- | --- |
| **Req. Number** | **Description of Requirement** |
| EV.01 | All non-production environments shall:   1. De-identify member data. 2. Test for EDI syntax integrity. 3. Include a complete online Eligibility test system, including a test version of all batch and online programs and files to be used for testing releases and non-release changes. 4. Provide the ability to execute impact analysis testing of any proposed change. 5. Provide the ability to maintain regression test cases using an automated testing tool approved by DHS to support regression testing. 6. Provide the ability to save and reuse test cases without the need to re-enter the data. 7. Allow testing of separate business areas concurrently and allow concurrent use of any environment by DHS, Contractor, IV&V and QA Services staff. 8. Provide for testing of all CMR before implementation.   Allow users to create and edit provider, member, and health plan records for testing |
| EV.02 | Maintain an automated configuration management process to control the promotion  of rules changes and any associated application programming code changes, COTS software releases system parameter changes and data structure changes from a proposed or development version to a test version to a production version status while retaining automated audit history of the changes. |
| EV.03 | Maintain an automated means to revert the test environment to all the rules in effect  at any previous point in history (of rules engine control) for use in situations to either change the production system back to an earlier version or for use in establishing an isolated environment for an audit or problem diagnosis needing to re-create a previous version of the production environment. |
| EV.04 | Maintain a repository of non-technical project artifacts, including requirements, use cases, storyboards, supplemental specifications, test cases and test scripts, which is regularly maintained. This repository will allow users to view and modify an artifact, as needed, to support requirements gathering or testing. This repository must have search capability and all of the requirements should be cross-referenced to maintain the requirements traceability throughout all artifacts. |

1. **Infrastructure** The Contractor shall maintain and certify the ELIAS System will run efficiently. Server class machines, mass storage devices, security, switches, routers, and similar hardware required to build and maintain the development, test, and production environments will be recommended by the Contractor to the Agency. The Contractor shall have physical and logical access for configuration, networking, and system maintenance operations. The State of Iowa retains the option to purchase through the State procurement channels. Hardware and software must comply with all federal and State regulations and adhere to State IT standards. Infrastructure standards can be found below in Table 6.

**Table 6: Infrastructure and Architecture Requirements**

|  |  |
| --- | --- |
| **Req. Number** | **Description of Requirement** |
| AR.01 | The Contractor shall maintain an integrated eligibility system that meets the Agency requirements and all Iowa functional and business requirements specified in this RFP; meets all CMS certification/operational review requirements. |
| AR.02 | The Contractor shall meet Iowa Enterprise Information Technology standards. |
| AR.03 | The Contractor shall meet Iowa and federal standards concerning web accessibility. |
| AR.04 | The Contractor shall utilize n-tier architecture that minimizes the need for desktop software and is primarily browser based. The system must at a minimum support Edge, Chrome, and Firefox. |
| AR.05 | The Contractor shall warrant all data is stored in relational databases that utilize referential integrity rules to prevent inconsistent data unless authorized by the Agency (for example, documents in the document management system). |
| AR.06 | The Contractor shall maintain system screens that are easy to read, user friendly and display all data elements necessary for a user to perform his and or her job function. |
| AR.07 | The Contractor shall provide and maintain easy navigation to include, but not be limited to, the following:  a. Drop-down menus.  b. Application-specific toolbars.  c. Auto population of persistent data.  d. Direct links to help, reference information, manuals, and documentation.  e. Short-cut and function key functionality.  f. Mouse-over captions for all icons and data elements.  g. Navigation menus, fields, and page tabs.  h. Auto skips from field to field so that the cursor moves automatically to the next field as soon as the last character in the previous field is completely filled.  i. “Forward” and “Back” navigation.  j. The ability to have multiple screens open and toggle from one screen to another to view additional client data |
| AR.09 | The Contractor shall provide and maintain system availability 24/7, other than for scheduled maintenance. |
| AR.10 | The Contractor shall provide and maintain the most current vendor supported version of the product(s), with the Agency’s prior approval through the life of the contract. |
| AR.11 | The Contractor shall provide and maintain Enterprise Application Integration (EAI), to include web services/API technology and standards to promote the Agency’s applications integration. |
| AR.12 | The Contractor shall warrant full HIPAA compliance and the following include the following security compliance requirements through the life of the contract:   1. CMS MARS-E 2. HIPAA 3. IRS Special Publication 1075 4. SSA Technical System Security Requirements (TSSR) version 10.3 5. Any future mandated compliancy requirements |
| AR.13 | The Contractor shall provide and maintain an audit trail for each transaction on the screen, identifying who made the change, what change was made, date and time the change was made, and provide a record of the data prior to the time the change was made. |
| AR.15 | The Contractor shall provide and maintain functionality to interface with multiple entities outside of DHS for exchange of information, such as, a health information exchange, federal data hub, and the Iowa Agency of Public Health. |
| AR.16 | The Contractor shall provide and maintain metadata management that is accessible by the Agency’s staff. The Contractor shall provide context-sensitive help from all screens. |
| AR.17 | The Contractor shall provide and maintain a data dictionary of all applications, client supplied data, and eligibility determinations. The data dictionary must be available and searchable online. Required elements on the data include but not limited to, i.e., business name, field type, length, description, source, valid values. |
| AR.18 | Metadata reports shall be generated to accompany all data extracts to external destinations including but not limited to i.e., audit requests, PERM, and Data Warehouse. |
| AR.19 | Metadata Management: SOA architecture commonly provides application and data  integration via an abstraction layer. Given the requirements of interoperability and independence, the proper use and management of metadata is extremely important to the effective operation of the SOA; It must also allow for:   1. Separation of the data and structures and convert them to a data layer within the SOA architecture.   Achievement of the SOA loosely coupled “separation of concern” approach, by separating the data layer from the application layer to more effectively and easily manage the data without changing the application code. This will create the desired more loosely coupled SOA environment and enable the business to accelerate any system changes required in the future. |

1. **Interfaces.** The Contractor shall maintain interfaces between the eligibility system and the Agency’s data sharing partners and between the eligibility system and the Federal Data Hub. The Agency expects the Contractor to understand the data structure of the system and from where to extract the data to be sent to data sharing partners.

**Table 7: Interface Requirements**

**The Contractor shall:**

|  |  |
| --- | --- |
| **Req. Number** | **Description of Requirement** |
| IN.05 | Include a discussion of the management of the interface creation effort, including re-use of interface built for other clients, strategies for dealing with delays, contingencies, a backup plan, backup personnel, process verification and other issues impacting interface creation. |
| IN.06 | Provide and maintain a detailed contingency plan to identify and mitigate risks that may be encountered during interface creation. |
| IN.07 | Include mapping of data elements to be exchanged through each interface. |
| IN.08 | Describe procedures for tracking and correcting interface problems when encountered and for documenting any revised procedures in the build plan. |
| IN.09 | Provide and maintain a definition of the metrics that will be generated by the build process.   1. These metrics will be used to measure the completeness of the interface builds. 2. These metrics must include data from the receiving or sending partner to ensure completeness. |

Known interfaces that must be maintained can be found in **Attachment G (Interfaces).**

1. **Data Conversion.** The Contractor shall work with the Agency on any future program conversion for the application.
2. **Data Quality.** The Contractor shall provide the following for Data Quality Requirements:

**Table 8: Data Quality Requirements**

|  |  |
| --- | --- |
| **Req. Number** | **Description of Requirement** |
| DQ.01 | The Contractor shall apply industry standards for professional principles of data management, data security, data integrity and data quality control. |
| DQ.02 | The Contractor shall maintain a modern relational database management system. |
| DQ.03 | All tables shall be properly normalized, de-normalized, or dimensionalized for efficient operation. |
| DQ.04 | Relations between tables within databases shall be properly set and controlled. |
| DQ.05 | Database integrity features (such as primary keys, foreign keys, unique constraints) shall be used to enforce field and relationship requirements. |
| DQ.06 | Control shall be in place to prevent duplicate or orphan records. |
| DQ.07 | Transactions shall provide for error recovery (i.e., if the entire transaction does not process completely, the entire transaction is rolled back). |
| DQ.08 | Communication routine shall use integrity checks to assure accuracy of a file before it is processed. |
| DQ.09 | Maintain HIPAA compliance through testing and guidelines developed according to guidelines developed by the Workgroup for Electronic Data Interchange (WEDI)  Strategic National Implementation Process (SNIP) (Note: Implementation Guides are now referred to as Technical Reports Type 3 (TR3s) by ANSI X12. |
| DQ.10 | The Contractor shall maintain the current software integrated into the IIEP solution capable of performing standardization of street addresses to USPS standards, zip code validation, derivation of geo codes from addresses, and derivation of legislative districts from addresses |

1. **Security and Confidentiality**
2. The Contractor shall provide physical site and data security sufficient to safeguard the operation and integrity of the Agency when not occupying state space.
3. In all locations, the Contractor shall safeguard data and records from alteration, loss, theft, destruction, or breach of confidentiality in accordance with both state and federal statutes and regulations including, but not limited to HIPAA requirements. All activity covered by this RFP shall be fully secured and protected.
4. Safeguards designed to assure the integrity of system hardware, software, records, and files include:
5. Orienting new employees to security policies and procedures
6. Conducting periodic review sessions on security procedures
7. Developing lists of personnel to be contacted in the event of a security breach
8. Maintaining entry logs for limited access areas
9. Maintaining an inventory of Agency-controlled assets, not including any financial assets
10. Limiting physical access to systems hardware, software, and libraries
11. Maintaining confidential and critical materials in limited access, secured areas
12. The Agency will have the right to establish backup security for data and to keep backup data files in its possession. Should the Agency choose to exercise this option, it will in no way relieve the Contractor of its responsibilities.

The Contractor shall provide the additional security and privacy requirements below in Table 9:

**Table 9: Security and Privacy Requirements**

|  |  |
| --- | --- |
| **Req. Number** | **Description of Requirement** |
| SP.01 | The Contractor shall use the Agency-provided authentication and authorization service to maintain the ELIAS system. |
| SP.02 | The Contractor shall maintain the capability to establish multilevel security settings by either group(s) or individual(s). Provide an interface that manages field level and role-based security that allows only authorized users to see the information necessary to perform their job efficiently. Role-based security must also be available that allows a level of security to be applied to a specific job category. |
| SP.03 | The Contractor shall maintain security and privacy controls to meet all federal and state requirements including both security and confidentiality and HIPAA in the development and operation of the system. |
| SP.04 | The Contractor shall maintain online screens for the maintenance of security management. |
| SP.05 | The Contractor shall maintain audit and control records of all system and database access transactions and the security model capable of preventing unauthorized use, providing appropriate security reports and alerts. |
| SP.06 | The Contractor shall allow authorized users access to all user history activity including logon approvals and disapprovals. |

1. **Web Portal.** Contractor shall provide the General program needs for the web portal as listed in Table 10.

**Table 10: Web Portal Requirements**

|  |  |
| --- | --- |
| **Req. Number** | **Description of Requirement** |
| WP.01 | Maintain a web portal that is browser-independent and that will operate for most functions, regardless of browser brand, as long as the browser has broad usage (at least 500,000 users nationally at one time) and the version is recent in publication (within the last four years). Web-based claims submission, correction and void and replace may require use of the State-standard version of browsers such as Chrome, Edge, and Firefox. |
| WP.02 | The web portal and other system modules, as required by the Agency, must be available  24 hours per day, 7 days per week (24/7) except for an Agency-approved maintenance window and batch windows. |
| WP.03 | Maintain the capability to accept applications, save partially completed applications, and allow individuals to re-start an abandoned application. |
| WP.04 | Maintain the capability to link the web portal to any other applications, as defined by the Agency. |
| WP.05 | Maintain smart links on the web portal for the Agency and authorized users that provide navigation to tasks that need to be completed by that specific customer. |
| WP.06 | Allow the Agency to identify items for monitoring. Items may be automated operations on the web portal or manual actions. On the Agency request, maintain the parameters being monitored to help the Agency make decisions on other automation opportunities on the portals. |
| WP.07 | Maintain a web portal navigation that all users can easily understand. The portal shall be secure, but not complicated to use and not require multiple sign-in steps. |
| WP.08 | Allow the Agency, contractors, and other approved users to register online for access to the secure areas of the portal based on security rules defined by the Agency. |
| WP.09 | Maintain the capability for an online tutorial functionality. |
| WP.10 | Maintain capability for web portal information to be searchable by keywords. |
| WP.11 | Maintain Contractor or Agency staff contact information and off interactive online support. This will allow the Contractor or Agency staff the capability to respond to online provider questions. |
| WP.12 | Allow for easy navigation between screens through help menus. Instructions shall be provided to point the web portal users to the appropriate area of inquiry or handbook containing the desired information. |
| WP.13 | Maintain Agency usability and content standards (i.e., style guide) and provide a layout that has user-configurable resolution, fonts, and color choices. |
| WP.14 | Maintain and display web content in multiple languages as directed by the Agency. |
| WP.15 | Maintain basic general information about eligibility programs that would be of interest to other collaborating agencies. |
| WP.16 | Maintain the capability to provide HIPAA response transactions via the web portal. |
| WP.17 | Maintain audit trail and history of all transactions conducted on the web portal. |
| WP.18 | Maintain a privacy policy page that allows individuals who wish to submit complaints regarding the misuse of their private health care and/or Medicaid identification information. |
| WP.19 | Maintain the ability to post announcements and alerts (general and member and or provider specific) that are displayed at user sign-on. Users should be required to acknowledge the announcement, so that it is not repeatedly displayed at subsequent sign-on. |
| WP.20 | Maintain archives of posted announcements and non-provider specific alerts, including the date and Message. |
| WP.21 | Maintain HIPAA compliance and support the access, privacy, and security requirements. |
| WP.22 | Maintain multiple level role-based securities as designated by the Agency. |
| WP.23 | Post Frequently Asked Questions (FAQs) online organized by topic or key word search and update periodically as determined by the Agency. |
| WP.24 | Automatically log off users after a set amount of time expires as defined by the Agency. A warning message shall be displayed prior to session timeout. |
| WP.25 | Maintain the functionality to display informational Messages in descending date order (most recent to oldest). |
| WP.26 | Support the ability to receive and respond to secure messaging and HIPAA compliant transactions from data exchange partners. |
| WP.27 | Maintain the capability to allow an individual to apply for services by any of the following methods:   1. Electronically on the web portal. 2. By downloading printable application forms from the web portal. |
| WP.28 | Support ability to utilize electronic and/or digital signatures in compliance with the Agency,  State, and federal policies. |
| WP.29 | Maintain a trigger mechanism to identify web applications for which required paper documents have not been received and auto-generate a resolution letter to the applicant. |
| WP.30 | Log, track, and transmit supporting documentation as needed or directed by the Agency. |
| WP.31 | Maintain web functionality to allow individuals to verify their current information and update as needed. |
| WP.32 | Maintain web functionality to allow individuals to check the status of their application for services. |
| WP.33 | Maintain inputs including, but not limited to:   1. Updates to content. 2. Alert information. |
| WP.34 | Maintain workflow and attestation for meaningful use of electronic health records. |
| WP.35 | Maintain search capability based on wild cards or any combination of fields. For web portals, provide site-wide search capabilities for all documents within the web portal. |

1. **Contractor Responsibilities for Web Portal**
2. Maintain the necessary hardware and software to establish a web portal, designed to Agency specifications.
3. Maintain the web portal infrastructure.
4. Update the content of the web portal after agreed-upon timeline upon receipt of the Agency approval.
5. Comply with the Agency usability and content standards (i.e., style guide) and provide a layout that has user-configurable resolution, fonts, and color choices.
6. Comply with all ADA standards.
7. Update interactive content such as, but not limited to, alerts or current fee schedule on the web, as required by the Agency within approved timeframes.
8. Monitor the web environment to evaluate the adequacy of infrastructure to support access by partners and members.
9. Notify the Agency within thirty (30) minutes of the downtime in the event of unscheduled downtime. If the Agency requires, provide a written and the Agency-approved action plan to resume system activity and provide a time when the system is will be available. Weekly reports to the Agency must be produced detailing all system downtime.
10. Obtain approval from the Agency of all documents and functionality (e.g., applications, manuals, handbooks, notices, welcome packets, and others) before being posted.
11. **Agency Responsibilities** **for Web Portal**
12. Approve all web content
13. Provide wording for alerts
14. Provide guidelines for authorizing users
15. Provide all rules and policies
16. **Performance Standards for Web Portal.** The Contractor shall:
17. Maintain operational procedure manuals within 10 business days of the approval of the implementation procedure or change by the Agency.
18. Maintain the Agency-defined reports within the required timeframe determined by the Agency.
19. The initial accuracy measurement upon submission of all documents and reports will be determined by the Agency.
20. **Business Rules Engine.** The Agency currently uses the OPA (Oracle Policy Automation) Rules Engine. The Contractor shall make rule changes and revisions to rule sets as needed to ensure development schedules are met and maintain existing rule sets.

Table 11 below further describes the required functions of the Business Rules Engine. The Contractor shall provide the following services regarding the Rules Engine:

**Table 11: Rules Engine Requirements**

|  |  |
| --- | --- |
| **Req. Number** | **Description of Requirement** |
| RE.01 | Maintain the existing rules engine design which supports multiple eligibility programs. The Contractor shall have the capability to maintain existing rules related to the following general categories including both a business and technical definition of the rule:  a. Medicaid rules  b. CHIP rules  c. Tax credit rules  d. QHP supplement rules  e. Any other medical programs not previously mentioned |
| RE.02 | Maintain a rules engine sufficiently scalable to meet rules growth and processing demands. |
| RE.03 | Maintain role-based security to create/edit rules. |
| RE.04 | Maintain a graphical front-end to the rules-engine, integrated throughout the development environment, enabling designated staff to easily connect and apply or disable rules. |
| RE.06 | Support flexibility with respect to customization of the rules to support processing requirements throughout the program portfolio. |
| RE.07 | Support adaptability to easily accommodate timely changes in response to federal, legislative, or administrative mandates. |
| RE.08 | Maintain capability for the user to view and model rules for system exceptions online and to trace exception rules dependencies. |
| RE.09 | Maintain a debugging process that automatically analyzes and identifies logical errors (i.e., conflict, redundancy, and incompleteness) across business rules. |
| RE.10 | Allow for the tracking and reporting of rules usage and orchestration to provide tracing capability to display instances of rules execution during  testing. |
| RE.11 | Produce and maintain documentation regarding all business rules in electronic format and make it accessible to the Agency. |
| RE.12 | Maintain the capability to manage implementation timing. |
| RE.13 | Allow for rules to be date specific, including date added, date modified, start date, end date and effective date. |
| RE.14 | Maintain a modular structure so that the same rules engine can be used by different services or be called as a service itself. |
| RE.15 | Contain a process for a built-in multi-level rule review and approval process  that will identify any conflicts in business rules as they are being developed. |
| RE.16 | Store all rules maintenance activities in an audit trail that provides a history of  the rule changes. Maintain capability to ensure that all rule changes are recorded and retained in a long-term audit repository saving the before and after version of the change and the date, time and identification of the individual who made the change and the effective time period of the rule. |
| RE.17 | Maintain the capability to establish and link notes to rules to explain why the rule was modified, created, or inactivated. |
| RE.18 | Maintain a rules search capability by keyword, data element or other criteria so that staff may search for existing rules. |

* + - * 1. **Contractor Responsibilities for Rules Engine.** The Contractor shall:

1. Maintain governance structure to ensure rules are organized and manageable.
2. Maintain the rules within the rules engine and make all required modifications as directed by the Agency.
3. Provide management summary reports on the overall status, and all rules engine modifications during a given period.
4. Maintain a rules engine(s), which can be queried online.
5. Maintain the documentation to support the reason for each change to a rule as directed by the Agency.
6. Implement new rules within one business day after acceptance by the Agency.
7. Revise or terminate rules within one business day after acceptance by the Agency.
8. Create and/or update operational procedure manuals within 10 business days of the approval of the implementation procedure or change by the Agency.
9. Produce the Agency-defined reports within the required timeframe determined by the Agency.

The Agency will determine the initial accuracy measurement upon submission of all documents and reports.

1. **Agency Responsibilities for Rules engine.** The Agency will:
2. Approve all rules prior to implementation
3. Provide guidance on rule development
4. Monitor the frequency of rule changes
5. **Other Software.** The Agency retains the option to require the Contractor to purchase any other software or to purchase them through Agency procurement channels to enable the Contractor to build the environments and configure the systems. The Agency will own the purchased software and will maintain the license agreement. See **Attachment K List of Agency Software** for software used and owned by the Agency.

Contractor requirements for software are listed below in Table 12

**Table 12: Software and Licensing Requirements**

|  |  |
| --- | --- |
| **Req. Number** | **Description of Requirement** |
| SL.01 | Contractor shall comply with the contractual obligations by the Agency’s License Agreement and any subsequent Agency License Agreement. |
| SL.02 | The Contractor shall be responsible for operation of the system through CMS operational reviews and life of the contract. |
| SL.03 | The Contractor shall be responsible to install and configure the purchased software. |

# 1.4.2 Contractor Performance Measures.

1. **Transition.** The Contractor shall:
   1. Submit operations, system implementation, and transition plans to the Agency for approval as specified.
   2. Submit the remaining plans to the Agency to the Agency for approval as specified.
   3. Submit Operational Procedures and Process Guidelines (PGL) to the Agency for approval within sixty (60) calendar days after the execution of this Contract.
   4. Update Operational Procedures and Process Guidelines (PGL) with any changes to the methods and procedures used by the Contractor within ten (10) business days of the change.
2. **Maintenance and Operations.** The Contractor shall:
   1. Submit all required Corrective Action Plans (CAPs) within sixty (60) calendar days.
   2. Submit all required CMS, USDA/FNS, and ACF documentation when required.
   3. Maintain and update the Eligibility system documentation. The Contractor shall provide one copy of systems documentation within sixty (60) calendar days prior to the changes being implemented. ; additionally, any updates to the systems documentation shall be submitted to the Agency during the Maintenance and Operations Phase on a quarterly basis.
   4. The electronic version of the approved systems documentation and user documentation for the Eligibility System shall be published within three (3) business days of the Agency’s approval:
      1. Provide system availability at 99.99% during Business Hours and obtain approval for scheduled maintenance from the Agency
      2. Provide monthly availability statistics to the Agency during the Maintenance and Operations phase.
   5. The Contractor shall maintain and update the ELIAS System user documentation; the Contractor shall provide one copy of the user documentation within sixty (60) calendar days, prior to the changes being implemented, additionally, all updates to the user documentation shall be submitted to the Agency during the Maintenance and Operations Phase on at least a quarterly basis, or as significant changes to the system require new user instructions.
   6. Provide monthly availability statistics to the Agency during the Maintenance and Operations phase.
   7. Provide a monthly report on the second business day of the following month on system performance and computer resource usage, including trend analysis, as well as recommendations on potential changes to improve the efficiency and effectiveness of delivery of application support services.
   8. Internal QA functions:
      1. Identify deficiencies and provide the Agency a corrective action plan within ten (10) business days of the discovery of a problem found through the internal quality control reviews.
      2. Meet ninety-eight (98) percent of the corrective action commitments within the agreed upon timeframe.
      3. See Attachment J (SLAs and Tasks)
   9. Routine system maintenance activities:
      1. Ensure that the prioritized list of items to be worked is maintained, visible, and easily accessible by the Agency. For items that are prioritized into an ADC, the Contractor shall follow the standard approved process for coding, testing, integration, and consideration for release. The Contractor shall provide a method to ‘fast track’ system maintenance or Enhancements that is deemed to be an “emergency request”.
      2. The Contractor shall notify the Agency within 24 hours if the Contractor finds an issue or defect. Failure to do so will result in corrective actions such as payment withholds until defects are corrected. The Contractor shall be responsible for the research, coding and testing of the issue or defect. Prior to implementing any changes in production, the Contractor shall present the test results to the Agency for approval. This work shall be done without impacting scheduled Agency requests.
      3. Emergency Requests shall be responded to within 24 hours and scheduled for release according to the Agency’s needs.
      4. Notify the Agency within 24 hours if planned functionality cannot be deployed in the expected release of code to production.
   10. System Modification:
       1. Within ten (10) business days of receiving a CMR for system Enhancement or modification, the Contractor shall notify the Agency. The Contractor shall provide to the Agency an understanding of the requirements and propose a schedule for completion. When a more thorough assessment of the impact of the change on operations and contract costs, as designated by the Agency, is necessary, the Contractor shall request the assessment and provide the information to the Agency.
       2. The Contractor shall update all affected system documentation within 10 business days of the Agency acceptance of the Enhancement or modification for release to production.
       3. If the Contractor finds an issue or defect, the Contractor shall notify the Agency within 24 hours. Failure to do so will result in sanctions such as payment withholds being assessed. The Contractor shall be responsible for the research, coding, and testing of the issue or defect. Prior to implementing any changes in production, the Contractor shall present the test results to the Agency for approval. This work shall be done without affecting scheduled Agency requests.
   11. The following apply to all reports:
3. All standard production reports must be available online for review by the Agency staff pursuant to the following schedule:
4. Daily reports – by 6:00 a.m. CT of the following business day
5. Weekly reports – by 6:00 a.m. CT of the next business day after the scheduled production date
6. Monthly reports – by 6:00 a.m. CT of the first business day after month end cycle
7. Quarterly reports – by 6:00 a.m. CT of the fifth business day after quarterly cycle
8. Annual reports – by 6:00 a.m. CT of the 10th business day after year end cycle (state fiscal year, federal fiscal year, waiver year, or calendar year).
9. Balancing reports are to be provided to the Agency within two business days after completion of the program management reporting production run.
10. When an error in a report is identified either by the Contractor or by the Agency, provide an explanation as to the reason for the error within one business day and correct the report within one business day following the date the error was identified unless the Agency authorizes additional time for correction.
11. Data files for all reports must be made available on the Agency data center servers and accessible online within one business day of completion.
12. Create and/or update operational procedure manuals within ten (10) business days of the approval of the procedure implementation or change by the Agency.
13. Produce Agency-defined reports within the required timeframe as determined by the

Agency.

1. The initial accuracy measurement upon submission of all documents and reports will be determined by the Agency.
   1. The following apply to all Federal reports:
2. All required Federal reports shall be available online for review by the Agency staff pursuant to the following schedule:
3. Daily reports – by 6:00 a.m. CT of the following business day.
4. Weekly reports – by 6:00 a.m. CT of the next business day after the scheduled production date.
5. Create and/or update operational procedure manuals within 10 business days of the approval of the procedure implementation or change by the Agency.
6. Produce the Agency-defined reports within the required timeframe as determined by the Agency.
   1. Service Levels shall be maintained for addressing incidents and defects as set forth in Attachment J.
   2. System Performance Production Expectations
   3. Specific metric objectives for Production performance
      1. No pages will take longer than 15 seconds (MAX)
      2. No responses will take longer than 10 seconds (MAX)
      3. All increases in response times (MIN – AVG) that are greater than 25% will be investigated, explained and mitigated.
      4. All Nightly and Monthly Batches will complete within the allocated down time defined by schedule.
      5. All increases in Nightly and Monthly Batches timeframe will be investigated, explained, and mitigated as needed.
   4. See also Attachment J SLAs and Tasks
7. **Turnover Phase.** One hundred percent (100%) of all turnover activities must be completed and approved by the Agency.

# 1.4.3 Agency Responsibilities.

1. Name the executive sponsor for project.
2. Review all Contractor deliverables.
3. Identify the members for the project team.
4. Provide the Agency project team.
5. Review and approve all requirements prior to each deployment.
6. Review the scope, purpose, and implications of each of the Agency’s requirements prior to each deployment.
7. Review and approve design documents and deliverables.
8. Serve as the point of contact with CMS, USDA/FNS, ACF or OMB.
9. Communicate all pertinent information from the Contractor to CMS, USDA/FNS, ACF or OMB and from CMS, USDA/FNS, ACF or OMB to the Contractor.
10. Review and approve the CMS, USDA/FNS, and ACF Certification Readiness Checklists.
11. Facilitate certification meetings.
12. Review and approve all enterprise changes and schedule.
13. Identify deficiencies and review corrective action plans.
14. Consult with the Contractor on quality improvement measures and determination of areas to be reviewed.
15. Monitor the Contractor’s performance of all Contractor responsibilities.
16. Review and approve proposed corrective action(s) taken by the Contractor.
17. Monitor corrective actions taken by the Contractor.
18. Determine the frequency, format, content, media, and number of copies of reports.
19. Review and approve reports.
20. Submit appropriate information, as deemed necessary by the Agency, to be merged with the eligibility history file for reporting.
21. Provide direction on the requirements of each federal report.
22. Identify and approve changes to be made to the federal reporting.
23. Review all federal reports.
24. Initiate and interpret policy and make administrative decisions.
25. Determine the need, content, format, media, and number of copies for each federal report.
26. Determine the schedule for production of all federal reports.
27. Monitor the performance of the Contractor in all areas of the federal reporting function.
28. Notify the Contractor of the Agency’s intent to transfer or replace system operations at least 12 (twelve) months prior to the end of the contract.
29. Review and approve a Turnover Plan to facilitate transfer to the Agency or to its designated agent.
30. Review and approve a statement of resources, which would be required to take over ELIAS Systems operations by the Agency.
31. Make the Agency staff or designated agent staff available to be trained in the operations of the ELIAS System.
32. Coordinate the transfer of the Agency documentation in hard and soft copy formats, software, and data files.
33. Review and approve a turnover-results report that documents completion of each step of the Turnover Plan.
34. Obtain post turnover support from the Contractor in the event of software malfunction.
35. The Agency will supply a detailed list of existing interfaces. The list will contain the data elements exchanged and the field layouts for each type of record sent or received or the signature when web services are used. **See Attachment G Interfaces.** This list is subject to change before the contract is awarded

# 1.4.4Contract Payment Methodology.

1. **Transition Costs.** The Contractor shall invoice transition costs in two equal installments according to the following milestones:
2. The first milestone shall be the Agency’s acceptance of the finalized work plans, Operational Procedures Manuals and PGLs, and the VSQ.
3. The second milestone shall be the Contractor’s successful transition to Operations, approved by the Agency.
4. **Operations Costs.** The Contractor shall be paid a fixed monthly amount for maintenance services rendered and an hourly rate for approved CMRs.
5. Deliverables and Performance Measure Withholding Payment.
   1. The Contractor shall invoice 92% of the fixed amount each month. The Agency will withhold 8% of the monthly amount to assure the Contractor completes Deliverables, SLA’s, Tasks, and Performance Measures.
   2. In order to claim the withhold amount, the Contractor shall show in the monthly performance report that each Deliverable, SLA, Task, and performance measure has been met. Determination of whether performance measures have been met is strictly and solely at the discretion of the Agency.
6. CMR payments are subject to the 8% withhold. CMR hourly rates may only be billed for applicable work approved and prioritized by the Agency in a CMR and must be additional systems resources provided to perform beyond the minimum staff identified in Section 1.4.1.1 Staffing. The Contractor shall not bill for M&O activities under CMR work, whether the hours are performed by the minimum staff or by additional resources brought in to backfill. The CMR shall breakout costs for onshore and offshore resources. The Contractor shall invoice the Agency for the remaining 8% holdback upon Agency confirmation that all defects identified within 90 days of post-production logged in the production log are fixed by the Contractor and are in production.
7. The Agency reserves the right to withhold 5 % of the monthly payment due Contractor if Contractor fails to comply with RFP Section 1.4.1.1 Staffing. In the event that the Contractor fails to fill a key personnel position and the position remains vacant for a period of thirty (30) days or more, the Agency reserves the right to permanently retain the withhold.
8. **Technical Architecture.** It is at the Agency’s discretion if Technical Architecture work will be needed. Technical Architecture rates are billed monthly using actual hours and subject to a 10% withhold. The 10% withhold shall be released when Deliverables, SLA’s, Tasks, and performance measures are met upon Agency confirmation.
9. Technical architecture transition payments. The Contractor shall invoice transition costs in two equal installments according to the following milestones:
   1. The first milestone shall be the Agency’s acceptance of the finalized technical architecture transition plan.
   2. The second milestone shall be the Contractor’s successful technical architecture transition to Operations, approved by the Agency.

**Technical Architecture ongoing maintenance.** Ten percent (10%) of the total ongoing monthly technical architecture maintenance costs shall be retained for Deliverables, SLA’s, Tasks, and performance. The retained funds will be released to the Contractor at the end of each contract year when Contractor has fulfilled its obligations under the Contract for that time period.

1. **Withholding of Final Payment.** The final Contract payment will be based on the Contractor meeting all turnover deliverables and must receive approval from the Agency. The Agency will withhold the last full monthly payment due at the end of the Contract until such time as the Contractor has fully completed all Turnover activities and completely closed out the Contract.

**Section 2 Basic Information About the RFP Process**

**2.1 Issuing Officer.**

The Issuing Officer is the sole point of contact regarding the RFP from the date of issuance until selection of the successful Bidder. The Issuing Officer for this RFP is:

Kristin Jones

1305 E Walnut St  
Des Moines, IA 50309

Phone: 515-321-4262

MED-22-005@dhs.state.ia.us

**2.2 Restriction on Bidder Communication.**

From the issue date of this RFP until announcement of the successful Bidder, the Issuing Officer is the point of contact regarding the RFP. There may be no communication regarding this RFP with any State employee other than the Issuing Officer, except at the direction of the Issuing Officer or as otherwise noted in the RFP. This section shall not be construed as restricting communications related to the administration of any contract currently in effect between a Contractor and the Agency.

The Issuing Officer will respond only to questions regarding the procurement process. Questions pertaining to the interpretation of this RFP may be submitted in accordance with the Questions, Requests for Clarification, and Suggested Changes section of this RFP.

**2.3 Downloading the RFP from the Internet.**

The RFP and any related documents such as amendments or attachments (collectively the “RFP”), and responses to questions will be posted at the State of Iowa’s website for bid opportunities: <http://bidopportunities.iowa.gov/>. Check this website periodically for any amendments to this RFP. The posted version of the RFP is the official version. The Agency will only be bound by the official version of the RFP document(s). Bidders should ensure that any downloaded documents are in fact the most up to date and are unchanged from the official version.

**2.4 Online Resources.**

Resources related to this RFP are available at the following website : <https://dhs.iowa.gov/dhs.iowa.gov/med-22-005_resource_library>.

**2.5 Intent to Bid.**

The Agency requests that Bidders provide their intent to bid by email to the Issuing Officer by the date and time in the Procurement Timetable. The Bidder may wish to request confirmation of receipt of the email from the Issuing Officer to ensure delivery. Do not submit letters of intent by mail, shipping service, or hand delivery. The intent to bid should include the Bidder's name, contact person, mailing address, email address, telephone number, and a statement of intent to submit a bid in response to this RFP. Though it is not mandatory that the Agency receive an intent to bid, the Agency will only respond to questions about the RFP that have been submitted by Bidders who have expressed their intent to bid. The Agency may cancel an RFP for lack of interest based on the number of letters of intent to bid received.

**2.6 Reserved.**

**2.7 Questions, Requests for Clarification, and Suggested Changes.**

Bidders who have provided their intent to bid on the RFP are invited to submit written questions, requests for clarifications, and/or suggestions for changes to the specifications of this RFP (hereafter “Questions”) by the due date and time provided in the Procurement Timetable. Bidders are not permitted to include assumptions in their Bid Proposals. Instead, Bidders shall address any perceived ambiguity regarding this RFP through the question and answer process. If the Questions pertain to a specific section of the RFP, the page and section number(s) must be referenced. Bidders shall submit questions to the Issuing Officer by email. The Bidder may wish to request confirmation of receipt from the Issuing Officer to ensure delivery. Do not submit questions by mail, shipping service, or hand delivery.

Written responses to questions will be posted at <http://bidopportunities.iowa.gov/> by the date provided in the Procurement Timetable.

The Agency assumes no responsibility for verbal representations made by its officers or employees unless such representations are confirmed in writing and incorporated into the RFP. In addition, the Agency’s written responses to Questions will not be considered part of the RFP. If the Agency decides to change the RFP, the Agency will issue an amendment.

**2.8 Submission of Bid Proposal.**

Each Bidder is responsible for ensuring that the Issuing Officer receives the Bid Proposal by the time and date specified in the Procurement Timetable at the address provided in the RFP for the Issuing Officer. The Agency will not waive this mandatory requirement. Any Bid Proposal received after this deadline will be rejected and will not be evaluated.

Bid Proposals are to be submitted in accordance with the Bid Proposal Formatting section of this RFP. Bid Proposals may not be hand-delivered to the Issuing Officer. Rather, Bid Proposals are to be mailed through the postal service or shipping service.

**2.9 Amendment to the RFP and Bid Proposal.**

Each Bidder is responsible for ensuring that the Issuing Officer receives the Bid Proposal and any permitted amendments by the established deadlines at the address provided in the RFP for the Issuing Officer. Amendments must be received utilizing the same delivery method as set forth in the RFP for the submission of the original Bid Proposal.

Bidders may amend a previously submitted Bid Proposal at any time before the bid submission date and time. Any such amendment must be in writing and signed by the Bidder. The Bidder shall provide the same number of copies of the amended Bid Proposal as is required for the original Bid Proposal, for both hardcopy and electronic copies, in accordance with the Bid Proposal Formatting Section.

The Agency reserves the right to amend or provide clarifications to the RFP at any time. RFP amendments will be posted to the State’s website at <http://bidopportunities.iowa.gov/>. If an RFP amendment occurs after the closing date for receipt of Bid Proposals, the Agency may, in its sole discretion, allow Bidders to amend their Bid Proposals.

**2.10 Withdrawal of Bid Proposal.**

The Bidder may withdraw its Bid Proposal prior to the closing date for receipt of Bid Proposals by submitting a written request to withdraw signed by the Bidder, scanned, then emailed to the Issuing Officer. The Bidder should request confirmation of receipt of the email from the Issuing Officer to ensure delivery.

**2.11 Costs of Preparing the Bid Proposal.**

The costs of preparation and delivery of the Bid Proposal are solely the responsibility of the Bidder.

**2.12 Rejection of Bid Proposals.**

The Agency reserves the right to reject any or all Bid Proposals, in whole and in part, and to cancel this RFP at any time prior to the execution of a written contract. Issuance of this RFP in no way constitutes a commitment by the Agency to award or enter into a contract.

**2.13 Review of Bid Proposals.**

Only Bidders that meet the mandatory requirements and are not subject to disqualification will be considered for award of a contract.

2.13.1 Mandatory Requirements.

Bidders must meet these mandatory requirements or will be disqualified and not considered for award of a contract:

* The Issuing Officer must receive the Bid Proposal, and any amendments thereof, prior to or on the due date and time (See RFP Sections 2.8 and 2.9).
* The Bidder is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from receiving federal funding by any federal Agency or agency (See RFP Additional Certifications Attachment).
* The Bidder’s Cost Proposal adheres to any pricing restrictions regarding the project budget or administrative costs (See RFP Section 3.3).

2.13.2 Reasons Proposals May be Disqualified.

Bidders are expected to follow the specifications set forth in this RFP. However, it is not the Agency’s intent to disqualify Bid Proposals that suffer from correctible flaws. At the same time, it is important to maintain fairness to all Bidders in the procurement process. Therefore, the Agency reserves the discretion to permit cure of variances, waive variances, or disqualify Bid Proposals for reasons that include, but may not be limited to, the following:

* Bidder initiates unauthorized contact regarding this RFP with employees other than the Issuing Officer (See RFP Section 2.2).
* Bidder fails to comply with the RFP’s formatting specifications so that the Bid Proposal cannot be fairly compared to other bids (See RFP Section 3.1).
* Bidder fails, in the Agency’s opinion, to include the content required for the RFP.
* Bidder fails to be fully responsive in the Bidder’s Approach to Meeting Deliverables Section, states an element of the Scope of Work cannot or will not be met, or does not include information necessary to substantiate that it will be able to meet the Scope of Work specifications (See RFP Section 3.2.3);
* Bidder’s response materially changes Scope of Work specifications.
* Bidder fails to submit the RFP attachments containing all signatures (See RFP Section 3.2.6).
* Bidder marks entire Bid Proposal confidential, makes excessive claims for confidential treatment, or identifies pricing information in the Cost Proposal as confidential (See RFP Section 3.1).
* Bidder includes assumptions in its Bid Proposal (See RFP Section 2.7); or
* Bidder fails to respond to the Agency’s request for clarifications, information, documents, or references that the Agency may make at any point in the RFP process.
* Bidder is a “scrutinized company” included on a “scrutinized company list” created by a public fund pursuant to Iowa Code §12J.3. This list is maintained by the Iowa Public Employees’ Retirement System. The list is currently found here: [Restrictions | Welcome To IPERS](https://ipers.org/investments/restrictions)

The determination of whether or not to disqualify a proposal and not consider it for award of a contract for any of these reasons, or to waive or permit cure of variances in Bid Proposals, is at the sole discretion of the Agency. No Bidder shall obtain any right by virtue of the Agency’s election to not exercise that discretion. In the event the Agency waives or permits cure of variances, such waiver or cure will not modify the RFP specifications or excuse the Bidder from full compliance with RFP specifications or other contract requirements if the Bidder enters into a contract.

**2.14 Bid Proposal Clarification Process.**

The Agency may request clarifications from Bidders for the purpose of resolving ambiguities or questioning information presented in the Bid Proposals. Clarifications may occur throughout the Bid Proposal evaluation process. Clarification responses shall be in writing and shall address only the information requested. Responses shall be submitted to the Agency within the time stipulated at the occasion of the request.

**2.15 Verification of Bid Proposal Contents.**

The contents of a Bid Proposal submitted by a Bidder are subject to verification.

**2.16 Reference Checks.**

The Agency reserves the right to contact any reference to assist in the evaluation of the Bid Proposal, to verify information contained in the Bid Proposal, to discuss the Bidder’s qualifications, and/or to discuss the qualifications of any subcontractor identified in the Bid Proposal.

**2.17 Information from Other Sources.**

The Agency reserves the right to obtain and consider information from other sources concerning a Bidder, such as the Bidder’s capability and performance under other contracts, and the Bidder’s authority and ability to conduct business in the State of Iowa. Such other sources may include subject matter experts.

**2.18 Criminal History and Background Investigation.**

The Agency reserves the right to conduct criminal history checks and background investigations (hereafter, “Investigations”) of the Bidder and the Bidder’s officers, directors, shareholders, partners, and managerial and supervisory personnel involved in the performance of the Contract. The Agency’s right to perform such Investigations also extends to the Bidder’s staff, agents, or subcontractors who may have direct contact with the Agency’s clients or those that may provide services for the Agency’s clients. By submitting its Proposal, the Bidder hereby explicitly authorizes the Agency to conduct such Investigations. These Investigations may include, but may not be limited to: Child Abuse Registry, Dependent Adult Abuse Registry, Sexual Offender Registry Checks, and DCI/FBI Criminal History Record checks for specific categories of persons who may have direct contact with the Agency’s clients or may provide services for the Agency’s clients. Upon the Agency’s request, the Bidder shall fully cooperate with the Agency in obtaining authorizations on Agency forms and any required waivers or releases in a timely manner. The Agency may determine, in its sole discretion, to either not award or not enter into a contract with a bidder, or to terminate a subsequent contract, based on the results of these Investigations.

**2.19 Disposition of Bid Proposals.**

Opened Bid Proposals become the property of the Agency and will not be returned to the Bidder. Upon issuance of the Notice of Intent to Award, the contents of all Bid Proposals will be in the public domain and be open to inspection by interested parties subject to exceptions provided in Iowa Code chapter 22 or other applicable law.

**2.20 Public Records and Request for Confidential Treatment.**

Original information submitted by a Bidder may be treated as public information by the Agency following the conclusion of the selection process unless the Bidder properly requests that information be treated as confidential at the time of submitting the Bid Proposal. See the Bid Proposal Formatting Section for the proper method for making such requests. The Agency’s release of information is governed by Iowa Code chapter 22. Bidders are encouraged to familiarize themselves with Chapter 22 before submitting a Bid Proposal. The Agency will copy public records as required to comply with public records laws.

The Agency will treat the information marked confidential as confidential information to the extent such information is determined confidential under Iowa Code chapter 22 or other applicable law by a court of competent jurisdiction. However, the Bidder shall certify by signing and returning RFP Attachment B its understanding that any Agency references to Bid Proposal information marked confidential made during the evaluation process may become part of the public domain

In the event the Agency receives a request for information marked confidential, written notice shall be given to the Bidder seventy-two (72) hours prior to the release of the information to allow the Bidder to seek injunctive relief pursuant to Iowa Code § 22.5 or 22.8.

The Bidder’s failure to request confidential treatment of material pursuant to this section and the relevant law will be deemed, by the Agency and State personnel, as a waiver of any right to confidentiality that the Bidder may have had.

**2.21 Copyrights.**

By submitting a Bid Proposal, the Bidder agrees that the Agency may copy the Bid Proposal for purposes of facilitating the evaluation of the Bid Proposal or to respond to requests for public records. By submitting a Bid Proposal, the Bidder acknowledges that additional copies may be produced and distributed, and represents and warrants that such copying does not violate the rights of any third party. The Agency shall have the right to use ideas or adaptations of ideas that are presented in the Bid Proposals.

**2.22 Release of Claims.**

By submitting a Bid Proposal, the Bidder agrees that it shall not bring any claim or cause of action against the Agency based on any misunderstanding concerning the information provided herein or concerning the Agency's failure, negligent or otherwise, to provide the Bidder with pertinent information as intended by this RFP.

**2.23 Reserved.**

**2.24 Notice of Intent to Award.**

Notice of Intent to Award will be sent to all Bidders that submitted a Bid Proposal by the due date and time. The Notice of Intent to Award does not constitute the formation of a contract between the Agency and the apparent successful Bidder.

**2.25 Acceptance Period.**

The Agency shall make a good faith effort to negotiate and execute the contract. If the apparent successful Bidder fails to negotiate and execute a contract, the Agency may, in its sole discretion, revoke the Notice of Intent to Award and negotiate a contract with another Bidder or withdraw the RFP. The Agency further reserves the right to cancel the Notice of Intent to Award at any time prior to the execution of a written contract.

**2.26 Review of Notice of Disqualification or Notice of Intent to Award Decision.**

Bidders may request reconsideration of either a notice of disqualification or notice of intent to award decision by submitting a written request to the Agency:

Bureau Chief

c/o Bureau of Service Contract Support

Department of Human Services

Hoover State Office Building, 1st Floor

1305 E. Walnut Street

Des Moines, Iowa 50319-0114

email: [reconsiderationrequest@dhs.state.ia.us](mailto:reconsiderationrequest@dhs.state.ia.us)

The Agency must receive the written request for reconsideration within five days from the date of the notice of disqualification or notice of intent to award decision, whichever is earlier. The written request may be emailed or delivered by postal service or other shipping service. Do not deliver any requests for reconsideration to the office in person. It is the Bidder’s responsibility to ensure that the request for reconsideration is received prior to the deadline. Postmarking or submission to a shipping service by the due date shall not substitute for actual receipt of a request for reconsideration by the Agency.

The request for reconsideration shall clearly and fully identify all issues being contested by reference to the page and section number of the RFP. If a Bidder submitted multiple Bid Proposals and requests that the Agency reconsider a notice of disqualification or notice of intent to award decision for more than one Bid Proposal, a separate written request shall be submitted for each. At the Agency’s discretion, requests for reconsideration from the same Bidder may be reviewed separately or combined into one response. The Agency will expeditiously address the request for reconsideration and issue a decision. The Bidder may choose to file an appeal with the Agency within five days of the date of the decision on reconsideration in accordance with 441 IAC 7.41 et seq.

**2.27 Definition of Contract.**

The full execution of a written contract shall constitute the making of a contract for services and no Bidder shall acquire any legal or equitable rights relative to the contract services until the contract has been fully executed by the apparent successful Bidder and the Agency.

**2.28 Choice of Law and Forum.**

This RFP and the resulting contract are governed by the laws of the State of Iowa without giving effect to the conflicts of law provisions thereof. Changes in applicable laws and rules may affect the negotiation and contracting process and the resulting contract. Bidders are responsible for ascertaining pertinent legal requirements and restrictions. Any and all litigation or actions commenced in connection with this RFP shall be brought and maintained in the appropriate Iowa forum.

**2.29 Restrictions on Gifts and Activities.**

Iowa Code chapter 68B restricts gifts that may be given or received by state employees and requires certain individuals to disclose information concerning their activities with state government. Bidders must determine the applicability of this Chapter to their activities and comply with the requirements. In addition, pursuant to Iowa Code § 722.1, it is a felony offense to bribe or attempt to bribe a public official.

**2.30 Exclusivity.**

Any contract resulting from this RFP shall not be an exclusive contract.

**2.31 No Minimum Guaranteed.**

The Agency anticipates that the selected Bidder will provide services as requested by the Agency. The Agency does not guarantee that any minimum compensation will be paid to the Bidder or any minimum usage of the Bidder’s services.

**2.32 Use of Subcontractors.**

The Agency acknowledges that the selected Bidder may contract with third parties for the performance of any of the Contractor’s obligations. The Agency reserves the right to provide prior approval for any subcontractor used to perform services under any contract that may result from this RFP.

**2.33 Bidder Continuing Disclosure Requirement.**

To the extent that Bidders are required to report incidents when responding to this RFP related to damages, penalties, disincentives, administrative or regulatory proceedings, founded child or dependent adult abuse, or felony convictions, these matters are subject to continuing disclosure to the Agency. Incidents occurring after submission of a Bid Proposal, and with respect to the successful Bidder after the execution of a contract, shall be disclosed in a timely manner in a written statement to the Agency. For purposes of this subsection, timely means within thirty (30) days from the date of conviction, regardless of appeal rights.

**Section 3 How to Submit A Bid Proposal: Format and Content Specifications**

These instructions provide the format and technical specifications of the Bid Proposal and are designed to facilitate the submission of a Bid Proposal that is easy to understand and evaluate. Federal procurement regulations or clauses are not negotiable.

**3.1 Bid Proposal Formatting.**

| **Subject** | **Specifications** | |
| --- | --- | --- |
| **Paper Size** | 8.5" x 11" paper (one side only). Charts or graphs may be provided on legal-sized paper. | |
| **Font** | Bid Proposals must be typewritten. The font must be 11 point or larger (excluding charts, graphs, or diagrams). Acceptable fonts include Times New Roman, Calibri and Arial. | |
| **Page Limit** | Pages included in Proposal Tab 3 and any attachments the Bidder creates in a “Tab 3 Attachments” section is limited to **300** pages. See Section 3.2 for further information about Tab 3 Attachments. | |
| **Pagination** | | | All pages in Proposal Tabs 1-5 are to be sequentially numbered from beginning to end (do not number these Proposal sections independently of each other). The contents in Proposal Tab 6 may be numbered independently of other sections. |
| **Bid Proposal General Composition** | | | * Bid Proposals shall be divided into two parts: Technical Proposal and Cost Proposal. * Technical Proposals submitted in multiple volumes shall be numbered in the following fashion: 1 of 4, 2 of 4, etc. * Bid Proposals must be bound and use tabs to label sections. |
| **Envelope Contents and Labeling** | | | * Envelopes shall be addressed to the Issuing Officer. * The envelope containing the original Bid Proposal shall be labeled “original.” The Technical and Cost Proposal must be packaged separately. |
| **Number of Hard Copies** | | | Submit one (1) original hard copy of the Proposal (separate Technical and Cost proposals). The original hard copy must contain original signatures. |
| **USB Flash Drive** | | | * The Technical Proposal and Cost Proposal must be provided on separate USB flash drives. Bidders shall submit **5** flash drives, each with a copy identical to the content of the original hard copy of the Technical Proposal and **5** flash drives of the Cost Proposal, each with a copy identical to the content of the original hard copy of the Cost Proposal. * The Technical Proposal must be saved in less than three files, with a preference for the entire Technical Proposal in one file. Proposals shall be provided in either PDF or Microsoft Word format. Files shall be text-based and not scanned image(s) and shall be searchable and not password protected or contain restrictions that prevent copying, saving, highlighting, or printing of the contents. |
| **Request for Confidential Treatment** | | | Requests for confidential treatment of any information in a Bid Proposal must meet these specifications:   * The Bidder will complete the appropriate section of the Primary Bidder Detail Form & Certificationwhich requires the specific statutory citation supporting the request for confidential treatment and an explanation of why disclosure of the information is not in the best interest of the public. * The Bidder shall submit one complete paper copy of the Bid Proposal from which confidential information has been redacted. This copy shall be clearly labeled on the cover as a “public copy” and each page upon which confidential information appears shall be conspicuously marked as containing confidential information. The confidential material shall be redacted in such a way as to allow the public to determine the general nature of the material removed. To the extent possible, pages should be redacted sentence by sentence unless all material on a page is clearly confidential under the law. The Bidder shall not identify the entire Bid Proposal as confidential. * The Cost Proposal will be part of the ultimate contract entered into with the successful Bidder. Pricing information may not be designated as confidential material. However, Cost Proposal supporting materials may be marked confidential if consistent with applicable law. * The transmittal letter may not be marked confidential. * The Bidder shall submit a USB flash drive containing an electronic copy of the Bid Proposal from which confidential information has been redacted. This USB flash drive shall be clearly marked as a “public copy”. * The Technical Proposal must be saved in less than three files, with a preference for the entire Technical Proposal in one file. Proposals shall be provided in either PDF or Microsoft Word format. Files shall be text-based and not scanned image(s) and shall be searchable and not password protected or contain restrictions that prevent copying, saving, highlighting, or printing of the contents. |
| **Exceptions to RFP/Contract Language** | | | If the Bidder objects to any term or condition of the RFP or attached Sample Contract, specific reference to the RFP page and section number shall be made in the Primary Bidder Detail & Certification Form. In addition, the Bidder shall set forth in its Bid Proposal the specific language it proposes to include in place of the RFP or contract provision and cost savings to the Agency should the Agency accept the proposed language.  The Agency reserves the right to either execute a contract without further negotiation with the successful Bidder or to negotiate contract terms with the selected Bidder if the best interests of the Agency would be served. |

**3.2 Contents and Organization of Technical Proposal.**

This section describes the information that must be in the Technical Proposal. Bid Proposals should be organized into sections **in the same order provided here.** Hard copies of Bid Proposals should use tabs to separate each section. If a Bidder chooses to provide information in attachments to respond to any section below, please create a new tabbed attachment section immediately behind the applicable section. For example, to add attachments related to information asked for in Section 3.2.3 Information to Include Behind Tab 3: Bidder’s Approach to Meeting Deliverables, the Bidder would create a new tab in the Technical Proposal that is called Tab 3 Attachments and place the attachment(s) there. The Bidder would follow suit by creating new tabbed sections for attachments created to respond to any other section below in their bid proposal

3.2.1 Information to Include Behind Tab 1:

**Transmittal Letter.**

The transmittal letter serves as a cover letter for the Technical Proposal. It must consist of an executive summary that briefly reviews the strengths of the Bidder and key features of its proposed approach to meet the specifications of this RFP.

**3.2.2 Information to Include Behind Tab 2: Proposal Table of Contents.**

The Bid Proposal must contain a table of contents.

3.2.3 Information to Include Behind Tab 3: Bidder’s Approach to Meeting Deliverables.

The Bidder shall address each Deliverable that the successful contractor shall perform as listed in Section 1.4, Scope of Work, by first restating the Deliverable from the RFP and then detailing the Bidder’s planned approach to meeting each contractor Deliverable immediately after the restated text. Bid responses should provide sufficient detail so that the Agency can understand and evaluate the Bidder’s approach and should not merely repeat the Deliverable.

Bidders are given wide latitude in the degree of detail they offer or the extent to which they reveal plans, designs, examples, processes, and procedures. Bidders do not need to address any responsibilities that are specifically designated as Agency responsibilities.

**Note:**

* Responses to Deliverables shall be in the same sequence as presented in the RFP.
* Bid Proposals shall identify any deviations from the specifications the Bidder cannot satisfy.
* Bid Proposals shall not contain promotional or display materials unless specifically required.

If a Bidder proposes more than one method of meeting the RFP requirements, each method must be drafted and submitted as separate Bid Proposals. Each will be evaluated separately.

**Information Bidders Must Submit That is Specific to This RFP.**

The Agency is requesting the following information in addition to the contents immediately above.

**3.2.3.1 Reserved**

**3.2.3.2 Reserved**

**3.2.3.3** The vendor may have potential solutions to bring to the table to maintain the system. Listing of any software and hardware to be installed on Agency system as part of Contractor’s solution, shall be listed in the cost proposal. The software list must define if the software is open source or licensed, and the environment, such as development or test, in which it will run.

**3.2.3.4** Describe how their proposed solution meets and will remain in compliance with state and federal requirements (including HIPAA requirements and privacy and security). System Maintenance and Operational Support components acquired through this procurement are to be fully compliant with state and federal requirements (including HIPAA requirements) in effect as of the date of release for the RFP and with any changes that subsequently occur, unless otherwise noted.

**3.2.3.5 Reserved**

**3.2.5.6 Reserved**

**3.2.3.7**. The Contractor shall describe how they will meet CMS and FNS compliance requirements for Federal Financial Participation (FFP).

**3.2.3.8** Describe how the Contractor will meet the Technical Architecture Activities and Responsibilities in Section 1.4.1.3.C.

**3.2.3.9** The Contractor shall describe how they will plan and transfer operations to the Agency or successor contractor.

3.2.4 Information to Include Behind Tab 4: Bidder’s Experience.

3.2.4.1 Level of technical experience in providing the types of services sought by the RFP.

3.2.4.2 Description of all services similar to those sought by this RFP that the Bidder has provided to the Agency and other businesses or governmental entities within the last twenty-four (24) months.

3.2.4.3 Letters of reference. Three (3) of the Bidder’s previous clients knowledgeable of the Bidder’s performance in providing services similar to those sought in this RFP, including a contact person, telephone number, and email address for each reference. It is preferred that letters of reference are provided for services that were procured in a competitive environment. Form letters of reference that do not elaborate on the Bidder’s performance under the specific relationships addressed in the reference letter may negatively impact the Bidder’s evaluation/score. Persons who are currently employed by the Agency are not eligible to be references.

3.2.4.4 Description of Experience Managing Subcontractors. If the Bidder proposes to use subcontractors.

For each similar service, provide a matrix detailing:

1. Project title
2. Project role (primary contractor or subcontractor)
3. Name of client agency or business
4. General description of the scope of work
5. Start and end dates of contract as originally entered into between the parties;
6. If there were any alteration(s) to the contract timeframe(s) or the contract was terminated for any other reason before completion of all obligations under the contract provisions, fully explain the reason(s) for the alteration or termination
7. Total value of the contract at the time it was executed and any alteration(s) to that amount. Provide reason(s) for the alteration(s) to the contract value
8. Any damages, penalties, disincentives assessed, or payments withheld, or anything of value traded or given up by the bidder that are valued at or above $50,000. Bidders shall disclose any such penalties, disincentives, or payments withheld for each contract, regardless of whether the penalties, disincentives, or payments withheld fall within that five (5) year period. Include the estimated cost assessed against the bidder for the incident with the details of the occurrence
9. List administrative or regulatory proceedings or adjudicated matters related to this service to which the bidder has been a party; and
10. Contact information for the client’s project manager including address, telephone number, and electronic mail address

**3.2.5 Information to Include Behind Tab 5: Personnel.**

The Bidder shall provide the following information regarding personnel:

**3.2.5.1 Tables of Organization.**

Illustrate the lines of authority in two tables:

* One showing overall operations
* Oneshowing staff who will provide services under the RFP

**3.2.5.2 Names and Credentials of Key Corporate Personnel.**

* Include the names and credentials of the owners and executives of your organization and, if applicable, their roles on this project.
* Include names of the current board of directors, or names of all partners, as applicable.
* Include resumes for all key corporate, administrative, and supervisory personnel who will be involved in providing the services sought by this RFP. The resumes should include name, education, years of experience, and employment history, particularly as it relates to the scope of services specified herein. Resumes shall not include social security numbers.

**3.2.5.3 Information About Project Manager and Key Project Personnel.**

* Include names and credentials for the project manager and any additional key project personnel who will be involved in providing services sought by this RFP. Include resumes for these personnel. The resumes shall include name, education, and years of experience and employment history, particularly as it relates to the scope of services specified herein. Resumes shall also include the percentage of time the person would be specifically dedicated to this project on a monthly basis, if the Bidder is selected as the successful Bidder. Resumes should not include social security numbers.
* Include the project manager’s experience managing subcontractor staff if the Bidder proposes to use subcontractors.
* Minimum Qualifications for Key Personnel:
  1. Account Manager.

1. Four years of experience in account management or major supervisory role for a government or private sector as a healthcare payer

2. Previous management experience with enterprise class systems, and knowledge of HIPAA rules and requirements

3. Bachelor’s Degree is desired

* 1. Transition Manager.
     1. Four years of experience in account management or major supervisory role for government or in the private sector as a healthcare payer or provider.
     2. Bachelor’s Degree is desired.
  2. Systems and Quality Assurance Manager:
     1. Four years of systems operations experience as manager in a state of equivalent scope to Iowa.
     2. Three years progressive experience in the quality assurance function of a large-scale claims processing organization.
     3. Bachelor’s Degree in Information System Engineering, Computer Science, or a related field, with at least three courses in Statistics and or Quality Assurance is desired.
  3. Technical Architecture resources shall have the following minimum requirements:
     1. Five plus years’ experience in the current industry occupation classification
     2. Bachelor’s degree or higher
     3. Five plus years’ experience on a project of this size and scale
  4. Operations Manager:
     1. Minimum four years of experience managing operations and personnel for a public assistance eligibility system.
     2. Bachelor’s Degree is desired.
  5. Project Manager:
     1. Four years of experience in project management with a focus on issue resolution and resource management.
     2. Ability to manage multiple tasks with changing priorities in a cross-functional environment.
     3. Bachelor’s Degree or higher.
  6. Infrastructure Lead:
     1. Expertise in infrastructure architecture disciplines – 15 + years
     2. Experience using Oracle Virtual Machines (OVM stack) (10+ years)
     3. Experience managing technical infrastructure and DevOps resources and team (10+ years)
     4. Experience with hardware virtualizations (10+ years)
     5. Experience with DevOps pipelines with regard to a Linux based Java/Oracle stack (5-10+ years)
     6. Experience with working and leading large collaborative teams on infrastructure change projects (5-10+ years)
     7. Experience working in Continuous Integration and Continuous Deployment (CI/CD) environments (5-10+ years)
     8. Experience with managing hardware and Software licensing and upgrade paths (10+ years)
     9. Experience in Project management (5-10+ years)
  7. ELIAS Team Lead:
     1. Experience leading a Development Team - 2 years
     2. Experience with Microsoft Azure Devops - 2 years
     3. Experience in doing CI/CD work or leading teams that have done that work – 2 years
     4. Experience working in an agile environment – 3 years
     5. Experience in working with Java Oracle based applications – 5 years
     6. Experience with object-oriented design/development. -  5 years
     7. Experience in architecting, writing, and maintaining APIs/Services - 5 years

**3.2.5.4 Disclosures.**

List any details of whether the Bidder or any owners, officers, primary partners, staff providing services or any owners, officers, primary partners, or staff providing services of any subcontractor who may be involved with providing the services sought in this RFP, have ever had a founded child or dependent adult abuse report, or been convicted of a felony.

**3.2.6 Information to Include Behind Tab 6: RFP Forms.**

The forms listed below are attachments to this RFP. Fully complete and return these forms behind Tab 6:

* Release of Information Form (Attachment A)
* Primary Bidder Detail & Certification Form (Attachment B)
* Subcontractor Disclosure Form (one for each proposed subcontractor) (Attachment C)
* Additional Certifications (Attachment D)
* Certification and Disclosure Regarding Lobbying (Attachment E)

**3.3 Cost Proposal.**

**Pricing Restrictions.**

**The Bidder’s Cost Proposal shall include all charges of any kind associated with the goods and services detailed in the cost proposal.**

**Content and Format.**

The Bidder shall provide the following information in the Cost Proposal:   
The Cost Proposal shall be submitted using the pricing worksheet set forth in Attachment F of this RFP. Bidders should submit an Excel version of Attachment F. Technical Architecture costs are a separate cost using the worksheet in Attachment F of this RFP. Bidders shall submit a rate card of industry occupations based on individual unit costs. **The amount provided in the grand total entire project field will be used to score the Bidder’s cost proposal.**  
The Bidder’s Cost Proposal shall include all charges of any kind associated with the goods and services offered by the bidder in order to meet all RFP requirements. CMR rates based on the individual unit costs in the cost proposal are to be inclusive of all administrative costs. Bidders are instructed that the Agency will not accept costs exceeding $450,000 for transition costs that may be incurred in the Transition Period. The Agency will not be liable for any fees or charges for the goods and services offered by the bidder that are not set forth in the Cost Proposal, to include any licensing fees for Contractor solutions.

**Section 4 Evaluation of Bid Proposals**

**4.1 Introduction.**

This section describes the evaluation process that will be used to determine which Bid Proposal provides the greatest benefit to the Agency. When making this determination, the Agency will not necessarily award a contract to the Bidder offering the lowest cost to the Agency or to the Bidder with the highest point total. Rather, a contract will be awarded to the Bidder that offers the greatest benefit to the Agency.

**4.2 Evaluation Committee.**

The Agency intends to conduct a comprehensive, fair, and impartial evaluation of Bid Proposals received in response to this RFP. In making this determination, the Agency will be represented by an evaluation committee.

**4.3 Proposal Scoring and Evaluation Criteria.**

The evaluation committee will use the method described in this section to assist with initially determining the relative merits of each Bid Proposal.

**Scoring Guide.**

Points will be assigned to each evaluation component as follows, unless otherwise designated:

|  |  |
| --- | --- |
| 4 | Bidder has agreed to comply with the requirements and provided a clear and compelling description of how each requirement would be met, with relevant supporting materials. Bidder’s proposed approach frequently goes above and beyond the minimum requirements and indicates superior ability to serve the needs of the Agency. |
| 3 | Bidder has agreed to comply with the requirements and provided a good and complete description of how the requirements would be met. Response clearly demonstrates a high degree of ability to serve the needs of the Agency. |
| 2 | Bidder has agreed to comply with the requirements and provided an adequate description of how the requirements would be met. Response indicates adequate ability to serve the needs of the Agency. |
| 1 | Bidder has agreed to comply with the requirements and provided some details on how the requirements would be met. Response does not clearly indicate if all the needs of the Agency will be met. |
| 0 | Bidder has not addressed any of the requirements or has provided a response that is limited in scope, vague, or incomplete. Response did not provide a description of how the Agency’s needs would be met. |

**Technical Proposal Components.**

When Bid Proposals are evaluated, the total points for each component are comprised of the component’s assigned weight multiplied by the score the Bid Proposal earns. Points for all components will be added together. The evaluation components, including maximum points that may be awarded, are as follows:

**Unless otherwise noted, all items under the Section are included in the Scoring. (For Example, Section** 1.4.1.3. B**, all 19 items are scored for the points)**

|  |  |  |  |
| --- | --- | --- | --- |
| **Technical Proposal Components** | **Weight** | **Score (0-4)** | **Potential Maximum Points** |
| Transition (Section 1.4.1.2) | 50 | ------- | 200 |
| Maintenance and Operations - Post Implementation Activities (Section 1.4.1.3.A ) | 20 | ------- | 80 |
| Maintenance and Operations - Maintenance (Section 1.4.1.3.B ) | 45 | ------- | 180 |
| Maintenance and Operations - Technical Architecture Activities and Responsibilities (Section 1.4.1.3.C) | 27.5 |  | 110 |
| Maintenance and Operations - User Support (Section 1.4.1.3. D) | 10 | ------- | 40 |
| Maintenance and Operation - Operating Procedures Documentation (Section 1.4.1.3.E ) | 10 | ------- | 40 |
| Maintenance and Operations - Accounting (Section 1.4.1.3.F ) | 10 | ------- | 40 |
| Maintenance and Operations - Subcontractors (Section 1.4.1.3.G ) | 10 | ------- | 40 |
| Maintenance and Operations - Audit Support (Section 1.4.1.3.H) | 10 | ------- | 40 |
| Maintenance and Operations - Facilities (Section 1.4.1.3.I ) | 10 | ------- | 40 |
| Maintenance and Operations - System Availability (Section 1.4.1.3.J ) | 10 | ------- | 40 |
| System and Software Requirements (Section 1.4.1.3.K) | 15 | ------- | 60 |
| Maintenance and Operations - Systems and User Documentation (Section 1.4.1.3.L ) | 10 | ------- | 40 |
| Maintenance and Operations - Internal Quality Assurance (Section 1.4.1.3.M) | 10 | ------- | 40 |
| Maintenance and Operations - Change Management Process (Section 1.4.1.3.N ) | 15 | ------- | 60 |
| Maintenance and Operations - System Remediation (Section 1.4.1.3. O ) | 10 | ------- | 40 |
| Maintenance and Operations - Program Management Reporting (Section 1.4.1.3.P ) | 10 | ------- | 40 |
| Maintenance and Operations - Federal Reporting Management (Section 1.4.1.3.Q ) | 10 | ------- | 40 |
| Maintenance and Operations - Contractor Responsibilities (Section 1.4.1.3.S ) | 25 | ------- | 100 |
| Turnover Phase (Section 1.4.1.4) | 10 | ------- | 40 |
| Technical Requirements - SOA (Section 1.4.1.5. A, and Table 3) | 15 | ------- | 60 |
| Technical Requirements-Compliance with State Standards (Section 1.4.1.5.B and Table 4) | 10 | ------- | 40 |
| Technical Requirements - Environmental Requirements (Section 1.4.1.5.C and Table 5) | 10 | ------- | 40 |
| Technical Requirements - Infrastructure (Section 1.4.1.5.D and Table 6) | 20 | ------- | 80 |
| Technical Requirements - Interfaces (Section 1.4.1.5.E and Table 7) | 15 | ------- | 60 |
| Technical Requirements - Data Conversion and Data Quality (Sections 1.4.1.5.F and 1.4.1.5.G and Table 8) | 10 | ------- | 40 |
| Technical Requirements - Security and Confidentiality (Section 1.4.1.5.H and Table 9) | 15 | ------- | 60 |
| Technical Requirements -Web Portal (Section 1.4.1.5.I and Table 10) | 20 | ------- | 80 |
| Technical Requirements - Rules Engine (Section 1.4.1.5.J and Table 11) | 20 | ------- | 80 |
| Technical Requirements - Other Software (Section 1.4.1.5.K and Table 12) | 10 | ------- | 40 |
| Bidder's Background Section - Bidder's Experience (Section 3.2.4) | 150 | ------- | 600 |
| Personnel and Staffing (Sections 1.4.1.1 and 3.2.5) | 125 | ------- | 500 |
| Compliance with State and Federal Requirements (Section 3.2.3.4) | 15 | ------- | 60 |
|  |  |  |  |
| Federal Financial Participation- (Section 3.2.3.7) | 50 | ------- | 200 |
| Technical Architecture Activities and Responsibilities (Section 3.2.3.8) | 50 | ------- | 200 |
| Transfer operations to the Agency or successor contractor- (Section 3.2.3.9) | 50 | ------- | 200 |
| **Total Points** | **912.5** |  | **3650** |
|  |  |  |  |

**Scoring of Cost Proposal Pricing.**

**The amount provided in the Grand Total Entire Project field will be used to score the Bidder’s cost proposal.** Cost Proposal pricing will be scored based on a ratio of the lowest Cost Proposal versus the cost of each higher priced Bid Proposal. Under this formula, the lowest Cost Proposal receives all of the points assigned to pricing. A Cost Proposal twice as expensive as the lowest Cost Proposal would earn half of the available points. The formula is:

**Weighted Cost Score = (price of lowest Cost Proposal/price of each higher priced Cost Proposal) X (points assigned to pricing)**

**Total Points Assigned to Cost Proposal: 1800**

**Total Points Possible for Technical and Cost Proposals: 5450**

**4.4 Recommendation of the Evaluation Committee.**

The evaluation committee shall present a final ranking and recommendation(s) to the Director of IME for consideration. In making this recommendation, the committee is not bound by any scores or scoring system used to assist with initially determining the relative merits of each Bid Proposal. This recommendation may include, but is not limited to, the name of one or more Bidders recommended for selection or a recommendation that no Bidder be selected. The Director of IME shall consider the committee’s recommendation when making the final decision but is not bound by the recommendation.

# Attachment A: Release of Information

*(Return this completed form behind Tab 6 of the Bid Proposal.)*

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (name of Bidder) hereby authorizes any person or entity, public or private, having any information concerning the Bidder’s background, including but not limited to its performance history regarding its prior rendering of services similar to those detailed in this RFP, to release such information to the Agency.

The Bidder acknowledges that it may not agree with the information and opinions given by such person or entity in response to a reference request. The Bidder acknowledges that the information and opinions given by such person or entity may hurt its chances to receive contract awards from the Agency or may otherwise hurt its reputation or operations. The Bidder is willing to take that risk. The Bidder agrees to release all persons, entities, the Agency, and the State of Iowa from any liability whatsoever that may be incurred in releasing this information or using this information.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Printed Name of Bidder Organization

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature of Authorized Representative Date

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Printed Name

# Attachment B: Primary Bidder Detail & Certification Form

*(Return this completed form behind Tab 6 of the Proposal. If a section does not apply, label it “not applicable”.)*

|  |  |  |
| --- | --- | --- |
| **Primary Contact Information (individual who can address issues re: this Bid Proposal)** | | |
| **Name:** |  | |
| **Address:** |  | |
| **Tel:** |  | |
| **Fax:** |  | |
| **E-mail:** |  | |
| **Primary Bidder Detail** | | |
| **Business Legal Name (“Bidder”):** | |  |
| **“Doing Business As” names, assumed names, or other operating names:** | |  |
| **Parent Corporation Name and Address of Headquarters, if any:** | |  |
| **Form of Business Entity (i.e., corp., partnership, LLC, etc.):** | |  |
| **State of Incorporation/organization:** | |  |
| **Primary Address:** | |  |
| **Tel:** | |  |
| **Local Address (if any):** | |  |
| **Addresses of Major Offices and other facilities that may contribute to performance under this RFP/Contract:** | |  |
| **Number of Employees:** | |  |
| **Number of Years in Business:** | |  |
| **Primary Focus of Business:** | |  |
| **Federal Tax ID:** | |  |
| **DUNS #:** | |  |
| **Bidder’s Accounting Firm:** | |  |
| **If Bidder is currently registered to do business in Iowa, provide the Date of Registration:** | |  |
| **Do you plan on using subcontractors if awarded this Contract? {If “YES,” submit a Subcontractor Disclosure Form for each proposed subcontractor.}** | |  |
|  | | (YES/NO) |

|  |  |  |
| --- | --- | --- |
| **Request for Confidential Treatment (See Section 3.1)** | | |
| **Check Appropriate Box:**  **Bidder Does Not Request Confidential Treatment of Bid Proposal**  **Bidder Requests Confidential Treatment of Bid Proposal** | | |
| **Location in Bid Proposal (Tab/Page)** | **Specific Grounds in Iowa Code Chapter 22 or Other Applicable Law Which Supports Treatment of the Information as Confidential** | **Justification of Why Information Should Be Kept in Confidence and Explanation of Why Disclosure Would Not Be in The Best Interest of the Public** |
|  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Exceptions to RFP/Contract Language (See Section 3.1)** | | | |
| **RFP Section and Page** | **Language to Which Bidder Takes Exception** | **Explanation and Proposed Replacement Language:** | **Cost Savings to the Agency if the Proposed Replacement Language is Accepted** |
|  |  |  |  |

**PRIMARY BIDDER CERTIFICATIONS**

1. **BID PROPOSAL CERTIFICATIONS. By signing below, Bidder certifies that:** 
   1. Bidder specifically stipulates that the Bid Proposal is predicated upon the acceptance of all terms and conditions stated in the RFP and the Sample Contract without change except as otherwise expressly stated in the Primary Bidder Detail & Certification Form. Objections or responses shall not materially alter the RFP. All changes to proposed contract language, including deletions, additions, and substitutions of language, must be addressed in the Bid Proposal. The Bidder accepts and shall comply with all Contract Terms and Conditions contained in the Sample Contract without change except as set forth in the Contract.
   2. Bidder has reviewed the Additional Certifications, which are incorporated herein by reference, and by signing below represents that Bidder agrees to be bound by the obligations included therein.
   3. Bidder has received any amendments to this RFP issued by the Agency.
   4. No cost or pricing information has been included in the Bidder’s Technical Proposal.
   5. If Bidder requests confidential treatment of any information submitted in its Proposal, the Bidder expressly acknowledges and agrees that the Agency’s evaluation document(s) may reference information of which the Bidder requested confidential treatment in the Bid Proposal. These Agency evaluation documents may then be in the public domain and be open to inspection by interested parties upon the Agency’s issuance of a Notice of Intent to Award. The Agency will not redact information or references to information in evaluation documents even in instances which a Bidder requested confidential treatment in the Bid Proposal; and,
   6. The person signing this Bid Proposal certifies that he/she is the person in the Bidder’s organization responsible for, or authorized to make decisions regarding the prices quoted and, Bidder guarantees the availability of the services offered and that all Bid Proposal terms, including price, will remain firm until a contract has been executed for the services contemplated by this RFP or one year from the issuance of this RFP, whichever is earlier.
2. **SERVICE AND REGISTRATION CERTIFICATIONS. By signing below, Bidder certifies that:** 
   1. Bidder certifies that the Bidder’s organization has sufficient personnel and resources available to provide all services proposed by the Bid Proposal, and such resources will be available on the date the RFP states services are to begin. Bidder guarantees personnel proposed to provide services will be the personnel providing the services unless prior approval is received from the Agency to substitute staff.
   2. Bidder certifies that if the Bidder is awarded the contract and plans to utilize subcontractors at any point to perform any obligations under the contract, the Bidder will (1) notify the Agency in writing prior to use of the subcontractor, and (2) apply all restrictions, obligations, and responsibilities of the resulting contract between the Agency and contractor to the subcontractors through a subcontract. The contractor shall remain responsible for all Deliverables provided under this contract.
   3. Bidder either is currently registered to do business in Iowa or agrees to register if Bidder is awarded a Contract pursuant to this RFP.
   4. Bidder certifies it is either: 1) registered or will become registered with the Iowa Department of Revenue to collect and remit Iowa sales and use taxes as required by Iowa Code chapter 423; or 2) not a “retailer” of a “retailer maintaining a place of business in this state” as those terms are defined in Iowa Code subsections 423.1(42) & (43). The Bidder also acknowledges that the Agency may declare the Bid Proposal void if the above certification is false. Bidders may register with the Department of Revenue online at: <http://www.state.ia.us/tax/business/business.html>; and,

2.5 Bidder certifies it will comply with Davis-Bacon requirements if applicable to the resulting contract.

1. **EXECUTION.**

By signing below, I certify that I have the authority to bind the Bidder to the specific terms, conditions and technical specifications required in the Agency’s Request for Proposals (RFP) and offered in the Bidder’s Proposal. I understand that by submitting this Bid Proposal, the Bidder agrees to provide services described herein which meet or exceed the specifications of the Agency’s RFP unless noted in the Bid Proposal and at the prices quoted by the Bidder. The Bidder has not participated, and will not participate, in any action contrary to the anti-competitive obligations outlined in the Additional Certifications. I certify that the contents of the Bid Proposal are true and accurate and that the Bidder has not made any knowingly false statements in the Bid Proposal.

|  |  |
| --- | --- |
| **Signature:** |  |
| **Printed Name/Title:** |  |
| **Date:** |  |

# Attachment C: Subcontractor Disclosure Form

*(Return this completed form behind Tab 6 of the Bid Proposal. Fully complete a form for* ***each*** *proposed subcontractor. If a section does not apply, label it “not applicable.” If the Bidder does not intend to use subcontractor(s), this form does not need to be returned.*)

|  |  |
| --- | --- |
| **Primary Bidder (“Primary Bidder”):** |  |
| **Subcontractor Contact Information (individual who can address issues re: this RFP)** | |
| **Name:** |  |
| **Address:** |  |
| **Tel:** |  |
| **Fax:** |  |
| **E-mail:** |  |

|  |  |
| --- | --- |
| **Subcontractor Detail** | |
| **Subcontractor Legal Name (“Subcontractor”):** |  |
| **“Doing Business As” names, assumed names, or other operating names:** |  |
| **Form of Business Entity (i.e., corp., partnership, LLC, etc.)** |  |
| **State of Incorporation/organization:** |  |
| **Primary Address:** |  |
| **Tel:** |  |
| **Fax:** |  |
| **Local Address (if any):** |  |
| **Addresses of Major Offices and other facilities that may contribute to performance under this RFP/Contract:** |  |
| **Number of Employees:** |  |
| **Number of Years in Business:** |  |
| **Primary Focus of Business:** |  |
| **Federal Tax ID:** |  |
| **Subcontractor’s Accounting Firm:** |  |
| **If Subcontractor is currently registered to do business in Iowa, provide the Date of Registration:** |  |
| **Percentage of Total Work to be performed by this Subcontractor pursuant to this RFP/Contract.** |  |
| **General Scope of Work to be performed by this Subcontractor** | |
|  | |
| **Detail the Subcontractor’s qualifications for performing this scope of work** | |
|  | |

By signing below, Subcontractor agrees to the following:

1. Subcontractor has reviewed the RFP, and Subcontractor agrees to perform the work indicated in this Bid Proposal if the Primary Bidder is selected as the winning Bidder in this procurement.
2. Subcontractor has reviewed the Additional Certifications and by signing below confirms that the Certifications are true and accurate and Subcontractor shall comply with all such Certification.
3. Subcontractor recognizes and agrees that if the Primary Bidder enters into a contract with the Agency as a result of this RFP, all restrictions, obligations, and responsibilities of the contractor under the contract shall also apply to the subcontractor.
4. Subcontractor agrees that it will register to do business in Iowa before performing any services pursuant to this contract, if required to do so by Iowa law; and,
5. Subcontractor certifies that it will comply with Davis-Bacon requirements if applicable to the resulting contract.

The person signing this Subcontractor Disclosure Form certifies that he/she is the person in the Subcontractor’s organization responsible for or authorized to make decisions regarding the prices quoted and the Subcontractor has not participated, and will not participate, in any action contrary to the anti-competitive obligations outlined in the Additional Certifications.

I hereby certify that the contents of the Subcontractor Disclosure Form are true and accurate and that the Subcontractor has not made any knowingly false statements in the Form.

|  |  |
| --- | --- |
| **Signature for Subcontractor:** |  |
| **Printed Name/Title:** |  |
| **Date:** |  |

# Attachment D: Additional Certifications

*(Do not return this page with the Bid Proposal.)*

* 1. **CERTIFICATION OF INDEPENDENCE AND NO CONFLICT OF INTEREST**

By submission of a Bid Proposal, the Bidder certifies (and in the case of a joint proposal, each party thereto certifies) that:

1. The Bid Proposal has been developed independently, without consultation, communication or agreement with any employee or consultant of the Agency who has worked on the development of this RFP, or with any person serving as a member of the evaluation committee.
2. The Bid Proposal has been developed independently, without consultation, communication or agreement with any other Bidder or parties for the purpose of restricting competition.
3. Unless otherwise required by law, the information in the Bid Proposal has not been knowingly disclosed by the Bidder and will not knowingly be disclosed prior to the award of the contract, directly or indirectly, to any other Bidder.
4. No attempt has been made or will be made by the Bidder to induce any other Bidder to submit or not to submit a Bid Proposal for the purpose of restricting competition.
5. No relationship exists or will exist during the contract period between the Bidder and the Agency that interferes with fair competition or is a conflict of interest.
6. The Bidder and any of the Bidder’s proposed subcontractors have no other contractual relationships which would create an actual or perceived conflict of interest.
7. In the event that the Bidder(s) (prior to contract award) or Contractor (after contract award) is directly involved with, or otherwise supports legislation impacting the Agency’s Eligibility programs, but outside the role as the ELIAS Contractor, notification to the Agency is necessary.
8. If this situation exists prior to proposal delivery, the Bidder should reflect this status in the response to the requirements in this section. If it exists prior to contract award, the Bidder must notify the issuing officer in writing. If it exists after contract award, the Contractor must notify contract administration prior to the next legislative session.
9. At all times, the Bidder(s) or Contractor must ensure that the legislation does not pose a conflict of interest to ELIAS or Agency work in their proposal and contract. If a conflict exists, the Bidder(s) or Contractor must do one of the following: withdraw their support of the legislation; or withdraw from consideration for contract award (while a Bidder) or terminate contract according to termination requirements in the contract (while a Contractor). This ongoing restriction applies throughout all phases of the contract.
10. At no time will the Contractor use its position as a contractor with the Agency, or any information obtained from performance of this contract, to pursue directly or indirectly any legislation or rules that are intended to provide a competitive advantage to the Contractor by limiting fair and open competition in the award of this contract upon its expiration or to provide advantage to the Contractor during the term of the contract resulting from this RFP.
    1. **CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION -- LOWER TIER COVERED TRANSACTIONS**

By signing and submitting this Bid Proposal, the Bidder is providing the certification set out below:

1. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the Bidder knowingly rendered an erroneous certification, in addition to other remedies available to the federal government the Agency or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
2. The Bidder shall provide immediate written notice to the person to whom this Bid Proposal is submitted if at any time the Bidder learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
3. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principle, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this Proposal is submitted for assistance in obtaining a copy of those regulations.
4. The Bidder agrees by submitting this Proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the Agency or agency with which this transaction originated.
5. The Bidder further agrees by submitting this Proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
6. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. A participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Non-procurement Programs.
7. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
8. Except for transactions authorized under paragraph 4 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the federal government, the Agency or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
   1. **CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND/OR VOLUNTARY EXCLUSION--LOWER TIER COVERED TRANSACTIONS**
9. The Bidder certifies, by submission of this Proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
10. Where the Bidder is unable to certify to any of the statements in this certification, such Bidder shall attach an explanation to this Proposal.
    1. **CERTIFICATION OF COMPLIANCE WITH PRO-CHILDREN ACT OF 1994**

By signing and submitting this Bid Proposal, the Bidder is providing the certification set out below:

The Bidder must comply with Public Law 103-227, Part C Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act). This Act requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18 if the services are funded by federal programs either directly or through State or local governments. Federal programs include grants, cooperative agreements, loans or loan guarantees, and contracts. The law also applies to children’s services that are provided in indoor facilities that are constructed, operated, or maintained with such federal funds. The law does not apply to children’s services provided in private residences; portions of facilities used for inpatient drug or alcohol treatment; service providers whose sole source of applicable federal funds is Medicare or Medicaid; or facilities (other than clinics) where WIC coupons are redeemed.

The Bidder further agrees that the above language will be included in any subawards that contain provisions for children’s services and that all subgrantees shall certify compliance accordingly. Failure to comply with the provisions of this law may result in the imposition of a civil monetary penalty of up to $1000 per day.

* 1. **CERTIFICATION REGARDING DRUG FREE WORKPLACE**

1. **Requirements for Contractors Who are Not Individuals.** If the Bidder is not an individual, by signing and submitting this Bid Proposal the Bidder agrees to provide a drug-free workplace by:
2. publishing a statement notifying employees that the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited in the person’s workplace and specifying the actions that will be taken against employees for violations of such prohibition
3. establishing a drug-free awareness program to inform employees about:

(1) the dangers of drug abuse in the workplace

(2) the person’s policy of maintaining a drug- free workplace

(3) any available drug counseling, rehabilitation, and employee assistance programs; and

(4) the penalties that may be imposed upon employees for drug abuse violations

1. making it a requirement that each employee to be engaged in the performance of such contract be given a copy of the statement required by subparagraph (a)
2. notifying the employee in the statement required by subparagraph (a), that as a condition of employment on such contract, the employee will:

(1) abide by the terms of the statement; and

(2) notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than 5 days after such conviction

1. notifying the contracting agency within 10 days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction
2. imposing a sanction on, or requiring the satisfactory participation in a drug abuse assistance or rehabilitation program by, any employee who is so convicted, as required by 41 U.S.C. § 703; and
3. making a good faith effort to continue to maintain a drug-free workplace through implementation of subparagraphs (a), (b), (c), (d), (e), and (f).
4. **Requirement for Individuals.** If the Bidder is an individual, by signing and submitting this Bid Proposal the Bidder agrees to not engage in the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance in the performance of the contract.
5. **Notification Requirement.** The Bidder shall, within 30 days after receiving notice from an employee of a conviction pursuant to 41 U.S.C. § 701(a)(1)(D)(ii) or 41 U.S.C. § 702(a)(1)(D)(ii):
6. take appropriate personnel action against such employee up to and including termination; or
7. require such employee to satisfactorily participate in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency.
   1. **NON-DISCRIMINATION**

The Bidder does not discriminate in its employment practices with regard to race, color, religion, age (except as provided by law), sex, marital status, political affiliation, national origin, or handicap.

# Attachment E: Certification and Disclosure Regarding Lobbying Attachment

*(Return this executed form behind Tab 6 of the Bid Proposal.)*

**Instructions:**

Title 45 of the Code of Federal Regulations, Part 93 requires the bidder to include a certification form, and a disclosure form, if required, as part of the bidder’s proposal. Award of the federally funded contract from this RFP is a Covered Federal action.

1. The bidder shall file with the Agency this certification form, as set forth in Appendix A of 45 CFR Part 93, certifying the bidder, including any subcontractor(s) at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) have not made, and will not make, any payment prohibited under 45 CFR § 93.100.
2. The bidder shall file with the Agency a disclosure form, set forth in Appendix B of 45 CFR Part 93, in the event the bidder or subcontractor(s) at any tier (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) has made or has agreed to make any payment using non-appropriated funds, including profits from any covered Federal action, which would be prohibited under 45 CFR § 93.100 if paid for with appropriated funds. All disclosure forms shall be forwarded from tier to tier until received by the bidder and shall be treated as a material representation of fact upon which all receiving tiers shall rely.

**Certification for Contracts, Grants, Loans, and Cooperative Agreements**

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, ‘‘Disclosure Form to Report Lobbying,’’ in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

***Statement for Loan Guarantees and Loan Insurance***

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, ‘‘Disclosure Form to Report Lobbying,’’ in accordance with its instructions.

Submission of this statement is a pre-requisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than $10,000 for each such failure.

I certify that the contents of this certification are true and accurate and that the bidder has not made any knowingly false statements in the Bid Proposal. I am checking the appropriate box below regarding disclosures required in Title 45 of the Code of Federal Regulations, Part 93.

🞏 The bidder is NOT including a disclosure form as referenced in this form’s instructions because the bidder is NOT required by law to do so.

🞏 The bidder IS filing a disclosure form with the Agency as referenced in this form’s instructions because the bidder IS required by law to do so. If the bidder is filing a disclosure form, place the form immediately behind this in the Proposal.

|  |  |
| --- | --- |
| **Signature:** |  |
| **Printed Name/Title:** |  |
| **Date:** |  |

# Attachment F: Cost Proposal



# Attachment G: Interfaces

|  |  |  |  |
| --- | --- | --- | --- |
| **ELIAS Interface Name** | **Partner Classification** | **Interfacing System** | **Batch/Web Service** |
| Duplicate FFM Applications | State | 57/Zero | Outbound Batch |
| RCC Interface | DHS | ABC | Web Service Consumer |
| ABC Web Service Extract Button | DHS | ABC | Web Service Consumer |
| ABC/ELIAS Web Services Outgoing | DHS | ABC | Web Service Producer |
| 2D Bar Code Indexing | DHS | G360 | Web Service Consumer |
| COLA – Using Beneficiary & Earnings Data Exchange (BENDEX) File | DHS | ABC | Inbound Batch |
| IDOC – Iowa Department of Corrections | State | ABC | Inbound Batch |
| Central Print | State | Central print | Outbound Batch |
| H03 - SSN verification | Federal | Federal Hub | Web Service Consumer |
| H09T - Annual Income verification and family size | Federal | Federal Hub | Web Service Consumer |
| H31 - Medicare MEC Verification | Federal | Federal Hub | Web Service Consumer |
| H15 - Account Transfer Outbound | Federal | Federal Hub | Web Service Consumer |
| H15 - Account Transfer Inbound | Federal | Federal Hub | Web Service Consumer |
| H79 – Bulk Service runs as part of Passive Renewal – Request (SSA & Medicare) | Federal Hub | Federal Hub | Outbound Batch |
| H79 – Bulk Service runs as part of Passive Renewal – Response (SSA & Medicare) | Federal Hub | Federal Hub | Inbound Batch |
| H79 Passive IRS | Federal | Federal Hub | Outbound Batch |
| D1H31 - Medicaid and Chip MEC verification | Federal | Federal Hub | Web Service Consumer |
| H59 – Verify Lawful Presence | Federal | Federal Hub | Web Service Consumer |
| H60 – VLP Documents to Mail to CMS | Federal | Federal Hub | Web Service Consumer |
| H61 – VLP Close Case | Federal | Federal Hub | Web Service Consumer |
| H62 – VLP Retrieve Resolution | Federal | Federal Hub | Web Service Consumer |
| H63 – VLP Get Case Details | Federal | Federal Hub | Web Service Consumer |
| H01 – Remote Identity Proofing | Federal | Federal Hub | Web Service Consumer |
| H66 – Fraud Archive Reporting Service (FARS) - part of remote identity proofing process | Federal Hub | Federal Hub | Web Service Consumer |
| H79 – Bulk Service runs as part of Passive Renewal – Response (IRS) | Federal | Federal Hub | Inbound Batch |
| Global 360/ECF | State | G360 | Web Service Consumer |
| HMS Request | External | HMS | Outbound Batch |
| HMS Response | External | HMS | Inbound Batch |
| HMS Quarterly Request (deprecated) | External | HMS | Outbound Batch |
| HMS Quarterly Response (deprecated) | External | HMS | Inbound Batch |
| Passive Renewal State Sources - Request | State | DoIT | Outbound Batch |
| Passive Renewal State Sources - Response | State | DoIT | Inbound Batch |
| FFM Payload Report | State | Mainframe Viewer | Outbound Batch |
| TMSIS | IME | MMIS | Outbound Batch |
| HAWK-i MCO Data for Other Health Insurance | IME | MMIS | Inbound Batch |
| Hawk i Premium Monthly Discontinuance | IME | PPS | Inbound Batch |
| IHAWP Premium Monthly Discontinuance | IME | PPS | Inbound Batch |
| SOLQ-I State Online Query | Federal | SSA | Web Service Consumer |
| TPL Leads | IME | TPL | Outbound Batch |
| TXIX MEC Check | State | TXIX | Inbound Batch |
| TXIX Daily Eligibility Updates | State | TXIX | Outbound Batch |
| TXIX Monthly Eligibility Updates | State | TXIX | Outbound Batch |
| TXIX MPEP File | State | TXIX | Outbound Batch |
| TXIX Prisoner Suspension | State | TXIX | Outbound Batch |
| MEPD Billing File | State | TXIX | Outbound Batch |
| MEPD Past Due File | State | TXIX | Inbound Batch |
| Passive Renewal Alerts | State | WISE | Outbound Batch |
| WISE – Alerts | State | WISE | Outbound Batch |
| WISE – Narratives | State | WISE | Outbound Batch |
| H139 RIDPv2 - Remote Identity Proofing - Precise Identity Service | Federal | Federal Hub | Web Service Consumer |
| H140 Fraud Archive Reporting Services v3 | Federal | Federal Hub | Web Service Consumer |
| H138 Verify Current Income and Household Size v2 | Federal | Federal Hub | Web Service Consumer |
| H74 FDSH Connectivity Service | Federal | Federal Hub | Partners use the HUB Connectivity Service to test their connectivity to the HUB, for example during TLS update |
| H93 VLP AgencyInitiateAdditionalVerif | Federal | Federal Hub | Web Service Consumer |
| H92 VLP - Verify Lawful Presence v37 | Federal | Federal Hub | Web Service Consumer |
| H94 VLP AgencyInitiateThirdVerif | Federal | Federal Hub | Web Service Consumer |
| H95 VLP - Close Case | Federal | Federal Hub | Web Service Consumer |
| H96 VLP - Get Case Details | Federal | Federal Hub | Web Service Consumer |
| H100 VLP - Retrieve resolution Step 2 | Federal | Federal Hub | Web Service Consumer |
| H101 - VLP Retrieve Resolution Step 3 | Federal | Federal Hub | Web Service Consumer |
| H102 VLP - Country of Issuance (COI) | Federal | Federal Hub | Web Service Consumer |
| COLA – Using Beneficiary & Earnings Data Exchange (SDX) File | DHS | ABC | Inbound Batch |
| ABC Case Individual Master | DHS | ABC | Outbound Batch |
| ABC Citizenship Identity | DHS | ABC | Outbound Batch |
| Master Client Index | DHS | ABC | Web Service Consumer |
| TXIX MPEP - ABMS File | State | TXIX | Outbound Batch |
| Iowa Workforce Development | State | IWD | Web Service Consumer |
| Email Enterprise Solution | State | DoIT | Web Service Consumer |
| Provider File | State | DoIT | Web Service Consumer |

# Attachment H: IAS Template



# Attachment I: Vendor Security Questionnaire (VSQ)



# Attachment J: SLAs and Tasks

Double click on the image to access the attachment.



# 

# Attachment K: List of Agency Software

|  |  |  |
| --- | --- | --- |
| **Name of System/Software** | **Abbreviation** | **Business Purpose** |
| Adobe LiveCycle ES4 and Adobe Experience Manager (AEM) | LiveCycle | LiveCycle deploys electronic forms in Portable Document Format (PDF) over the Internet. Users access, fill out, and save online forms without downloading any additional software. LiveCycle Forms permits businesses and government to interact with customers and citizens via their Web browsers (on any platform or any device) without requiring them to download any proprietary software or plug-ins |
| Adobe RoboHELP® | N/A | Used to build and customize the online help modules |
| Adobe® Captivate® | Captivate | Used to create web based training materials |
| Azure Dev Ops | ADO | Requirements and code management system |
| Apache Maven | Maven | The build system uses Maven to perform builds for individual Java projects, and to package the Web application. The tool compiles source code, executes tests, generates documentation, and packages Jar or War files. Maven has a Java library repository that contains every Jar file the Project System Web application needs. A permanent record of the repository is located in RTC version control |
| HHTP | HHTP | Web server |
| Control M | N/A | Batch schedule and automation |
| CA Wily Introscope | Wily | Wily captures transaction performance data from problem sources – application, end-user, and infrastructure – and uses integrated end-user experience information to help prioritize problem resolution and manage SLAs |
| Cisco AnyConnect VPN | VPN | Used to securely connect to the network for users working remotely |
| Hewlett Packard (HP) HP ArcSight Enterprise Security Manager | ESM | ESM is an integrated set of products for collecting, analyzing, and managing enterprise event information |
| IBM Rational Team Concert | RTC | RTC is a Process Management and Change Control system that stores and tracks changes to individual files and manages and monitors the entire development cycle. RTC is also used as the system of record for all defects reported in ELIAS |
| IBM® Rational® Insight | Insight | Insight provides objective dashboards and measures for transparency and control of risks, status, and trends |
| IBM® Rational® Quality Manager® | RQM | RQM manages testing and its results, and is therefore a key component of the CM Program |
| IBM® Rational® Requirements Composer® | RRC | RRC is the primary tool used to document, baseline, and trace requirements |
| IBM® Rational® Team Concert® | RTC | Requirements and code management system |
| IBM® Tivoli® Storage Manager | TSM | OCIO backup solution for infrastructure |
| Jenkins | N/A | Code build and deployment utility |
| ArcSight | N/A | SIEM appliance for 10- year log retention and monitoring |
| MicroSoft Power BI | Power BI | Business analytics for development reporting |
| Microsoft® PowerPoint® | PPT | Used for the creation of Instructor-led Training materials |
| Microsoft® SharePoint® | SharePoint | Used to share and manage KT training materials |
| Microsoft® Teams | Teams | Used for virtual meetings, communications, and to share documents |
| Microsoft® Word® | Word | Used to create various training materials (e.g., leader guides, certain Job Aids) |
| Moodle® | N/A | Used to manage and track training schedules and trainee feedback/evaluation results |
| Nagios | N/A | OCIO server/VM monitoring and alerting |
| NeoLoads | N/A | Performance scenario and load generator |
| Oracle® Business Intelligence Enterprise Edition | OBIEE | OBIEE provides a robust set of reporting, ad-hoc query and analysis functionality |
| Oracle® Business Process Management Suite | BPM | BPM is used to design, execute, and monitor business workflows. Developers visually design workflows using the JDeveloper IDE. For execution, the BPM Process Manager provides a native engine that serves as the execution runtime. For monitoring, Oracle provides the BPM Control application to view audit trails of in-flight and completed processes |
| Oracle® Database Enterprise Edition | Oracle DB | Oracle DB is the database application for ELIAS |
| Oracle® OBIEE | OBIEE | Reporting |
| Oracle® Enterprise Manager | OEM | OEM provides a single, integrated solution for managing all aspects of the Oracle Grid and the applications running on it |
| Oracle® GoldenGate | GoldenGate | Data Change Data Capture |
| Oracle® Identity and Access Management Suite Plus | OIAM | OIAM is a complete and integrated, next-generation identity management platform that provides scalability and enables organizations to achieve compliance with regulatory mandates while securing sensitive applications |
| Oracle® Policy Automation | OPA | OPA creates and manages policy models across the application. OPA performs the role of a rules engine for features within the application |
| Oracle® Service-Oriented Architectures (SOA) Suite | SOA | SOA Suite is a comprehensive, hot-pluggable software suite to build, deploy and manage SOAs |
| Oracle® WebLogic ® | WebLogic | WebLogic is the online application server |
| Oracle Database Security | N/A | Audit Vault and Advanced Security components |
| Oracle Enterprise Linux (OEL) | OEL | Operating System |
| Oracle Java | Java | Software Language |
| Perforce | N/A | Java development accelerator |
| Pitney Bowes STP Enterprise Geocoding & Location Intelligence | Pitney Bowes | Pitney Bowes is used as a real-time address matching system that verifies the stored address data adheres to United States Postal Service (USPS) authority standards. Following these standards allows the Project System to take advantage of postal discounts and improves delivery time |
| Puppet | N/A | OCIO system administration and infrastructure automation |
| RSA Secure ID Software Token | RSA | Used to validate identification in order to log-on to the VPN |
| Ansible | N/A | Infrastructure repeatability and automation |
| Service Now | N/A | Production level 1 incident tracking offered via Accenture SaaS |
| SOAP UI Pro | N/A | Web service testing |
| Time Machine | N/A | Time Based emulator for software time testing |
| Tosca | N/A | Regression test automation |
| Twiki | N/A | Project wiki for collaboration and knowledge sharing |
| Worksoft | N/A | Regression test automation |

# Attachment L: Sample Contract

*(These contract terms contained in the Special Terms, General Terms, and Contingent Terms for Services Contracts are not intended to be a complete listing of all contract terms but are provided only to enable Bidders to better evaluate the costs associated with the RFP and the potential resulting contract. Bidders should plan on such terms being included in any contract entered into as a result of this RFP. All costs associated with complying with these terms should be included in the Cost Proposal or any pricing quoted by the Bidder. See RFP Section 3.1 regarding Bidder exceptions to contract language.)*

***This is a sample form. DO NOT complete and return this attachment.***

**CONTRACT DECLARATIONS AND EXECUTION**

|  |  |
| --- | --- |
| **RFP #** | **Contract #** |
| MED 22-005 | *{To be completed when contract is drafted.}* |

|  |
| --- |
| **Title of Contract** |
| *{To be completed when contract is drafted.}* |

This Contract must be signed by all parties before the Contractor provides any Deliverables. The Agency is not obligated to make payment for any Deliverables provided by or on behalf of the Contractor before the Contract is signed by all parties. This Contract is entered into by the following parties:

|  |
| --- |
| **Agency of the State (hereafter “Agency”)** |
| **Name/Principal Address of Agency:**  Iowa Department of Human Services  1305 E. Walnut  Des Moines, IA 50319-0114 | | **Agency Billing Contact Name / Address:**  *Pauline Rutherford*  *1305 E Walnut St*  *Des Moines, IA 50319-0114* |
| **Agency Contract Manager (hereafter “Contract Manager” ) /Address (“Notice Address”):**  *Pauline Rutherford*  *1305 E Walnut St*  *Des Moines, IA 50319-0114* | | **Agency Contract Owner (hereafter “Contract Owner”) / Address:**  *Elizabeth Matney*  *1305 E Walnut St*  *Des Moines, IA 50319-0114* |

|  |
| --- |
| **Contractor: (hereafter “Contractor”)** |
| **Legal Name:** *{To be completed when contract is drafted.}* | | **Contractor’s Principal Address:**  *{To be completed when contract is drafted.}* |
| **Tax ID #:** *{To be completed when contract is drafted.}* | | **Organized under the laws of:** *{To be completed when contract is drafted.}* |
| **Contractor’s Contract Manager Name/Address (“Notice Address”):**  *{To be completed when contract is drafted.}* | | **Contractor**’s **Billing Contact** **Name/Address:**  *{To be completed when contract is drafted.}* |

|  |
| --- |
| **Contract Information** |

|  |  |
| --- | --- |
| Start Date: *{To be completed when contract is drafted.}* | End Date of Base Term of Contract: 6 years from execution |
| Possible Extension(s): *4 one- year extensions* | |
| Contract Contingent on Approval of Another Agency:  Yes  Which Agency? *CMS*/FNS | **ISPO Number:** ISPO-21-65 |
| Contract Include Sharing SSA Data? No | **DoIT Number:** |

|  |
| --- |
| **Contract Execution** |

This Contract consists of this Contract Declarations and Execution Section, the Special Terms, any Special Contract Attachments, the General Terms for Services Contracts, and the Contingent Terms for Service Contracts.

In consideration of the mutual covenants in this Contract and for other good and valuable consideration, the receipt, adequacy, and legal sufficiency of which are hereby acknowledged, the parties have entered into this Contract and have caused their duly authorized representatives to execute this Contract.

**SECTION 1: SPECIAL TERMS**

***1.1 Special Terms Definitions.***

*{To be completed when contract is drafted.}*

***1.2 Contract Purpose.***

*{To be completed when contract is drafted.}*

***1.3 Scope of Work.***

**1.3.1 Deliverables.**

*{To be completed when contract is drafted.}*

**1**.**3.2 Performance Measures.**

*{To be completed when contract is drafted.}*

**1.3.3 Agency Responsibilities.**

*{To be completed when contract is drafted.}*

**1.3.4 Monitoring, Review, and Problem Reporting.**

**1.3.4.1 Agency Monitoring Clause.** The Contract Manager or designee will:

* Verify Invoices and supporting documentation itemizing work performed prior to payment.
* Determine compliance with general contract terms, conditions, and requirements; and
* Assess compliance with Deliverables, performance measures, or other associated requirements based on the following:
  1. The Agency’s representative will perform at minimum monthly desk monitoring of deliverables, reports, and results to determine the success of the Contractor.
  2. The Agency’s representative will review completed Scope of Work items, provide feedback on progress, and determine if other measures are required to ensure achievement of items approved and documented.

**1.3.4.2 Agency Review** **Clause.** The Contract Manageror designee will use the results of monitoring activities and other relevant data to assess the Contractor’s overall performance and compliance with the Contract. At a minimum, the Agency will conduct a review semi-annually; however, reviews may occur more frequently at the Agency’s discretion. As part of the review(s), the Agency may require the Contractor to provide additional data,may perform on-site reviews, and may consider information from other sources.

The Agency may require one or more meetings to discuss the outcome of a review. Meetings may be held in person. During the review meetings, the parties will discuss the Deliverables that have been provided or are in process under this Contract, achievement of the performance measures, and any concerns identified through the Agency’s contract monitoring activities.

**1.3.4.3 Problem Reporting.** As stipulated by the Agency, the Contractor and/or Agency shall provide a report listing any problem or concern encountered. Records of such reports and other related communications issued in writing during the course of Contract performance shall be maintained by the parties. At the next scheduled meeting after a problem has been identified in writing, the party responsible for resolving the problem shall provide a report setting forth activities taken or to be taken to resolve the problem together with the anticipated completion dates of such activities. Any party may recommend alternative courses of action or changes that will facilitate problem resolution. The Contract Owner has final authority to approve problem-resolution activities.

The Agency’s acceptance of a problem report shall not relieve the Contractor of any obligation under this Contract or waive any other remedy. The Agency’s inability to identify the extent of a problem or the extent of damages incurred because of a problem shall not act as a waiver of performance or damages under this Contract.

**1.3.4.4 Addressing Deficiencies.** To the extent that Deficiencies are identified in the Contractor’s performance and notwithstanding other remedies available under this Contract, the Agency may require the Contractor to develop and comply with a plan acceptable to the Agency to resolve the Deficiencies.

**1.3.5 Contract Payment Clause.**

**1.3.5.1 Pricing.** In accordance with the payment terms outlined in this section and the Contractor’s completion of the Scope of Work as set forth in this Contract, the Contractor shall be compensated as follows:

*{To be completed when contract is drafted.}*

**1.3.5.2 Payment Methodology.**

*{To be completed when contract is drafted.}*

**1.3.5.3 Timeframes for Regular Submission of Initial and Adjusted Invoices.** The Contractor shall submit an Invoice for services rendered in accordance with this Contract. Invoice(s) shall be submitted monthly. Unless a longer timeframe is provided by federal law, and in the absence of the express written consent of the Agency, all Invoices shall be submitted within six months from the last day of the month in which the services were rendered. All adjustments made to Invoices shall be submitted to the Agency within ninety (90) days from the date of the Invoice being adjusted. Invoices shall comply with all applicable rules concerning payment of such claims.

**1.3.5.4 Submission of Invoices at the End of State Fiscal Year.** Notwithstanding the timeframes above, and absent (1) longer timeframes established in federal law or (2) the express written consent of the Agency, the Contractor shall submit all Invoices to the Agency for payment by August 1st for all services performed in the preceding state fiscal year (the State fiscal year ends June 30).

**1.3.5.5 Payment of Invoices.** The Agency shall verify the Contractor’s performance of the Deliverables and timeliness of Invoices before making payment. The Agency will not pay Invoices that are not considered timely as defined in this Contract.If the Contractor wishes for untimely Invoice(s) to be considered for payment, the Contractor may submit the Invoice(s) in accordance with instructions for the Long Appeal Board Process to the State Appeal Board for consideration. Instructions for this process may be found at: <http://www.dom.state.ia.us/appeals/general_claims.html>.

The Agency shall pay all approved Invoices in arrears and in conformance with Iowa Code 8A.514. The Agency may pay in less than sixty (60) days, but an election to pay in less than sixty (60) days shall not act as an implied waiver of Iowa law.

**1.3.5.6 Reimbursable Expenses.** Unless otherwise agreed to by the parties in an amendment or change order to the Contract that is executed by the parties, the Contractor shall not be entitled to receive any other payment or compensation from the State for any Deliverables provided by or on behalf of the Contractor pursuant to this Contract. The Contractor shall be solely responsible for paying all costs, expenses, and charges it incurs in connection with its performance under this Contract.

***1.4 Insurance Coverage.***

The Contractor and any subcontractor shall obtain the following types of insurance for at least the minimum amounts listed below:

|  |  |  |
| --- | --- | --- |
| **Type of Insurance** | **Limit** | **Amount** |
| General Liability (including contractual liability) written on occurrence basis | General Aggregate  Product/Completed  Operations Aggregate  Personal Injury  Each Occurrence | $2 Million  $1 Million  $1 Million  $1 Million |
| Automobile Liability (including any auto, hired autos, and non-owned autos) | Combined Single Limit | $1 Million |
| Excess Liability, Umbrella Form | Each Occurrence  Aggregate | $1 Million  $1 Million |
| Workers’ Compensation and Employer Liability | As required by Iowa law | As Required by Iowa law |
| Property Damage | Each Occurrence  Aggregate | $1 Million  $1 Million |
| Professional Liability | Each Occurrence  Aggregate | $2 Million  $2 Million |

***1.5 Data and Security.*** If this Contract involves Confidential Information, the following terms apply:

**1.5.1 Data and Security System Framework**. The Contractor shall comply with either of the following:

* Provide certification of compliance with a minimum of one of the following security frameworks, if the Contractor is storing Confidential Information electronically: NIST SP 800-53, HITRUST version 9, SOC 2, COBIT 5, CSA STAR Level 2 or greater, ISO 27001 or PCI-DSS version 3.2 prior to implementation of the system and again when the certification(s) expire, or
* Provide attestation of a passed information security risk assessment, passed network penetration scans, and passed web application scans (when applicable) prior to implementation of the system and again annually thereafter. For purposes of this section, “passed” means no unresolved high or critical findings.

**1.5.2 Vendor Security Questionnaire.** If not previously provided to the Agency through a procurement process specifically related to this Contract, the Contractor shall provide a fully completed copy of the Agency’s Vendor Security Questionnaire (VSQ). [This is included as Attachment I to the MED 22-005 RFP.]

**1.5.3 Cloud Services.** If using cloud services to store Agency Information, the Contractor shall comply with either of the following:

* Provide written designation of FedRAMP authorization with impact level moderate prior to implementation of the system, or
* Provide certification of compliance with a minimum of one of the following security frameworks: HITRUST version 9, SOC 2, COBIT 5, CSA STAR Level 2 or greater or PCI-DSS version 3.2 prior to implementation of the system and again when the certification(s) expire.

**1.5.4 Addressing Concerns.** The Contractor shall timely resolve any outstanding concerns identified by the Agency regarding the Contractor’s submissions required in this section.

***1.6* Reserved. *(Labor Standards Provisions.)***

***1.8 Incorporation of General and Contingent Terms.***

**1.8.1 General Terms for Service Contracts (“Section 2”).**  The version of the General Terms for Services Contracts Section posted to the Agency’s website at <https://dhs.iowa.gov/contract-terms> that is in effect as of the date of last signature in the Contract Declarations and Execution section, or a more current version if agreed to by amendment, is incorporated into the Contract by reference. The General Terms for Service Contracts may be referred to as Section 2. [This is included as Attachment O to the MED 22-005 RFP.]

The contract warranty period (hereafter "Warranty Period") referenced within the General Terms for Services Contracts is as follows: The term of this Contract, including any extensions.

**1.8.2 Contingent Terms for Service Contracts (“Section 3”).** The version of the Contingent Terms for Services Contracts posted to the Agency’s website at <https://dhs.iowa.gov/contract-terms> that is in effect as of the date of last signature in the Contract Declarations and Execution section, or a more current version if agreed to by amendment, is incorporated into the Contract by reference. The Contingent Terms for Service Contracts may be referred to as Section 3. [This is included as Attachment P to the MED 22-005 RFP.]

All of the terms set forth in the Contingent Terms for Service Contracts apply to this Contract unless indicated otherwise in the table below:

|  |  |
| --- | --- |
| **Contract Payments include Federal Funds?** Yes  *{The items below will be completed if the Contract includes Federal Funds}*  **The Contractor for federal reporting purposes under this Contract is a:** *{To be completed when contract is drafted.}*  **Office of Child Support Enforcement (“OCSE”) Funded Percentage:** *{To be completed when contract is drafted.}*  **Federal Funds Include Food and Nutrition Service (FNS) funds?** *{To be completed when contract is drafted.}*  **DUNS #:** *{To be completed when contract is drafted.}*  **The Name of the Pass-Through Entity:** *{To be completed when contract is drafted.}*  **CFDA #:** *{To be completed when contract is drafted.}*  **Grant Name:** *{To be completed when contract is drafted.}*  **Federal Awarding Agency Name:** *{To be completed when contract is drafted.}* | |
| **Contractor a Business Associate?** Yes | **Contractor a Qualified Service Organization?** No |
| **Contractor subject to Iowa Code Chapter 8F?**  No | **Contract Includes Software (modification, design, development, installation, or operation of software on behalf of the Agency)?** Yes |

# Attachment M: Reporting

|  |
| --- |
| **Reports** |
| Generate daily FFM failure report |
| Adhoc request (e.g., 1700 issue) |
| Generate Log tool to capture exceptions out of application log files |
| Daily production health check report |
| General Help Desk- report - Weekly |
| Monthly Performance SLA report |
| Provide updates to EMT deck |
| Provide updates to CMS reports - Monthly and Quarterly |

# Attachment N: Workload

For reference only, not a guarantee of future workload.

**ELIAS System Information**

**Web Status Detail** for Production Traffic of three (3) portals per month (historical data):

ABMS – Worker Portal

Text

Description automatically generated

SSP – Citizen Portal

Chart, treemap chart

Description automatically generated

PE – Qualified Entity Portal

Treemap chart

Description automatically generated

**Environmental Listings:**

Table

Description automatically generated

**Storage Sizing:**

Table

Description automatically generated

Average Monthly Batch Statistics:

Total Jobs Ran: 6281

Failed Jobs: 14

JI00C10600D is expected to fail 14 of 15 days it runs.

Overall success rate: 99.78%

Approximately 288 jobs run every weekday when there are no monthly processes.

Batch winder: every weekday 6pm – 6am

Control-M Variables

Batch Schedule for monthly jobs (subject to change due to PHE):

Calendar

Description automatically generated

Nightly/Monthly Batch Down Time Schedule:

The normal batch schedule is all business days Monday – Friday 6:00 PM – 6:00 AM, unless a change request is received.

# Attachment O: DHS General Terms for Service Contracts (Section 2)



# Attachment P: DHS Contingent Terms for Service Contracts (Section 3)



# Attachment Q: Current Software Agreement –

