STATE OF COLORADO
GOVERNOR'S OFFICE OF INFORMATION TECHNOLOGY

Colorado Benefits Management System (CBMS), Program Eligibility Application Kit (PEAK) and Related Applications Maintenance and Operations Renewal

RFP Number: EGBA 2017000051

Procurement Office (Purchasing and Contracts)
601 East 18th Avenue, Suite 150
Denver, CO 80203

OIT_purchasing@state.co.us

REQUEST FOR PROPOSALS SIGNATURE PAGE

RFP INFORMATION			
RFP #:	**RFP EGBA 2017000051**	**TITLE:**	**State of Colorado, Colorado Benefits Management System (CBMS), Program Eligibility Application Kit (PEAK) and Related Applications Maintenance and Operations Renewal**
SUBMIT INQUIRIES & SEALED PROPOSALS TO:			
Governor's Office of Information Technology **Procurement Office** **601 E 18th Ave., Suite 150** **Denver, CO 80203**			
William Martin			
303.764.7722			
OITpurchasing@state.co.us			
Submit one (1) Original hard copy and two (2) flash drives containing the full proposal to the address above.			

OFFEROR'S CONTACT INFORMATION			
COMPANY NAME:		**CONTACT:**	
STREET ADDRESS:		**PHONE:**	
CITY/STATE/ZIP:		**E-MAIL:**	
FEIN:			
OFFEROR'S AUTHORIZED SIGNATURE			
AUTHORIZED SIGNATURE:			
PRINTED NAME:		**TITLE:**	

IMPORTANT
The following information must be on the OUTSIDE of the sealed RFP response:
RFP Number and RFP Submission Deadline

RETURN THIS PAGE WITH YOUR RESPONSE

SCHEDULE OF ACTIVITIES

ACTIVITY	DATE/TIME (MTN STD TIME)	
RFP Notice Published on COLORADOVSS	September 16, 2016 (www.colorado.gov/vss)	
Prospective Offerors Written Inquiry Deadline (e-mail preferred)	October 7, 2016	3:00 PM
Estimated Responses to Written Inquiries Published on COLORADOVSS	Week of October 17, 2016	5:00 PM

Bid Submission Deadline	November 14, 2016 2:00 p.m. MDT (www.colorado.gov/vss)		
Oral Presentations/Site Visits/Best and Final Offers[1]	Optional and to be determined		
Estimated Notice of Award Published on COLORADOVSS	January 13, 2017	3:00 PM	
Initial Contract Period	April 1, 2017	Thru	June 30, 2021

SECTION 1.0 ADMINISTRATIVE INFORMATION

1.1 Issuing Office

This Request for Proposal ("RFP") is issued by the State of Colorado, Governor's Office of Information Technology ("OIT"), Procurement Office, for the benefit of the State of Colorado ("State"). The OIT Procurement Office and Purchasing Agent listed on the RFP Signature Page is the sole point of contact concerning this RFP. All communication must be done through the OIT Procurement Office.

1.2 Colorado VSS and Registration

The State has transitioned to a new financial management system called the Colorado Operations Resource Engine (CORE). Solicitations for most State Agencies (Agencies) and State Institutions of Higher Education (Institutions) will be posted on a new website, ColoradoVSS.

Solicitation details for goods and services, as well as construction notices on ColoradoVSS are public and do not require registration; however, any updates or modifications to this RFP will be published using ColoradoVSS, so it is important to be registered. There is no cost to register on ColoradoVSS. It is very important that Offerors check ColoradoVSS on a regular basis, as this is the sole means for communicating any clarifications or changes to RFP content and/or requirements.

To become a registered supplier on ColoradoVSS:

www.colorado.gov/vss

1.3 Modification or Addendum to Request for Proposals

In the event it becomes necessary to revise any part of this RFP, a modification/addendum will be published on the ColoradoVSS web page at:

www.colorado.gov/vss
It is incumbent upon Offerors to carefully and regularly monitor ColoradoVSS for any such postings.

1.4 Invitation to Submit Proposals

OIT is posting this RFP on ColoradoVSS so that Offerors who have an interest may submit a proposal in accordance with terms of this RFP. Please read and be aware of the administrative information attached to this RFP.

1.5 Purpose

The purpose of this RFP is to solicit proposals to operate, maintain and enhance functionality of the Colorado Benefits Management System (CBMS), the Program Eligibility and Application Kit (PEAK), and related systems and applications as outlined in the statement of work included in the RFP. The requirements stated within this RFP represent the minimum performance requirements necessary for response as well as desired elements of performance. All proposals shall meet the mandatory minimum requirements established by this RFP to be eligible for award. This RFP provides prospective Offerors with sufficient information to enable them to

prepare and submit proposals for consideration to satisfy the need for expert assistance in the completion of the scope of this RFP.

1.6   Scope

This RFP contains the instructions governing the proposal to be submitted and the material to be included therein; requirements set forth in Sections 5, 6 and 7, collective the Statement of Work (SOW), must be met to be eligible for consideration.

1.7   Structure of this Request for Proposals

The State Solicitation Instructions and Terms and Conditions linked through the ColoradoVSS Solicitation Page govern, except as modified or supplemented in these instructions.

1.8   Official Means of Communication

During the solicitation process for this RFP, all official communication will be via notices on ColoradoVSS. Notices may include any modifications to administrative or performance requirements, answers to inquiries received, clarifications to requirements, and the announcement of the awarded Offeror(s). It is incumbent upon Offeror to carefully and regularly monitor ColoradoVSS for any such notices.

1.9   Inquiries

Unless otherwise noted, prospective Offerors may make written or electronic mail inquiries concerning this RFP to obtain clarification of requirements. E-mail is the preferred method for Offerors to submit inquiries. No inquiries will be accepted after the date indicated in the Schedule of Activities section of this RFP.

Inquiries shall be made to the sole point of contact as listed on the RFP Signature Page.

Clearly identify your inquiries by referencing the RFP number. Where appropriate include references to RFP section, paragraph and/or question numbers; using page numbers as references is problematic because not all printers number the pages consistently.

Response(s) to Offerors' inquiries (if required) will be published as a modification(s) on the ColoradoVSS System in a timely manner. Offeror should not rely on any other statements, either written or oral, that alter any specification or other term or condition of this RFP. Offerors are responsible for monitoring ColoradoVSS for publication of modifications to this solicitation.

1.10   Offeror Registration

Offeror registration (ColoradoVSS Registration) MUST be current to be awarded a solicitation.

1.11   Vendor Identification

The tax identification number provided must be that of Offeror responding to the RFP. Offeror must be a legal entity with the legal right to contract in the State and shall be the entity that is used to determine Offeror registration status.

1.12   Parent Company

If Offeror is owned or controlled by a parent company, the name, main office address and parent company's tax identification number shall be provided in the proposal.

1.13   Modification or Withdrawal of Proposals

Proposals may be modified or withdrawn by Offeror prior to the established due date and time.

1.14   News Releases

News releases or contact with media representatives pertaining to this RFP or concerning any Offeror's proposal shall NOT be made prior to execution of the contract without prior written approval by the State.

1.15   Certification of Independent Price Determinations

1.15.1   By submission of a proposal, each Offeror certifies, and in the case of a joint proposal each party thereto certifies as to its own organization, that in connection with this procurement:

1. The prices in the proposal have been arrived at independently, without consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other Offeror or with any competitor, other than a joint Offeror;
2. Unless otherwise required by law, the prices which have been quoted in the proposal have not been knowingly disclosed by Offeror and will not knowingly be disclosed by Offeror prior to opening, directly or indirectly to any other Offeror or to any competitor; and
3. No attempt has been made or will be made by Offeror to induce any other person or firm to submit or not to submit a proposal for the purpose of restricting competition.

1.15.2   Each person signing the RFP Signature Page of the proposal certifies that:

1. She/he is the person in Offeror's organization responsible within that organization for the decision as to the prices being offered herein and that she/he has not participated, and will not participate, in any action contrary to (1.15.1)(a) through (1.15.1)(c) above; or
2. She/he is not the person in Offeror's organization responsible within that organization for the decision as to the prices being offered herein but that she/he has been authorized in writing to act as agent for the person(s) responsible for such decision in certifying that such persons have not participated, and will not participate, in any action contrary to (1.15.1)(a) through (1)(c) above, and as their agent does hereby so certify; and she/he has not participated, and will not participate, in any action contrary to (1.15.1)(a) through (1.15.1)(c) above.

1.15.3 A proposal will not be considered for award where (1.15.1)(a), (1.15.1)(c), or (1.15.2) above has been deleted or modified. Where (1.16.1)(b) above has been deleted
or modified, the proposal will not be considered for award unless Offeror furnishes with the proposal a signed statement which sets forth in detail the circumstances of the disclosure and the head of the agency, or her/his designee, determines that such disclosure was not made for the purpose of restricting competition.

1.16   Proprietary/Confidential Information

Any restrictions on the use or inspection of material contained within the proposal shall be clearly stated in the proposal itself; written requests for confidentiality shall be submitted by Offeror with its proposal. Offeror must state specifically what elements of the proposal are to be considered confidential/proprietary.

Confidential/Proprietary information must be readily identified, marked and separated/packaged from the rest of the proposal. Co-mingling of confidential/proprietary and other information is not acceptable. Neither a proposal, in its entirety, nor proposal price and/or rate information will be considered confidential and proprietary. Any information that will be included in any resulting contract cannot be considered confidential.

OIT, Procurement Director and or delegate will make a written determination as to the apparent validity of any written request for confidentiality. In the event OIT does not concur with Offeror's request for confidentiality, a written determination will be sent to Offeror. If the request is denied, Offeror will have an opportunity to withdraw its entire proposal, or remove the confidential and or proprietary restrictions. Ref. Section 24-72-200.1 etc... seq., Colorado Revised Statutes ("C.R.S.") as amended, the Colorado Open Records Act ("CORA").

1.17   RFP Response Material Ownership

All material submitted regarding this RFP becomes the property of the State. As such, the State may retain or dispose of all copies as is lawfully deemed appropriate. Proposals may be reviewed by any person after the "Notice of Intent to Make an Award" letter has been issued, subject to the terms of C.R.S. Title 24, Article 72, Part 2 as amended. The State has the right to use any or all information/material presented in reply to the RFP, subject to limitations outlined in Section 1.16 - Proprietary/Confidential Information. Offeror expressly agrees that The State may use the materials for all lawful purposes, including the right to reproduce copies of the material submitted for purposes of evaluation, and to make the information available to the public in accordance with the provisions of CORA.

1.18   Acceptance of RFP Terms

A proposal submitted in response to this RFP shall constitute a binding offer. Acknowledgment of this condition shall be indicated by the autographic signature of Offeror or an officer of Offeror, legally authorized to execute contractual obligations. It is assumed by Offeror's response that it acknowledges all terms and conditions of this invitation for an offer. An Offeror shall identify clearly and thoroughly any variations between its proposal and this RFP. Failure to do so shall be deemed a waiver of any rights to subsequently modify the terms of performance, except as outlined or specified in the RFP.

1.19   Proposal Content Acceptance

The contents of the proposal (including persons specified) of the successful Offeror will become contractual obligations of Offeror if a contract ensues. Failure of the successful Offeror to accept these obligations in a resulting contract may result in cancellation of the award and such Offeror may be removed from future solicitations.

1.20   Contractual Obligations of RFP Documents

The contents of the proposal and the terms of this RFP will become contractual obligations of the successful Offeror(s). This RFP consists of all documents listed under the Table of Contents and are hereby referenced and incorporated herein. "The State of Colorado Solicitation Instructions and Terms and Conditions" linked to the ColoradoVSS Notice on the website shall govern, except as modified or supplemented within the RFP. The final contract shall provide the order of precedence of all related documents, in the following order: Colorado Special Provisions, contract, exhibits, RFP and Offeror's response.

In responding to this RFP, Offerors agreeing to abide by the requirements of this RFP are also agreeing to abide by all terms and conditions contained herein, so Offerors shall identify or seek to clarify any problems with contract language or any other document contained within this RFP packet through their written inquiries about the RFP or within their proposal. Any proposed changes or objections to the contract language or other documents must be submitted as a part of Offeror's proposal. Each change or exception shall be presented in the form of proposed alternative or substitute language. General objections, to be negotiated subsequent to the award, will not be accepted. Exceptions to the State of Colorado Special Provisions, attached to the contract, will not be accepted. Failure of the successful Offeror(s) to accept these obligations may result in cancellation of the award.

1.21   Contract

Except as modified herein, the Model Contract included in this RFP (Attachment A) shall govern this procurement and is hereby incorporated by reference.

1.21.1   Legislative Changes

The State reserves the right to amend the contract in response to legislative changes.

1.21.2   Order of Precedence

In the event of any conflict or inconsistency between terms of this RFP and Offeror's proposal, such conflict or inconsistency shall be resolved, first, by giving effect to the Colorado Special Provisions, contract, exhibits, RFP, and Offeror's response.

1.21.3   Venue

The parties agree that venue for any action related to performance of the contract shall be in the City and County of Denver, Colorado.

1.21.4   Statewide Contract Management System ("CMS")

For all contracts resulting from this solicitation, Offeror agrees to be governed, and to abide, by the provisions of C.R.S. §24-102-205, §24-102-206, §24-103-601, §24-103.5-101 and §24-105-102 concerning the monitoring of vendor performance on state contracts and inclusion of contract performance information in a statewide contract management system.

OIT shall evaluate, review and rate Offeror's performance for all contracts resulting from this solicitation, for any contracted amount.

1.22   Offeror Proposed Terms and Conditions

Except as specified in Offeror's proposal, the submission of Offeror's proposal will indicate its acceptance of the terms and conditions of this RFP. Offerors must disclose in their proposals terms and conditions or required clarifications of terms and conditions consistent with these instructions. The State reserves the right to clarify terms and conditions not having an appreciable effect on quality, price/cost, risk, or delivery schedule during post-award formalization of the contract.

1.23   Ownership of Contract Products

All products produced in response to the contract resulting from this RFP will be the sole property of the State. Any exceptions must be outlined in detail. This includes but is not limited to the retention of software ownership rights specified in 45 CFR 95.617, (a) and (b). Exceptions may serve as cause for rejection of the proposal.

1.24   Proposal Pricing

This RFP requires Offerors to propose a: (i) firm, fixed price for the maintenance, operations, support and technology upgrades for the system. Offeror shall also be required to provide an annual fixed (blended) hourly rate and document hourly rates for all resource categories that may be utilized for system customization s for ongoing services of its solution. Section (iii) has been provided in the Cost Proposal Format (Attachment B) that allows the Offeror to enter resource category titles and current hourly rates that meet this requirement.

Estimated proposal prices are not acceptable. Offers submitted must include all related costs (e.g., surcharges, travel, etc.). Any costs not included as part of the offer will be disallowed. Pricing must be in United States (U.S.) funds. Best and final offers may be considered in determining the successful Offeror. Proposals shall be firm from the deadline date for proposal submission until two hundred seventy (270) calendar days after date of award.

1.25   Contract Term

This RFP may result in a multiple year contract(s); estimated term is stated in the Schedule of Activities.

The initial contract(s) will be effective upon approval by the State Controller or designee for a period ending June 30, 2021.The contract may be extended up to an additional 18 months if necessary to accommodate the procurement timeline and facilitate the transition to a new contract.   Any extension over and beyond the 18 month period would require approval of a sole source justification by the applicable state procurement authority and federal agencies. Contract plus extensions will not exceed ten (10) years beyond the initial execution date.   The

contract performance contemplated herein shall commence as upon the effective date of the resulting contract(s) and shall be undertaken and performed in the sequence and manner set forth therein.

1.26   Late Proposals

Late proposals will not be accepted. It is the sole responsibility of Offeror to ensure that its proposal arrives in the designated office prior to the date and time as specified on ColoradoVSS.

1.27   Rejection of Proposals

OIT reserves the right to reject any or all proposals, to waive informalities and minor irregularities in proposals received, and to accept any portion of a proposal or all items proposed if deemed in the best interest of the State.

1.28   Estimated Quantities

Quantities, where provided, are estimates only; no volumes can be guaranteed.

1.29   Number of Awards

The State, at its sole discretion, may award one or more awards/contracts as a result of this RFP.

1.30   Agreement Execution

Timely execution of the Model Contract is of utmost importance. The State will attempt to work with the awarded Offeror to enter into a contract. The State reserves the right to cancel the award and contract negotiations at any time, and award the selection or selections to other successful Offeror(s) if doing so is determined to be in the best interest of the State.

1.31   Pre Performance Meeting

Upon execution of the contract(s), an OIT Contract Administrator shall conduct a review of the contract requirements with key personnel of the State and awarded Offeror(s). The purpose of the meeting is for all working parties to gain a better knowledge of contract requirements, have questions answered, and conduct a needs assessment so that transition to performance will commence timely and smoothly.

1.32   Incurring Costs

The State shall not be liable for any costs incurred by Offerors prior to issuance of a legally executed contract. No property interest of any nature shall accrue until a contract is awarded and signed by all concerned parties and approved by the State Controller.

1.33   Taxes

The State, as purchaser, is exempt from all federal excise taxes under Chapter 32 of the Internal Revenue Code (Registration No. 84-730123K) and from all state and local government use taxes C.R.S. 39-26-114(a). The Colorado State and Local Sales Tax Exemption Number is 98-02565.

Offerors are hereby notified that when materials are purchased in certain political sub-divisions (for example, City and County of Denver) the seller of such materials may be required to pay sales tax even though the ultimate product or service is provided to the State. This sales tax will not be reimbursed by the State.

1.34   Insurance

The awarded Offeror(s) shall obtain, and maintain at all times during the term of the contract, insurance in the kinds and amounts outlined in the linked ColoradoVSS State of Colorado Solicitation Instructions/Terms and Conditions and the attached Model Contract.

1.35   Cyber Security

OIT has updated their security policies and no longer have a specific Data Security Policy. Please refer to the Colorado Information Security Policies (CISPs) found at the following link: http://www.oit.state.co.us/ois/policies for all Security Policies.
Vendors are responsible for reviewing and adhering to the current policies that are posted on the site.

1.37   Security

1.37.1   Network Security

Offeror agrees at all times to maintain network security that at a minimum includes network firewall provisioning, intrusion detection, and regular (two or more annually) third party vulnerability assessments. Likewise, Offeror agrees to maintain network security that conforms to generally recognized industry standards and best practices that Offeror then applies to its own network.

1.37.2   Application Security

Offeror agrees at all times to provide, maintain, and support the System and subsequent updates, upgrades, and bug fixes such that the System is, and remains secure from those vulnerabilities as described in: a) The Open Web Application Security Project's (OWASP) "Top Ten Project" – see http://www.owasp.org; or b) The CWE/SANS Top 25 Programming Errors – see http://cwe.mitre.org/top25/ or http://www.sans.org/top25-programming-errors/; or c) Other generally recognized and comparable industry practices or standards.

1.37.3   Data Security

Offeror agrees to preserve the confidentiality; integrity and accessibility of State data with administrative, technical, and physical measures that conform to generally recognized industry standards and best practices that Offeror then applies to its own processing environment. Maintenance of a secure processing environment includes but is not limited to the timely application of patches, fixes, and updates to operating systems and applications as provided by Offeror. All State Confidential Information and State data of any kind shall be stored, processed, or transferred only in or to facilities

located within the United States. Please refer to the Colorado Information Security Policies (CISPs) found at the following link http://www.oit.state.co.us/ois/policies for all Security Policies. Vendors are responsible for reviewing and adhering to the current policies that are posted on the site.

1.38   Telegraphic/Electronic Responses

Telegraphic or electronic ColoradoVSS (Fax, Western Union, Telex, e-mail, etc.) cannot be accepted as a sealed proposal. Offerors are urged to read the solicitation document thoroughly before submitting a proposal.

1.39   Administrative Review Factors – Pass/Fail

Offerors must demonstrate in writing their ability and willingness to comply with the mandatory/core minimum requirements found in Sections 3.2, 3.2.1, and 3.2.2 to be considered responsive to this RFP. These items are judged on a pass or fail basis and must be satisfied in their entirety in order for Offeror's response to be considered for further review by the State's evaluation committee ("Evaluation Committee").

1.40   RFP Cancellation

The State reserves the right to cancel this entire RFP or individual phases at any time, without penalty.

1.42   Protested Solicitations and Awards

Any actual or prospective Offeror who is aggrieved in connection with the solicitation or award of a contract may protest to OIT, Procurement Director, 601 E 18th Ave., Suite 150, Denver, CO 80203. The protest must be submitted in writing within seven (7) working days after such aggrieved person knows, or should have known, of the facts giving rise thereto. Reference C.R.S., Title 24, Article 109.

1.43   Audit

The State reserves the right to require that the successful Offeror(s) has a process audit conducted of its program at least once every three (3) years. If the successful Offeror(s) has not had such an audit prior to awarding of this contract, and the State requires one, then an audit must begin within six months of the award of this contract. The State reserves the right to approve the selected firm. A complete copy of the audit must be provided to OIT within five (5) working days of its completion. OIT will negotiate directly with the successful Offeror(s) regarding any exceptions or findings from the audit.

1.44   Organizational Conflict of Interest—Requirements of this RFP and Subsequent Contract

Any business entity or person is prohibited from being awarded a contract if the business entity or person has an "Organizational Conflict of Interest" with regard to this solicitation and the resulting contract.

No person or business entity who was engaged by the State to prepare the original RFP or has access prior to the solicitation to sensitive information related to this procurement process (including, but not limited to requirements, statements of work, or evaluation criteria), will be eligible to directly or indirectly submit or participate, directly or indirectly in the submission of a proposal for this solicitation. The State considers such engagement or access to be an Organizational Conflict of Interest, which would cause such business entity or person to have an unfair competitive advantage.

If the State determines that an Organizational Conflict of Interest exists, the State, at its discretion, may cancel the contract award. In the event the successful Offeror was aware of an Organizational Conflict of Interest prior to the award of the contract and did not disclose the conflict to the procuring agency, the State may terminate the contract for default. The provisions of this clause must be included in all subcontracts for work to be performed by subcontractors in connection with the performance of the contract, with the terms "contract," "contractor," and "contracting officer" modified appropriately to preserve the State's rights.

1.45   Health Insurance Portability and Accountability Act of 1996 (HIPAA)

The Contractor warrants that it is familiar with the requirements of HIPAA, as amended by the Health Information Technology for Economic and Clinical Health Act (HITECH Act) of 2009, and accompanying regulations and will comply with all applicable HIPAA requirements in the course of this Contract. Contractor warrants that it will cooperate with the State in the course of performance of the Contract so that both the State and the Contractors will be in compliance with HIPAA. Under no circumstance shall HIPAA-protected data or PII data be released outside of the United States by the Contractor, which includes any and all subcontractors.

The Contractor agrees to sign a "HIPAA Business Associate Addendum" and to abide by the statements addressing the creation, use and disclosure of confidential information, including information designated as protected health information and all other confidential or sensitive information as defined in policy.

1.46   Statewide Contract Management System

For all contracts resulting from this solicitation, contractor agrees to be governed, and to abide, by the provisions of C.R.S. §24-102-205, §24-102-206, §24-103-601, §24-103.5-101 and §24-105-102 concerning the monitoring of vendor performance on state contracts and inclusion of contract performance information in a statewide contract management system. OIT shall evaluate, review and rate contractor performance for all contracts resulting from this solicitation, for any contracted amount.

1.47   Performance Outside the State and/or the United States

All service contracts must contain a clause that require suppliers to provide written notice within 20 days (from deciding or actual) if they anticipate, perform or subcontract any services outside the United States or the State. However, under no circumstance shall HIPAA-protected data or PII data be released outside of the United States.

If the supplier knowingly fails to provide notification the contract may be terminated.

1.48   E-Verify and Colorado Department of Labor and Employment Program

Effective May 13, 2008, contractors who enter into a public contract for services with Colorado state agencies or political subdivisions must participate in either the federal E-Verify program, or the newly created Colorado Department of Labor and Employment Program (Department Program). The option to enroll in the new Department Program instead of E-Verify was created by Colorado State Senate Bill 08-193, which amended the Public Contracts for Services and Illegal Alien Laws, C.R.S. 8-17.5-101 and 102.

1.49   Doing Business in the State

An Offeror wanting to do business in the State must register with the Colorado Secretary of State in accordance with C.R.S. 7-90-801. An Offeror must be registered to do business in Colorado within 10 business days of the RFP award notification to the Apparent Successful Offeror. A copy of the business entity's Articles of Incorporation and/or Bylaws may be requested by the State.

This is the link for the Colorado Secretary of State's Website: http://www.sos.state.co.us (Recommend going to the "Business Center" section, then opening the "Business Home" page, under the "General Information" section review the FAQs.)

1.50   Federal Employer Identification Number (FEIN)

For the purpose of verifying the Offeror's registration to the ColoradoVSS system, the Offeror is required to provide their FEIN in their proposal. Additionally, Offerors are required to submit their FEIN prior to contract, or purchase order issuance, or payment from the State. A W-9, Taxpayer Identification form provided by the State may be required as. Only the Awarded Offeror is required to submit a W-9, to the State upon request.

SECTION 2.0 BACKGROUND AND OVERVIEW

2.1. STATE ORGANIZATION AND GOVERNANCE

The CBMS, PEAK, and related systems are part of a cooperative effort between HCPF, OIT, and CDHS. These State agencies and all 64 Colorado counties have worked collaboratively toward making CBMS, PEAK, and related systems more effective and reliable. CBMS is involved in the distribution of over $2 billion in benefits to clients annually. The system is operated by a third party vendor and supported by a combination of State and vendor staff. The contract with the existing vendor is set to expire on June 30, 2017.

In February 2011, at the recommendation of the Governor's Office, the Executive Steering Committee (ESC) was created with the charge of establishing a governance structure to ensure projects related to CBMS were completed in an efficient, effective and elegant manner. The ESC is chaired by staff from the Governor's Office and made up of OIT, CDHS, HCPF and Connect for Health Colorado leadership, along with county representatives.

In State Fiscal Year 2011-12, Joint Budget Committee approved a comprehensive 18-month Work Plan to stabilize, upgrade, and modernize CBMS with the goal of improving efficiency and the end-user experience. Through the current CBMS governance structure (see Appendix A), a Work Plan Subcommittee (WPSC) was established to:

A. Handle the prioritization and on-boarding of Work Plan projects.

B. Provide recommendations to the ESC concerning pool hours, federal mandates, and requests.

C. Provide oversight of Integrated Project Teams (IPTs) and execution against documented plans and deliverables.

As a sub-group effort to the WPSC, the IPTs focus on the successful implementation of existing projects identified in the CBMS Work Plan. These teams are responsible for ensuring the long term success of CBMS through specifically focused teams that develop partnerships among various stakeholders, collect feedback, and successfully implement approved recommendations for future improvements to CBMS.

2.2. PROGRAMS SERVED BY CBMS AND PEAK

The following list provides an overview of the programs served by the applications within scope of this RFP. Additional information on the programs that are incorporated into CBMS and PEAK is included in Section 2.4.

Advanced Premium Tax Credit (APTC) - A Tax Credit that gives customers the ability to afford health care coverage purchased through the State's Health Insurance Exchange Marketplace (Connect for Health Colorado (C4HCO)). For APTC, a user can apply via PEAK, via C4HCO, or directly with a county worker and be determined for Medicaid, CHP+, and Marketplace programs using the same application.

Adult Financial Services – AF is made up of two programs:

> **Aid to the Needy and Disabled (AND)** - A program that provides cash assistance to low-income Colorado residents, age 18 and over, who have at least a six-month total disability that precludes them from working.

> **Old Age Pension (OAP)** - A program which provides financial assistance and may provide medical benefits for low-income adults age 60 or older. Applicants must meet basic eligibility requirements to be eligible for this program.

Colorado Child Care Assistance Program (CCCAP) - The CDHS, Division of Early Care and Learning is the lead agency on this program. The program provides child care assistance to families that are working, searching for employment or are in training, and families who are enrolled in the Colorado Works Program and need child care services to support their efforts toward self-sufficiency.

Child Find - Child Find is part of Colorado's system for identifying children suspected of having a developmental delay. If a young child is not meeting typical developmental milestones, or someone is concerned about the child's growth or learning, Child Find teams evaluate how the child plays, learns, speaks, behaves and moves. The purpose of the evaluation is to determine if significant delays exist or early intervention or special education services are needed. Evaluations conducted by Child Find teams are at no cost to parents.

Colorado Preschool Program (CPP) - The program is a state-funded early childhood education program administered by the Colorado Department of Education. CPP provides the opportunity for eligible children to attend half-day or full-day preschool or full-day kindergarten.

Colorado Works (CO Works) – The State's Temporary Assistance for Needy Families (TANF) program. CO Works is designed to assist participants with terminating their dependence on government benefits by promoting job preparation, work, and marriage support. Eligible families receive a monthly cash assistance grant and supportive services payments. Counties may offer various additional diversion programs to families who meet income requirements, which can vary from county to county.

Cost Sharing Reduction (CSR) - A discount that lowers the amount a customer must pay for out-of-pocket for deductibles, co-insurance, and co-payments for health care coverage purchased through the C4HCO marketplace. For CSR, a user can apply via PEAK, via C4HCO, or directly with a county worker and be determined for Medicaid, CHP+, and Marketplace programs using the same application.

Early Intervention - The CDHS, Office of Early Childhood, Division for Community and Family Support administers this program and contracts with twenty Community Centered Boards statewide to provide early intervention supports and services to infants, toddlers, and their families within their communities.

Food Assistance (FA) - The purpose of the federally-funded Supplemental Nutrition Assistance Program (SNAP), referenced as Food Assistance in Colorado, is to offer nutrition assistance to low-income individuals and families. Eligible households receive a monthly benefit

allotment, which may be redeemed for food assistance using an Electronic Benefits Transaction (EBT) card.

Head Start - Head Start is a federal program that promotes school readiness for children from low-income families, birth to age 5, by enhancing the child's cognitive, social, and emotional development. Head Start programs provide a learning environment that supports children's growth in areas such as language, literacy, and social and emotional development. Head Start emphasizes the role of parents as a child's first and most important teacher. These programs help build relationships with families and support family well-being.

Healthy Steps – Healthy Steps is an evidence-based program that provides enhanced, comprehensive well-child care for children from low-income families, birth to age 3, by promoting close relationships between health care professionals and parents in addressing the physical, emotional, and intellectual growth and development of young children.

Home Instruction for Parents of Preschool Youngsters (HIPPY) – An evidenced-based program that works with families in the home to support parents in their critical role as their child's first and most important teacher.

School Breakfast Program (SBP) – A free and reduced lunch program for the operation of nonprofit breakfast programs in schools and residential childcare institutions. The U.S. Department of Agriculture's (USDA) Food and Nutrition Services administers the SBP at the federal level, while State education agencies administer the SBP at the state level and local school food authorities operate SBP in schools. The National School Lunch Program (NSLP) is a federally assisted meal program operating in public and nonprofit private schools and residential child care institutions. The program provides nutritionally balanced, low-cost or free lunches to children each school day.

Low Income Energy Assistance Program (LEAP) – The program provides cash assistance to help families and individuals pay winter home heating costs. The program offers the highest benefits to those with the highest heating bills and lowest income by family size.

Medicaid and Child Health Plan *Plus* (CHP+) – Medicaid provides health insurance coverage for low-income Coloradans who qualify. This includes children (18 years of age and under), pregnant women age 19 and over, parents and caretaker relatives, adults without dependent children, and individuals who are aged, blind, and or disabled. CHP+ provides low-cost health insurance for children and pregnant women who earn too much to qualify for Medicaid but not enough to pay for private health insurance.

Nurse Family Partnership – The Nurse Family Partnership provides an evidence-based, community health program that serves low-income women pregnant with their first child. Each new mother is partnered with a registered nurse early in her pregnancy and receives ongoing nurse home visits.

Parents as Teachers (PAT) – This is an evidence-based parent education and family support program that serves families who have children, prenatal through age 5. The PAT program includes personal visits once or twice each month during which certified parent educators share age-appropriate child development information with parents and engage the family in activities that provide meaningful parent/child interaction. Additionally, parents are provided important child development information and opportunities to interact and support one

another, health and developmental screenings, and a resource network that connects families with resources that meet their specific needs.

Special Supplemental Nutrition Program for Women, Infants and Children (WIC) - Provides nutrition education, breastfeeding support, nutritious foods, and health referrals to income-eligible pregnant and postpartum women and children through age 5.

Work Programs (WP) - Provides case management to CO Works and FA participants. WP's goal is to increase self-sufficiency through employment activities and employment support services, which includes cash payment to customers and providers.

2.3.   SERVICE DELIVERY

CDHS oversees the State's 64 county Departments of Social and Human Services, mental health system, system of services for people with developmental disabilities, juvenile system, corrections facilities, and veterans' nursing home facilities. Colorado's public assistance programs are state supervised by the county administration system. HCPF oversees and operates Colorado Medicaid, CHP+, and other public health care programs for Coloradans. The relationship between HCPF, CDHS, and the county departments is described as state-supervised and county-administered. The State serves as a conduit for state and federal funding that ultimately flows to the counties. In this capacity, the State is responsible for ensuring compliance with state and federal rules and mandates. County staff directly interacts with customers who may be eligible for public assistance programs.

In addition to county sites, Medical Assistance (MA) sites are able to process Medicaid and CHP+ applications online. At these MA sites, healthcare providers target special programs to low income, high risk, and under-served populations. Together, these providers are referred to as non-county (Department of Social Services) MA application sites. There are currently 11 HCPF-approved and contracted MA sites, with 22 Satellite sites within Colorado. MA sites accept State medical program applications, and process them through CBMS to obtain an eligibility determination. These sites are critically important to providing and maintaining access to healthcare and linking into the programs that fund such care.

2.4.   CBMS AND PEAK FUNCTIONS

CBMS, PEAK, and related systems are hosted on unique platforms and require a specific technical and functional skill-set to maintain. For example, PEAK, PEAK PRO and the Shared Eligibility System (SES) are hosted on a common platform, the health mobile application is on a mobile framework, and the Executive dashboards are developed in a separate infrastructure and use different technology. Additional information on these systems can be found in the following subsections.

2.4.1.   Colorado Benefits Management System (CBMS)

CBMS supports eligibility determination for multiple public assistance programs, as well as case management and benefit management. The system determines eligibility and associated benefits for more than 1.34 million customers and for more than 736,000 cases, as of June 2015. There are approximately 3,600 users of CBMS. This number encompasses county, state, and MA site users.

Each month, the system is used to process approximately 30,000 new client applications and 40,000 client reauthorizations. In addition to these client-side functions, CBMS

communicates with approximately 50 external systems. These system-to-system interactions occur on a wide range of time scales: real-time online access, nightly batch jobs, and weekly, bi-weekly, monthly, and quarterly report generation and distribution. The external systems with which CBMS communicates include other State systems, systems operated private entities, and federal systems. CBMS is the application responsible for all TANF reporting.

Information on the overall architecture can be found in Appendix D. CBMS integrates with the Federal Data Services Hub (FDSH) through a determination model to comply with PPACA requirements. The monthly payroll execution for cash programs are generally between $65-70 million. Programs served by CBMS are listed in Table 1 below.

APTC and CSR (for C4HCO) rules are built into CBMS so that no matter which door the customer enters, the customer will receive an accurate determination for any program. This functionality, integrated into CBMS, is referred to as SES. CBMS will determine eligibility for Medicaid and CHP+ and, in situations where the applicant is not eligible for these programs, will use the eligibility information to determine APTC and CSR eligibility.

Table 1 – Public Assistance Programs - Eligibility Processed Through CBMS

Public Assistance Program Eligibility Processed by CBMS
Adult Financial Services (AND and OAP)
APTC/CSR
Colorado Works (CO Works)
CSR
Food Assistance (FA)
Medicaid and CHP+
Work Programs (WP)

2.4.2.   Program Eligibility and Application Kit (PEAK)

PEAK is a customer-facing online system that provides a centralized location for public assistance benefit information. PEAK provides a universal application for the programs listed in Table 2 and allows customers to self-manage their accounts, check their benefits, and provides new applicants an opportunity to screen themselves for medical, food, and cash assistance programs. In 2011 additional functionality was incorporated including an online application and the ability to report changes online. Customers experience a modern User Interface (UI) and some programs have real-time eligibility results. Between 20,000 and 50,000 applications for benefits are submitted through PEAK each month with the highest volumes occurring between November and January, consistent with the open enrollment period for health insurance through the C4HCO. As of June 2015, 780,602 applications have

been submitted, 468,179 change reports have been submitted, and 341,917 self-assessments have been completed in PEAK.

Data received by PEAK is transmitted and stored in CBMS for programs in CBMS. Using the data entered by clients in PEAK, CBMS will calculate eligibility and determine benefits. The client is able to see the results of those calculations in PEAK.

With the implementation of the PPACA, the PEAK system offerings have grown exponentially, including: Real Time Eligibility (RTE) determination for some programs, viewing and printing of Medicaid and CHP+ cards, mail center with e-noticing, ability to make payments online, ability to submit documents electronically, and ability to submit online renewals. PEAK allows customers to monitor their accounts and account history electronically. PEAK interfaces with C4HCO for APTC and CSR, and is interoperable with health information exchanges, public health agencies, human services programs, and community organizations providing outreach and enrollment assistance services.

It is expected that PEAK will continue to interface with other systems to support customer services and, as a result, will continue to expand online access to Coloradans.

Table 2 – Public Assistance Programs Accessible in PEAK

Public Assistance Programs Accessible in PEAK
APTC/CSR
Aging and Adults Services
Child Care Assistance Program
Child Find
Colorado Preschool Program
Colorado Works (CO Works)
Early Intervention
Free and Reduced Lunch Program
Food Assistance (FA)
Head Start
Healthy Steps
Home Instruction for Parents of Preschool Youngsters (HIPPY)
Low Income Energy Assistance Program (LEAP)
Medicaid and CHP+
Nurse Family Partnership
Parents as Teachers (PAT)
Women, Infants and Children (WIC)
Work Programs (WP)

There is an email address for submitting questions and issues for the PEAK systems. Consumers that have a technical issue with the PEAK online application or PEAK Health Mobile App, such as an error message or problems with navigation are directed to submit their issue to an inbox (CBMS.Help@state.co.us). Staff at CDHS manage the inbox and respond to error-related inquiries. For more complex issues, staff follows the OIT Service

Desk process and submits a help desk ticket. Once the Service Desk resolves the issue then CDHS forwards the response to the consumer.

2.5. OTHER RELATED APPLICATIONS AND SERVICES

Other primary applications, functionality, and services included as part of this Contract are described in the following subsections. Additional information on the architecture and technical environment for these applications can be found in Section 2.6.

2.5.1. PEAK Portal (PEAK*Pro*)

PEAK*Pro* is an online tool to help authorized State agents and healthcare providers who provide assistance with application and screening for medical, food and cash assistance programs. PEAK*Pro* is designed to work cohesively with PEAK to expedite the eligibility process, thereby improving Coloradans' access to public assistance.

2.5.2. PEAK*Health* Mobile Application

In 2014, HCPF deployed the PEAK*Health* mobile application. PEAK*Health* allows Medicaid and CHP+ customers to update and access important information from mobile devices through an iOS mobile app, an Android app, and a website that formats for non-iOS, Android devices, and tablets etc.. PEAK*Health* users may not utilize PEAK to apply for additional benefits, however PEAK*Health* enables the user to search for a provider, view their medical card, update income and contact information, view benefit information, make payments, and access health and wellness resources. The PEAK*Health* mobile application can be downloaded at the Apple iTunes Store or Google Play Store for free.

PEAK*Health* interfaces with CBMS in the same way as PEAK, but its features are more mobile-friendly. While PEAK*Health* is currently the only downloadable application associated with the CBMS, the State expects that additional mobile applications will be developed and deployed based on specific program needs. As a result, the chosen Contractor must be able to design, develop, implement, enhance and maintain a variety of mobile applications in such a way that PEAK and the associated mobile application stay relevant from a technological and usability perspective.

2.5.3. Electronic Document Management System (EDMS)

The EDMS provides the ability to upload, view and print documents from a central electronic repository of eligibility documentation. The EDMS upload function is located in PEAK, PEAK Health, PEAK Pro, and PEAK Mobile and allows the applicant/customer to upload documents required for eligibility determination. The uploaded documents are then stored and made

available in CBMS. The uploaded documents are also available in PEAK for the applicant/customer to view.

EDMS documents are stored by a State-approved third party vendor with connectivity for PEAK and CBMS via a VPN tunnel.

2.5.4. Shared Eligibility System

The Shared Eligibility System is a series of processes that pass information from PEAK to CBMS to evaluate eligibility and then supplies the outcome of that evaluation to the health benefit exchange, Connect for Health Colorado. For more information, see Appendix C.

2.5.5. Reporting and Data Analytics

The primary reporting tool for CBMS is the COGNOS Business Intelligence tool set. There are approximately 1,200 existing reports that must be maintained. These reports are designed to provide the CBMS user community the tools they need to support business objectives. COGNOS access is managed by the State.

CBMS continues to transform its raw data into meaningful and useful information to support business decisions. This task includes providing data to executive and county dashboards, user friendly ad hoc capabilities, and forward-looking predictive analytics. The CBMS team continues to expand and develop methodologies, process, architectures, and technologies that support this objective.

Executive dashboards were created for the Medicaid and CHP+ programs to allow certain users access to critical data to support performance and processing analyses using Cloudera, Hadoop, and Qlikview. Functionality includes the presentation of current and historical data in Executive dashboards that are available on an ad hoc basis and accessible to support predictive analysis. This functionality enables executives to understand the past, monitor the present and predict future outcomes.

2.5.6. HCPF Customer Contact Center for Medicaid and CHP+

The State currently operates a Customer Contact Center (CCC) designed to support medical assistance programs. The CCC is the primary point of contact for over 1.34 million customers for eligibility, benefit, and billing related questions, as well as applications for medical assistance that may be completed over the telephone.

Interactive Voice Response (IVR) and Customer Relationship Management (CRM) systems are supported through cloud-based platforms. The Salesforce CRM maintains a contact record of customer inquiries. Customer-specific eligibility details are populated in the CRM record through a real-time interface with CBMS. A web service provides an interface between the CRM and PEAK to record chat transactions. Information on the CCC can be found in the Appendix B.

2.6.   TECHNICAL BACKGROUND

2.6.1. Technical Overview

This overview describes, at a high level, the design and the hardware, software, and network components which provide a significant part of the IT infrastructure for CBMS, PEAK and their related systems/applications. CBMS uses Industry Standards for Service-oriented architecture (SOA) system development lifecycle (SDLC).

The front end of the CBMS application is presented to users through Java. Oracle is used to support database services. In addition to processing of Java pages, WebSphere also supports a Corticon rules engine customized and used to determine eligibility for benefits. COGNOS is used to support reporting and Decision Support Services. Adobe LiveCycle is used for Correspondence Generation services. Appendix D provides a high-level overview of the application architecture.

In addition to the core services provided by CBMS, the reach of CBMS is extended directly to the clients through PEAK. PEAK provides citizens with access to a web-based application/system that allows them to self-screen/check to see if they are eligible for benefits, apply for benefits, and check on the status of their benefits as well as report updates specific to their household. Although development of this environment stays within the CBMS project and the development team, the actual hosting of the application is outsourced to Salesforce.

Currently, CBMS infrastructure is located at the State managed data center and the primary State disaster recovery facility, eFORT. In the future, this infrastructure may be migrated to a secure hosted data center.

2.6.2. Services Overview

Service Tiers

Hosting Services are broken down into the different tiers of the application. Within each of these tiers, there are different groupings of current virtual machines.

HTTP Services run on top of IBM's HTTP server. These services exist in both the DMZ and Core network to support both public facing HTTP services as well as internal application facing HTTP services. To support this environment there are two public facing servers; and four internal-facing servers, two for Eligibility and two for Live Cycle.

Web Application Services are hosted within an IBM WebSphere Application Server (WAS) environment. These are used to support several services within the CBMS application. All user-facing screens within CBMS are based on Java and hosted within the WAS environment. All client correspondence services based on Adobe Live Cycle are supported within the WAS environment. The core of the CBMS Application is its ability to determine a client's eligibility for benefits using a complex set of custom rules in a Corticon Rules Engine. Web Services also exist to support IRIS and DMV.

Database Services

All databases in support of the CBMS application are based on Oracle Database Enterprise Edition. The Production Database Servers will support all online transaction processing needs for the production environment. In addition to OLTP database services, virtual servers will

also be created to support database services for batch, reporting and decision support services. The PEAK database is a temporary data storage database.

In addition to the UNIX and Linux host server platforms, the CBMS environment also uses Windows-based servers to host several ancillary services. These servers provide support for CBMS including:

- COGNOS – supports all end user reporting services
- DynaTrace – supports monitoring services for Java applications
- Perforce – provides code and documentation repository services.
- Commvault Commcell and Media Agent servers used as the back-up solution.

Network Configuration

The State provides the communications links and firewall protection for the CBMS Hosting Environment. The CBMS Hosting environment is configured within its own VLAN to isolate traffic from other systems and users. Each system is dual attached to the network to facilitate redundancy and failover services.

Storage Area Network

With recent upgrades to the State's Storage Area Network (SAN), all aspects of the CBMS application storage needs, with the exception of backups, are hosted within the State's EMC VNX Arrays. One array is located at the production site and one at the DR sites, which hosts DR services as well as test, and Development Environment (DEV). Backup services are supported using the State's Commvault/Compellent solution, providing a first level of backup to disk while HP Tape Libraries provide physical backups. All storage hardware and software licenses are owned and operated by OIT and their partners. CBMS provides requirements to the State Infrastructure Team that include: amount of storage needed, the type of storage, as well as growth characteristics. The State Infrastructure Team will then configure as requested. Data replication services are accomplished in two ways. The first is through the use of EMC Recovery Point, which is a storage system-based replication tool. The second is through the use of Oracle Golden Gate to replicate Oracle transactions from the main OLTP production database to the DR-hosted standby database. In addition to traditional storage services, CBMS also uses a technology that allows for the creation of virtual databases. This Delphix appliance essentially allows us to present database-as-a-service to all of our non-production environments and drastically reduces the storage consumption and storage needs for CBMS.

Table 3 below provides a high-level overview of the services identified in the Architecture Drawing found in Appendix D.

Table 3 – Services overview

Service	Function
Browser	Internet Explorer is used to access all services provided by CBMS. The end user service/application needed determines where the browser is directed. Current supported versions of the browser are Internet Explorer Versions 8 and 9.

Service	Function
Enterprise Data	CBMS has an Oracle Enterprise Database 11g R2 and supports storage of CBMS user/client data.
WebSphere	WebSphere is used as the application server for the overall CBMS application including the Corticon Rules Engine. WebSphere also supports generation of Java-based pages for the entire CBMS and PEAK application environments.
IBM HTTP Server	The IBM HTTP Server is based on the Apache HTTP Server and provides a rich set of Apache features in addition to IBM enhancements such as dynamic load balancing across a WebSphere cluster
C Libraries	● CBMS utilizes a series of C Libraries to facilitate communications between different aspects of the CBMS Application. ● DAS (Data Access Services) C Library – Supports database retrieval and update services ● Common C Libraries ● BTX Common C Library ● cURL Library – c to URL
Innowake	Innowake is used to execute converted (Cobol to Java) code
Entire X Broker	The service facilitates communications with several interface partners such as ACSES, TRAIL and CHATS. It provides a secure communication protocol for data transmissions.
Dollar Universe	Dollar Universe is a scheduling tool used by CBMS to manage the batch schedules required to operate the CBMS environment.
DSS Database	The DSS Database is a 12 hour old copy of the CBMS Enterprise Database. It provides Database services for all ad-hoc reporting needs of the project and counties. This database is updated using a Oracle Golden Gate. The DSS database is now refreshed daily at 7:00AM, using the Golden Gate. It's a full copy of the Production OLTP database.
COGNOS Server	The COGNOS server provides two primary functions. The first is it contains all definitions for Online reports, which pull data directly from the CBMS Enterprise Database. The second function is that it provides users an interface/tool to develop ad-hoc reports, which pull data from the DSS Database
Adobe LifeCycle 4.0/Adobe	Adobe LiveCycle 4.0/Adobe Experience Manager is a document publishing engine which is used by CBMS to generate Client Correspondence.

Service	Function
Experience Manager	
External Interfaces	CBMS has many external systems that it interfaces with to exchange information necessary for CBMS to gather information and report information regarding clients. Additional information regarding Interfaces is discussed in Section 2.6.3. ● Online Interfaces and some batch use EntireX Broker and Secure FTP and CyberFusion services ● Batch Interfaces uses vSPTPd (Linux) and FTPS (mainframe) protocol for secure transmission.
PEAK Web Services	This represents the collection of client facing screens specific to the PEAK system. All County/State/MA site technicians will continue to receive all CBMS data through the CBMS Application.
PEAK Database	The PEAK database is an Oracle database responsible for storing client specific data related to an application or request that are transitioned into the PEAK Inbox functionality in CBMS for processing by county workers.
Experian QAS	Used for address verification.
Delphix	Delphix uses SBPRD01 (Production Standby database) as its source which is available at the Disaster Recovery Data Center. The SBPRD01 database is also created using Oracle Golden Gate.
Mule ESB	Mule is an Enterprise Service Bus component that will orchestrate real-time web services among CBMS, PEAK, C4HCO, the federal hub and other external systems as they are added.
Cloudera/ Qlikview	Combined, used to create an executive business intelligence dashboard for HCPF to view reports on Medicaid statistics.
SOLR/PLAY	Combines a search engine with data indexing.
Rabbit MQ	RabbitMQ is a messaging broker. It gives the application a common platform to send and receive messages.
Corticon	Corticon replaced the Java based rules engine for CBMS. Corticon is a business rules management system (BRMS) which automates business decisions in the CBMS rules engine.
GNU COBOL	GNU COBOL or OpenCOBOL is freeware COBOL to support Client Correspondence batch processing and some online transactions.

Service	Function
Perforce	Perforce is a source control tool used for managing CBMS application source code and documentation.
DynaTrace	Dynatrace is used for monitoring application performance.
Zabbix	Zabbix is a tool which is used to monitor and alert any infrastructure related issues for production and nonproduction environments.
Oracle Data Grid	Oracle Data Grid is used for monitoring and alerting any database related issues. This tool is also used to perform basic administration level activities for all production and non-production environment.
HP Quality Center	Quality Center used for Storing Requirements, tracking project defects, defect reporting and testing results.

2.6.3. Interface Overview

Because of the Federal and State alignment between CBMS, PEAK and all related applications, CBMS requires several connections to these other systems to exchange information. A high level architecture of these interfaces is provided in Appendix D.

The Contractor will be expected to take over and maintain all current interfaces listed in Appendices H and I with no disruption in services.

2.6.4. CBMS Hosting Environment Topology

The CBMS Hosting environment is comprised of two primary architectures, (1) HP-UX based Itanium servers and (2) Windows and Linux based X-86 Servers. Both environments support the ability to create multiple virtual instances within a single physical server. For the Itanium-based servers, there are two different approaches for virtualization: Virtual Partitions and Virtual Machines. HP supports the ability to have Virtual Partitions, which provide dedicated CPU, I/O and Memory services to the underlying service, whereas Virtual Machines provide dedicated memory but shared CPU and I/O services. A detailed breakdown of these servers can be found in the Appendix D along with a topographical overview of these servers and how they interact with the CBMS common infrastructure. The integration of these servers with the common infrastructure provided by the State provides a secure environment from which centralized host processing can support the Colorado Benefits Management System.

There are a total of 24 CBMS environments, which support four different development streams. In order to support all facets of CBMS, from development to integration testing, through user acceptance testing to production, the current environments described below have been developed and are being maintained. These environments are refreshed on a full and partial basis as determined by the State. An overview of the current CBMS Environments is listed below:

Development Unit Test (DEV): CBMS Contractor Development Team develops and unit tests the application code in the DEV environment. Initial testing is performed in this environment to ensure conformance to the approved CBMS requirements and new requirements based on project change requests. Application defect resolution tests are also conducted in this environment.

Development Integration Test (INT): This environment is used for true integration testing prior to sending the code to System Testing and UAT environments.

Decision Support System Production (DSSP): This is the environment where CBMS DSS users can create reports and analyze CBMS information for their own use as well as for State and County leaders. All CBMS users have access to this environment through their security profile. County and Medical Assistance site users do not have access to this except through reporting tools.

Disaster Recovery (DR): This is the replicated environment that will be used in the event of a major production host outage.

Decision Support System Test (DSST): This is the environment where the CBMS DSS Development Team tests DSS database enhancements, new versions of Business Objects, and new analysis and reporting techniques. These tests are specifically targeted at measuring compliance to the approved CBMS DSS requirements.

Production (PRD): CBMS production application runs in this environment. Based on their security profile, all CBMS users have access to this environment.

System Integration Test (SIT): This is the environment where staff conduct Integration Testing to ensure the Application and Rules Engine conforms to documented requirements. This environment may need to be connected to the testing environment at Connect for Health Colorado to facilitate joint testing.

Training (TRN): This environment is where formal classroom training is conducted. This environment is sized according to the number of classes scheduled and students registered. This environment can handle up to 100 users at one time.

User Acceptance Test (UAT): Final User Acceptance Testing of Application and Decision Table changes to CBMS prior to release in production occurs in this environment. This environment may need to be connected to the testing environment at Connect for Health Colorado to facilitate joint testing.

User Practice Area (UPA): CBMS users can practice and enhance their CBMS skills in the UPA environment. This environment is installed on the Disaster Recovery Server and does not impact CBMS production and test environments. This environment gets refreshed after every build.

Shared Storage Area Network (SAN) Environment

The CBMS Host environment is connected to a shared Storage Area Network that is managed by our Common Infrastructure Provider (CIP). Within this environment, the CBMS production data is stored on an EMC Symmetrix 8830. Test and Development environment data resides on an EMC CLARiiON CX700. These environments are also expected to be replaced using the EMC's latest plug-compatible technology prior to the start of this contract. This will not change the operational aspects of this environment as identified in this RFP.

Host LAN Environment

The CBMS Host environment gains IP connectivity through the CDHS Common Infrastructure, managed by a third party vendor. This data center LAN provides redundant network connections to each server as well as IP connectivity to the user delivery environments. IP security is managed through combined efforts of vendor and state IT staff.

User Environment

In order to ensure quality of application access and support, the CDHS common infrastructure also provides additional support to the county departments. For this support, each county was given the opportunity to choose from two support options, referred to as "To the Desk" and "To the Door." In the simplest terms, "To the Desk," means CDHS and the CIP will support the computers, network, and applications for that specific county to the user's desktop including Tier 1 Help Desk support. "To the Door," simply means CDHS and the CIP will support the wide area network connection to the county location and the county is responsible for support beyond that point including Tier 1 Help Desk support.

The Medical Assistance sites, Presumptive Eligibility sites, and State HCPF users gain access to the CBMS via the HCPF portal. Each site is responsible for their desktop and LAN environments and secured connectivity to the internet and environment.

PEAK Environments

As for CBMS, PEAK has similar environments to facilitate all aspects of the software development lifecycle in multiple streams.

Disaster Recovery Environment

The CDHS Disaster Recovery Environment currently consists of a subset of equipment necessary to operate various CDHS applications including CBMS in Disaster Recovery mode. Currently, the equipment required to support CBMS is limited in capacity, but it is anticipated that by the start of this contract, it will be fully capable of supporting 100% of the CBMS production load. Production data is continuously replicated to the Disaster Recovery site in an asynchronous mode utilizing EMC Symmetrix Remote Data Facility. E-FORT is the CBMS

Disaster Recovery site. For further information, refer to the e-FORT website at http://www.sos.state.co.us/pubs/business/efort.htm.

Common Infrastructure Environment

The diagram in Appendix G provides a high level overview of the Common Infrastructure environment and includes connections to CBMS users, Host Production Environments, OIT, the Colorado State Network, and the Disaster Recovery Environment.

SECTION 3.0   GOALS AND OBJECTIVES

3.1.   CONTRACT OBJECTIVES

The Contractor's primary responsibilities will be to successfully transition and maintain ongoing system operations outlined in this RFP and meet State and federal rules and regulations. Operational integrity is critical for Coloradans to continue obtaining public assistance program benefits. The selected Contractor must demonstrate the experience necessary to seamlessly transition these duties and avoid disruptions to services and benefits. Responsibilities for maintenance and operations of CBMS and PEAK must be successfully transitioned to the selected Contractor by July 1, 2017. The Contractor will be expected to support ongoing efforts to make CBMS more interoperable, configurable, and modular based on industry direction.

A primary objective for the procurement is to maximize competition so the State can select a partner who can demonstrate achievement of the following strategic objectives:

3.1.1   **Successfully transition and operate the in-scope systems**

The Contractor will work with the Incumbent Contractor to test and successfully transition the systems and supported applications. This will include knowledge dissemination and training on the current systems. Once transitioned, the Contractor will operate and maintain the transferred systems in accordance with the agreed upon Service Levels included in Appendix H. This includes, but is not limited to, documentation maintenance and updates, environment maintenance and updates, defect resolution and performance maintenance and updates. Contractor hosting is an optional component of this Contract.

3.1.2   **Support administration of State and federal benefit programs**

The public assistance programs supported by CBMS and PEAK service approximately 1.34 million Coloradans. Expertise in operational management and technical development is essential to a seamless transition of operations and first-rate service for Coloradans.

3.1.3   **Facilitate compliance with current and future federal regulations and state data sharing requirements**

Colorado desires a leader who has demonstrated innovation and an understanding of industry trends that may impact the current systems. At a minimum, the Contractor should possess an understanding of applicable federal regulatory and programmatic requirements, including the Centers for Medicare and Medicaid Services (CMS) Seven Conditions and Standards, Healthcare Insurance Portability and Accountability Act (HIPAA), PPACA, TANF, and Food and Nutrition Services (FNS) regulations.   The solution shall equally support eligibility determinations for both MAGI and non-MAGI populations.   The Contractor will also be responsible for compliance with applicable security rules and regulations, including requirements for IRS data and interfaces and the CMS Security Review. Additional information on regulatory requirements are included in Section 3.2.

3.1.4   **Collaborate with the State on a detailed future vision and strategic plan**

Colorado is currently re-defining its future technical and business strategy for CBMS and PEAK. Collaboration with the State is essential to help Colorado cultivate its future vision for benefits

management. Proven experience in innovation and expertise in industry best practices is sought by State leadership and stakeholders to enhance the vision and strategy.

3.1.5 Place continuing emphasis on customer and user service delivery and experiences

The Contractor will collaborate with the State to place ongoing emphasis on cost effective customer and user experiences and service delivery. This includes improving the onboarding process for customers and providing customers with relevant healthcare, public assistance, and educational information. To support this objective, additional integration with external data sources may be needed to provide a continuum of service delivery and to inform customers of available resources. Additional information on enhancements to customer and user service delivery can be found in Section 6.25.

3.1.6 Provide modern system development practices

There are multiple program areas with different rules, policies, requirements, and competing priorities that create complexities for development. A Contractor with proven system development lifecycle and release management experience will be instrumental in responding to changing needs of the environments and programs. Predictive modeling and analytics are essential to combatting system failures and improving overall performance. Approaches to development should reflect a modern style that efficiently leverages State resources for testing efforts and validation of system fixes. In addition, the Contractor will provide advice and counsel for prioritizing and managing system defect resolution, changes, and enhancements.

3.1.7 Provide performance transparency

Contractor performance, system operations, contract costs, and resource management must be transparent. The State is interested in innovative approaches that support transparency, accountability, and collaboration between the Contractor and the State.

3.1.8 Promote fiscal responsibility

Accountability in financial management and budgeting will be essential to a successful and collaborative partnership. This objective includes, but is not limited to:

- Balancing current and future project development within the appropriated budget.
- Transparency of contractual expenditures, by project and program area.
- Consistent and timely cost estimates for upcoming development tasks.

3.2. FUTURE OBJECTIVES AND ENHANCEMENTS

As stated above, the Contractor's primary responsibilities will be to transition and provide ongoing operations of the State's current systems. The State is also allocating funds for the future of CBMS and PEAK, including enhancements to establish a more modular, configurable, and responsive CBMS platform. Defining and prioritizing future technical and business enhancements is a fluid process amid changing regulatory and technology environments. Therefore, the State is seeking an adaptable and innovative partner who can meet the following objectives and enhancements:

3.2.1. Modernize the system platform and drive automation

An assessment of the existing architecture and code will be required, resulting in a plan to improve and modernize the current system code and configurations. In addition, the Contractor will collaborate with the State to continue to drive automation and reduce paper

processes. The plan for modernizing and automating the system will be analyzed in collaboration with the State. Improvements and code changes will be prioritized and agreed upon through the Governance Model. The plan should support:

- A flexible and modular approach to system development in which program areas maintain the ability to quickly adapt to changing policy and technical requirements.

- A transition to a technology platform that allows for greater configurability and reduces the need for custom coding.

3.2.2. Enhance customer and user service delivery and experience

This requires a Contractor who works as a partner with the State to identify ways to enhance customer and user experiences. Areas of customer service delivery enhancements include:

- Identification of self-help services and apps that could support customers (for example, inform customers that a Personal Health Record is available to them for use).

- Increased integration of processes for identifying available programs and ease of process for onboarding customers.

- Available educational, public assistance, and healthcare information and resources.

3.2.3. Increase data sharing and interoperability

Support new interfacing and interoperability requirements to facilitate enhanced data sharing and exchange between program areas and data sources. Provide seamless coordination and integration with FDSH, and allow interoperability with health information exchanges, public health agencies, and human services programs. Contractor must support greater integration with C4HCO to promote data consistency, redundancy, and a greater user experience with CBMS/PEAK and C4HCO, which includes one source of integration with FDSH.

3.2.4. Increase efficiencies in workflow management

Review current workflows and develop recommended enhancements that will improve the end user experience, data sharing, and access to the service delivery model. There is also a strong desire to improve and implement system dashboards for various user groups to improve task management and data access.

3.2.5. Improve business intelligence and reporting

Support for quality assurance and auditing services require improvements to current business intelligence and reporting capabilities. This objective includes more automated dashboards for State users within their respective functional areas.

Once the Contractor has successfully demonstrated operational stability, the State will partner with the Contractor to review the current systems and service model and collaborate with the State to develop a roadmap for updating and/or migrating outdated technology. The Contractor will work with the State to develop a plan to further modernize the technologies that support CBMS and PEAK.

SECTION 4.0   FEDERAL REGULATORY OBJECTIVES AND REQUIREMENTS

The federal rules and regulations addressed in the following subsections must be addressed by the solution and/or Contractor work products to receive federal approval and certification.

4.1.   KEY CMS RULES AND REGULATIONS

4.1.1.   CMS Seven Standards and Conditions

Comply with the Seven Standards and Conditions, set forth by Centers for Medicare Medicaid Services (CMS), in order to receive enhanced federal financial participation (FFP). Additional information can be found at: **HTTPS://WWW.MEDICAID.GOV/MEDICAID-CHIP-PROGRAM-INFORMATION/BY-TOPICS/DATA-AND-SYSTEMS/DOWNLOADS/EFR-SEVEN-CONDITIONS-AND-STANDARDS.PDF**):

A.   Modularity Standard

Use of a modular, flexible approach to systems development.

B.   MITA Condition

Alignment with and advancement in MITA maturity for business, architecture, and data. Additional information can be found at: **HTTPS://WWW.CMS.GOV/RESEARCH-STATISTICS-DATA-AND-SYSTEMS/COMPUTER-DATA-AND-SYSTEMS/MEDICAIDINFOTECHARCH/INDEX.HTML?REDIRECT=/MEDICAIDINFOTECHARCH/**

C.   Industry Standards Condition

Alignment with and incorporation of industry standards.

D.   Leverage Condition

Promotes solution sharing, leveraging, and reuse of Medicaid technologies and systems within and among states.

E.   Business Results Condition

Supports accurate and timely processing of claims (including claims of eligibility), adjudications, and effective communications with providers, participants, and the public.

F.   Reporting Condition

Requirements for producing transaction data, reports, and performance information.

G.   Interoperability Condition

Seamless coordination, integration, and interoperability with the Health Insurance Exchange (whether run by the state or federal government).

4.1.2.   Mechanized Claims Processing and Information Retrieval Systems (90/10) Final Rule (CMS 2392-F)

This Final Rule released in December 2015 specifies funding requirements for the configuration and customization of COTS Software. It describes requirements for the enhanced federal funding at 90 percent for design, development and installation for new eligibility and enrollment systems, as well as, enhanced match for maintenance and operations of such systems at 75 percent as envisioned by PPACA. Specifically, COTS-related development costs at the enhanced match rate may only include the initial licensing fee and the minimum necessary to install, configure, and customize the COTS software and ensure

that other state systems coordinate with the COTS software solution. When responding to a request for the 90 percent FFP rate for a COTS product, CMS will consider whether the configuration and customization of the product would be kept to minimal levels to achieve full functionality in the most cost- effective manner. A condition for enhanced funding of COTS software is that customization of the product is minimal. Examples of minimal customization include modification of database interactions to include additional required data elements, processing of state specific but necessary business rules, and modification of interfaces to allow interoperability with existing systems or modules. If a COTS product is heavily customized, then the solution may become so unique to that state that other states are unable to reuse it, or that newer releases of that software cannot be easily integrated into the state's system, resulting in a solution that no longer meets the MITA conditions. [1]

4.1.3. Health Insurance Portability and Accountability Act (HIPAA)

Privacy and security requirements for Protected Health Information as outlined in 45 CFR Part 164 (specifically parts C and E).

4.1.4. The Health Information Technology for Economic and Clinical Health (HITECH) Act

Subtitle D of the HITECH Act addresses the privacy and security concerns associated with the electronic transmission of health information, in part, through several provisions that strengthen the civil and criminal enforcement of the HIPAA rules. HITECH was enacted to promote the adoption and meaningful use of health information technology.

4.1.5. PPACA (P.L. 111-148) and the Health Care and Education Reconciliation Act of 2010 (P.L. 111-152)

Expands Medicaid coverage to millions of low-income Americans.

4.1.6. National Institute of Standards and Technology (NIST) and Federal Information Processing Standards (FIPS)

Federal security standards are currently defined in the NIST and FIPS. NIST SPs security guidelines and recommendations include both SP 800-series (computer security) and selected SP 500-series (information technology) publications directly relevant to computer security.

4.1.7. Security and Privacy Controls for Federal Information solutions and Organizations

NIST SP800-53 Rev 4.

4.1.8. Federal Information Processing Standards (FIPS)

Federal Information Security Management Act of 2002 (FISMA).

The Contractor must work with the State to meet CMS Certification for the eligibility system in accordance with any new and final rules from CMS. The Contractor may need to leverage tools offered by CMS for certification.

4.1.9 Federal Procurement

45 CFR 92.36 Procurement: "When procuring property and services under a grant, a State will follow the same policies & procedures it uses for procurements from its non-Federal funds."

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[1] CMS State Medicaid Directors Letter, March 31, 2016, https://www.medicaid.gov/federal-policy-guidance/downloads/SMD16004.pdf

45 CFR 92.36 Procurement: "The State will ensure that every purchase order or other contract includes any clauses required by Federal statutes and executive orders and their implementing regulations."

45 CFR 95.617: Software and Ownership Rights: The State will have all ownership rights in software or modifications thereof associated documentation, designed, developed, or installed with FFP.

The Federal government reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use and to authorize others to use for Federal government purposes, such software, modifications, and documentation.

Reference IT Guidance 2.0

45 CFR 95.605 - Contract costs are reasonable per deliverable or and within previously approved funding in APDs

45 CFR 95.605 and SMM 2080.4 Contract period is specified (Base contract and additional option years): clear description of DDI and M&O contractor responsibilities

45 CFR 95.626 Contractor cooperation for IV&V activities

1902(a)(30) Contract management and protections for State (financial penalties, payment delay, termination)

4.2.   OTHER KEY PUBLIC ASSISTANCE PROGRAMS RULES AND REGULATIONS

The Contractor must assist the State in meeting requirements of other relevant federal oversight agencies, including the following:

4.2.1.   45 CFR Part 260 General TANF Provisions

4.2.2.   7 CFR 272.10 and 272.15 for SNAP Provisions

4.2.3.   7 CFR 274.1 Issuance system approval standards

4.2.4.   7 CFR 274.8 Reconciliation and reporting

4.2.5.   7 CFR 277.14 Procurement standards

4.2.6. 7 CFR 277.18 State Systems Advance Planning Document (APD) process

4.2.7.   20 CFR 401-402, 404-405, and 416 for Adult Financial Provisions.

4.3.   OTHER GENERAL RULES AND REGULATIONS

4.3.1.   CRS 26-2-701-724 for Colorado Works

4.3.2.   CRS 26-2-101-137 and 201-210 for Adult Financial

4.3.3.   CMS Application Life Cycle Management (ALM)

4.3.4.   Collaborative Environment and Life Cycle Governance - Exchange Reference Architecture (ERA) Supplement

4.3.5.   Exchange Life Cycle model (ELC)

4.3.6.   Federal Acquisition Regulation (FAR) clause 52.239-1

4.3.7.   IRS Publication 1075

4.3.8.   ISO 27001/2

4.3.9.   18 U.S.C. 641 Criminal Code: Public Money, Property or Records

4.3.10. 18 U.S.C. 1905 Criminal Code: Disclosure of Confidential Information

4.3.11. CFR Title 21 - Food and Drugs: Parts 1 to 1499

4.3.12. CFR Title 20 – Employees' Benefits Chapter III – Social Security Administration

4.3.13. Emergency Medical Treatment and Labor Act (EMTALA)

4.3.14. Freedom of Information Act (FOIA)

4.3.15. OMB Circular A-130, Appendix III, Security of Federal Automated Information Systems

4.3.16. Section 1011 – Federal Reimbursement of Emergency Health Services Furnished to Undocumented Aliens

4.3.17. The Deficit Reduction Act of 2005

4.3.18. The Sarbanes-Oxley Act of 2002

4.4.   STATE RULES AND REGULATIONS

The State's security policies and standards are included at the following website: http://www.oit.state.co.us/ois/policies

SECTION 5.0   TRANSITION PHASE

This section describes the tasks that are planned for the Transition Phase, either if there is a full transition to Contractor or if there is a partial/limited transition to the incumbent. Transition activities will vary depending on whether the incumbent or a non-incumbent Contractor is awarded the contract. If the incumbent is awarded the contract, the activities will include changes or modifications in operational procedures consistent with the contract and a potentially shortened transition period. If a non-incumbent offer is awarded, there will be a full transition including a period of knowledge transfer. The State requires that the Contractor demonstrates the ability to operate and maintain CBMS, PEAK and all related services prior to entering the Operations Phase.

The responsibilities for the Transition Phase include the following tasks:

- Transition planning for CBMS, PEAK and their related services
- Knowledge transfer from incumbent and the State to the Contractor
- Transition and installation of required hardware/software
- Operational readiness of the Contractor
- Completion of a successful trial release in a test environment
- Take over activities
- Start of operations

5.1 Transition Professional Staffing Requirements:

The State has prior approval of key personnel, including anyone who reports to the Transition Manager position, which is described in further detail below. Where appropriate, the same person may be able to fill a position in different contract phases. The State expects many of the Transition Phase personnel to move into the Operations Phase.

Key Transition personnel, general responsibilities, and minimum qualifications, include:

5.1.1   **Transition Manager:**

This resource will be the primary point of contact with State staff for transition activities and for communications, including working with State staff and the Contractor's system staff to coordinate system interface and set-up issues. The Transition Manager will also be the primary point of contact with the CBMS Director and the CBMS Governance Manager for activities related to contract administration, project management and scheduling, correspondence between the State and Contractor, Contractor resources, and deliverable reviews during the Transition Phase. Responsibilities include the development of communication materials; the definition and design of all procedures, including, but not limited to, manual operations, development of job descriptions, hiring, and training of staff; and overseeing the transition and start-up in Denver. The Transition Manager shall not serve in any other key personnel position during this phase and must be a full-time employee of the Contractor and located in the Denver Metropolitan Area throughout the Transition period. Minimum qualifications include:

A. At least 7 years of experience in project management and/or operations management.
B. At least 7 years of experience with a government human services eligibility system.
C. At least 5 years of supervisory experience.
D. Successful experience in transitioning large-scale systems.

5.1.2 **Transition Technical Manager:**

The Transition Technical Manager is responsible for coordinating the knowledge transfer of technical information from the incumbent to the Contractor's staff. For example, the technical team will need to learn how to manage hardware, maintain and update the system, and run CBMS. The Transition Technical Manager will be responsible for relaying information to the team. Other responsibilities include being the primary point of contact for knowledge transfer activities as they relate to technical development and organizing Contractor activities for operations to ensure adequate training. The Transition Technical Manager initiates the conversion and transition of technical knowledge and also ensures that the technical workers understand both the system architecture and how to make appropriate changes when needed. Minimum qualifications include:

    A. At least 7 years of experience in server management, operating systems, database administration systems, capacity planning and monitoring, and technical management for a government human services eligibility system.
    B. At least 5 years of supervisory experience.
    C. Successful experience in server management and operations, operating systems, database administration systems, capacity planning and monitoring, and technical management of large scale systems.

Each person proposed for one of the Transition Phase key personnel positions must have qualifications and/or be able to demonstrate the experience cited. The State must approve any exceptions to the minimum qualifications.

5.2 Transition Activities

During the Transition Phase, the Contractor will prepare to take over all activities associated with the administration of CBMS, PEAK and their related services. The baseline system is defined as CBMS, PEAK and other related applications as set forth in Sections 2.5 and 2.6, including all system documentation and the source code required to continue system functionality and operations.

The State and the Contractor will work together during initial contract start-up to establish a schedule for completing all transition tasks required for operating CBMS, PEAK and other related applications. This schedule will be used by the Contractor in developing the detailed project work plan for the Transition Phase.

The Contractor will work with the State to define project management and reporting standards, establish communication protocols, and provide orientation on the Contractor's approach to the transition. In this transition planning task, the Contractor will submit a formal project work plan for approval. The project work plan will be used by the State as a tool to monitor the progress of all transition tasks. The Contractor must clearly define each task and subtasks and specify a completion milestone for each activity.

5.2.1 Contractor Responsibilities:

    A. Assign Key transition staff prior to the start of Transition activities.
    B. Develop and submit a Transition Plan to the State. The plan must include but may not be limited to:
        (1) Proposed approach to transition
        (2) Outline of tasks and activities associated with transition
        (3) Schedule for transition
        (4) Transition Milestones, including:

    (a) State approval of the:
- (i)   Transition Plan including Work Plan
- (ii)   Communications Management Plan
- (iii)   Project Management Methodology
- (iv)   Status Report Template and reporting procedures
- (v)   Change Control Plan
- (vi)   SDLC methodology, PM templates for change requests, and all documents to be used within the SDLC
- (vii)   Test Strategy
- (viii)   Establishment of Transition Phase exit criteria
- (b) State approval of the Relocation Plan, if required (Section 5.4)
- (c) State approval of the Facilities Plan, if required (Section 5.4)
- (d) Establishment of the gateway to the State's LAN, if necessary
- (e) Completion of required workspace at the Program facility, if required
- (f) Establishment of permanent Program facilities, if required

(5) Schedule for the trial release further described in Section 5.8 below.

(6) Complete review of existing system documentation

C. Develop and submit a Communications Management Plan for transition activities to the State for approval within 30 days of the contract start date. This plan should describe how the Contractor will communicate with the State and other entities, frequency of communication, and communication types.

D. Develop and submit a documented Project Management Methodology adaptable to various development methodologies including waterfall and agile for State approval within 60 days of the contract start date.

E. Integrate into State project management control software and status reporting procedures.

F. Submit documented Contractor background check criteria or guidelines for State review and approval.

G. Submit weekly status reports to the State Transition Manager and others to be determined, on the progress of tasks against the approved transition work plan to be concluded with a formal report on progress and compliance with Transition Phase exit criteria.

H. Review and report on status of Transition Phase deliverables and exit criteria:

I. Conduct weekly status meetings with State Transition Manager or designee and other State staff.

J. Inform State Transition Manager or designee of delays or setbacks to the critical path or project timeline by close of business on the day that any such issue or problem is identified.

K. Participate with the State in problem identification and error resolution.

L. Become familiar with State policies and services through interviews with State staff and incumbent staff.

M. Propose for State approval a Software Development Life Cycle methodology (SDLC) to be utilized for system modifications at least 60 days prior to the start of operations.

N. Develop templates for all documents to be used within the SDLC at least 60 days prior to the start of the Operations and Maintenance Phase.

O. Develop an overall test strategy within the first 60 days of the contract start date. This strategy shall describe, at a minimum, how unit, system integration, regression, vulnerability and load testing will be conducted and documented throughout the term of the contract.

P. Develop a dispute resolution process jointly with the State that describes, at a minimum, how business, technical, and process related issues will be communicated, handled, and resolved during the term of the contract. This will be a component of operational readiness.

Q. Conduct a review of the current systems and documentation, and clarify deficiencies as necessary. The baseline system is defined as CBMS, PEAK and their related applications and services, including all system documentation and source code required to continue system functionality and operations.

R. Alert the State no later than 45 days after the start of transition, if additional training or information is needed to conduct a successful transition.

S. At the time of the development of this Statement of Work, it is not clear whether or not the Contractor will be required to establish a secure worksite in Denver to accommodate State and Contractor staff. If the Contractor is required by contract to provide a worksite, the following requirements will apply:

T. Develop and submit a Relocation Plan which includes Contractor's proposed approach to CBMS program relocation, within 45 days of the start of the contract.

U. Conduct a risk analysis and identify business impacts of relocation and submit a mitigation plan to address same.

V. Identify alternatives and/or contingencies to meet the facility requirements.

W. Select and establish a secured worksite facility in Denver, Colorado, and submit a Facilities Plan, including, but not limited to, location of computer hardware, to the State for approval within the first 30 days of the start of the Transition Phase. NOTE: The Facilities Plan for Transition is a separate deliverable than the Facilities Management, Operations and Maintenance Plan as described in section 5.4.2.

X. Develop an approved plan and establish the gateway to the State LAN to facilitate communications between the State and the Contractor, supply all hardware and software, and provide other equipment as described in section 5.6, within 60 days of the start of the Transition Phase.

Y. Arrange for the transfer of all necessary worksite files from the incumbent to the Contractor.

Z. Develop a Cyber Security Plan for the physical and system security for each of its facilities used in meeting the requirements of the contract which includes initial and ongoing training and awareness. This plan must describe how the Contractor will comply with State Cyber Security rules. This plan shall be submitted initially to the State within 45 calendar days after final execution of the contract.

5.2.2   Contractor Deliverables:

A. Transition Plan including Schedule of activities
B. Weekly Status Report with Plan updates
C. Communications Management Plan
D. Project Management Methodology
E. Status Report Template
F. Templates for documents to be used within the SDLC
G. Test Strategy
H. Dispute Resolution Process
I. System Documentation Review Results with identified deficiencies, if any
J. Relocation Plan, if required
K. Facilities Plan, if required
L. Cyber Security Plan

5.2.3   Performance Measures

Contractor performance will be monitored through review of deliverables and adherence to the Transition schedule. The Cyber Security Plan will be evaluated against OIT Security Policies and the requirements of the State Chief Information Security Officer with the expectation of no cyber security issues or inconsistencies.

5.2.4 Monitoring

Contractor Performance will be monitored through review of deliverables, compliance with approved processes

5.2.5 State Responsibilities:

A. Assign a State Transition Manager
B. Establish entrance and exit criteria for each phase of Transition.
C. Coordinate communication and act as liaison between the Contractor and the incumbent.
D. Review and approve the Cyber Security Plan.
E. Provide the Contractor with all available documentation on current operations and system requirements.
F. Provide the Contractor with naming convention standards and policies.
G. Provide the Contractor with access to Perforce, which includes system documentation, job-cycle documentation, and all other supporting documentation necessary for system operations.
H. Provide the Contractor with current schedules for all cycle processes.
I. Provide updates of the system to the Contractor as the incumbent continues to install modifications and correct deficiencies to the system.
J. Review and approve a Transition Plan to facilitate transfer of operations to the Contractor.
K. Conduct a review of the Contractor's Transition Plan, including all tasks, milestones, deliverables, and activity-level schedules and staffing levels.
L. Review and approve or identify deficiencies in Contractor deliverables including the Communications Management Plan, Status Report template, PM and SDLC methodologies, Change Control Plan, Test Strategy, and documentation Review Results.
M. Clarify, at the Contractor's request, Colorado public and medical assistance programs policy, regulations, and procedures.
N. Provide procedures for problem reporting and controls for the transfer of data or information from the incumbent to the Contractor.
O. Review and approve Relocation Plan, if required.
P. Review and approve the Facilities Plan, if required.
Q. Review progress and compliance with Transition Phase entrance and exit criteria.
R. Work with the Contractor to develop a dispute resolution process.
S. Approve the SDLC templates for all documents to be used within the SDLC.

5.3 Knowledge Transfer

All Contractor(s) staff will receive appropriate knowledge transfer in the systems and functions that they will use.

5.3.1 Contractor Responsibilities:

The Contractor will be responsible to integrate Knowledge Transfer into the overall Project Work Plan from inception. The Contractor will be required to know and understand the following modules and functions of CBMS, PEAK and their related systems:

A. Eligibility Determination and Benefit Calculation (EDBC)

B. Correspondence processing
C. Batch Processing
D. Interface operations
E. Rules Engine and Shared Eligibility processing
F. Web functions
G. Application initiation (AI)
H. Interactive Interviews (II)
I. Security - CBMS, PEAK and Mobile Applications
J. Reporting (including Ad hoc)
K. Authorizations
L. System Process and Operations
M. Document Management
N. System Reference Tables (RTs) and Valid Values
O. The Contractor must participate in and provide resources for the following knowledge transfer activities:
   (1) Role Sharing
   (2) Joint completion of job responsibilities for a single role by a mentor and a knowledge recipient; includes working side-by side, with the mentor providing detailed instruction on how to complete a task and enabling one-on-one interaction to confirm mastery
   (3) Development and utilization of Job Aids
   (4) Development and utilization of step-by-step instructions to complete a task that are tailored for a specific role.
   (5) Knowledge Transfer sessions
   (6) Review of system documentation
   (7) System functionality demonstrations and walkthroughs
   (8) Job shadowing
   (9) Direct observation, or "over-the-shoulder" knowledge transfer, that would allow knowledge recipients to directly view subject matter experts performing tasks
   (10) Monitored Tasks - Assignment of tasks to knowledge recipients that are completed while under observation of a mentor
   (11) Assignment of tasks to knowledge recipients that are completed independently and then reviewed and approved by a mentor

5.3.2   Contractor Deliverables:

A. A checklist of job responsibilities and date of mastery (referring to O.2. above)
B. Job aids and step-by-step documents developed.
C. Provide to the State a list of final Monitored Tasks with date tasks are completed.

5.3.3   Performance Measures:

Contractor's ability to integrate knowledge into job functions will be the primary measure of successful knowledge transfer during the transition phase. During the operations phase, Contractor's ability to train and inform new staff with little to no disruption in service delivery will serve as the measure of Contractor performance. During the turnover phase, the Contractor's ability to effectively transfer knowledge as an incumbent to a new Contractor will be evaluated.

5.3.4   Monitoring:

The State will observe staff and team job performance, the ability to communicate effectively regarding the knowledge transferred and the impact of any disruption in service delivery due to a lack of understanding of the information transferred.

5.3.5   State Responsibilities:

A. The State will coordinate and participate in Knowledge Transfer during the transition phase of this contract.
B. The State will identify lead staff to serve as subject matter experts to participate with the Contractor in knowledge transfer activities.
C. The State will arrange for the incumbent contractor to conduct a CBMS, PEAK and workflow process management knowledge transfer.
D. The State will identify Contractor staff that, in the State's opinion, is in need of additional training.

5.4 Office Facility

The Contractor will be responsible to establishing an office site within a 1-mile radius of the State Capitol to support management, administration and meeting space. The site must be established within 60 days of the contract award and must be approved by the State Office of Information Technology. All costs associated with the permanent site/office are the responsibility of the Contractor.

In addition, the Contractor will provide a work site for all staff, including State staff, necessary for the operation, maintenance and change activities set forth herein at a location close to public transportation outlets, including light rail and bus stations. The Contractor must ensure that the State has access to a minimum of 50 parking spaces within one quarter mile of the work site along with parking for the disabled, as required by law.

The requirements for the office site and work site (the facilities) are intended to be used throughout the life of the contract and any extensions/amendments and should be revised or updated as necessary to maintain an up-to-date framework for the facilities as well as roles and responsibilities. The facilities described below will house State and Contractor staff. The facilities will be considered State facilities with network connectivity to the State's common infrastructure. Any other contract activities needed to be performed at other locations will need to be approved in advance by the State.

Facility Requirements:

a. The facility must include at least 20,000 square feet of furnished space. The Contractor will be required to provide necessary furniture, hardware, and network capabilities for its own and State CBMS staff.
b. The office site for development, testing, maintenance and operations must be within a 10-mile radius of the Colorado State Capitol as the majority of stakeholders in State government are located within this area.
c. The facilities must satisfy the following requirements:
   1) The office site facility must have onsite access to at least 1 large furnished conference room that can accommodate at least 25-35 people with peripheral, network, and phone equipment as outlined below.
   2) A minimum of 6 additional conference rooms within the facilities that can accommodate at least 15 people. Each conference room should be equipped with:
      A. Online access to view room availability and make reservations.
      B. Adequate furniture, seating and table space.

C. Two computers with Internet and Intranet access.
D. One projector for displaying Internet based and Windows PowerPoint presentations and screens for projectors.
E. Telecom equipment with multi-line Polycom speakerphones to accommodate conference calls.
F. Ability to access network printer(s) in the same building for use by meeting participants.
G. Ability to accommodate video conferencing and web-based application sharing for attendees.
H. Large whiteboards
I. Multi-month wall calendars

3) A minimum of 1 small furnished conference room within the facilities that can accommodate at least 8-10 people with peripheral, network, and phone equipment as outlined above.

4) A minimum of 2 small meeting rooms (for smaller stand-up meetings) within the facilities which should be able to accommodate at least 10 people. These rooms, however, require minimal equipment as identified below, given the functionality required is significantly different for these meeting rooms. Each meeting should be equipped with:
A. One VoIP or Polycom Conference Phone
B. Large whiteboard
C. Table
D. At least 1 Data Port with network connectivity
E. Wall Calendar

5) Enclosed office space (minimum 15 offices) for State personnel and management. Each office should be equipped with:
A. Medium to Large whiteboard
B. One VoIP Phone
C. At least 2 Data Ports with network connectivity
D. A locking door
E. Furniture including a desk, ergonomic chair, visitor seating and lockable storage space to secure files and personal items.

6) Staff cubicles or comparable work space (1 cubicle per staff member with a minimum of 55 cubicles for State personnel). Each cubicle should be equipped with:
A. One small to medium whiteboard
B. One VoIP Phone
C. At least 1 Data Port with network connectivity
D. Minimum 6'x 8' Cubicle Size with desk top surface area of at least 20 sq. ft.
E. Storage Space
F. Overhead Cabinet
G. File Cabinet (Drawers)
H. Ergonomic Chair

7) One computer lab with necessary equipment identified below that is sufficient for a minimum of 12 users.

8) Twelve additional "hotel" cubicles/workspaces for visiting staff. Each hotel cubicle should be equipped with:
A. One small to medium whiteboard
B. At least 1 Data Port for network connectivity
C. Minimum 6'x 6' Cubicle Size with desk top surface area of at least 12 sq. ft.
D. Ergonomic Chair

9) Break room or kitchen space adequate to accommodate staff located at the facilities. Each kitchen area or break room should be equipped with:
   A. Microwave ovens
   B. Refrigerator with ice maker
   C. Counter space for food prep
   D. Fully functional sink with hot and cold water supply and garbage disposal
   E. Filtered water for drinking
   F. Tables with seating
   G. Wall clock
10) A building and suite security badge access process should be established and coordinated by the Contractor to ensure only those authorized have access to the facilities/sites.
11) Physical security of the facilities must be supplemented at a minimum through closed-circuit security cameras, with 24x7 recording capability, along with the capability to view all badges used for entries and timestamps for each entry.
12) The Contractor-provided receptionist or other Contractor-provided staff shall monitor physical security of the facilities during business hours by requiring all visitors to sign in, and shall record all visitors' names, dates, and times in the suite in the Visitor Log.
13) Any dedicated suites and workspaces should only be accessible to authorized staff. State and Contractor personnel should notify the receptionist or other assigned Contractor staff of any upcoming meetings requiring outside visitors to be permitted into the facilities.
14) The Contractor shall ensure that all dedicated facilities/suites have cardkey locks for any doors that grant access to the facilities rather than using less secure combination locks to gain access to the office, as badge access reduces the need to routinely change the combinations on each door.
15) Access to the facilities should be issued by Contractor staff to permanent and temporary employees (both Contractor and State) upon assignment to the CBMS facilities and retrieved by Contractor staff upon termination or resignation.
16) The Contractor is required to manage/maintain the facilities access process and requirements for all state staff and Contractor staff, including for new hires, staff who are either terminated or separate from the State, or existing staff with lost or stolen badges.
17) A method for temporary access must be available for long-term visitors (for example auditors who must be located on site for several weeks).
18) The Contractor is required to provide a secure environment for Network, Server, and Phone System equipment, and a secure Server Room or Main Distribution Frame (MDF) should be provided at the same location.
   A. This room shall provide standard environmental elements required to support the associated equipment, including dedicated High Voltage Air Conditioning – HVAC; uninterrupted Power Supply – UPS; raised floor; post racks for patch panels and Local Area Network Switches; and a multi-post to support installation of the OIT/CBMS file/Print/email server.
   B. The room should also house the Contractor hosted Phone System as applicable.
   C. In addition to hosting equipment necessary to support the facilities, the room may also be used to securely store project software media.
19) The Contractor must provide an off-site location for storage of production and development system backups.
20) In addition to the Server Room/MDF, the site, due to the size should also include an Intermediate Distribution Frame (IDF) location with locked network cabinets to house LAN switches for the facilities. This equipment is required to be protected by UPS power.

21) Access to the server room must be secured using a Cipher lock or similar secure access on the door(s).

5.4.1   Contractor Responsibilities:

A. Provide and maintain the lease for facilities for CBMS, PEAK and all related applications throughout the life of the contract completely at the Contractor's expense unless notified by the State.
B. Provide all furnishings, equipment, hardware, software, and network capabilities identified above. Contractor will be responsible for continual provision of all typical tenant-provided services including but not limited to utilities, HVAC, and other traditional facility operating expenses.
C. Maintain a break room/kitchen for each suite used by State and Contractor personnel, including supplies and cleaning services adequate to the number of staff in the suite.
D. Maintain conference room equipment in full function. In the event equipment malfunctions, Contractor will have backup equipment available until the conference room equipment can be restored to functionality, which should be no more than 5 business days.
E. Post daily conference room meeting schedules on the conference room doors each morning for that business day and update throughout the business day, as needed.
F. Provide secure shredder services at their own expense.
G. Provide recycle bins and services at their own expense.
H. Provision wireless connectivity in the facilities for the benefit of the State and other stakeholders.

5.4.2   Contractor Deliverables:

A. Initial facility plan for both the transition period and for the permanent facilities throughout the operational phase and for the duration of the contract.
B. Annual Facility Management and Operations Plan to be submitted by July 1 of each subsequent State Fiscal Year through the term of the contract.

5.4.3   Performance Measures:

A. The Contractor's performance will be measured based on the satisfactory provision and quality of facilities and furnishings required.

5.4.4   Monitoring:

Contractor Performance will be monitored through review of deliverables and compliance with approved processes. The State will provide a "facility change order" for any material deviations, enhancements, or additional facilities, and the Contractor shall have 30 days to respond with an approved amendment to the Annual Facilities Management plan or justification as to why the change order will not be fulfilled.

5.4.5   State Responsibilities:

A. The State will identify a lead contact for facility management to work with Contractor staff on facility issues.
B. The State will review and approve the Annual Facilities Management Plan and Operations Plan and Notify Contractor of deficiencies and items needing correction.

5.5 Telecommunications Maintenance – Data, Voice, Images, Copiers, Printers, Plotters, Scanners and Wireless Services

The State requires the Contractor to provide the following equipment, services, and functionality at the permanent facilities throughout the life of the contract at the Contractor's expense.

5.5.1   Contractor Responsibilities:

A. Provide a minimum of the following Telecommunications items during the life of the contract including maintenance services: Data, Voice, Images, Copiers, Printers, and Plotters. Specifics for the above items are listed below:
   (1) Network printers/copiers scanner with a ratio of 1 per 20 staff.
   (2) At least one color printer/copier with high quality output for every 50 staff.
   (3) At least two facsimile machines (this capability can be included in the network printers/copiers).
   (4) At least one drafting plotter printer with current technology that meet State standards.

B. VoIP Phone service for all staff cubicles, offices and conference rooms, including hands-free headsets for identified personnel. Additionally, the Contractor shall facilitate any State requested moves, adds and changes for Contractor maintained phone system at the Contractor's expense.

C. Wireless connectivity (Wi-Fi) should be provided for all suites in the facilities at the Contractor's expense, although the State will provide additional State-only Wi-Fi connectivity to allow State personnel to access the State network(s) via Wi-Fi (at the State's expense) for normal business operations.

D. Any special needs equipment for ergonomic or other purposes. (Note that for ergonomic items, the State typically works internally with Human Resources/Risk Management staff to do an assessment for ergonomic needs beyond simple immaterial items for State staff).

E. Each cubicle will require at least one data port, and each office requires at least two data ports. The Contractor shall ensure that the ports are available and the State will coordinate with State technical staff to facilitate and maintain connectivity as necessary.

5.5.2   Contractor Deliverables:

All items identified in this section must be included in the Contractor's initial facility plan and must be available at the facilities provided by the Contractor.

5.5.3   Performance Measures:

Required equipment and network/telecom functionality must be evaluated and approved by the State, and must be deployed and operational prior to occupancy by the State and Contractor staff.

5.5.4   Monitoring:

Contractor Performance will be monitored through review of deliverables and compliance with approved processes.

5.5.5   State Responsibilities:

A. The State will provide the Contractor with official "change orders" for any enhancements and/or changes to services or functionality provided under this section.

B. The State will coordinate with its own management and Human Resources staff as applicable for evaluation/assessment of any State ergonomic needs or concerns.

C. The State will coordinate with the Contractor and State Network and Telecomm staff to establish a hybrid or State phone solution if necessary for required ancillary functions specifically related to Tier 2 help desk and current or future call center functionality.

D. The State will install its own Wi-Fi network concurrent with the Wi-Fi access requirements to be provided by the Contractor at its own expense as outlined above.

5.6 Hardware/Software Transition and Installation

If required by contract, the Contractor will transfer, develop, or install any software and/or hardware necessary to perform its operational, maintenance, and development responsibilities. As part of this task, the Contractor will also be responsible for moving and relocating the equipment, furnishings, and supplies of the co-located State staff to its facilities.

During the Transition Phase, the incumbent will be responsible for maintaining CBMS hardware and software.

5.6.1 Contractor Responsibilities:

A. Report progress on transition and installation of hardware and software weekly.
B. Revise the Transition Project Work Plan weekly to provide current information regarding activities and dates. Submit revised plan for State approval.
C. Inform State Transition Manager or designee of delays or setbacks to the critical path or project timeline by close of business on the day that any such issue or problem is identified.
D. Acquire and install necessary hardware and software for a successful transition.
E. Complete transition to the central worksite facilities as described in Sections 5.4 and 5.5.
F. Ensure all hardware, software, protocols, processes, and communications are appropriately established to successfully operate, maintain, and develop the system.
G. Work with the incumbent Contractor to provide a complete and finalized listing of system job cycles in use in baseline system at time of transfer and installation.

5.6.2 Contractor Deliverables:

A. Report on progress of installation and deployment
B. Operational hardware and software installed and tested.
C. System Job Cycle Baseline

5.6.3 Performance Measures

Hardware and software functionality will be evaluated and approved by the State, and must be deployed and operational prior to certification of operational readiness.

5.6.4 Monitoring

Contractor Performance will be monitored through review of deliverables, compliance with approved processes and through the measurement of defects in hardware/software operation.

5.6.5 State Responsibilities:

A. Coordinate with the Contractor during the installation of any telecommunications links to the State's LANs and/or the State's enterprise computing environment.
B. Act as mediator with the incumbent Contractor to resolve system transition issue and/or defects.
C. Act as liaison between the incumbent Contractor and the Contractor to schedule CBMS operations training sessions for the Contractor staff.
D. Review and approve Contractor documentation that ensures CBMS is fully transitioned and functions according to State specifications.
E. Review progress and compliance with Transition Phase entrance and exit criteria.

5.7 Operational Readiness of the Contractor:

The Contractor shall perform specific implementation and operations functions to ensure operational readiness. In preparation for operations, the Contractor will perform worksite file conversions, recruit and train operations staff, and conduct any necessary State staff training. The Contractor shall demonstrate the ability to modify or change the system functionality for CBMS, PEAK and all related components through a Trial Build as set forth in Section 5.8 below.

5.7.1   Contractor Responsibilities:

A. Participate with the State and the incumbent Contractor in problem identification and error resolution as requested by the State.
B. Submit weekly written status reports electronically to the State Transition Manager and others to be determined, on the progress of tasks against the approved project work plan and a formal report on progress and compliance with Transition Phase entrance and exit criteria.
C. Revise the Transition Project Work Plan weekly to provide current information regarding activities and dates. Submit revised plan for State approval.
D. Conduct weekly status meetings with State Transition Manager(s) or designee and other State staff.
E. Inform State Transition Manager(s) or designee of delays or setbacks to the critical path or project timeline by close of business on the day that any such issue or problem is identified.
F. Review and report on progress and compliance with Transition Phase entrance and exit criteria.
G. Identify necessary modifications or enhancements to manual and automated operating procedures to be implemented during Operations Phase with State approval.
H. Develop or revise user manuals to be implemented during Operations Phase with State approval.
I. Demonstrate that appropriate personnel are hired and trained to perform required system responsibilities.
J. Submit an updated staffing plan for the Operations Phase.
K. Conduct and participate in any necessary training sessions.
L. Conduct a formal readiness walk-through with the State, demonstrating that all functional areas are ready.
M. Prepare a final Operational Readiness Assessment Document, including results of the trial build in the test environment and an assessment of the final operational readiness of Contractor staff to operate CBMS.

5.7.2   Contractor Deliverables:

A. Written Weekly Status Reports
B. Weekly Transition Phase Work Plan updates
C. Revised Operating Procedures
D. Updated staffing plan for operations
E. Final Contractor Operational Readiness Assessment

5.7.3   Performance Measures

Contractor's ability to demonstrate operational readiness will be the primary measure of performance including State approval of:

1) Revised Operating Procedures
2) Contractor operational readiness
3) Operations Phase Staffing Plan

4) Final Contractor Operational Readiness Assessment document

5.7.4   Monitoring

Contractor Performance will be monitored through review of deliverables, compliance with approved processes and through the measurement of defects in code delivered to the State for testing.

5.7.5   State Responsibilities
A. Review all deliverables submitted during the Transition Period.
B. Evaluate Contractor performance during knowledge transfer.
C. Define requirements to be developed by the Contractor in a Trial Release.
D. Participate in knowledge transfer activities.
E. Coordinate communication between the incumbent and the Contractor.

5.8 Trial Release in a Test Environment

In order to demonstrate full operational readiness, before beginning to implement changes in production environments, the Contractor will be required to implement a successful trial release in a test environment. The detailed responsibilities, deliverables and milestones are identified within this subsection and are supplemented in all sections related to the Transition Phase.

5.8.1   Contractor Responsibilities:

A. Include a trial application release in the Transition Plan and Transition Project Work Plan.
B. Develop and submit a Test Plan to the State for review and approval.
C. Establish a batch run schedule.
D. Identify and resolve problems and/or defects and discrepancies with State staff.
E. Perform trial release of CBMS in a test environment.
F. Analyze and record test results and provide to the State for review and approval.
G. Resolve any discrepancies in CBMS (source code, documentation, etc.) identified as a result of trial build results.
H. Revise system and user documentation as required to fully describe the system.

5.8.2   Contractor Deliverables:
A. Complete project plan and build schedule
B. Test plan that includes unit, system integration and user acceptance and regression testing
C. Batch run schedule
D. Release Playbook
E. Trial Release Results including documentation of successful task completion for each task outlined in the Release Playbook
F. Documented discrepancies in CBMS (source code, documentation, etc.) if applicable
G. Revised systems and user documentation

5.8.3   Performance Measures

A. The primary measure of performance will be successful completion of the Trial Build in the test environment. Code defects will be measured against lines of code changed and based on potential impact to client eligibility, benefit payments and user workload impact. For changes to client-facing applications, defects will be weighed based on the usefulness of the application by the client.
B. In order to achieve a successful trial build and to demonstrate operational readiness, the Contractor will be expected to correct all defects found during testing in a lower

environment prior to the test certification deadline. Failure to correct all defects timely will be considered an unsuccessful completion of the build.

C. The build schedule will be evaluated to ensure deadlines are met, milestones are achieved and that overall schedule does not slip. Failure to meet the build schedule will be considered an unsuccessful completion of the build.

D. Project documentation and build reporting must be complete and approved prior to a confirmation of operational readiness.

5.8.4   Monitoring

Contractor Performance will be monitored through review of deliverables, compliance with approved processes and through the measurement of defects in new code delivered to the State for testing.

5.8.5   State Responsibilities:

A. Identify and generate test data as needed.
B. Compare the results of batch runs in the test environment of the Trial Release.
C. Review and approve the Contractor's test plan.
D. Review and approve the Contractor's parallel schedule.
E. Review progress and compliance with Transition Phase entrance and exit criteria.

5.9 Cut Over Activities

The Contractor will be responsible for operating and maintaining CBMS, PEAK, and all related components based upon the State-approved Transition Plan. The cut-over will be dependent on the successful demonstration of operational readiness. Prior to moving from transition to the operations phase, the Contractor shall demonstrate that they can fully operate CBMS, PEAK and all related components. This means that the Contractor must be able to do the following:

1) Maintain all system files
2) Provide access to all supporting components
3) Produce all required reports
4) Meet all system requirements
5) Demonstrate successful completion of the Trial Build.
6) Perform all other Contractor responsibilities specified in this Statement of Work
7) If the State determines that the Contractor will not be ready to operate CBMS, PEAK and all related components, after May 1, 2017, the operational readiness assessments will not be made until such time as the State determines that either:
    A. the Contractor is capable of operating CBMS, PEAK and all related components as set forth in the contract, or
    B. the Contractor shall be deemed in default.
8) Payment for the successful completion of the Takeover and Start of Operations milestone shall not be made until the State determines that the Contractor is ready to operate CBMS, PEAK and all related components and the Contractor has begun the Operations Phase.

5.9.1   Contractor Responsibilities:

A. Conduct orientation and training for State personnel on Contractor organization, functional responsibilities, and operational procedures.
B. Provide a final operational readiness certification based on the final operational readiness assessment document, including, but not limited to, results of the parallel test and an assessment of the final operational readiness of Contractor staff to operate CBMS.

C. Submit a report that details compliance with the State's Cyber Security rules. The Contractor must be in compliance, as determined by the State, prior to the end of the Transition Phase.

D. Identify and report any implementation issues to the State.

5.9.2   Contractor Deliverables:

A. Orientation Training Materials
B. Cyber Security Compliance Report
C. Final Transition Phase Work Plan
D. Documented implementation issues, if applicable
E. Certification of the fully operational status of CBMS', PEAK and all related components

5.9.3   Performance Measures

Contractor performance will be measured based on the Contractor's demonstration of its capability to operate and maintain CBMS, PEAK and all related components as set forth in the contract. Performance will also be measured through proven compliance with the State's Cyber Security rules.

5.9.4   Monitoring

Contractor Performance will be monitored through review of deliverables and compliance with approved processes.

5.9.5   State Responsibilities:

A. Approve certification that Contractor is operation-ready.
B. Review progress and compliance with Transition Phase entrance and exit criteria.
C. Coordinate the termination or assumption of leases of CBMS hardware and software.
D. Review and approve the Cyber Security Compliance Report.
E. Work with the incumbent on remaining turnover tasks.

5.10   Start of Operations:

When the State has verified the operational readiness of the Contractor to operate and maintain CBMS, PEAK and all related components, a date and time will be agreed upon by all parties for the termination of operations by the incumbent Contractor and the beginning of operations by the Contractor.

SECTION 6.0   OPERATIONS AND MAINTENANCE PHASE

The Contractor will provide CBMS and PEAK programs a wide range of IT services and solutions. These IT services include, but are not limited to maintaining and enhancing CBMS, PEAK, and Mobile Applications. General IT services are also required because benefit systems are increasingly integrated within a broader IT architecture, requiring a system approach to their implementation and sound infrastructure for operation.

The Contractor shall furnish all materials, personnel, facilities, support and management necessary to provide the services and solutions as required. All required services must be provided within the Continental United States (CONUS). The Contractor will not access and/or perform work on the state's network from another country under any circumstances.

The Contractor must perform all functions necessary to operate CBMS, PEAK and all related applications. All CBMS, PEAK, Mobile Applications and website functions must be performed as directed by the State in compliance with Federal and State requirements, statutes, and regulations.

6.1 Staffing

The Business days for the Contractor will be a minimum of Monday through Friday from 6:00 a.m. to 7:00 p.m. There are 10 State holidays each year when State offices are closed. These holidays are New Year's Day, Martin Luther King Day, Presidents' Day, Memorial Day, Independence Day, Labor Day, Columbus Day, Veterans' Day, Thanksgiving Day, and Christmas Day. The system must be available with limited but sufficient Contractor staff to support CBMS on State holidays.

The State reserves the right to prior approve all subcontractors) and subcontractor(s) work locations.

    6.1.1   Contractor Responsibilities

    A. Provide sufficient staff who have the requisite skills to meet all contract requirements and who can attain a satisfactory rating on all performance standards.
    B. Provide Contractor Key staff available on a full-time basis and solely dedicated to this contract. Key staff positions for the maintenance and operations are named below:
        (1) Project Management Office (PMO) Lead
        (2) Senior Technical Architect/Architecture Manager
        (3) Software Development Manager
        (4) Operations Technical Manager
        (5) Test Manager
        (6) Major Incident Manager
        (7) Change Manager
        (8) Quality Assurance Manager
        (9) Release Manager
        (10)Interface Manager
    C. Employ key staff as set forth in Section 6.2 at least 60 days prior to the initiation of the operations phase.
    D. Employ all other operations personnel, or must have a commitment from them to join the Contractor's organization, at least 30 days prior to the start of operations.
    E. Develop and maintain a plan for job rotation and conduct knowledge transfer to staff to ensure that all functions can be adequately performed during the absence of staff for vacation and other absences.
    F. Designate staff who are trained and able to perform when the primary staff member is absent on consecutive days of leave.

G. Comply with all federal and state requirements concerning fair employment, employment of the disabled and concerning the treatment of all employees without regard to discrimination by reason of race, color, religion, gender, national origin or physical disability.
H. Follow all federal and state laws regarding social security registration and legal work status of all staff employed or contracted by the Contractor.
I. Conduct a criminal background check on all staff prior to employees or sub-contractors assuming responsibilities on this contract, and periodically as required by the State, with results available for State review, if requested.
J. Be bonded against loss or theft for all staff working on behalf of the Contractor in performance of its functions.

6.1.2   Contractor Deliverables:

A. Criminal background check criteria or guidelines applied by the Contractor updated annually and submitted for State review and approval.
B. Certification of Bonding updated annually and submitted to the State.
C. Report of designated backup staff for any position vacant or unmanned for more than 3 consecutive days.
D. An Organizational chart identifying key staff by name and title and all other positions assigned under this contract submitted no less than quarterly or within 30 days of key staff turnover, whichever comes first.
E. Key Staff Resumes which detail:
   (1) Employment history for all relevant and related experience
   (2) Names of employers for the past five years, including specific dates
   (3) All educational institutions attended and degrees obtained
   (4) All professional certifications and affiliations
   (5) Key Staff References including:
       (a) A minimum of three professional references outside the key person's organization who can provide information about the key person's work experience and performance.
       (b) The reference's full name, mailing address, telephone number and email address.

6.1.3   Performance Measures:

Contractor's ability to attract and retain qualified staff will be the primary measure of performance. Contractor's ability to train and inform new staff with little to no disruption in service delivery will also serve as the measure of Contractor performance.

6.1.4   Monitoring:

Contractor Performance will be monitored through review of deliverables and staff assessments

6.1.5   State Responsibilities:

A. Conduct evaluation and approval of submitted resumes for key positions.
B. Validate key personnel's background.
C. Review and evaluate candidates to fill key position vacancies.
D. Approve for all key positions set forth in Section 6.1.1.
E. Provide the selected Contractor 30 days to find a satisfactory replacement for key staff positions except in cases of flagrant violation of the state or federal law or contractual terms.
F. Act on extensions requested in writing.

G. Interview any and all candidates for named key positions prior to approval.

6.2 KEY STAFF REQUIREMENTS

While the State agrees it is the Contractor's responsibility to provide adequate staff to fulfill the terms of the contract and deliver all services set forth herein, the State will require the Contractor to supply key staff with the following requirements:

6.2.1 Program Management Office (PMO) Lead
This position will be the primary point of contact with the CBMS State Contract Administrator(s) and the State's Project Management Office (PMO) for activities related to contract administration, scope management, project management, scheduling and reporting, correspondence between the State and Contractor, Contractor resources, and deliverable reviews during the Operations Phase. The PMO Lead shall not serve in any other key position during this phase and must be available onsite 5 days/week throughout the Operations period. Any individual assigned to this role must have documented training or experience in program management.

6.2.2 Senior Technical Architect
This position will be the primary point of contact for all activities as they relate to the technical architecture which is defined as applications, OS platforms, for understanding all architectural components and subsystems and how they interoperate. This position will be responsible for assisting the State in ensuring architectural components are version compliant and meet operational security requirements. This position ensures the integrity of interoperability between components is not compromised during system enhancements and upgrades. This position is responsible for maintaining up-to-date technical architectural documentation. Any individual assigned to this role must have documented training or experience in technical architecture management.

6.2.3 Software Development Manager
This position will be the primary point of contact for all activities as they relate to software development and application enhancements to the System. Responsibilities include ensuring that the software developers understand the system architecture, making the appropriate changes to the application software and ensuring System documentation is updated as changes are implemented. Any individual assigned to this role must have documented training or experience in software development management.

6.2.4 Operations Technical Manager
This position is responsible for operating, running, updating, and maintaining CBMS and working with the State to coordinate System interfaces and helping to ensure that architectural components are in line with the State standards. Any individual assigned to this role must have documented training or experience in system operations management.

6.2.5 Test Manager
This position will be the primary point of contact for all activities as they relate to CBMS, PEAK and all related applications software testing. This position will work in conjunction with the State's Test Manager to assure all project testing is effective prior to build implementation. A part of their job will involve validation of documentation of test results and verification that all testing activities follow the State's testing processes. The Test Manager will maintain the Contractor's test team ensuring all projects and quality control are up to standards. The Test Manager will submit all test deliverables to the State. The Test Manager shall not serve in any other key position and must be available 5 days/week at the project site throughout the term of the contract. Any individual

assigned to this role must have documented training or experience in testing process and management.

6.2.6 Major Incident Manager

The Major Incident Manager is responsible for Major Incident Handling, including the overall accountability of organizing a Major Incident Response Team and implementation of Root Cause and Corrective Action (RCCA) procedures. This position is responsible for ensuring that RCCA's are executed in a standardized method within the established enterprise procedures and are used for efficient and prompt handling of all major incidents and problems. The Major Incident Manager shall not serve in any other key position and must be available 5 days/week at the project site throughout the term of the Contract. Any individual assigned to this role must have documented training or experience in major incident management.

6.2.7 Change Manager

The Change Manager is responsible for managing the process of change by documenting and mitigating the risk of moving, adding, removing, deleting, modifying or supplementing software, processes or infrastructure within the organization. This manager is responsible for producing Change Management design, strategy and implementation plans and championing the ongoing improvement of the Change Management process. The Change Manager is responsible for providing leadership and direction to realize the incident free deployment of software and infrastructure. Any individual assigned to this role must have documented training or experience in change management.

6.2.8 Quality Assurance Manager

The Quality Assurance Manager will plan, direct or coordinate quality assurance programs and formulate quality control policies. This position will also work to improve the organization's' efficiency and the quality of each project implemented into the production environment. The Quality Assurance Manager shall not serve in any other key position and must be available 5 days/week at the project site throughout the term of the Contract. Any individual assigned to this role must have documented training or experience in quality assurance management.

6.2.9 Release Manager

The Release Manager will be responsible for the Release Management lifecycle which includes scheduling, coordinating and the management of releases across CBMS, PEAK and all related applications. This position will also be responsible for implementing and managing release processes for the progression of code in the development, test, and production environments. The Release Manager works collaboratively with all participants in the software development project and is supportive of developers and testers as they set up their build development/test environments. This position's responsibilities also include building the IT Release Calendar working closely with the State IT Managers for CBMS, PEAK and all related applications. Any individual assigned to this role must have documented training or experience in release management.

6.2.10 Interface Manager

The Interface Manager will be the primary point of contact for all interface activities as they relate to CBMS, PEAK and all related applications. This position will have a strong grip on how to communicate, when to communicate, what to communicate, and who to communicate to. The Interface Manager will monitor operational progress, noting any timeline deviations and proactively helping to reconcile them in a timely manner. The Interface Manager will attend regular interface

meetings to discuss and analyze the progress of CBMS, PEAK and all related applications work goals while producing monthly reports for our clients and stakeholders, who expect exact and precise project deliveries and outcomes. This position's responsibilities also include building the IT Release Calendar and working closely with the State IT Managers for CBMS, PEAK and all related applications to assure that other processes are not being interrupted. Any individual assigned to this role must have documented training or experience in interface management.

6.2.11   Contractor Responsibilities:

A. Contractor will provide resumes and validation of background checks for key personnel.
B. In addition to the positions listed above, the Contractor must have staff working under this contract with the following certifications, training and experience:
  (1) Certified Information Systems Security Professional (CISSP) or documented training and experience in the field of Security and Risk Management, Software Development Security, Security assessment and Training, or Security Operations.
  (2) Documented training and experience in the process of capacity planning including the procurement of IT resources, infrastructure and services which are planned over a specific period of time with the ability to predict and forecast the future requirements of an IT environment and its associated essential entities/services/components.
  (3) Documented training and experience in the science of data analytics and the business intelligence techniques and tools used for business analysis purposes.
  (4) Documented training or experience in change impact analysis and identifying the potential consequences of a change, or estimating what needs to be modified to accomplish a change, and the risks associated with changes.
  (5) Experience working with or for federal agencies with whom CBMS interfaces including Social Security Administration, Internal Revenue Service, Center for Medical Services and Food and Nutrition Services.
  (6) Experience working with or for a health benefits exchange.

6.2.12   Contractor Deliverables:

A. Qualified key personnel in place throughout the operations phase. Key staff must be available for assignment on a full-time basis and must be solely dedicated to this project.
B. Qualified staff with the certifications, training and experience listed in section 6.2.11 throughout the operations phase.
C. A report of staff members with the certifications, training and experience listed in section 6.2.11 annually or within 30 days of staffing changes which would be relevant to the information reported.
D. Resumes of key personnel must include the following:
  (1) Employment history for all relevant and related experience
  (2) Names of employers for the past five years, including specific dates
  (3) All educational institutions attended and degrees obtained
  (4) All professional certifications and affiliations
  (5) Professional experience for the previous five years
  (6) References of Key Personnel must include a minimum of three professional references outside the employee's organization who can provide information about the key position's work on that assignment.
  (7) For each reference, the individual's full name, mailing address, telephone number and email address.

6.2.13   Performance Measures:

The Contractor's performance will be measured based on its ability to attract and retain qualified staff. Contractor's ability to train and inform new staff with little to no disruption in service delivery will also serve as the measure of Contractor performance.

6.2.14   Monitoring

The State will monitor Contractor's performance through the review of deliverables and observation of staff performance in their respective roles.

6.2.15   State Responsibilities

The State will review and approve key staff appointments, observe and provide feedback to Contractor on staff performance, as necessary. The State reserves the right to check additional references.

6.3 STAFF RESOURCE MANAGEMENT

The Contractor may not replace or alter the number and distribution of key personnel as bid in its proposal without prior written approval from the State, which shall not be unreasonably withheld.

Replacement for key personnel must meet the requirements of the position. The replacement personnel, whom the Project Director or Contract Administrator have previously approved, must be in place performing their new functions before the departure of the former key personnel when possible.

6.3.1   Contractor Responsibilities:

A. Satisfy the Contractor responsibilities and tasks in Sections 6.1 and 6.2.
B. Provide the State with 30 calendar day notice prior to any proposed transfer or replacement of any key personnel, to the extent possible.

6.3.2   Contractor Deliverables:
A. Advance notice of proposed key staff changes
B. Resumes that reflect the proposed replacement key personnel's past five years of professional experience and references to be submitted with the notice of change.

6.3.3   Performance Measures

The Contractor's performance will be measured based on its ability to attract and retain qualified staff. Contractor's ability to train and inform new staff with little to no disruption in service delivery will also serve as the measure of Contractor performance.

6.3.4   Monitoring

Contractor performance will be monitored through interaction with Contractor staff, review of staff qualifications and performance and on the impact of staff change to the delivery of services.

6.3.5   State Responsibilities:
A. Prior approval for any replacement of key personnel.
B. Provide the Contractor 30 days to find a satisfactory replacement for the position except in cases of flagrant violation of the State or federal law or contractual terms.
C. Review and actions on extensions requested in writing.
D. Interview any and all candidates for named key positions, upon request, prior to approval.
E. Meet with the proposed replacement key personnel, upon request, prior to final selection.
F. Check additional personnel references, as determined by the State.

6.4 GENERAL OPERATIONS AND SUPPORT RESPONSIBILITIES

The Contractor objective is to support the Operations and Maintenance of CBMS, keeping CBMS, PEAK and all related systems viable with supported Contractor releases and software upgrades. Operations and Maintenance on CBMS systems shall include all software and hardware associated with client/server, web-based applications, and networking.

An independent auditor must perform Statement on Standards for Attestation Engagements (SSAE) no. 16 (statement of auditing standards) audits annually of the Contractor operations. In addition, the State is subject to audits by its federal partners, the Office of the Inspector General, the Colorado General Assembly, the Colorado State Auditor along with various requirements associated with system-wide security audits. The Contractor shall be expected to recognize that assisting the State with such audits will be a responsibility of the Contractor.

The Contractor must be familiar with Secure Hosted Infrastructure (SHI) Technology in order to maintain and operate CBMS, PEAK and Mobile applications. The Contractor must also provide SHI Technology support and make recommendation to the State regarding configuration and other aspects of this technology in order to continue servicing the citizens of Colorado.

6.4.1   Contractor Responsibilities

A. Support the State's System Business and Operation Strategy.
B. Supply the State with an updated organization chart and staffing plan identifying each of the Contractor staff.
C. Correct CBMS unplanned downtime and functionalities.
D. Provide System optimization by modifying the systems to improve efficiency or use fewer resources. In general, a computer program may be optimized so that it executes more rapidly, or is capable of operating with less memory storage or other resources, or draw less power.
E. Maintain CBMS according to State and Federal requirements.
F. Ensure that operations personnel are accessible to State personnel, Monday through Friday from 7:00 a.m. to 6:00 p.m. (MDT). This includes all regularly scheduled State employee business days. Additionally, ensure that personnel are also available with reasonable prior notice after 6:00 p.m. Monday through Friday and on weekends.
G. Provide training to the State or its designated agent with regards to the maintenance and operation activities of CBMS when requested, but no later than 6 months prior to the end of the contract or any extension thereof. Such training must be completed at least 3 months prior to the end of the contract or any extension thereof.
H. Work with the State to resolve any identified problems and/or defects associated with CBMS, updating system documentation based on the resolution within 2 business days after resolution in the production environment.
I. Perform required security activities such as backups, contingency planning, and coordination with the State in system, security and performance audits.
J. Operate and maintain CBMS environments at maximum efficiency (utilizing the fewest required software and hardware resources and with minimal manual intervention) to continue system operation and to meet the needs of the State.
K. Monitor the daily operation of CBMS and supporting platforms and functions to ensure system is performing to State expectations.
L. Notify the State when operational problems and/or defects (either systems- or workflow-related) occur, describing the nature of the problem, the expected impact on ongoing

functions, a corrective action plan, and the expected time of problem resolution. These notifications shall be submitted according to the State defined process.

M. Notify the State when there is any indication that a security breach or data disclosure may have occurred, describing the nature of the problem, the potential impact on clients and the State, a corrective action plan, and the expected time of problem resolution. These notifications shall be submitted according to the State defined process.

N. Coordinate and facilitate CBMS user sanity testing with county staff to occur after each major release and prior to the end of outage window scheduled for that release.

O. If the State finds any part of a "Build Release" that does not meet requirements, the Contractor is required to fix that defect at no cost to the State.

P. Correct system defects and support the resolution of Help Desk tickets. This shall include all maintenance activities necessary to ensure the continued efficiency of CBMS.

Q. Coordinate with other states on all system interconnectivities.

R. Develop, maintain, and provide access to performance statistics required by the State to monitor all system performance requirements and standards.

S. Assist State staff, agents, and affiliates in conducting or responding to audits through sample selection, data gathering, and documentation to support issue resolution.

T. Update system and operations documentation when changes are made to the system(s) and maintain that documentation as required by the State.

U. Conduct an initial and ongoing annual architectural review that comprises all components of the CBMS system to achieve performance and cost efficiencies. The architectural review shall comply with the CMS ELC.

V. Provide State staff access to view CBMS programming code.

W. Provide and update information on all hardware and software tools used to maintain and support CBMS and its related components both in production and in lower environments.

X. Maintain all software utilized by CBMS, PEAK and related applications on a supported version, current on all patches and updates. Prior to updates or patches and at the discretion of the Contractor or at the request of the State, prepare a gap analysis and reverse compatibility assessment for consideration by the State.

Y. Make written recommendations on any area in which the Contractor or State thinks improvement(s) can be made for CBMS, PEAK and all related applications.

Z. Monitor CBMS infrastructure to ensure adequate capacity and efficiency.

AA. Meet or exceed all Service Level Agreements. For more information, see Appendix G.

6.4.2   Contractor Deliverables:

A. Accurate and complete system documentation.
B. Review of operational activities for the previous day with the State each business day.
C. Facilities Management, Operations and Maintenance Plan updated annually or more frequently if requested by the State.
D. Written response to the State Technical Architecture audit within 30 days from receipt. Technical Architecture Plan documenting the resolution and addressing mutually agreed upon findings and licensing gaps identified in the Technical Architecture audit within 90 days of receipt.
E. Record of system performance maintained and available upon request.
F. Weekly report of project status by release including current project timelines.
G. A comprehensive report on the production performance that is less than the State's approved standards including any issues along with proposed resolutions.

H. Six-month Maintenance Plan that includes a schedule of patches, upgrades, configuration changes, licenses and certificate renewals, and regular maintenance.
I. A gap assessment outlining differences in software versions prior to upgrade, potential risks and issues with installation of upgrades, versions or patches to any software utilized for CBMS, PEAK or related applications or services.
J. Quarterly report on all hardware and software products, applications and licenses in use, and proposed, both licensed and open source including the version, number of licenses and the purpose of the software.
K. Playbook for all system changes that includes all steps necessary to ensure complete deployment and return to operational status including a Back out Plan. A draft submitted 2 weeks prior to schedule builds with a final submitted 2 days before. For unscheduled builds the playbook must be submitted no later than 3 hours prior to the build activities.
L. Root Cause and Corrective Action Reports (RCCA) shall be submitted to the State based on Contractor's work set forth in section 6.4.1, paragraph L. A draft should be submitted within 7 days with a final report submitted no later than 30 days after the defect has been made known to the Contractor.
M. Project Plans for each major release based on the negotiated timeline with the State.

6.4.3   Performance Measures:

Contractor Performance will be measured on the Contractor's ability to maintain CBMS and system documentation according to the State and Federal requirements and to respond to system emergencies.

6.4.4   Monitoring:

Contractor Performance will be monitored through review of deliverables, compliance with approved processes and through the measurement of defects in production and in new code delivered to the State for testing.

6.4.5   State Responsibilities:

A. Develop and provide the State's System Business and Operation Strategy
B. Provide a primary contact to serve as a subject matter expert for CBMS technical architecture.
C. Serve as a liaison between the Contractor and other State agencies, Federal agency representatives or other third parties with a connection or interface with CBMS, PEAK or their related applications.
D. Serve as manager on audit activities.
E. Review and approve (or require modifications to) CBMS systems documentation and user documentation updates.
F. Approve CBMS software updates and hardware updates.
G. Provide information on changes in State policy and system requirements.
H. Set priorities for system changes.
I. Review the annual architecture recommendations.
J. Review and approve the Project plan for each major release.
K. Review and approve CBMS systems documentation.
L. Review and approve the 6 month Maintenance Plan.

M. Participate in daily reviews of operational activities

6.5 CBMS Operations and Maintenance

Sections 6.6 through 6.12 apply specifically to the CBMS application.

6.6 CBMS Application Security and Security Access

The Security track of CBMS is responsible for providing access to the application and its data. This is achieved by creating profiles for the users, the units, the office, the program groups, the caseload, and their access. The CBMS Security track references these profiles for providing the State staff and external staff access to the application and the data. CBMS provides security levels, which allow data to be viewed, entered, and maintained by authorized users. The CBMS Security track is designed to permit the authorized and trained user to manage security and serve as the security administrator. The CBMS Security track maintains the level of confidentiality needed to ensure data integrity. The CBMS Security track also provides the CBMS eligibility site security administrators with the ability to control and monitor security access. This functionality must be in compliance with the CMS Security Review. Changes to CBMS data are tracked and maintained through the History Maintenance track. The History Maintenance functionality will track the User ID of the user who made the change and the date and time, when the change was made. All CBMS table updates, including security profile tables, are tracked and logged for reporting requirements.

6.6.1   Contractor Responsibilities:

A. Maintain existing security functionality.
B. Provide audit reports and audit logs to assist in investigations, upon State request.
C. Maintain system documentation in an automated document repository accessible by assigned State staff members.
D. Respond to Security related Help Desk tickets.
E. Make written recommendations on any security area in which the Contractor feels improvements can be made based on business needs and future business strategic plans.

6.6.2   Contractor Deliverables:

A. The Contractor must maintain and ensure timely availability of existing pre-defined security reports.
B. The Contractor must provide ongoing maintenance and updates to the current CBMS Security Group Hierarchy, as needed. Security Group Hierarchy will be provided to the Contractor during the transition phase.
C. The Contractor will review the CBMS security process and make recommendations for changes and enhancements at least annually or more frequently as vulnerabilities are identified.

6.6.3   Performance Measures:

Contractor performance will be measured based on timeliness and accuracy of deliverables. Requested audit reports and logs will be delivered to the State within 5 business days unless otherwise agreed to by the State in advance.

6.6.4   Monitoring:

Contractor performance will be monitored through review of deliverables, compliance with approved processes and through the measurement of defects in production and in new code delivered to the State for testing.

6.6.5   State Responsibilities:

A. Designate a security lead and backup to answer questions and work with the Contractor to resolve issues surrounding this area of functionality.
B. Create and maintain CBMS security profiles.
C. Establish and maintain user security for both CBMS and PEAK Pro.
D. Review and approve written recommendations for improvement by the Contractor.

6.7 Interfaces

There are approximately 200 batch and online inbound/outbound files interfacing with 30 external systems that must be maintained, monitored and tested to meet Federal and State requirements. The data transfer for most of the external interfaces is done through Mule ESB. A detailed list of current Interfaces is included in Appendix E.

6.7.1   Contractor Responsibilities:

A. The Contractor must maintain all interface methods, including:
   (1) On-line, real-time interfaces
   (2) Connectivity to an External system through an emulator or a web link
   (3) Batch Interfaces
B. Schedule batch interface jobs in accordance with the Federal and State requirements, using the State job scheduler tool.
C. Complete batch interfaces through a Secure File Transfer Protocol (SFTP) or other secure communication media (Example: Cyberfusion or Moveit).
D. Maintain processes for CBMS and PEAK data extraction and comply with the documented formatting requirements.
E. Participate in the connection and execution of interface testing with the specific third party.
F. Monitor all interfaces, assuring that there are minimal errors, rejects, and manual intervention.
G. Maintain the existing functionality and connectivity of each interface configuration.
H. Maintain system documentation in the State's designated repository.
I. Review current interface processes for the purposes of making recommendations on process improvements.
J. Test interface functionality and connectivity.
K. Monitor and maintain audit transaction log files.

6.7.2   Contractor Deliverables:

A. Daily batch interface report that includes all failures.
B. Interface Plan on the schedule agreed upon by both parties.

6.7.3   Performance Measures:

Performance will be measured based on the Contractor's ability to complete successful, timely interface processes. All State defined interface tools and processes will be used unless written approval by the State is received.

6.7.4   Monitoring:

Contractor performance will be monitored through review of deliverables, compliance with approved processes and through the measurement of defects in production and in new code delivered to the State for testing.

6.7.5   State Responsibilities:

A. Designate a contact lead and backup to answer questions and work with the Contractor to resolve issues surrounding this area of functionality.
B. Serve as a liaison between the Contractor and other State agencies, Federal agency representatives or other third parties with a connection or interface with CBMS, PEAK or their related applications.
C. Provide detailed requirements for completion of new interfaces or changes to current interfaces.
D. Maintain communication with the external interface contacts.
E. Review and approve, if applicable, written recommendations for improvement by the Contractor.
F. Serve as primary contact with external system contacts for which an interface is needed to be developed or modified with the assistance of program area.

6.8 Batch Processes Maintenance and Operations

The Contractor must maintain, create, and manage/monitor all current and future batch jobs as needed during the life of the contract. Currently, CBMS has daily, weekly, monthly, quarterly, and annual batch jobs. These batch jobs must continue and should not be interrupted. Batch jobs specifications are located in Appendix I.

6.8.1 Contractor Responsibilities

A. Maintain and support any new or existing batch or online batch processing within State or federal prescribed time constraints.
B. Maintain existing batch schedules whether automated or manual.
C. Validate that all batch jobs are run successfully and completed on time.
D. Make corrections to batch jobs when necessary ensuring system degradation issues do not affect completion of the batch schedule or production initiation.
E. Evaluate current batch jobs for appropriate scheduling, timing and internal and external dependencies and provide recommendations for improvement.

6.8.2 Contractor Deliverables
A. A Daily Batch job report to include, at a minimum:
   (1) Successful batch jobs
   (2) Identification of any job(s) that failed to run successfully.
   (3) The reason(s) for the batch job failure.
   (4) A proposed solution and timeframe the solution could be deployed.
   (5) All activities required to rectify the batch failure.
   (6) A resolution to the batch job to prevent future failure(s).
   (7) A list of cases that are affected by the failure available upon State request.
B. An annual recommendations report for improvements on current batch jobs and processes.
C. Monthly Trending Report showing patterns of failure or disruption of batch processing.

6.8.3 Performance Measures:

Contractor performance will be measured based on batch job processing results, Contractor's timeliness in identifying, reporting and resolving Batch process issues and the accuracy and consistency of data reported in deliverables.

6.8.4 Monitoring:

Contractor performance will be monitored through review of deliverables, batch documentation, and compliance with approved processes and through the measurement of defects in production and in new code delivered to the State for testing.

6.8.5   State Responsibilities:

A. Designate a contact lead to answer questions and work with the Contractor to resolve issues surrounding this area of functionality.
B. Provide a list of existing batch jobs
C. Provide process documentation, schedules and timelines associated with each individual batch process.
D. Provide all batch job processing schedules and requirements as well as any associated configuration process documentation.
E. Review all deliverables.

6.9 Disaster Recovery and Business Continuity Plan

The Disaster Recovery Plan for CBMS, PEAK and all related applications governs roles, responsibilities, processes, and procedures for how to plan, manage, and execute backups, restores, disaster recovery processes, alternative site failover, and day-to-day operations. In addition, the IEEE standards for backup, restore, and disaster recovery objectives and processes must be referenced for the initial assessment and must be used throughout the life of the contract. Currently, information is being sent to the statewide disaster recovery facility utilizing the Symmetric Remote Data Facility (SRDF). The SRDF is an online, host-independent mirrored data solution that duplicates the production side data that is located at the statewide disaster recovery facility. Information is also required to be stored on backup tapes at a secure offsite storage provider.

6.9.1   Contractor Responsibilities:

A. Develop a Disaster Recovery Plan for CBMS, PEAK and all related applications that includes the following six main components:
   (1) Supporting Information including an introduction and concept of operations (system description, roles/responsibilities, and lines of succession).
   (2) Notification/activation phase including notification procedures, damage assessment, and plan activation.
   (3) Recovery phase, including sequence of recovery activities and recovery procedures.
   (4) Reconstitution phase including restore original site, test systems, and terminate operations.
   (5) Maintenance/testing including frequency of maintenance/testing and testing objectives with pass/fail criteria.
   (6) Plan appendices including contact information (personnel and Contractors), system requirements (hardware/software lists including models, versions, specifications, and quantities), Contractor service level agreements (SLAs), standard operating procedures (SOPs), and vital records.
B. The Disaster Recovery Plan should be written to support the following worst case scenarios:
   (1) Loss of Contractor worksite (including the identification of an alternate worksite for personnel).
   (2) Loss of Contractor staff (e.g. pandemic influenza).
   (3) Loss of critical system (equipment/software failure) which should include failover to the statewide disaster recovery facility.

C. Participate in the annual State disaster recovery exercise. The exercise takes place over several days. During the exercise, Contractor will be required:

    (1) Identify scope of exercise.
    (2) Identify exercise objectives including pass/fail criteria.
    (3) Identify roles/responsibilities.
    (4) Develop an exercise document that contains the above information.
    (5) Participate in the exercise.
    (6) Document exercise results/lessons learned.
    (7) Establish a formal off-site storage plan to ensure all critical information is stored at a secure offsite location. The Contractor may be required to identify the following:
    (8) Type of backups
    (9) Frequency of backups
    (10) Time of backups
    (11) Detailed records of data being backed up
    (12) When the backups are going off-site
    (13) To which state supported facility the backups are routed

6.9.2   Contractor Deliverables:

A. The Contractor must deliver the following items to the State through the life of the contract:
B. Disaster Recovery Plan Assessment
C. Disaster Recovery Development Deliverable
D. Failover/Disaster Recovery Test Plan
E. Disaster Recovery Plan Checklist
F. Identification of the disaster recovery team and contact list
G. Recovery operations process
H. Procedures for the establishment of an Alternate Site including: voice, data communication, mail, and support requirements.
I. Plans for replacement of computer equipment
J. Establishment of a system backup schedule
K. Procedures for storage and retrieval of software, data, documentation and vital records off-site.
L. Logistics of moving staff, data, documentation etc.

6.9.3   Performance Measures:

Performance will be measured based on verification that the disaster recovery plan is adequate to restore critical operations of the system in the case of an extended system outage.

6.9.4   Monitoring:

Through active participation in the disaster recovery testing and deliverable review, the State will monitor the Contractor's performance.

6.9.5   State Responsibilities:

A. Designate a State lead to work with the Contractor on all matters related to this task area.
B. Review and approve each deliverable as listed above.
C. Review and approve the Disaster Recovery Plan and Test Plan and will make recommendations if needed.

D. Verify the Disaster Recovery Plan is adequate to restore critical operations of the systems in the case of an extended system outage, and will also validate and approve the recovery operations procedures.

6.10   CBMS, PEAK and All Related Applications Continuous Improvement Plan

CBMS, PEAK and all related applications should be continuously evaluated and improved in accordance with the process outlined below. The State's desire is that any continuous improvement plan for CBMS, PEAK and all related applications is developed and maintained by a consistent team of system owners, stakeholders, designers and developers.

6.10.1   Contractor Responsibilities:

A. Provide information on current system functionality as well as provide input on the feasibility of business goals.
B. Continuously monitor advances in technology that may benefit the State if applied to CBMS or any of its related applications.
C. Provide recommendations for technologies that will advance the strategic goals of the State

6.10.2   Contractor Deliverables:

A System Roadmap updated annually that outlines the impact of changes implemented and suggests future changes to stay current on available technology used to deliver the services of CBMS and its related applications.

6.10.3   Performance Measures:

Contractor's performance will be measured based on the usefulness of suggestions proposed and their alignment with the strategic direction and available resources of the State.

6.10.4   Monitoring:

The State will review all suggestions proposed and compare them to technologies being applied in other state eligibility systems around the country.

6.10.5   State Responsibilities:

A. Review of all improvement services recommended
B. Approve any and all recommendations pursued by the State.
C. Request recommendations to improve on business processes and technical configuration.

6.11   CBMS Online Help (OLH) Operations Support and Maintenance

The State maintains and supports an Online Help (OLH) system that interfaces with the CBMS application, using a content management tool. The Contractor will be required to provide technical support to the State and its external stakeholders to ensure successful delivery and implementation of OLH content and updates.

6.11.1   Contractor Responsibilities:

A. Maintain existing functionality to ensure the CBMS application facilitates the necessary interface with the OLH system.
B. Document screen interactions and interdependencies including descriptions and guidelines for every field, button, icon, and drop down menu resulting from any new projects, modifications and/or enhancements to CBMS.
C. Provide information on interactions and interdependencies of all pages in the CBMS application including possible user impact.

D. Coordinate and communicate with the State to create accurate OLH content whenever content must be revised or enhanced.
E. Provide support to the OLH system using the State's content management tool (Robo Help).

6.11.2   Contractor Deliverables:

The implementation of OLH updates that coincide with the implementation of changes, modifications and enhancements to CBMS

6.11.3   Performance Measures:
A. Accurate and complete online help screens are available in the production environment.
B. Online help updates are deployed with the system changes they are tied to.

6.11.4   Monitoring:

The State will test online help functionality and availability during its User Acceptance Testing prior to the implementation of system changes and enhancements. The State will review online help production content for availability, accuracy and usability.

6.11.5   State Responsibilities:

A. Provide a primary contact to serve as a subject matter expert for online help.
B. Create, review, update and edit all content.
C. Provide content clarification and program regulations in order to align OLH with CBMS functionalities.
D. Test for online help availability and accuracy prior to implementation of system changes.
E. Provide all documentation associated with the CBMS OLH system, including OLH templates, OLH process materials, and reference materials.

6.12   Annual Project Release Plan

There are a number of Annual Projects that are required to be implemented each year. (See Appendix N) These projects are considered a maintenance function under the contract and will be provided at no additional cost to the State. Annual Projects are defined as required updates to the system on a regular basis. This includes changes such as the Cost of Living Adjustments (COLAs) and Maintenance of Effort (MOE). The expectation of the vendor is to assist implementing these projects so that they comply with State and Federal timelines; however, these projects follow the same SDLC milestones as regular projects.

The Annual Projects include, but are not limited to, the following:

- Social Security Administration (SSA) Cost of Living Adjustment (COLA).
- SSA's income and Medicare premium changes, plus all Human Services and Medical Programs include changes to income and eligibility factors in coordination with SSA COLA.
- Centers for Medicare and Medicaid Services (CMS) changes related to Medical Programs, such as adjustments to the Federal Poverty Level (FPL), income limits, resource amounts, and allowance updates
- Food and Nutrition Service (FNS) Thrifty Food Plan (TFP). The Project includes FNS's income and benefit amount changes. This Project can also include additional FNS changes such as, Standard Deduction change and Standard Utility Allowance change.
- Food Assistance (FA) Medical Standard Deduction (SMED). This project includes a Food Assistance Medical Standard Deduction amount update.

6.12.1   Contractor Responsibilities:

A. Develop project documentation as set forth in 2.21 above.
B. Provide system support to ensure records not affected by the Annual projects continue to receive correct benefits and/or services.
C. Perform required security activities such as backups, contingency planning and audits.
D. Monitoring of the update process without loss of current functionality.
E. Use the federal supplied files and/or state supplied changes to affect the update.
F. Provide an automated, dynamic method to track completed record updates and updated record exceptions.
G. Update Client Correspondence notifications, as required.
H. Process updated See SecttNIST for the changes and continuation of eligibility processing.
I. Maintain records based on State and Federal retention rules.
J. Allow a schedule change to the Annual update to accommodate State and/or Federal needs.

6.12.2   Contractor Deliverables:

Project documentation for annual projects consistent with those set forth in Section 6.25.

6.12.3   Performance Measures:

A. The primary measure of performance will be successful completion of the annual projects in the Production environment.
B. Contractor performance will be measured on Contractor's adherence to the State's Change Control Process, timeliness of project deliverables and the quality of the code delivered to meet the project requirements.
C. Code defects will be measured against lines of code changed and based on potential impact to client eligibility, benefit payments and user workload impact.
D. For changes to client-facing applications, defects will also be weighed based on the usefulness of the application by the client.

6.12.4   Monitoring:

Through active participation in the software development life cycle and the change process, the State will observe the Contractor's performance. Code quality will be measured through testing prior to deployment and defects found in production.

6.12.5   State Responsibilities:

A. Review and approve project deliverables.
B. Provide an Annual Project Work Plan.
C. Provide access to the Federal interface files that contain the changes.
D. Provide Business Requirements for each Annual Project.
E. Complete the updates to all the Reference Tables in support of the Annual Projects.
F. Provide text for the Client Correspondence notification.

6.13   PEAK and PEAK Pro Operations and Maintenance

The Contractor objective for PEAK is to ensure that PEAK and all related applications remain fully functional and continue to perform optimally while minimizing any detrimental impact to existing users, including citizens.

6.13.1   Contractor Responsibilities:

A. Maintain PEAK in Production and lower environments according to State and Federal requirements.

B. Maintain the existing web interfaces required to ensure PEAK functionality is operational between CBMS, Connect for Health Colorado, and any state and federal systems.

C. Provide adequate staff trained and experienced in use of the SalesForce platform to maintain, operate and enhance PEAK.

D. Operate and maintain PEAK environments at maximum efficiency to continue system operation and meet the needs of the State.

E. Monitoring of daily operation of PEAK and support functions to ensure PEAK is performing to State expectations.

F. Minimize PEAK unplanned downtime.

G. Work with the State to resolve any problems and/or defects associated with PEAK.

H. Notify the State when operational problems and/or defects occur, describing the nature of the problem, the expected impact on ongoing functions, a corrective action plan, and the expected time of problem resolution. These notifications shall be submitted according to the State defined process.

I. Develop, maintain, and provide access to performance statistics required by the State to monitor all system performance requirements and standards.

J. Maintain and update system and operations documentation including design standards and style guide when changes are made to the system(s).

K. Make written recommendations on any area in which the Contractor thinks improvement(s) can be made for PEAK.

L. Perform required security activities such as backups, contingency planning, and audits for PEAK as required by the State.

M. Develop enhancements to the existing platform as requested by the State.

N. Provide updates and changes to the existing Content Management functionality (PEAK online communications).

O. Manage maintenance activities through scheduled outages of PEAK.

P. Monitor and maintain all PEAK related web services.

Q. Maintain PEAK's Questions Spreadsheet (QSS), Reference Tables, Page Specifications, and Online Help documentation.

R. Provide annual recommendation for current and future technology.

6.13.2   Contractor Deliverables:

A. PEAK Project Plan that includes all changes to the system planned for the coming six months

B. PEAK Maintenance Plan that includes a schedule of patches, upgrades, configuration changes, licenses and certificate renewals, and regular maintenance planned for the coming six months.

C. Accurate and complete system documentation including PEAK design standards and style guide updated to coincide with deployment of changes to Production.

D. Report of system performance with graphics displaying performance measures for State-specified time periods.

E. Comprehensive report on explaining production performance that is less than the State's approved standards including any issues along with proposed resolutions.

F. For any and all changes to the production system, a playbook for all system changes that includes all steps necessary to ensure complete deployment and return to operational status including a back out plan. A draft must be submitted 2 weeks prior to scheduled builds with a final submitted 2 days before. For unscheduled builds, the playbook must be submitted no later than 3 hours prior to the build activities.

G. Annual Configuration Management Plan for PEAK.

H. Annual PEAK Performance Report.

6.13.3   Performance Measures:

Contractor performance will be measured on the Contractor's ability to maintain PEAK and system documentation to State and Federal requirements and to respond to system emergencies.

6.13.4   Monitoring:

Contractor performance will be monitored through review of deliverables, compliance with approved processes and through the measurement of defects in production and new code delivered to the State for testing.

6.13.5   State Responsibilities:

A. Provide a primary contact to serve as a subject matter expert for PEAK technical architecture.
B. Serve as a liaison between the Contractor and other State agencies, the State, and Federal agency representatives.
C. Review and approve any and all changes or modifications to PEAK.
D. Review and approve any recommendations for PEAK future technology and/or enhancements.
E. Provide critical system supplies and/or middleware.
F. Review and approve Contractor deliverables.

6.14   Mobile Applications Operations and Maintenance

The PEAKHealth application interfaces with CBMS in the same way as PEAK, but the features are limited to mobile friendly functionality. While the PEAKHealth application is currently the only downloadable application associated with the CBMS/PEAK project, the State expects that more mobile applications will be deployed as Departments develop and evolve mobile strategies based on specific program needs. As a result, the Contractor must be able to design, develop, implement, enhance and maintain a variety of mobile applications to keep them relevant and consistent with user expectations for mobile applications.

6.14.1   Contractor Responsibilities:

A. Create and provide a detailed mobile maintenance plan to be reviewed and approved by the State prior to implementation.
B. Adhere to the Mobile Application Style Guide approved by the State, outlining common language, linguistic nuances, and PEAK specific grammar to be used consistently throughout all CBMS-related mobile applications.
C. Assist the State in the creation and maintenance of the State's mobile application vision/roadmap that aligns with the vision/roadmap for PEAK.
D. Create and maintain a project plan outlining a detailed timeline for system maintenance and enhancements.
E. Resolve application defects and bugs.
F. Provide a root cause analysis and corrective action plan for any incident or circumstance where the mobile application is not accessible or functioning as designed with an impact on users.
G. Maintain the existing web interfaces required to ensure mobile applications functionality is operational between CBMS, Connect for Health Colorado, and any state and federal systems

(SSA, IEVS) used to determine real time eligibility or to allow for any future and existing manage "My Account" functionality.

H. Manage the changes needed to support federal and state regulations for PEAKHealth and any future mobile applications.
I. Generate and distribute monthly standard performance reports for the State.
J. Monitor PEAKHealth and any future mobile applications performance without loss to current functionality.
K. Provide security system data backup and support as necessary.

6.14.2   Contractor Deliverables:

A. Mobile Application Maintenance Plan
B. Design Standards
C. System status reports
D. Catastrophic Contingency Plan
E. Maintenance Communications Plan
F. Monthly System Reports
G. Monthly Quality Assurance Reports

6.14.3   Performance Measures:

Contractor Performance will be measured on the Contractor's ability to maintain mobile applications and documentation according to State and Federal requirements and to respond to system emergencies.

6.14.4   Monitoring:

Contractor performance will be monitored through review of deliverables, compliance with approved processes and through the measurement of defects in production and new code delivered to the State for testing.

6.14.5   State Responsibilities:

A. Provide a primary contact to serve as a subject matter expert for mobile applications.
B. Serve as a liaison between the Contractor and other State agencies, the State, and Federal agency representatives.
C. Review and approve any and all changes or modifications to mobile applications.
D. Review and approve any recommendations for mobile application future technology and/or enhancements.
E. Review and approve Contractor deliverables.

6.15   Electronic Document Management System

The Electronic Document Management System (EDMS) provides a method to upload, view and print documents from a central electronic repository of eligibility documentation. Currently, EDMS is on a Perceptive platform. The EDMS upload function is located in Colorado PEAK and allows for the upload by the applicant/client of required documents needed for eligibility determination. The uploaded documents are then available in CBMS for viewing and storage for the specific case and/or individual. The uploaded documents are also available in PEAK for the applicant/client to view.

EDMS documents are stored by a third-party contractor with connectivity to CBMS and PEAK.

Contractor must provide ongoing operations and maintenance support for the State's EDMS online upload process, and view capabilities in PEAK, while the same uploaded documents are to be available

to view and print in CBMS. The Contractor must maintain, create and manage all EDMS functions working in conjunction with the EDMS vendor.

6.15.1   Contractor Responsibilities:

A. Maintain and support any new or existing EDMS functions that are components of either CBMS or any of its related applications.
B. Manage CBMS changes or those requested for any related applications to support state and federal needs.
C. Ensure functionality in CBMS to access uploaded documents is available to CBMS users.
D. Support and maintain functionality to upload documents from a mobile device through PEAK.
E. Ensure CBMS is automatically updated with specific document types or verification sources when documents are uploaded via PEAK.
F. Provide secure access to uploaded documents to ensure confidentiality and privacy protection.
G. Provide problem and defect resolution of EDMS issues in a timely manner based on the SLA negotiated timeframe.

6.15.2   Contractor Deliverables:
A. Written documentation is to be submitted to the State for new and change updates to EDMS.
B. Provide analysis to the State on new or improved technology for advancement of EDMS.

6.15.3   Performance Measures:

Electronic Document Management System activities will be measured against Contractor Responsibilities and Contractor Deliverables assigned to this area.

6.15.4   Monitoring:

Contractor performance will be monitored through review of deliverables, compliance with approved processes and through the measurement of defects in production and in new code delivered to the State for testing.

6.15.5   State Responsibilities:
A. Provide a primary contact to serve as a subject matter expert for EDMS.
B. Serve as a liaison between the Contractor and other State agencies, the State, and Federal agency representatives.
C. Review and approve any and all changes or modifications to EDMS.
D. Review and approve any recommendations for EDMS future technology and/or enhancements.
E. Review and approve Contractor deliverables.

6.16   Shared Eligibility System (SES)

The Contractor will operate and maintain the SES including all current and future SES functions. The Contractor will also make enhancements or changes to the SES, as required by the State.

6.16.1   Contractor Responsibilities:

A. Design, develop and implement changes to SES to support State and Federal needs.
B. Monitor SES performance to ensure no loss of current functionality.

C. Conduct all activities in relation to the SES in a manner consistent with State-approved Change Control processes and using the approved SDLC methodology.
D. Provide ongoing system support to ensure the system functionality listed above is available and functioning correctly based on the approved design for CBMS/SES and PEAK.
E. Provide analysis on new or improved technology for the SES.
F. Maintain the functionality between CBMS, Connect for Health Colorado, and PEAK to allow for a shared eligibility determination through the SES.
G. Maintain the interfaces and integration between CBMS and related applications and Connect for Health Colorado including responsibilities for maintaining APTC, QHP, CSR & Catastrophic rules, eligibility, benefit calculations and client correspondence.
H. Coordinate testing in Connect for Health Colorado environments, including repointing and reconfiguring of test environments, staging of test data and general testing support.

6.16.2 Contractor Deliverables:

A. Project documentation required under the Integrated Change Process.
B. Written recommendations for enhancements to the existing platform.
C. Written recommendations that promote integration with Connect for Health and other systems.

6.16.3 Performance Measures:

Contractor Performance will be measured on the Contractor's ability to maintain SES and system documentation according to State and Federal requirements and to respond to emergencies.

6.16.4 Monitoring:

Contractor performance will be monitored through review of deliverables, compliance with approved processes and through the measurement of defects in production and in new code delivered to the State for testing.

6.16.5 State Responsibilities:

A. Provide a primary contact to serve as a subject matter expert for SES.
B. Review and approve deliverables outlined above.
C. Detail all State communications related to SES Communications Plan.
D. Review and validate all projects' testing results including automation test results.

6.17 Reporting and Data Analytics

The Contractor will provide ongoing operations and maintenance for Reporting and Data Analytics. For a list of current reports, see Appendix M.

6.17.1 Contractor Responsibilities:

A. Maintain reporting infrastructure that enables executives of the State to maintain effective control over program eligibility results.
B. Provide timely access to detailed annual budget summaries.
C. Maintain CBMS, PEAK and all related applications databases.
D. Maintain and update the existing extract, transform and load processes.
E. Maintain and update COGNOS business intelligence solution and reports.
F. Maintain and update existing reports and graphics associated with each report on a regular basis.

G. Maintain and make updates to CBMS data model and documentation for report parameters and designs for each report.
H. Operate the CBMS analytics with minimal disruption.
I. Conduct ongoing reporting optimization.
J. Provide knowledge transfer to the State on all database configuration activities and optimization activities.
K. Make recommendations to improve the Reporting configuration to the State.
L. Maintain system documentation in an approved State document repository. This includes report documentation with parameters and designs.
M. Maintain the existing functionality of the Report Production Process.
N. Provide maintenance of the COGNOS business intelligence tool set.
O. Deliver all reports on a variety of media and formats that would allow data to be reformatted or exported into other electronic formats including, but not limited to, CSV, PDF and Excel formats.
P. Monitor the CBMS report production to ensure that all reports, including copies, are readable, accurate, and delivered on schedule to the State.
Q. Ensure the accuracy of all newly developed reports, including, but not limited to, calculations and completeness of data used as input.
R. Maintain access to historical versions of pre-defined reports.
S. Maintain existing functionality for archive and retrieval of pre-defined reports.
T. Retrieve and restore archived reports as requested by the State.
U. Limit accessibility to reports and data according to security specifications dictated by the State.
V. Support interfaces to other internal or external DSS such as program specific DSS databases and off site DSS databases.
W. Add additional fields to the DSS at the request of the State at no additional cost.
X. Monitor COGNOS Production Services and report all errors and anomalies to the State.
Y. Provide State-defined extract files, on request, to the State to support special reporting needs within 5 business days of the date requested.
Z. Maintain the Logical/Physical Data Model
AA. Update and maintain the Analytics Operations Manual.
BB. Provide a schedule for all reporting maintenance activities to be reviewed and approved by the State.
CC. Provide Data Dictionary that maps access to all fields in every screen of CBMS, PEAK and related applications.

6.17.2   Contractor Deliverables:

A. Monthly Operations Status Report
B. User documentation updates as needed to the State for review and approval.
C. Case Management Data Report
D. Benefits Verification Report
E. Court Reports, both weekly and monthly
F. Administration Activity Report
G. Provide State-defined extract files, on request, to the State to support special reporting needs within 5 business days of the date requested

6.17.3   Performance Measures:

Reporting and Data Analytics will be measured based on the timeliness and accuracy of the reports provided. Federal reporting will be reviewed by the State based on requirements and Federal reporting standards. Data Dictionary should be updated whenever screens are modified/updated and must be accessible to all state CBMS staff.

6.17.4   Monitoring:

The State will review all reports and Data Analytics deliverables submitted by the Contractor to the State.

6.17.5   State Responsibilities:

A. Provide a State Subject Matter Expert to work with the Contractor.
B. Provide reporting templates and standards to the Contractor.
C. Review all reports and Data Analytics deliverables submitted by the Contractor to the State.
D. Approve the Data Analytics Operations Manual when updates and/or changes are made to the existing document.
E. Review and approve the Contractor planned maintenance schedule(s).
F. Request changes, modifications and enhancements to reports and reports functionality as set forth in Section 6.25.

6.18   HCPF Customer Call Center Maintenance and Support

The IVR and CRM technologies require ongoing operations and maintenance to troubleshoot system defects, address system changes due to new federal or state regulations and to implement system enhancements based on new innovations and new technology.

6.18.1   Contractor Responsibilities:

A. Perform enhancements to CRM and IVR systems.
B. Maintain and update information available from the CRM to PEAK.

6.18.2   Contractor Deliverables:
A. Project Training materials and knowledge transfer
B. Functionality Training (supervisors and/or end users)

6.18.3   Performance Measures:

Contractor Performance will be measured on the Contractor's ability to maintain and update information available to the CRM from PEAK.

6.18.4   Monitoring:

Contractor performance will be monitored through review of deliverables, compliance with approved processes and through the measurement of defects in production and new code delivered to the State for testing.

6.18.5   State Responsibilities:

A. Operate the call center,
B. Define data needs and
C. Set call center priorities.

6.19   Production Support

CBMS and related applications are supported by the OIT Service Desk including business processes that align with the current CBMS, PEAK and all related applications environment. The OIT Service Desk is the

first point of contact for the County and State users by email, phone, and self-service and provides critical links between the County and State users of IT hardware, software and system applications, and technical support when problems occur or questions arise. The CBMS/PEAK Support Team process starts with an issue related to CBMS/PEAK provided information technologies and ends with a resolution agreed upon by State approving authorities. A consistent process at the CBMS/PEAK Support Desk improves service levels and customer satisfaction by:

- Providing timely, quality, expert services to all customers.
- Providing immediate assistance and problem resolution, when possible, by accurately identifying the problem and providing pertinent information.
- Maximizing efficiency by streamlining processes and maintaining an accurate, current, and thorough knowledge base.
- Providing communication tools to assist the users with accurate ticket tracking, state- wide trend analysis, and scenario targeted troubleshooting techniques.
- The State uses CA Service Desk which provides a tool that is used to track all Help Desk Tickets (Incidents, Problems, Request and Change Orders). The Contractor must use CA Service Desk for this purpose.
- The OIT Service Desk operates from 7:00 am to 5:00 pm Monday through Friday. There is an after- hours escalation for CBMS outages outside the main operating hours. The Contractors will need to follow the State-provided escalation criteria.

The vendor will be held responsible for all defects, even if the defect was caused by a separate system change, as long as it can be proven that it goes against a documented system requirement. If there is no documented requirement to contradict how the system is functioning, then the HDT is resolved as Functioning as Designed. It is the responsibility of State to ensure that there will be no negative impact to the system based on the requirements defined to be implemented.

6.19.1   Contractor Responsibilities:

A. Work with the State to keep end-users informed of scheduled downtimes and other problems/outages.
B. Follow the defined OIT Service Desk Service Level Agreements.
C. Ticket management of the service desk incidents, requests, problems and change orders.
D. Respond to calls from the OIT Service Desk for Priority One issues occurring before 7:00 a.m. or after 5:00 p.m.   Monday through Friday, on Saturdays, on Sundays, and on holidays. The Contractor production support team must also be able to receive user calls and service desk tickets for normal processing during these times.
E. Receive and resolve CBMS/PEAK and related applications and environments system issues that are transferred to the Contractor production support team from the OIT Service Desk, CBMS/Peak Support Team and Program Area Teams.
F. Utilize the State's Service Desk system for recording tickets and researching and resolving issues.
G. Troubleshoot, update and resolve the service desk tickets. (Working with the appropriate teams to identify if a defect or functioning as designed)
H. Call end user back with the resolution of Priority 1 tickets. All other Priority tickets follow another flow.
I. Follow the OIT Service Desk processes, including the State Incident and Problem Management Process, Change Order Process, Major Incident Management Policy, Defect Management Process and Ticket Management procedures, available in Appendix O.

J. Identify Parent tickets for Priority 1 issues and notify the appropriate groups of the parent ticket. Also identify the impact of the issue and document in the ticket and notify the appropriate program area so they can determine how soon this needs to be fixed.

K. Provide thorough research and analysis on ticket resolution in detail and document the resolution explanation and description on the ticket record in Service Desk.

L. If an HDT is resolved without any defect updates, provide step-by-step explanation of the resolution.

M. Assist County and State staff with HDT resolution processes in order to streamline ticket resolutions.

N. Assist UAT and SIT testing effort by providing Knowledge Transfer when appropriate.

O. Work with the program policy staff to understand the policy regarding priority tickets.

P. Generate and provide weekly and monthly Help Desk Ticket Status Reports to the State. This report will include summary data on ticket resolution across locations, data by location (both omitting the names of employees at site of origin), and upon request, the tracking log for that month. Only the tracking log needs to retain employee names.

Q. Analyze Help Desk tickets to identify trends and report those findings to the State.

R. Contractor Help Desk personnel attend monthly meetings for information sharing with CBMS/PEAK Support Team.

S. Attend daily huddle meetings with the Tier II staff to identify any known issues coming in or updates on known issues.

T. Identify inefficiencies and service gaps and make recommendation based on the outcome.

U. Make recommendations to the State on current Help Desk business processes.

V. Complete change order data fixes if related to an incident within the target resolution timeframe or within 3 days if not associated with an incident.

W. Complete all COGNOS access requests within 3 days.

6.19.2   Contractor Deliverables:

A. Monthly Production Support status report.

B. Monthly Report of Defects identifying tickets and issues linked to code changes deployed to production.

C. Monthly Statistical Report showing age of tickets and average ticket turnaround times following any project implementation.

D. Monthly Help Desk Trends report with recommendations to address issues.

E. Weekly report of parent tickets created and known issues, with status of the ticket and impact to CBMS/PEAK.

6.19.3   Performance Measures:

The following key activities will be measured along with the deliverables:

A. Support for all issues arising during normal business hours.

B. Support for all issues that fall outside normal business days and respond to calls during this time within 15 minutes.

C. Work and resolve service desk priorities within the State specified time frames as defined in the SLAs or as otherwise specified by the State.

D. Work and resolve each change order ticket within the State specified time frames as defined in the SLAs or as otherwise specified by the State.

6.19.4   Monitoring:

Contractor performance will be monitored through review of deliverables, compliance with approved processes and through the measurement of defects in production.

6.19.5   State Responsibilities:

A. Provide knowledge transfer to the Contractor on the current OIT Incident Management processes and environments.
B. Provide access to the Help Desk software and reporting tools.
C. Manage and operate the OIT Service Desk.
D. Manage and operate the CBMS/PEAK Support Team.
E. Provide training on the Incident and Problem Management Process, Change Order Process, Major Incident Management Policy, Ticket Management, and any other State processes necessary to carry out the required responsibilities for this task.
F. Provide training on the State's Service Desk.
G. Review defects and prioritize tickets for resolution.
H. Review trends of Help Desk tickets and issues collaborating with Contractor on approaches to eliminate or reduce causes.

6.20   Document Management

The State uses a repository-based change and configuration management (CCM) solution called Perforce, to capture, store, and index system documentation created by both the State and the Contractor. This solution contains all technical, system, and other pertinent documentation including system code and utilizes navigation and query tools to retrieve existing documents.

6.20.1   Contractor Responsibilities:

A. Maintain the existing functionality of the current Document Management tool.
B. Provide resource estimates and recommendations related to improvements/enhancements to the software and/or the processes.
C. Utilize the existing repository for the storage of all CBMS documentation.
D. Browse and search capabilities shall be provided to permit users to easily locate specific information in the document repository.
E. Deliver original hardcopies of documentation upon request by the State.
F. Provide the State with access to maintain and store documentation, e.g., client correspondence templates.
G. Maintain all documentation indefinitely unless otherwise specified by the State.
H. Provide training on the Document Management tool to identified State staff as requested by the State.
I. Make written recommendations on any area in which the Contractor or State thinks improvements can be made.

6.20.2   Contractor Deliverables:

A. Project documentation required under section 6.25.
B. Build and Release Notes
C. Configuration Management documentation
D. Data Dictionary
E. Production Emergency documentation
F. Help Desk Features and documentation
G. Erwin Data Models
H. Page Specifications

I. System process documentation including all batch processes
J. Project Change Request(s)
K. Interface Workbooks
L. Reports and instructions
M. Web Services documentation
N. Rules documentation
O. Middleware documentation
P. Maintenance and Upgrade documentation
Q. Security documentation

6.20.3   Performance Measures:

Contractor performance will be measured based on content completeness, accuracy, and timeliness.

6.20.4   Monitoring

Through active review of documentation, the State will observe the Contractor's performance. Documentation accuracy and completeness will be measured through project testing prior to deployment and as determined by the State.

6.20.5   State Responsibilities:

A. Designate a contact lead to answer questions and work with the Contractor to resolve issues surrounding this area of functionality.
B. Store and maintain document templates in the Document Management tool.
C. Conduct ongoing audits of the Document Management tool content.
D. Provide information and training on what documentation should be maintained in the Document Management tool.
E. Provide guidelines for retention time frames for documentation.
F. Review and approve documents and provide written recommendations for improvements.

6.21   Communications

Currently, CBMS, PEAK and all related applications have an established Communications Management Process. This process is used to communicate changes, updates, outages, as well as enhancements deployed to CBMS, PEAK and all related applications. The Contractor must adhere to the established communications guidelines in order to deliver effective communications.

6.21.1   Contractor Responsibilities:

A. The Contractor shall ensure that all information provided is accurate and written to meet the needs of the State.
B. The Contractor shall provide project release information that is clear, concise, timely, and reflects the needs of the State.
C. Provide support to the State and users after every major release by monitoring activity, researching issues and answering questions related to the production functionality and performance.

6.21.2   Contractor Deliverables:

The Contractor must deliver to the State a Communications Management Plan and work with the State's communications team to get approval. The Communications Management Plan must include the following deliverables:

A. A Communication Management Plan to be reviewed and approved by the State.
B. Provide release notes and/or system functionality specifications to the Communications Management Team.
C. Release notes for Help Desk Ticket resolution(s).
D. Outage Schedules (UPA, Training environments, PEAK, CBMS and testing environments).

6.21.3   Performance Measures:

Performance measures for this key activity will be measured by the clear, concise, timely content that reflects the needs of the various audiences.

6.21.4   Monitoring:

Contractor performance will be monitored through review of deliverables and feedback from the intended audiences of the communication.

6.21.5   State Responsibilities:

A. Review and approve Communications Management Plan
B. Maintain a list of all projects on the work plan and scheduled for deployment.
C. The State will provide consistent communications with CBMS Stakeholders and end users based on the release notes, updates, and changes to CBMS, PEAK and all related applications.
D. Review and approve Help Desk Ticket resolutions to be deployed.
E. Provide templates and background material to the Contractor to provide context for communications.
F. Provide a State lead to answer questions and provide information on communications management processes.
G. Provide historical release notes for review.

6.22   Quality Assurance and Quality Control

Quality management reinforces the likelihood of project success. Quality management planning, quality control, quality assurance, and continuous process improvement must be viewed by the project team as an integral part of project execution and must be performed during the life of the project. Key activities related to Quality Assurance/Quality Control (QA/QC) must take place from project initiation to its close, and updates should be made to the processes as necessary.

6.22.1   Contractor Responsibilities:

A. Integrate QA/QC services into CBMS processes
B. Define and implement quality standards for all deliverables and test plans and check completeness of all deliverables and all test results.

6.22.2   Contractor Deliverables:

A. Quality Management Plan outlining the measures proposed or implemented to ensure or improve quality of service.
B. Quality Assessment procedures for reviewing deliverables associated with system change.
C. Detailed lists of entry and exit guidelines to consider when moving between phases in a project.
D. Lessons Learned Report submitted no later than 45 days after any major build outlining potential process improvements to improve quality in future builds.

6.22.3   Performance Measure:

The vendor's performance will be measured against the approved Plan. Once the plan has been reviewed and approved by the State the Plan will be used as a tool that, when the plans are followed, will allow for a timely, accurate implementation by the State and Contractor.

6.22.4   Monitoring:

The State will conduct monitoring against the performance and implementation of the Plan by reviewing the processes and reports, by periodic review of documentation and through the measurement of defects in production and in new code delivered to the State for testing.

6.22.5   State Responsibilities:

A. Review and approve the Plan and make recommendations if necessary.
B. Review Lessons Learned documentation.
C. Provide existing templates and Quality Assurance documentation.
D. The State will review, make recommendations and approve the process.

6.23   Software Testing and Software Development Test Plan

The Contractor must provide and maintain test environments for CBMS, PEAK and other related applications to include Integration Test, System Integration Test, Regression Test, Performance Test, and User Acceptance Test.

Currently, the State conducts all UAT activities and the Contractor will be responsible for coordinating all testing activities with UAT during test executions and certifications associated with any build and/or release to the production environments. The Contractor must follow all State testing processes and make recommendations to the UAT test manager as needed.

6.23.1   Contractor Responsibilities:

A. Provide and execute the following testing activities and testing results for CBMS, PEAK and other related applications:
   (1) Unit Testing
   (2) System Integration Testing (SIT)
   (3) Interface Testing
   (4) Automation Testing
   (5) Regression Testing
   (6) Load Testing
   (7) System Performance Testing
   (8) Security Testing and Interface Security Testing
B. Provide and maintain a living Test Plan that can be updated and modified throughout the life of the contract. This documentation must be aligned with the tasks and duties associated with test planning and test executions.
C. Provide ongoing communications on how to handle aging defects during testing
D. Provide a Defect Trend Reporting throughout each test cycle.

6.23.2   Contractor Deliverables:

A. List of test environments used
B. List of testing tools used by whom and how frequently
C. List of defect tracking tools
D. Method by which defects will be recorded, triaged, fixed and retested and the time frame for each phase of testing.
E. A detailed description of the roles and responsibilities of each Contractor test member (position) including skill level and familiarity with the software test life cycle prior to acceptance of contract.
F. Detailed roles and responsibilities of the Contractor test manager.
G. Requirements Traceability matrix of test scenarios to requirements prior to the start of SIT for each release. This must be approved by the State prior to the start of testing.
H. Detailed Test Report at the end of system test that will contain what was tested, how it was tested, scenarios written, executed or invalidated, defects raised and resolved.
I. Estimation guide for testing hours that outlines how system test effort is planned and estimated
J. Provide the following testing activities and submit the results to the State:
K. Weekly Defect Reports including priority of defect
L. Weekly Testing Status Report

6.23.3   Performance Measures:

A. A Detailed Test Plan will be delivered by the Contractor for each release (both major and minor) prior to code delivery to the system test environment.
B. Further the Contractor performance will be measured on the Contractor's ability to adhere to the Software Testing Life Cycle (STLC) timelines and the below factors:
C. Impact of requirements changes and defect management on STLC timelines.
D. Defect Age (time from defect confirmation to defect resolution).
E. Defect Trends (what types of defects consistently recur from one implementation to another).
F. Defect Density (number of defects prior to and post implementation).

6.23.4   Monitoring:

A. The State will have the option to monitor all defect meetings.
B. The State will also be responsible for monitoring all certification activities conducted by the Contractor prior to implementation.
C. The State will review and approve all Contractor Deliverables identified above

6.23.5   State Responsibility:

A. Provide a defect tracking tool, test management software package, automation tool, documentation repository, and defect triage priority guidelines.
B. Perform any/all User Acceptance Testing prior to deployment to Production.
C. Review and approve the Test Plan.

6.24   Risk and Issue Management

A Risk is an unknown circumstance or event that, if it occurs, may have a negative impact. An issue is the occurrence of a circumstance or event that will negatively impact any project, functionality, or the State in general.

6.24.1   Contractor Responsibilities:

A. Identify risks and/or issues related to specific projects, the maintenance and operation of the systems, applications and functionality covered by the contract, and to the overall CBMS program operated by the State.
B. Document risks and issues in the State approved risk tracking tool.
C. Notify the State when risks or issues are identified and documented.
D. Mitigate and/or eliminate risks assigned to the Contractor.

6.24.2   Contractor Deliverables:

A. For each risk or issue identified by the Contractor, the Contractor must provide the following:
(1) Risk description
(2) Trigger event
(3) Impact description and impact date
(4) Risk Response Plan and target resolution date
(5) Identification of associated risks or issues
(6) Resolution, if assigned to the Contractor
B. Comprehensive System Risk Management Plan as requested by the State
C. A periodic Risk Assessment report at an agreed upon schedule negotiated by the Contractor and the State.

6.24.3   Performance Measures:

The vendor's performance will be measured based on the Contractor's ability to mitigate risks assigned to the Contractor and to thoroughly document risks to inform the State.

6.24.4   Monitoring:

The State will conduct monitoring against the performance and risk mitigation by reviewing the processes and reports.

6.24.5   State Responsibilities:

A. Allow Contractor input into the prioritization of the risks and provide approvals of resolutions associated with the identified risk.
B. Review all identified risks

C. Approve Mitigation Plans provided by the Contractor
D. Provide the risk tracking tool (Clarity)
E. Review and approve Risk Plan
F. Review and approve Risk Assessment Report
G. Review Risk Tracking Logs on a weekly basis

6.25   CBMS Change Control Process

At a cost beyond the base maintenance and operations cost, the Contractor will be required to make changes, modifications or enhancements to existing functionality. The State does not consider this work to be a part of the operations and maintenance only in that it will be funded IN ADDITION to the cost for maintenance and operations.

The State has an Integrated Change Control Process in place for all changes and modifications to CBMS, PEAK and all related applications. (See Appendix P) The Contractor must adhere to this process and participate in discussions regarding possible improvements to the process. The State expects a volume of system and application changes to average out to roughly 40,000 vendor hours for each major release. Major releases are currently scheduled for one major release every three months or quarterly. The funding for these changes will be in addition to the base cost for maintenance and operations under this Statement of Work. The responsibilities outlined in this section will apply to any and all changes, modifications and enhancements made to existing functionality in CBMS, PEAK or any related systems as well as any new functionality requested by the State.

The State will request changes to the software requirements and specifications. During the course of ordinary business, at a minimum, Contractor shall provide a detailed outline of all work to be done, including tasks necessary to accomplish the additional services/deliverables, timeframes, listing of key personnel assigned, estimated hours for each individual per task, and a complete and detailed cost justification.

If anyone other than State-designated staff members requests or directs the Contractor to perform any services/deliverables that are outside the scope of the Contractor's responsibilities under the Contract ("New Work"), the Contractor must notify the State promptly before commencing performance of the requested activities it believes are New Work. If the Contractor fails to notify the State before commencing performance of the requested activities, any such activities performed before the Contractor gives notice shall be conclusively considered to be out of scope Services/Deliverables and not new work, and the Contractor shall not be compensated for such out-of-scope activities.

6.25.1   Contractor Responsibilities:

A. Adhere to the Integrated Change Process established by the State.
B. Make enhancements and modifications to the system as required by the State.
C. Provide business analysts to facilitate the elicitation of requirements and to draft Business Requirements documentation.
D. Provide an estimate of the level of Contractor effort required to design, develop and test the changes.
E. Provide a project plan setting forth project tasks and milestones along with a schedule and milestone dates to complete the project.
F. Facilitate Joint Application Design sessions, as needed or requested by the State.
G. Develop and submit a technical design which details the changes to be made to meet the business requirements. This design should also identify all system components and documentation which must be created, updated or changed and how that will be done to meet the business requirements.

H. Make the changes as set forth in the State-approved technical design.
I. Maintain the requirements traceability matrix which ties each requirement to specific testing scenarios.
J. Unit test all changes demonstrating successful development of the design.
K. System test all changes demonstrating successful integration of the design into the overall system functionality, meeting the business requirements without degrading of other system functionality. Specific requirements for System Testing are set forth in Section 6.23.
L. Prepare and maintain a requirements traceability matrix for each project to change, modify or enhance any functionality covered by this contract.
M. Conduct walkthroughs for project deliverables to confirm requirements have been met.

6.25.2   Contractor Deliverables:

A. For each project requested by the State, the Contractor will deliver:
   (1) Detailed Business Requirements document
   (2) Level of Effort based on the business requirements
   (3) Project plan and schedule of tasks and milestones
   (4) Technical Design documentation
   (5) New or revised system documentation based on the Technical Design
   (6) Certification of successful unit test
   (7) Certification of successful system integration test. Specific deliverables for System Testing are set forth in Section 6.23.

6.25.3   Performance Measures:

A. Contractor performance will be measured on Contractor's adherence to the State's Integrated Change Process, timeliness of project deliverables and the quality of the code delivered to meet the project requirements.
B. Code defects will be measured against lines of code changed and based on potential impact to client eligibility, benefit payments and user workload impact.
C. For changes to client-facing applications, defects will also be weighed based on the usefulness of the application by the client.

6.25.4   Monitoring:

Through active participation in the software development life cycle and the change process, the State will observe the Contractor's performance. Code quality will be measured through testing prior to deployment and defects found in production.

6.25.5   State Responsibilities:

A. Maintain, review, assess and modify the change process.
B. Provide high level business requirements for each requested change.
C. Participate in requirements elicitations to assist the Contractor in the development of the business requirements to be set forth in the Business Requirements documentation.
D. Approve the Business Requirements documentation prior to the start of any additional work by the Contractor on the project.
E. Approve the Technical Design proposed by the Contractor prior to the start of any development of that design.
F. Test changes certified by the Contractor after system integration testing as meeting the business requirements without degrading other system functionality.

G. Authorize all changes to the Production environment, Production system, Production application and functionality prior to deployment to a production state.

6.26   Release Management and Work Plan

Currently one major release is scheduled every three months or quarterly. In the intervening months, minor builds limited to technical projects are implemented. A work plan is required to track builds and manage major milestone deadlines. This plan is used by the State and the Contractor to plan workload and resources necessary for successful implementation of changes. The plan will include schedules for each component (e.g. CBMS, PEAK, Mobile App). Project plans will be maintained in the project management tool used by the State.

Throughout the software development lifecycle, there are four development pipes in use feeding into the various environments used to accomplish the tasks required during the lifecycle. Release management will require coordination and execution of builds to the lower environments as well as the need to connect the various environments with the C4HCO environments for joint testing.

6.26.1   Contractor Responsibilities:

A. The Contractor will be responsible for the creation of project plans including all lower environment builds, which, when compiled, will make up the overall work plan including major and minor releases for CBMS, PEAK and all related applications.
B. The Contractor must maintain and update all baselines and milestones in the project management tool used by the State until the projects are deployed into production.
C. If Contractor determines that schedules and/or task dates require modifications, the Contractor must get approval from the State prior to implementation of the adjustment and/or changes.

6.26.2   Contractor Deliverables:

A. Project plans which include:
   (1) Tasks
   (2) Subtasks
   (3) Duration
   (4) Resources
   (5) Milestones
   (6) Deliverables
   (7) Target Date for Milestones
   (8) Target Dates for Deliverables
   (9) Any other activity required for successful implementation of the project

6.26.3   Performance Measures:

The work plan responsibilities and deliverables will be measured based upon the volume of risks, defects and issues that result from release activities and the associated remediation activities implemented, consistent with the preceding sections to this document.

6.26.4   Monitoring:

The State will monitor schedule, budget and quality while working closely with the Contractor on all projects developed.

6.26.5   State Responsibilities:

A. Review and approve each project plan that will make up the work plan for all major and minor releases.
B. Make recommendations based on other project dependencies as well as Federal Annual projects that are required to be implemented on time.
C. Approve all emergency releases scheduled outside of the normal work plans.
D. Review and approve any and all modifications to the existing work plan(s) and make recommendations on schedule modifications.

6.27   Transformation Services

This service may be needed when business transformation requires improvements or upgrades to technology or functionality required to deliver services previously outlined. This task is intended to support the need to deploy new networks and services, streamline operations, business processes and improve the customer experience. The State will welcome recommendations that promote integration with Connect for Health and other systems. The Transformation Services should maximize the short and longer term benefits while minimizing disruption, risk and cost to the State.

CBMS uses business process models and concept of operations that align with and support MITA maturity goals, with future plan to implement Cloud Computing by the year of 2017. SHI Technology support will be required along with recommendations to the State regarding configuration and other aspects of this technology in order to effectively serve the citizens of Colorado.

6.27.1   Contractor Responsibilities:

A. Provide information on technology trends related to human service eligibility services and public assistance delivery.
B. Conduct cost benefit analysis on prospective new technologies for service delivery.
C. Propose new technologies, when appropriate, for evaluation by the State.

6.27.2   Contractor Deliverables:

A. Proposals for change which include the following information:
B. A description of the new business process and/or technology.
    (1) A thorough review and a detailed explanation of the process or technology and its application to Colorado.
    (2) A Cost and Benefits analysis.
    (3) Examples of the process or technology in use by other states or agencies.
    (4) An analysis of risks as well as a statement about the reason for recommendation.
    (5) A high level timeline with key milestones recommended for successful adoption of the proposed new process and/or technology.

6.27.3   Performance Measures:

The Contractor's performance will be measured on the details provided in any proposal, the alignment of the proposal with the State's strategic plan and the availability of additional information as requested by the State.

6.27.4   Monitoring:

The State will review proposals provided and may query the Contractor regarding new technology, requesting research and information.
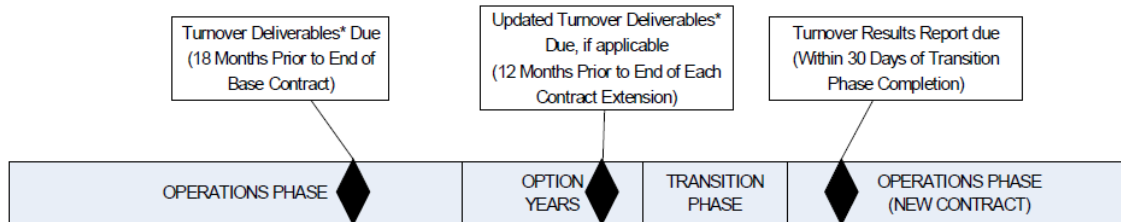
6.27.5   State Responsibilities:

A. Provide reasonable review and thoughtful consideration to Contractor proposals

B. Provide business requirements to be met by any new technologies.
C. Inform the Contractor of the State's strategic direction and technology goals.
D. Approve any and all work to be done to implement any proposal put forth by the Contractor prior to the initiation of project.

SECTION 7.0   TURNOVER PHASE

Prior to the end of the contract, the Contractor shall provide, at no extra charge, assistance in turning over the Contractor responsibilities to the State or its agent. The process of conducting this Turnover is the Transition process to the next Contractor or the State. The State seeks a low risk turnover that has no adverse effect on the State, County Departments, Medical Assistance Sites, Interface Partners, and other CBMS stakeholders.

The following subsections describe, in general terms, the operational responsibilities and performance expectations that the State has for Turnover activities.

7.1 Turnover

At least 18 months prior to the end of the base contract, the Contractor shall submit an initial Turnover Plan and Resource Requirements Statement and designate a staff person as turnover coordinator. The final turnover plan must be approved by the State within 12 months prior to the end of the base contract term. The Turnover Coordinator shall be located onsite in the Denver Metropolitan Area throughout the Turnover period. This individual shall have a Systems Analysis and Project Management background.

 7.1.1 Contractor Responsibilities:

  A. Develop and deliver a Turnover Plan to the State for review and approval. The plan will detail the approach and will include a project plan that defines tasks that must be accomplished to successfully turnover the maintenance and operation of CBMS, PEAK and all related applications to the State or its agent. The plan shall include the following items:
   (1) The approach to Turnover including an outline
   (2) Planned Contractor Transition activities including tasks and subtasks
   (3) Suggested Transition activities for the State or its agent
   (4) A Project Plan, including a schedule of events for Turnover, milestones, baseline and actual start and finish dates, and a task completion report related to the activities above.
   (5) Staffing level plan
   (6) Documentation update procedures to be adhered to during Turnover
  B. Develop and deliver a CBMS Turnover Resource Requirements Statement to the State, at no extra charge, that includes the resources that would be required by the State or another contractor to fully take over the Contractor functions of CBMS, PEAK and all related applications and shall include actual Contractor resources devoted to Contractor operations activities.
  C. The statement must also include an estimate of the number and type of personnel required to perform the other functions of CBMS, PEAK and all related applications. The statement

shall be separated by type of activity of the personnel, including, but not limited to the following categories:

(1) Systems analysts

(2) Systems programmers

(3) Programmer analysts

(4) Administrative staff

(5) Policy Specialists/Business Analysts

(6) Help Desk Support

(7) Database Administrators

(8) Managers

(9) Other support staff

D. Transfer to the State all data files and documentation pertaining to maintenance and operations of CBMS and its related applications and components.

E. Provide to the State or a successor contractor any other information requested by the State that the State determines is necessary to facilitate a smooth turnover. There is no proprietary information that the Contractor provides that cannot be used in future RFPs or contracts.

F. Turn over procedural and technical documentation for CBMS, PEAK and all related applications to the State, or at the State's option, a successor contractor, at no additional cost. This information includes all documentation, including user and other manuals needed to maintain CBMS, PEAK and all related applications.

G. Transfer responsibility of the operational CBMS to the State or its agent.

H. Provide training to the State or its designated agent with regards to the maintenance and operation activities performed by the Contractor on a schedule approved by the State.

I. Document completion and results of each step of the Turnover Plan.

J. Implement the Turnover Plan during the Turnover period at no additional cost to the State. The Turnover period is specifically a part of this contract or any extension thereof.

7.1.2   Contractor Deliverables:

A. Turnover Plan.

B. A Project Plan, including a schedule of events for Turnover, milestones, baseline and actual start and finish dates.

C. A Task completion report related to the activities above.

D. A Turnover Results Report following the turnover of operations. The final payment of this contract will hinge upon this requirement. This report must indicate the corrections to previously identified defects.

E. Develop and deliver a CBMS Turnover Resource Requirements Statement.

F. A completed list of software, any hardware, and other operating material used in the development, operations and maintenance of CBMS.

7.1.3   Performance Measures:

Contractor's performance will be measured based on the thoroughness, accuracy and completeness of knowledge transfer to the State or its agents, as well as Contractor's willingness to participate in problem solving and issue resolution during the Turnover period.

7.1.4   Monitoring

Through active participation in the Turnover activities, the State will monitor Contractor performance. Additionally, deliverables with be reviewed and assessed.

7.1.5   State Responsibilities:

A. Designate a contact lead to answer questions and work with the Contractor to resolve issues surrounding the turnover activities.
B. Review and approve the Turnover Plan submitted by the Contractor and provide feedback on areas where improvement is needed.
C. Review and approve the statement of staffing and resources that would be required to take over operations.
D. Direct the Contractor to initiate Turnover services.
E. Review and approve the Results Report and/or provide feedback on areas where improvement is needed.
F. Notify the Contractor of any State-identified malfunctions or defects. Anything submitted prior to the Contractor's relinquishing the code to the State or its agent is the responsibility of the Contractor and must be corrected. Defects that are generated by the Contractor are not the responsibility of any successor contractor.
G. Ensure that State staff or designated replacement Contractor staff is available to be trained in the operation and maintenance activities per the approved Turnover Plan.

7.2 Turnover Task Cost:

7.2.1   To ensure timely and complete support of the Turnover Task, during the final year of the monthly Operations Phase, payments shall be subject to withholding. Ten percent (10%) of the monthly operations invoice otherwise due shall be withheld. All withheld funds shall be released with final payment under the contract. Such withheld funds shall accrue no interest payable to the Contractor.

7.2.2   Failure of the Contractor to perform the required turnover task activities shall result in partial or full forfeiture of any amounts withheld. This action however, shall not preclude the State from seeking other remedies as available in this Contract.

SECTION 8.0   OFFEROR'S RESPONSE

8.1   Proposal Submission

Proposals shall be received on or before the Bid Submission Deadline as indicated on ColoradoVSS. Late proposals will not be accepted. It is the responsibility of Offeror to ensure that its proposal is received by the OIT Procurement Office on or before the Bid Submission Deadline. Offerors mailing their proposals shall allow sufficient mail delivery time to ensure receipt of their proposals by the Bid Submission Deadline.   All proposals submitted shall be "sealed"; i.e., package, envelope, box, etc.

Proposals shall be submitted in a sealed package with an appropriate label affixed. The label shall show the following information:

<div align="center">

Offeror's Name
RFP EGBA 2017000051
Proposal Due Date and Time

</div>

8.1.5 The proposal shall be signed in ink, preferably blue ink, by an officer of Offeror who is legally authorized to bind Offeror to the proposal. Proposals that are determined to be at a variance with this requirement may not be accepted. A Request for Proposals Signature Page has been provided.

8.1.6 Proprietary/confidential information shall be submitted in accordance with the Proprietary/Confidential Information section of this RFP. In addition, Offeror shall provide all proprietary/confidential information in its electronic response on a separate USB flash drive clearly marked as such.

8.2   Required Copies

The original hard copy in all cases is the official record and shall be used to resolve any differences. All electronic copies shall be provided in Microsoft Word or Microsoft Excel, where appropriate.

Offerors are required to submit:

a) One (1) original hardcopy of the Technical
b) One (1) original hardcopy of the Cost Proposal
c) Two (2) electronic copies (flash drives) that each contain the Technical Proposal and any optional proposals but NOT the Cost Proposal
d) Two (2) electronic copies (flash drive) containing the Cost Proposal

Awarded Offerors will be required to submit an electronic version of all solicitation documents, including but not limited to; original proposal, clarifications, oral presentation documentation, best and finals, etc.

8.3   Addressing Proposal Requirements (Offeror Responses)

The information within this section outlines specific information required in your response, which will assist in determining how well your agency will be able to meet the requirements set forth within the Proposal Requirements section of this RFP.

Offerors shall provide responses labeled with the RFP Section Number and the RFP Section / Sub-Section Name.

All Offerors shall respond to ALL portions of the following information and or related sections:

a) Signed RFP Signature Page

   I. Offeror shall acknowledge the requirement to submit a signed RFP Signature Page (as part of its RFP response) to be considered for this award. The State may accept an alternative signed document by a person legally authorized to bind Offeror to the proposal; acceptance is at the State's discretion. In any instance where this occurs, the State will require Offeror to submit a signed RFP Signature Page within 24 hours' notice.

b) **Executive Summary –** The Executive Summary should provide a summary of the proposed solution and highlight the contents of the Technical Proposal in such a way as to provide evaluators with a broad understanding of the entire Proposal. It should contain a concise overview summarizing the Offeror's understanding of the project, the qualifications of key personnel, and operational structure for handling the Contract responsibilities. The Offeror should emphasize the most important features offered by the proposed approach and methodology.

c) **Technical Proposal Response to Statement of Work –** Offeror shall respond to the requirements in Sections 5, 6 and 7 of this RFP in the order presented. Describe the general approach to meeting the Statement of Work requirements and provide specific requirement responses.

d) **Offeror Qualifications and Experience –** Offeror must present material describing its background and experience enabling the Offeror to successfully perform the Scope of Work identified in Sections 5, 6 and 7 of this RFP. This section should highlight specific details regarding current Contractual obligations, previous experience, and corporate resources. The Offeror must be able to substantiate to the satisfaction of the State that the Offeror has sufficient resources to complete the project successfully and meet the all agreed upon project milestones.

   I. Describe key personnel proposed for this Scope of Work and their experience. Offeror's may propose additional key personnel, but will only be evaluated on the key personnel identified by the State. Include a resume and no fewer than two (2) references per key personnel as an Attachment to the Technical Proposal.

e) **Approach to Colorado's Goals and Objectives (as described in Section 4) –** The Offeror shall describe its approach to modernizing the solutions over time to align with industry best practices.

   I. **Innovation -** As part of this section, the Offeror shall provide a response on the innovations that the Offeror believes the State should pursue to continue the modernization of CBMS, PEAK and their related applications. Offerors should include how such innovations would reduce the workload of county human services staff, the primary users of CBMS, and the impact to clients whose eligibility is determined therein.

Offerors should include how such innovations would take into consideration clients who apply and interact with CBMS through PEAK and related applications. Responses should address:

- Improving accessibility and usability for individuals with a disability;
- How a person-centered approach would be implemented by the Offeror;
- How interoperability with human services programs, including Aging and Adult Services programs, would increase client interactions with CBMS and positively impact client health outcomes, while reducing long-term health care costs.

The budget related to CBMS for FY 2016-17 is representative of the ongoing budget for future fiscal years to maintain, operate, and enhance the system and material deviations are not expected. As part of this response, the Contractor shall describe how the Offeror will work within these budgetary constraints, while providing innovations to the system.

II. **Seven Standards and Conditions –** The Offeror shall describe how it will apply the following Seven Standards and Conditions to modernizing CBMS, Peak, and supporting applications:

- Modularity
- Industry Standard Condition
- Leverage Condition
- Business Results Condition
- Reporting Condition
- Interoperability Condition

III. **Approach to meeting Rules and Regulations –** Offerors shall provide specifically identifiable responses for Section 4.0 Federal Regulatory Objectives and Requirements, including the following:

- Mechanized Claims Processing and Information Retrieval Systems (90/10) Final Rule (CMS 2392-F)
- RFP Sections 4.1.10 through 4.1.15. A comprehensive, combined response that addresses the laws and regulations listed in each section is preferred.
- RFP Section 4.2.1, 45 CFR Part 260 General TANF Provisions
- RFP Section 4.3.2.7, CFR 272.10 and 272.15 for SNAP Provisions
- RFP Sections 4.3.1 through 4.3.15. A comprehensive, combined response that addresses the laws and regulations listed in each section is preferred.

f) **Transition Plan** – Offeror shall provide a Transition Plan including key milestones and deliverables and approach to transition. This includes transitioning the necessary services, software, hardware, documentation, and knowledge from the Incumbent Contractor and ensuring operational readiness for transition of CBMS, PEAK and related systems operations and maintenance. The Offeror shall describe its approach for conducting knowledge transfer from the Incumbent Contractor to the Offeror, how the transition will be seamless to consumers, clients, and users, and how the Offeror will work with the State to demonstrate operational

readiness and the measures that will be in place to monitor final activities to ensure a seamless transition for CBMS, PEAK, and related systems stakeholders.

Further, the State will continue to require enhancements to CBMS, PEAK and related applications by the incumbent contractor through the transition period. Provide specific information on how the Offeror will provide sufficient staff and resources to successfully transition from the incumbent contractor with minimal impact on the work that must continue during the transition period.

g) **Governance Plan** – **CBMS** governance involves three primary agencies: OIT, DHS, and HCPF. Provide a narrative on how the vendor will balance the priorities of each agency, maintain open communications with each agency, and create transparency between all the agencies. Prior experience in governance models that involve multiple state agencies should be included in the Offeror's response to demonstrate experience in managing complex governance models.

h) **SLA Management** – Provide a response on how the Offeror would implement and manage the SLAs in Appendix G. The State will expect the Contractor to work jointly with the State, as a partner, throughout the contract, and to only use the SLAs and any corrective action for noncompliance with the SLAs as a contract management tool. The Offeror's response should provide detail on how the Offeror has met similar SLAs in the past, and how the Offeror would minimize the impact if any of the SLAs were not met to eliminate the need for the State to implement corrective actions.

i) **Other Responses** – The Offeror shall also respond to the following:

I. **Collaboration** – Provide a response providing information on the conferences and learning collaborative the Offerors attends and provides to its customers, relative to this RFP. The agencies expect the awarded Contractor will volunteer to actively participate in conferences with an Health IT focus that the agencies traditionally attend (e.g., Healthcare Information and Management Systems Society (HIMSS) Annual Conference, Medicaid Enterprise Systems Conference (MESC), Healthcare IT Connect, National Home and Community Based Services (HCBS) Conference) and request that the agencies participate with the Contractor in sessions at such conferences.

II. **Staff achievement and Recognition** – Provide information on how the Offeror might recognize and celebrate achievements for staff under this RFP. Response should include examples of Offeror's past practice in recognition of staff and accomplishments. A tenet of project management is to recognize and celebrate significant achievements that occur during the SDLC, as well as monthly, quarterly, and annual achievements. The State believes that joint recognition of both Contractor and State staff is vital to maintain employee morale.

III. **Staff Retention** – Provide information on the Offeror's employee retention rate, and the policies and practices the Offeror uses to retain qualified staff. Specifically, the Offeror should provide information on employee retention activities that it has developed and will employ under this contract to minimize turnover. In addition, the Offeror should provide detail on specific activities that should be integrated with the Offeror and the State can leverage to jointly increase employee satisfaction, to provide a work-life-balance, and retain qualified, productive employees.

j) **Response to any exceptions in the Model Contract (Attachment A)**

8.4   Optional Proposal Responses

8.4.1   Approach to Application Secure Hosted Infrastructure Management

During the life of the Contract, the State is planning to migrate CBMS to a Cloud Based Solution, which will be FedRAMP compliant. The State is considering two paths for the hosted platform, Infrastructure As A Service (IAAS) and Platform As A Services (PAAS). Any proposal should meet the following requirements.

a) Systems must reside in a FedRamp Certified Cloud.

b) Data exchange must be designed around a SOA architecture.

c) Service must meet the NIST definition of Cloud based services. http://nvlpubs.nist.gov/nistpubs/Legacy/SP/nistspecialpublication800-145.pdf

8.4.2 Offeror Response:

a) The Offeror will describe if providing a Cloud Based Solution is a core competency of the Offeror. In the event this service is not a core competency, identify possible sub-contractor entities the Offeror would consider to provide this service.

b) Describe the Offeror's approach to addressing the Cloud Based Solution, which will be FedRAMP compliant. Include a description of any specific framework or cloud based service the Offeror has a preference to work with.

c) Describe any potential risks and proposed mitigation plans associated with moving to a Cloud Based Solution, which will be FedRAMP compliant.

d) The State has set a standard for PAAS around Salesforce. Please describe experience with Salesforce or why another platform is better suited for CBMS System.

8.5   Approach to Vendor Hosted Solution

The State is interested in implementing a Vendor Hosted Solution for CBMS and related applications. At this time, the State is unable to provide detailed requirements in the RFP to move to a Vendor Hosted Solution.

If a Vendor Hosted Solution is agreed upon between the State and the Contractor, the Contractor will work with the State to gather technology requirements and finalize a hosting transition plan during the 1st year of the Contract. The execution of the transition plan to the Vendor Hosted Solution would not occur until the 2nd year of the Contract. The hosting transition plan would include cost estimates and tasks for transition and management of the Vendor Hosted Solution.

Under a Vendor Hosted Solution agreement, the Contractor would have access to the source code for CBMS and related applications and given license(s) to reuse/resell/share the code with other states and customers. If the State chooses to re-platform CBMS, the solutions would be modernized in a configurable manner so the resulting product could be re-used by other states.   The Contractor would also be responsible for software and hardware licensing. Further, the Contractor would be responsible for all file transfers and transactions with other systems, data storage and all security and privacy requirements.

The State shall retain the ability to transfer the intellectual property rights. If the Contractor sells or reuses CBMS to another state or customer, any resulting modifications or enhancements to CBMS may be leveraged or integrated by the State at a discounted cost. Further, the Vendor Hosted Solution would leverage the private market forces to advance CBMS and allow the Contractor to better leverage resources across states to implement future changes to CBMS.

8.5.1 Offeror Response:

a) The Offeror will describe if providing the Vendor Hosted Solution is a core competency of the Offeror. In the event this service is not a core competency, identify possible sub-contractor entities the Offeror would consider to provide this service.

b) Describe the Offeror's approach to addressing the Vendor Hosted Solution. Include a description if the Offeror has a preference for Infrastructure as a Service, Platform as a Service, or Managed Service Based solution.

c) Describe any potential risks and proposed mitigation plans associated with moving to a Vendor Hosted Solution.

 a. The Offeror's response shall address benefits and risks associated with having all the services under a single contract, and if having a single point of accountability for CBMS provides benefits to the state and how the Offeror would avoid any hidden costs to the State.

 b. The Offeror's response shall address how they would mitigate concerns that security and oversight of CBMS would become the responsibility of the Contractor, rather than solely the State's responsibility.

 c. The Offeror's responsible shall include potential SLAs that would hold the Contractor accountable under this solution.

d) Describe how this solution would enhance the State's ability to comply with CMS' Seven Standards and Conditions, the regulations specified in Section 4.1.

e) The State has a fixed budget for the operations and maintenance of CBMS. The Offeror shall provide options for the State to consider on how to transition to the Vendor Hosted Solution, and then maintain CBMS under this model, with no additional costs beyond the base contract provided under this RFP, CBMS pool hours, and state operations costs.

8.5.2 Approach to a PEAK and Related Systems Help-Desk

The Peak web portal has direct interaction with the Colorado citizen. The State has identified a need for a 24/7 service desk to work directly with the consumer/citizen for Peak-related questions/issues.

 8.5.2.1 Describe an approach to providing a comprehensive PEAK and related systems help desk, including the approach to being the first point of contact for County and State users. Additional information on the Help Desk Model can be found in Section 5 of this RFP.

 8.5.2.2 Describe the IT hardware, software and system applications, and technical support for the help desk. Describe experience interfacing and or using CA Service Desk. Describe

experience with other methods of citizen service such a chat, video, and artificial intelligence.

8.5.2.3 Describe the Offeror's current use of call tree and hot transfer phone routing as a service. Describe tools and work effort needed to deliver a multi-layer call tree for the PEAK citizen desk as well as hot transfer ability to state and non-state entities.

8.5.2.4 Describe the approach to prioritizing help desk inquiries and issues.

8.5.2.5 Describe the approach to resolving and reporting on help desk inquiries and issues.

8.5.2.6 Describe experience delivering government support services to Citizens directly.

8.5.2.7 Describe the metrics and SLAs needed to support a citizens facing support desk. Include examples from previous engagements.

8.5.2.8 Describe how System Help Desk delivery is a core competency of your organization.

8.6   Cost Proposal

Offerors shall segregate the portion of the proposal responding to the Cost Proposal in a separate sealed envelope. The maximum basic vendor maintenance and operations costs to maintain the system is $9,837,150.00 per year, which does not include project specific allocations to be used at the discretion of the State, as set forth in Section 6.25 (cost breakdown is listed below) or incentive payments for meeting all SLA's as set forth in Appendix G, which is set at an additional $960,000 on an annual basis. The Cost Proposal sheets in Attachment B outline the specific budget breakdown by year and by component, which shall be included in the Offeror's cost proposal. The cost proposal shall be evaluated as a total cost for maintenance and operations such that each year of the Contract must not exceed $9,837,150.00 per year.

As a component of the Cost Proposal, the State requires the Offeror to complete a rate card and identify an annual blended rate for services to modify and enhance the systems, as set forth in Section 6.25 under this RFP. The State will apply additional funding to that effort beyond the base maintenance and operations budget. Prior to the execution of a contract, the State will determine whether to apply the rate card or the blended rate for all modification and enhancements work performed by the Contractor. The funding anticipated for State Fiscal Year 2017 - 2018 and ongoing on an annual basis is as follows:

HCPF:	$5,480,000.00
HCPF Peak Health App:	$685,000.00
DHS:	$5,206,000.00
OIT:	$4,795,000.00
Counties Users Group:	$1,370,000.00
Special Project Development:	$711,515.00
Total Available Budget for Modifications and Enhancements:	$18,247,515.00

At this time, no budget has been defined for transition costs for the Offeror and may not be available at all. Funding for transition activities will be subject to appropriation. The Offeror may refer to information provided to the State Legislature through the OIT FY 2016-17 Budget Request, responses to the Joint Budget Committee (JBC), JBC Hearing recordings and the appropriation

from the Colorado General Assembly in preparing the response. As part of the cost proposal, as reflected in Attachment B, the Offeror shall include costs for transition Phase Deliverables. At this time, it is not known if this cost will be reimbursable, but should be incorporated into the Offeror's Cost Proposal.

8.7   Size and Content Quality

The State believes Offerors can submit a reasonably concise response that fully illustrates its proposed Solution. Therefore, the Offeror shall make every effort to limit the RFP response to 100 pages or less (this page count excludes the pages of the completed Technical and Business Requirements Tables submitted by Offeror in its response).

Do not include extensive artwork, unusual printing or binding, watermarks, or other materials, which do not enhance the utility or clarity of Offeror's proposal. General statements without supporting documentation are not encouraged. Documents shall be easy to copy/scan (no bound material, clips, etc.). Paper shall be white or extremely light paper without dark backgrounds. Enhance electronic images for pages with a poor image quality.

8.8   Proposal Organization

Offeror's proposal shall be submitted in a binder (3 ring binder preferred) with all material clearly labeled or such other organization that will facilitate the committee members' evaluation. Offerors shall respond to every item listed within Section 8 – Offeror Response Format and label its proposal with the corresponding number for each question or request for information.

8.9   Conflicts with Terms, Conditions, or Requirements

Offeror shall review the attached Model Contract and list any exceptions or confirm that no exceptions are taken to the Model Contract (Attachment A). Exceptions to the Model Contract shall be accompanied by alternative or substitute language, which would be acceptable to Offeror. Conflicts with stated requirements shall be noted in the corresponding paragraphs within Offeror's response format. Additional terms or conditions proposed by Offeror for consideration shall be provided with a reference to the corresponding paragraph of the Model Contract. References may direct reviewers to appendices within Offeror's response.

SECTION 9.0   PROPOSAL EVALUATION

An Evaluation Committee will judge the merit of proposals timely received in accordance with the criteria outlined in Offeror Response Format section of this RFP.

This section supplements paragraph 3.8, "Evaluation and Award," in the Colorado Solicitation Instructions/Terms and Conditions that are available through the link on ColoradoVSS.

9.1   Evaluation Process

The State will undertake an intensive, thorough, complete and fair evaluation process. All Offerors shall be afforded fair and equal treatment throughout the evaluation process.

9.2   Selection Committee

Each Selection Committee member will independently evaluate the merits of proposals received in accordance with the evaluation factors stated within this RFP, followed by discussion of the entire Selection Committee. The sole objective of the Selection Committee will be to recommend for award the proposal(s) determined most advantageous to the State.

9.3   Basis for Award

The purpose of this RFP is to solicit proposals for the goods/services specified herein. The requirements stated within this RFP represent the minimum performance requirements necessary for response as well as desired elements of performance. All proposals shall meet the mandatory minimum requirements established by this RFP to be eligible for award.

Evaluation and award will be based on the following factors, in decreasing order of importance:

1. Technical Proposal Response to the Statement of Work, Offeror's Qualifications and Experience and Transition Plan (not listed in order of importance);

2. Approach to Colorado's Goals and Objectives, SLA Management, Response to any exceptions in the Model Contract (Attachment A) and Cost; and

3. Governance Plan and Other Responses.

9.4   Evaluation Based on Initial Proposals

The State reserves the right to make an award(s) on receipt of initial proposals, so Offerors are encouraged to submit their most favorable proposal at the time established for receipt of proposals.

Proposals requiring major revision in order to be considered for any award, or otherwise not meeting the mandatory or other requirements required for further consideration as specified in this RFP, may be classified as unacceptable and ineligible for further consideration.

The technical aspects of proposals will be assessed based on the soundness of Offeror's approach and understanding of the requirements. Past experience/qualifications will be

assessed by considering the extent to which the qualifications, experience, and past performance are likely to foster successful, on-time performance. Technical and past experience assessments may include a judgment concerning the potential risk of unsuccessful or untimely performance, and the anticipated amount of State involvement necessary to insure timely, successful performance.

9.5   Competitive Range

The State may establish a competitive range ("Competitive Range") of Offerors whose proposals have been initially evaluated as most responsive to the requirements and reasonably susceptible of being selected for award.

9.6   Clarifications/Discussions

The State may conduct discussions with Offerors for the purpose of promoting understanding of the State's requirements and Offeror's proposal, clarifying requirements, and making adjustments in services to be performed and in prices and or rates. Offerors engaged in such discussions may be sent a list of questions and will be given a specified number of days in which to formulate and submit written responses to the questions and provide any related revisions to their initial proposals. The nature of the questions will be, generally, clarifying in nature and will permit related revisions to proposals. Such revisions will be at the option of Offeror, but will be limited to the guidelines set forth in the State's requested clarifications. No major changes will be permitted, nor will the State accept any additional written materials not relevant to the questions/clarifications requested. Clarifications/discussions may be limited to Offerors within the Competitive Range.

9.7   Presentations/Demonstrations

Offerors may be given an opportunity to provide an oral presentation or demonstration at the discretion of the State. The State reserves the right to select the site. During the presentation, Offeror shall provide specific responses to the questions posed to it and may also make a summary presentation of its proposal. The presentation shall include a description of how Offeror's revisions, if any, may have affected the overall nature of its offer as compared to the initial proposal. If the Evaluation Committee members believe it to be necessary, a question/answer period may follow.   Financial statements may be required at this stage of the evaluation. If requested provide a copy of the last certified, audited financial statements for your company. The State reserves the right to review financials only on the selected Offerors as a method of determining responsibility.

 Presentations/demonstrations may be limited to Offerors within the Competitive Range.

9.8   Best and Final Offers ("BAFO")

Adjustments may also be allowed in conjunction with clarifications, discussions, presentations and or demonstrations, but only to the extent such revisions are consistent within the proposal requirements. These revisions will be considered as best and final offers. Such adjustments shall be submitted in writing.

9.9   **Final Evaluations**

After completion of clarifications, presentations, and BAFOs, as may be required, the Evaluation Committee will re-consider the initial proposal ratings and may make any adjustments they believe to be warranted as a result of the additional information obtained.

9.10   **Award Recommendation**

Upon completion of the evaluation process, the Evaluation Committee will formulate a recommendation as to which proposal(s) is/are determined to be most advantageous to the State within available resources. A formal recommendation of the Evaluation Committee will be forwarded to the Executive Committee for review and approval.

9.11   **Notice of Intent to Award**

Upon approval of the recommendation, a Notice of Intent to Award will be published on ColoradoVSS. Upon issuance of the notice, all non-proprietary/confidential documents submitted by all Offerors, not just the awarded Offeror(s), shall become public records and will be available for inspection. The time period for consideration of any protest of the award decision will commence at this time. The Awarded Offeror(s) will be contacted by the State to complete post-award requirements.

9.12   **Adequacy and Completeness of Response**

In general, all aspects of a proposal will be evaluated based on its adequacy and completeness with regard to the information specified in the RFP; i.e., compliance with terms, conditions and other provisions contained in the RFP, as well as Offeror's ability to read and follow instructions. Failure of Offeror to provide the information required in this RFP may result in disqualification of the proposal. This responsibility belongs to Offerors.

9.13   **Contract Review**

Offerors shall review the attached Model Contract and list any exceptions or confirm that no exceptions are taken to the each contract. Any exceptions to the Model Contract shall be accompanied by alternative or substitute language which would be acceptable to Offeror. The State will review the proposal to ensure Offeror has not taken any exceptions which may be deemed unacceptable or exceptions to stated requirements which may be deemed unacceptable in meeting the needs of the State. Any exceptions taken could result in elimination of Offeror's proposal from further consideration, or result in delay or failure to execute a contract, whereby the State could terminate the award and commence negotiations with another Offeror. Exceptions to the State of Colorado Special Provisions, attached to the contract, will not be accepted.

Appendices

Appendix A   Governance Model

Appendix B   HCPF Customer Contact Center

Appendix C   PEAK and Connect for Health Colorado Process Flow

Appendix D   Architecture Documentation

Appendix E   Interfaces Documentation

Appendix F   Common Infrastructure Environment

Appendix G   Service Level Agreements

Appendix H   Batch Processes

Appendix I   COGNOS Reports List

Appendix J   Annual Project Scheduling Matrix

Appendix K   OIT Service Desk Processes and Procedures

Appendix L   Integrated Change Process

List of Attachments

Attachment A – OIT Model Contract
Attachment B – Cost Proposal Format
Attachment C – Glossary of Terms
Attachment D – Federal Procurement Clauses, January 14, 2014