

# RFP Evaluation: Detailed Score Report with Comments

Dental - FI

Proposer: All

Question Num: All

Evaluator: All

Team: All

Q Num	Proposal	Evaluator	Score	Comments
1	A	Eval1	2	TeamA

Proposer A provides an adequate response to demonstrate understanding of and commitment to establishing the environments necessary to perform System Testing, Acceptance Testing, and production, as well as other areas, such as Disaster Recovery, needed to test and operate the California Dental Medicaid Management Information System (CD-MMIS).

Proposer A's response includes a comprehensive, descriptive listing of all areas necessary to test, execute and operate the CD-MMIS. Proposer A proposes using testing methods which will be based on the International Software Testing Qualifications Board (ISTQB) body of knowledge, and includes narrative descriptions and detailed procedures that demonstrate a thorough understanding of the dynamic nature of the CD-MMIS and the different testing levels, associated environments, appropriate resources and controls needed to support the system. Proposer A's response recognizes the need to include both automated and manual processes in comprehensive testing.

Proposer A's response demonstrates thorough knowledge of the CD-MMIS Integrated Database Management System (IDMS), and the unique resources required to perform the tasks associated with managing it. Proposer A cites ten years of experience managing the database and application source code providing system database administrators (DBAs) and application support for project life-cycle phases. Additionally, response proposes utilizing a shared team structure with access to global database administrators and product support specialists that will provide system and application DBA support for project life-cycle phases, including database design, creation and maintenance of physical database structures, performance and tuning, catalog-based user identification (ID) maintenance, Application Development System/Online (ADS/O), support and migration, troubleshooting, on-call support, and application retirement.

Proposer A's response reflects understanding and working knowledge of the database used in the operation of the CD-MMIS and ten years of experience in supporting the application source code used to store, retrieve, and manipulate the data as required. Proposer A's experience has included monitoring of the database area and index capacity and volume, to prevent out-of-space errors.

1. Tab F. Work Plan; Subtab F.3 Exhibit A, Attachment III – Change Requirements; 4. Contractual Responsibilities
2. Tab K. System Test Plan; System Test Plan Approach (page K-3)
3. Tab P. Acceptance Testing Plan; Exhibit A, Attachment I – Acceptance Testing; Acceptance Test Plan

Q Num	Proposal	Evaluator	Score	Comments
1	A	Eval2	3	TeamA

The Proposer more than adequately described it's understanding of Department of Health Care Services (DHCS) needs and the importance of this project by detailing the necessity to perform Systems Testing, Acceptance Testing, and Production as well as other areas.

The Proposer states that they have veteran, knowledgeable Medicaid and Dental staff including project managers, system designers, programmers and database administrators to name a few. Proposer is supporting 20 Medicaid accounts across the country. Proposer understands the unique requirements to perform ongoing activities, including production and testing, technical support, adherence to DHCS' policy along with federal and State statutes and privacy and security requirements. Proposer has knowledge of Medi-Cal systems and operations with 20 years of experience after serving as the Medi-Cal fiscal agent for more than 20 years. Proposer also has more than 10 years' experience of collaborative subcontracting with California.

The Proposer understands that writing test documentation requires knowing how to use the application. The Proposer states that they will make sure testing documentation exists for each California Medicaid Management Information System (CD-MMIS) program, including a detailed test plan for each system change. The Proposer indicates that they will provide the following if they are selected as the contractor: detailed expected outcomes, copies of test data used, test results, parallel test results, retest and corrective action details, certification of completion of System Testing and reusable test cases. The Proposer understands that testing demonstrates the application works from a functional and performance perspective, and that the interfaces between the application function correctly.

The Proposer states that Acceptance Testing is planned between DHCS, Administrative Service Organization (ASO) and the Proposer's project teams. DHCS and the ASO are responsible for the execution of Acceptance Testing with support from the Proposer in the form of training, technical support, and functional support.

C Executive Summary C-2. F.3 Exhibit A Solution features page F.3-1. F.3 Exhibit A Overview page F.3-2. F.3 Exhibit A, 1 Overview page F.3-4. Exhibit A, Assumptions and Constraints page F.3-5. Exhibit A, Contractual Responsibilities, page F.3-8. K. System Test Plan; System Test Plan Approach K-2, P. Acceptance Testing Plan; Exhibit A, Attachment I, Acceptance Testing; Acceptance Test Plan, P-8

2	A	Eval1	3	TeamA
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Proposer A provides a more than adequate response demonstrating understanding of the effort required to build the IDMS used to store, retrieve and manipulate data for the Denti-Cal program. Proposer A's response provides an in-depth work plan reflecting a phased approach to installation of a new environment, migration of the mainframe to a new data center, migration of the data, and thorough testing. Appropriate work streams, such as data conversion and testing, are reflected in the phases of the Systems Development Life Cycle (SDLC) framework.

Proposer A's response demonstrates a thorough understanding of security policy and the requirements needed to protect the confidentiality, integrity, and availability of information that is created, processed, stored, and transmitted by the system. Proposer A provides a comprehensive plan which outlines the proposed physical and technical security safeguards for the CD-MMIS mainframe and non-mainframe subsystems. Proposer A indicates intent to establish an Information Security and Privacy Office (ISPO) with three dedicated staff, an Information Security Officer, Privacy Officer, and Security Risk Assessor, to oversee and be responsible for development of policies, procedures, and guidelines to ensure data security and protection. Proposer A's response describes mandatory annual training inclusive of information owners, data custodians, system administrators, operations staff, and security staff.

Proposer A's response reflects understanding of the volume of data and the time required to load, based on a ten year history of managing the CD-MMIS IDMS database and application source code.

Proposer A's response describes a Change Process which controls the receipt, distribution, management and delivery of all changes. Proposer A's process is described as consistent and repeatable, with tracking, monitoring and reporting capabilities and defined roles and responsibilities. Proposer A's response includes the integration of quality processes such as requiring a database plan, peer review and quality review for maintenance type updates/changes for daily operations to ensure the integrity of the database after the change is implemented.

Tab F. Work Plan; Subtab F.3 Exhibit A, Attachment III – Change Requirements; 4. Contractual Responsibilities

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Q Num	Proposal	Evaluator	Score	Comments
				<p>The Proposer response is more than adequate and they understand the effort required to build the Integrated Database Management System (IDMS).</p> <p>The Proposer states that they have 10 years of experience supporting the CD-MMIS and understand the unique resources that are necessary to support the IDMS. The Proposer has experience managing the CD-MMIS IDMS database and application source code used to store, retrieve, and manipulate the data as required. The Proposer states that their global IDMS database administrators and product support specialists, with decades of experience, support customer IDMS environments across various industries, including healthcare, government, manufacturing, and others.</p> <p>The Proposer states that they have knowledge of both the Denti-Cal systems and operations serving as the Systems Group (SG) to the current incumbent for more than 10 years. Proposer has been supporting California's health and human services programs such as Medi-Cal, Denti-Cal and the county Welfare Case Data System consortium, as well as other California programs for more than 30 years. Proposer's change request process will incorporate the Security Risk Assessment processes and testing at the appropriate steps. Proposer will create a detailed test plan to document how system changes will affect its associated systems. Proposer understands the unique requirements to perform ongoing activities and will provide sufficient resources to support SG activities, including monitoring and maintaining database capacity and volume and adherence to DHCS' policy, along with federal and State Statutes and regulations for Privacy and Security requirements.</p> <p>Volume 1, C. Executive Summary, C-2, C-6, F.3, Assumptions and Constraints, F.3-5, F.3-7, F.3-64, 4 Contractual requirements F.3-7-8</p>
3	A	Eval1	3	TeamA

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Proposer A provides a more than adequate response, providing a comprehensive plan that describes the on/off site hardware and equipment and the activities necessary for installation of the hardware and equipment to operate the CD-MMIS, including non-mainframe systems. Proposer A's draft Hardware and Equipment Acquisition and Installation (HEAI) Plan describes the Central Processing Units (CPUs), data storage devices, printers, terminals, key entry devices, telecommunications equipment, scanning equipment, and other data processing peripheral devices that will be procured, installed, hosted and maintained by the data center teams to support the CD-MMIS mainframe and non-mainframe systems. Proposer A's response includes the integrated detailed tasks necessary for configuring, testing, installing, and completing the process.

Proposer A provides a comprehensive high level plan for mainframe migration from the current environment to Proposer A's data center based on best practices, demonstrating effective planning, communication, and knowledge transfer. Approach focuses on disk to disk replication, early procurement of hardware and software with contingencies for potential delays of hardware, software or data access. Plan describes collaboration with Department of Health Care Services (DHCS), defining roles and responsibilities for participants, and defining the activities to plan the technical migration as well as post-migration roles and responsibilities needed. Proposer A's plan considers scope, assumptions, major milestone target dates, and software/hardware conversions required to support the migration. Appropriate testing processes are represented in the plan, such as running a Mock Phase to test the migration plans and ultimately running the installed CD-MMIS concurrent with the existing system before final cutover is approved.

Proposer A cites broad technical experience operating and maintaining large-scale Medicaid Management Information Systems (MMISs) that process more than 659 million claims annually, as well as knowledge of CD-MMIS's specific complexity due to advanced age. Proposer A's response indicates system hardware and software has been proposed based on volume ranges, user projections and performance levels provided in the Request for Proposal (RFP), industry hardware ratings for each class of hardware proposed and intimate knowledge of the current systems, their performance requirements, and their associated configurations. Proposer A proposes to host the CD-MMIS in Proposer A's data center, which is self-certified to meet the performance capability of Tier III level with 99.982 percent availability and "Concurrent Maintainability". Proposer A proposes to support midrange applications and Oracle database management systems using a cluster of six servers with 256 G of RAM and 16 cores, providing high availability to each application and the capacity to scale up or down quickly, as needed. Provider's document and image solutions are scaled according to the volumes listed in the RFP and allow for growth during the ten year storage period. Proposer A's network solution is designed with the ability to increase capacity while minimizing hardware replacements and downtime.

Response indicates Proposer A will verify to DHCS that the technology they deliver will have the scalable capability to establish and maintain operability if program expansions occur. Proposer A's response indicates that at contract commencement, Proposer A will validate the sizing and estimation drivers and make appropriate adjustments as necessary.

Tab F. Work Plan; Subtab F.1 Exhibit A, Attachment I – Takeover; 16. Hardware and Equipment Acquisition and Installation and 17. Software Installation

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Q Num	Proposal Evaluator	Score	Comments
			<p>The Proposer more than adequately meets the Department of Health Care Services' expectations.</p> <p>The Proposer has extensive experience working in California and understands the unique environment of this state. The Proposer has seasoned, knowledgeable Medicaid and Dental staff members and will increase the size of the staff to support the program. The Proposer understands that the CD-MMIS is a legacy mainframe system, and it requires a skill set specific to its complexity that many of today's developers and programmers might not have. The Proposer has over 10 years of experience supporting the CD-MMIS and has the resources to support the IDMS. The Proposer has established a process for maintenance-type updates and changes for daily operations that require a database plan and Quality Management (QM) review. The Proposer will verify the weekly processing, tracking, and status reporting of CD-MMIS changes using SharePoint to communicate to DHCS and the ASO contractor. The Proposer has experience managing the CD-MMIS database and application source codes to store, retrieve, and manipulate the data, and monitor the database area, index capacity, and volume. The Proposer describes their claim processing system and subsystem for administration, Operations, provider services and beneficiary services; however the Proposer does not detail how they will deal with the volume of claims, calls and other services.</p> <p>The Proposer states that they will augment the description for a specific hardware and equipment component if it will not be dedicated to CD-MMIS. The augmented information will include the amount of capacity available to support CD-MMIS and potential for expansion of that capacity for the purposes of CD-MMIS processing. The Proposer states that transformation activities bring mainframe operations to a highly scalable shared environment so DHCS can oversee economies of scale, and the Proposer can adjust capacity to meet business variances.</p> <p>The Proposer maintains an Information Technology (IT) asset repository of the hardware and equipment infrastructure assets. The Proposer states that their IT Asset Management system provides greater financial control, with significant costs savings, by tracking and reporting on data elements relating to ownership, status, age, and location of IT hardware and software assets. Managed assets include Central Processing Units (CPUs), data storage devices, printers, terminals, data entry devices, telecommunications equipment, scanning equipment, and other data processing peripheral devices.</p> <p>Volume 1, C, Executive Summary, C-2, F.2-88-90, F.3 Exhibit A, Overview, F.3-2, F.3-3, F.3-4, 4 Contractual Responsibilities, F.3-7, F.3-8, F. Work Plan; F.1 Exhibit A, Attachment I, Hardware Description, page 23,. F. Work Plan; F.1 Exhibit A, Attachment I Software Installation page 26, Attachment 1, Takeover, F.1-65</p>
4	A Eval1	3	TeamA

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Proposer A's response is more than adequate to demonstrate the infrastructure necessary to execute jobs, produce reports and backup data offsite. Proposer A proposes to host the mainframe operations in Proposer A's data center and provide the full complement of qualified staff to execute CD-MMIS jobs, produce reports and back up data offsite. Proposer A's response indicates Proposer A can provide alternate backup data center facilities with staff well versed in managing protected health information and other sensitive data.

Proposer A's response demonstrates strong knowledge of the CD-MMIS legacy system and an understanding of the required skill sets specific to its complexity. Proposer A's response indicates understanding of system operation and administration activities, which are included in the prices for scanned claim or TAR document processing and not separately billable. Response includes plans to utilize their internal Mainframe Services and Public Sector Infrastructure Technology Organization (ITO) Teams to operate and monitor the mainframe and midrange environments respectively.

Proposer A's response demonstrates commitment to provide appropriately skilled staff to support a comprehensive listing of operational activities to ensure system availability such as, completion of the daily, weekly, or monthly cycles, and database monitoring of space allocation and support of mainframe and non-mainframe test environments. Additionally, Proposer A proposes to upgrade and replace peripheral systems and tools to enable more focus on maintenance of the mainframe itself and to establish optimized mainframe and non-mainframe environments aligned to DHCS business requirements and improved performance.

Proposer does not reflect plans to subcontract the mainframe operations.

1. Tab F. Work Plan; Subtab F.3 Exhibit A, Attachment III – Change Requirements; 4. Contractual Responsibilities and 5. Systems Group  
 2. Tab N. Systems Group Procedures and Organization Plan; Systems Group Procedures and Organizational Plan Approach; Exhibit A, Attachment III – Change Requirements, Systems Group; 5. Systems Group

4	A	Eval2	3	TeamA
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Q Num	Proposal Evaluator	Score	Comments
			<p>The Proposers' experience with the processes, procedures and personnel is more than adequate to meet the DHCS requirements.</p> <p>The Proposer has seasoned, knowledgeable Medicaid and Dental staff members, including project managers, system designers, business analysts, programmers, testers, database administrators and technical writers. The Proposer also has support staff translating federal, State and program specific requirements into operation system changes for DHCS. The Proposer will increase the size of the staff to cover non-billable and indirect tasks to support the program. The Proposer has the personnel with the specific skill set to operate the CD-MMIS which is an older legacy mainframe system.</p> <p>The Proposer will maintain personnel for billable and non-billable activities, including direct and in-direct cost, and has a breakdown of personnel listed in the proposal. The Proposer has experience as a Fiscal Intermediary for the CD-MMIS system and includes decades of California healthcare experience, including implementing program-required system modifications and promoting uninterrupted daily operations. The Proposer has more than 10 years' experience supporting the CD-MMIS and understands the resources necessary to support the IDMS.</p> <p>The Proposer states that their team will provide system and application Doing Business As (DBA) support for project life-cycle phases, including database design, creation and maintenance of physical database structures, performance and tuning, catalog-based user ID maintenance, Application Development System (ADS) support and migration, troubleshooting, on-call support, and application retirement. The Proposer states their experience enables them to make sure the system is available, the daily, weekly, or monthly cycle is complete, and space is appropriately allocated and monitored so no users are affected.</p> <p>Volume 1, 1. Overview, F.3-2, F.3-3, 4 Contractual Responsibilities, F.3-7, F.3-8, 5 Systems Group F.3-19, Exhibit A, Attachment III, Change Requirements, Systems Group; 5. Systems Group, N-16,</p>
5	A Eval1	3	TeamA

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Proposer A's response is more than adequate to meet the organizational structure described in Exhibit A, Attachment III. Proposer A's proposed organizational structure for beginning of Contract Operations reflects a Systems Group (SG) team of 42 staff, at appropriate job classification levels for each resource type and with 60 percent at the senior level. Proposer A's response reflects an Enterprise Project Management Office (EPMO) with staffing of 7, including 4 certified project managers to provide project monitoring, management and oversight.

Proposer A's response indicates the EPMO will manage and track the work being performed using new software tools that provide dashboard views of metrics, enabling analysis and enhanced transparency and visibility into resource estimation and allocation for all changes.

Proposer A's response describes a collaborative approach to managing projects utilizing industry standard processes, with focus on appropriate communication strategies and adherence to an approved Information Technology (IT) project governance process.

1. Tab F. Work Plan; Subtab F.3 Exhibit A, Attachment III – Change Requirements; 5. Systems Group
2. Tab H. Project Personnel Plan; Project Personnel Plan Approach and Job Descriptions
3. Tab O. Enterprise Project Management Office Plan
4. Tab N. Systems Group Procedures and Organization Plan; Systems Group Procedures and Organizational Plan Approach; Work to be Performed
5. Tab N. Systems Group Procedures and Organization Plan; Exhibit A, Attachment III – Change Requirements; Systems Group Procedures and Organizational Plan Approach; Systems Group; 5. Systems Group

5	A	Eval2	3	TeamA
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Q Num	Proposal Evaluator	Score	Comments
			<p>The Proposer more than adequately demonstrates their experience as they have had 20 Medicaid accounts across the United States that includes seasoned and knowledgeable Medicaid and Dental staff including systems designers, project managers, programmers, and data managers, to name a few.</p> <p>The Proposer detailed 43 job roles (such as Systems Managers, Programmers and Database Administrators) and the number of resources dedicated to each classification. The Proposer lists 60 percent of SG staff as senior-level personnel. The Proposer listed the resumes of the proposed staff, including the Senior Management Team, Staff positions and Technical staff positions. The Proposer will track the project work metrics in four major areas; for example, deliverable milestones, project hours by phase/project, critical project implementation dates, and billable and non-billable hours. The Proposer will assign SG personnel with a staffing mix based on their expertise and knowledge of the business requirements of the project.</p> <p>The Proposer will establish the Enterprise Project Management Office (EPMO) to assess, control, track and report system changes implemented during the contract, including close collaboration with the SG and ASO. The Proposer has a draft Organizational and Personnel Acquisition Plan that includes a chart with the title of proposed positions, the number of personnel in each Takeover and Operations position and the full-time equivalent (FTE) staff time devoted to the project. The Proposer provides job descriptions for the classification used for executive/administrative/financial functions, privacy and information security, SG, infrastructure management, QM, and Operations.</p> <p>The Proposer understands the resource staffing mix needed to meet DHCS' business needs at a level to deliver efficient CD-MMIS support. The Proposer identifies the job roles and levels that will support the CD-MMIS throughout the contract, meeting the requirement that 60 percent of SG staff members are at senior-level.</p> <p>Volume 1, Exhibit A, 1. Overview F.3-2. Exhibit A, 5. Systems Group F.3 13-15,13-17, Volume 3, Appendix 4, Contractor Staff Resumes, page 1, Systems Group, F, 2., H. Project Personnel Plan; Project Personnel Plan Approach H-3, H. Project Personnel Plan; Job Descriptions H-41</p>
6	A Eval1	3	TeamA

Q Num	Proposal	Evaluator	Score	Comments
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Proposer A's response is more than adequate to demonstrate technically sound procedures, methods and approaches to providing ongoing monitoring and maintenance to ensure capacity and volume of database areas and indexes meets the needs of the CD-MMIS.

Proposer A proposes to leverage a shared team structure that utilizes global IDMS database administrators and product support specialists, with decades of experience supporting IDMS environments across various industries, to provide complete coverage of CD-MMIS without loss of continuity. Proposer A describes the team's support activities to include system and application DBA support, including database design, creation and maintenance of physical database structures, performance and tuning, catalog-based user ID maintenance, ADS/O support and migration, troubleshooting, on-call support, and application retirement. Proposer A's response indicates team will employ industry best practices to ensure work is completed safely and correctly, and ensure that the system is available, with appropriately allocated space, and monitored so no users are affected.

Proposer A proposes a process for maintenance-type updates and changes for daily operations that requires a database plan and peer review, as well as reviews by a project manager and Quality Management (QM) staff before changes are scheduled and completed.

Proposer A's proposed organizational structures for the SG and EPMS functions offer appropriate staffing blends for support of implementation and maintenance of change instruments throughout the life of the contract.

1. Tab F. Work Plan; Subtab F.3 Exhibit A, Attachment III – Change Requirements; 4. Contractual Responsibilities and Systems Group
2. Tab N. Systems Group Procedures and Organization Plan; Systems Group Procedures and Organizational Plan Approach

6	A	Eval2	3	TeamA
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Q Num	Proposal	Evaluator	Score	Comments
				<p>The Proposer has more than adequately illustrated their understanding of what is required having 10 plus years working with DHCS in the Denti-Cal program, and has demonstrated the ability to implement mandated changes promptly and efficiently.</p> <p>The Proposer has experience to support and manage the IDMS and application source code used to store, retrieve and manipulate the data as necessary. This includes monitoring of the database area and index capacity and volume to prevent spaced-out errors. Proposer has experience making sure the system is available, that the daily, weekly and monthly cycle is complete, and the space is appropriately allocated and monitored. The Proposer indicates that assignments of SG personnel will be based on their experience of the system and understanding of the business requirements. The Proposer understands the resource staffing mix needed to meet DHCS business needs to deliver efficient support of the system. The Proposer's staffing plan will include the number of staff members and their job classification level designation for each resource type that offers experience and expertise to the change instrument processes throughout the contract. The Proposer will maintain the combination of personnel appropriate for completing the work inclusive of management and clerical/administrative staff members.</p> <p>The Proposer acknowledges DHCS will use a single blended hourly rate for SG development personnel performing work on approved SG-billable tasks. The Proposer states they will verify that the tasks billed to DHCS will be those documented as SG-billable tasks. Indirect cost associated with SG-billed activities will be included in the SG hourly blended rate, regardless of the billing mechanism.</p> <p>Volume 1, Exhibit A, 4. Contractual Responsibilities, F.3-8, F.3-14-17, N. Systems Group Procedures and Organization Plan N-19</p>
7	A	Eval1	3	<p>TeamA</p> <p>Proposer A provides a more than adequate response demonstrating their approach and methodology to implement and provide the ongoing operational and maintenance support for all non-mainframe systems currently in place and those to be developed during the term of the contract, sufficient to meet contractual requirements.</p> <p>Proposer A's response provides a comprehensive plan which identifies and addresses the methodology to implement each non-mainframe system in place and those that are in process. Response affirms Proposer A's commitment to provide the ongoing operational and maintenance support for each of these non-mainframe systems, providing a hardware platform design based on the expected volume of data and the number of users.</p> <p>Proposer A's response describes a thorough understanding of the contractor-owned and State-owned workstations and the network infrastructure to which they are attached. Proposer A's response more than adequately addresses the maintenance activities required to support the network and systems and offers a comprehensive strategy for management of the process. Response indicates Proposer A will provide an on-site IT team to support workstations, hardware and the local network, utilizing an incident management system with appropriate problem escalation policies and procedures. Proposer A's response recognizes that multiple staff may be needed to troubleshoot and rectify problems to maintain acceptable levels of system outages and confirms that continuity and support for these components are to be provided at no incremental cost.</p> <p>Tab F. Work Plan; Subtab F.2 Exhibit A, Attachment II – Operations; I. Non-Mainframe Systems; 3. Assumptions and Considerations through 5. Contractor Network Support</p>

Q Num	Proposal	Evaluator	Score	Team	Comments
7	A	Eval2	3	TeamA	<p>The Proposer has more than adequately created a plan to implement or replace each of the non-mainframe systems on new hardware during Takeover, and will provide the ongoing operational and maintenance support for each non-mainframe system and will incorporate other non-mainframe systems as necessary.</p> <p>The Proposer will staff an on-site IT team to support workstations, hardware, and local network infrastructure owned by the Proposer. Proposer will assign multiple staff to troubleshoot and rectify problems using their incident management system and will maintain acceptable levels of operations during a system outage. The Proposer will make support available for the Department-owned workstations used by the State staff at Proposer facilities supporting the contract. The Proposer will always make available the network infrastructure to which the workstations are connected. A System Administrator will be stationed in Proposer facilities to support the networks and State staff. The Proposer lists Network Administration requirements of the CD-MMIS and the Proposer staff capable of meeting the ever-changing hardware and software needs of the CD-MMIS staff.</p> <p>Volume 1 F.2 Exhibit A, Attachment II, Operations, I. Non-Mainframe Systems 2. Objectives F.2-108. 4. Contractor System Maintenance Responsibilities F.2-114. 5. Contractor Network Support F.2-118-119</p>
8	A	Eval1	3	TeamA	

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Proposer A's response more than adequately describes their approach and methodology for implementing changes mandated by policy, regulation, statute, or judicial interpretation, or directed by DHCS. Proposer A's response describes utilizing industry standards for project management and system development, and recognizes the need for flexibility in application of the SDLC to address projects of various types, size and complexity. Proposer A describes a structured SDLC process featuring appropriate phased deliverables with accompanying stakeholder review and approval gates, with peer and team reviews of code taking place at appropriate steps in the process. Proposer A's response recognizes the dynamic nature of the CD-MMIS change environment, the need for strong IT project governance and transparency on projects throughout the contract.

Proposer A's response describes the establishment of the EPMO which will function as the central point of communication and coordination for all project schedules and for project resource management. Response describes the EPMO responsibilities to assess, control, track, and report system changes implemented during the contract period, working collaboratively with the SG and the Administrative Services Organization (ASO) contractor.

Response reflects understanding of the need for a formalized process to notify DHCS, ASO and all impacted parties of changes and/or amendments to be made to CD-MMIS. Response recognizes the key to a project's success is to have the affected parties "buy into" the changes early in the process and understand its full influence on their change in operations or processes. Proposer A proposes standard weekly meetings, walkthroughs and new software to facilitate project management and communication with DHCS and the ASO, enabling the ASO to provide communication, training, and education to beneficiaries and providers as appropriate.

1. Tab F. Work Plan; Subtab F.3 Exhibit A, Attachment III – Change Requirements; 5. Systems Group; 14. System Development Life Cycle (SDLC) Process and 15. SDLC Phase I

2. Tab N. Systems Group Procedures and Organization Plan; Systems Group Procedures and Organizational Plan Approach; Work to be Performed; Exhibit A, Attachment III – Change Requirements, Systems Group; 5. Systems Group

8	A	Eval2	3	TeamA
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Q Num	Proposal Evaluator	Score	Comments
			<p>The Proposer more than adequately understands the immediacy a policy, regulation, statute, or judicial interpretation may have on the operation of the CD-MMIS and will work with the Contracting Officer to verify the required system modifications are implemented and validated in the predefined time frame.</p> <p>The Proposer has 10 plus years working with DHCS in the Denti-Cal program and has demonstrated their willingness and ability to implement mandated changes promptly and efficiently. The Proposer will work with DHCS and with the ASO contractor to make sure everyone clearly understands the requirements for a requested change so it will be implemented correctly and efficiently. The Proposer's change request processes will incorporate Security Risk Assessment processes and testing at the appropriate steps. The Proposer will establish the EPMO to assess, control, track and report system changes implemented during the contract that require close collaboration with the SG and ASO contractor. The collaboration will include providing supporting data as part of the portfolio management and reporting activities as defined in the agreement. The Proposer will provide transparency into their SG processes.</p> <p>The oversight will allow DHCS to see the steps required in the change request process. The Proposer will also work with the ASO contractor to streamline the change process, such as deliverable review and approval timeframe.</p> <p>The Proposer understands that some processes in the system may need altering, with DHCS approval, because of the scope of the Systems Development Notice (SDN). The Proposer, when required, will perform the non-technical system development phases, including Project Definition and Analysis (PDA) and General Functional Requirements (GFR). The Proposer states that they will include QM team members for both the ASO and FI as they will need a strong understanding of the system change to prepare for and perform a successful timely acceptance test.</p> <p>The Proposer states that they have found that a customer's early and continued involvement in the SDLC, from the creation through the execution of the change, helps to improve the overall success rate and reduces the overall cost of the project.</p>
9	A Eval1	2	TeamA

Volume 1, F.3 Exhibit A F.3-5, F.3-13, F.3-17, F.55, F.57 N. System Group Procedures and Organization Plan N-20.

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Proposer A provides an adequate response describing the estimation tools, methodology, metrics and project control processes employed to support implementation of changes to the CD-MMIS.

Proposer A's response describes using a program and project management methodology, incorporating use of Commercial Off-The-Shelf (COTS) project management and estimation software tools to develop productivity metrics such as, time spent on tasks, staffing personnel deployed on tasks, and number of changes by subsystem. Dashboard features will allow tracking work metrics in four areas: deliverable milestones; project hours by phase/project; billable/non- billable hours; and critical implementation dates.

Proposer A's response reflects full integration of metrics into the SDLC process. Response reflects Proposer A's intent to load templates for CD-MMIS change instrument processes on the software, to gather metrics on work performance, to track, trend, and analyze data, and to provide reports of individual project status, cost, schedule, and progress.

Proposer A indicates the tools will facilitate review and comparison of the estimated versus actual hours and resource usage expended on a project, providing concrete data for analysis and documentation of lessons learned. Response indicates an emphasis on performance management and proposes to collaborate with DHCS and project leadership to define the performance goals for the CD-MMIS and obtain agreement on the metrics that will be used to measure and drive performance.

Proposer A's proposed staffing levels, functional responsibilities and qualifications are well defined and appropriate to support CD-MMIS change management responsibilities. Proposer A commits to maintaining the combination of personnel appropriate for completing the SG work, inclusive of management and clerical/administrative staff members.

Proposer A's response offers an appropriate management style utilizing the EPMO, promoting use of industry-wide project management best practices, supporting collaborative communication, transparency and IT project governance processes facilitated through the use of COTS tools.

1. Tab F. Work Plan; Subtab F.3 Exhibit A, Attachment III – Change Requirements; 5. Systems Group and 8. Establishment of Hours
2. Tab N. Systems Group Procedures and Organization Plan; Systems Group Procedures and Organizational Plan Approach; Exhibit A, Attachment III – Change Requirements, Systems Group; 5. Systems Group and 8. Establishment of Hours

9	A	Eval2	3	TeamA
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The Proposer more than adequately describes the processes to support implementation of changes to the CD-MMIS.

The Proposer, working with their EPMO, will use the SG ExcelerPlan Commercial off the Shelf (COTS) project estimation tool to estimate the level of SG work. The Proposer will directly communicate their estimated time, and assumptions and constraints that affect their decision making. The Proposer indicates that any project phase that exceeds the predetermined estimate will require the Proposer to submit justification for the hours above the initial estimate. The Proposer will respond within 10 state work days to any modifications of the project scope through a revised SDN or any cancellation of the project upon written notification from DHCS. The Proposer will stay within the estimated time but any time or costs that exceed the estimate will require a change process from DHCS. The Proposer's ExcelerPlan supports the project governance life cycle, including estimation and risk management. The tool also provides estimation of SDN cost in time, resources, and funds. The Proposer will use an Excel Workbook as the base for each estimate which is color coded for quick navigation and identification of items. The Proposer will review the results of each phase, and determine what could be done differently in future projects to minimize any disparities. The Proposer will use a program and project management methodology incorporating a comprehensive set of practices required to deliver large scale, customer-focused solutions.

The EPMO will automate processes for managing personnel along with assisting project managers in assigning personnel to tasks. The Proposer lists key leaders who will support DHCS if they are awarded a contract. This list includes personnel such as Executive Director, EPMO Director, Quality Management Director and Takeover Director, to name a few. The Proposer will use a structured project-management approach that provides clear standards, automated processes, and measured controls to manage staff for each project. The Proposer's project managers will assign work, communicate requirements, standards and deadlines, review deliverables and conduct team meetings, to name a few. The Proposer states that they will use MSPS, to gather metrics on work performance for maintenance and modifications. These metrics enable the Proposer's leadership to determine if personnel are adequately deployed and focused in the correct areas. The Proposer states that metrics regarding time spent on tasks, staffing personnel deployed on tasks, and number of changes by subsystem allows the Proposer to make decisions on realigning personnel. The Proposer states that while using the dashboard feature of MSPS they will track the project work metrics in four major areas. These areas, with examples, include: 1) Deliverable milestones—Specific Functional Design (SFD), Technical System Design (TSD), test plan, test results, user documentation, system documentation, program code, operations instructions, and post implementation; 2) Project hours by phase/project—Actual hours compared to approved hours tracking; 3) Critical project implementation dates—Monitoring defined tasks necessary to meet future dates; 4) Billable and non-billable hours—Accurate hours billed to the appropriate project with the correct billable or non-billable designation.

The Proposer states that they follow a controlled process for receiving, distributing, managing, and delivering changes. They use their repeatable and consistent change management process to track, monitor, and report a change. The Proposer states that consistency leads to quality support and maintenance of system environments, by having defined roles and responsibilities using the same change control and change management processes.

Volume 1 F.3 Exhibit A Attachment III, Operations 8. Establishment of Hours F.3-13, 3-47-49, H. Project Personnel Plan, H-2-34, E. Management Plan E-3, N. System Group Organization, N-16

10	A	Eval1	3	TeamA
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Proposer A provides a more than adequate response offering comprehensive and technically sound procedures, methods and approaches of Design, Development, and Implementation (DD&I) for all system/process changes to CD-MMIS within the phase and deliverable structure in accordance with the contract. Response indicates Proposer A's SDLC methodology supports the establishment of a mature software process and indicates intent to meet current industry standards for software development. Response indicates Proposer A will incorporate the defined standards and processes of DHCS' SDLC Phases I – IV into Proposer A's project management framework and software tool for use by the SG in completing system change requests.

Proposer A's response demonstrates a complete understanding of the EPMO's SDLC processes to be utilized for all CD-MMIS change processes including Miscellaneous Change Documents (MCDs) and Problem Statements. Proposer A's response provides the process flows for each change instrument that reflects appropriate participation and collaboration of the EPMO and ASO. Proposer A's response demonstrates understanding of the need for flexibility in application of the SDLC, to address projects and system changes of various types, size and complexity.

Proposer A demonstrates thorough understanding of the contract documentation standards, and proposes appropriate software to store and maintain electronic copies for easy access by DHCS and ASO staff. Proposer A describes a process with internal walkthroughs and discussions about program code modifications and documentation as part of the SDLC process, to ensure compliance with contract standards.

Proposer A's response demonstrates understanding of the purpose and application of deliverables to each SDLC phase for all appropriate change instruments, including those for MCD and Problem Statement. Provider A provides a more than adequate response describing the complete SDLC used for System Development Notices (SDNs) and the condensed SDLC process to be used for MCDs and Problem Statements, including the required deliverables, walkthroughs, listings of required elements and flowcharts.

Tab F. Work Plan; Subtab F.3 Exhibit A, Attachment III – Change Requirements; 13. Dental Operating Instruction Letter (DOIL); through 20. Problem Correction Procedures.

10	A	Eval2	3	TeamA
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Q Num	Proposal Evaluator	Score	Comments
			<p>The Proposer more than adequately describes comprehensive and sound procedures for system changes.</p> <p>The Proposer states that the Dental Operating Instruction Letters (DOIL) are the primary change instrument used most frequently by DHCS and typically involve CD-MMIS changes or Reference File updates.</p> <p>The Proposer, at a minimum, will employ SDLC methodologies that will meet the requirements for Capability Maturity Model Integration (CMMI) Level 3 or SO/IEC12207:2008. The Proposer understands Miscellaneous Change Document (MCD) projects are considered small projects requiring minor system changes or are used for tracking billable and non-billable hours associated with non-SDN. The Proposer's goal is to process MCD Notices/requests within 160 hours or less and is described in their proposal using four phases.</p> <p>The Proposer acknowledges that systems will occasionally have problems and that resolving problem statements (PS) quickly is important to make sure beneficiary care, provider payment, and DHCS users are not affected. DHCS or the Proposer will submit a PS to the EPMD who will identify the available staff and assign by appropriate resource type. The Proposer will then submit a Corrective Action Plan (CAP) that will include a PS number with a description, error cause description, testing description, general functional requirements and more.</p> <p>The Proposer indicates they will meet the Contract Documentation Standards for Deliverables using their SharePoint site to maintain electronic copies for easy access by DHCS and the ASO contractor. The Proposer can also submit a hard copy upon request to DHCS or the ASO. The Proposer will prepare and submit the documentation and modifications on a timely basis in the pre-approved format. The Proposer demonstrates an understanding of the purpose and deliverables of each phase as outlined in their responses by describing their processes for each of the 4 phases.</p>
11	A Eval1	3	<p>Volume 1, F.3 Exhibit A, Attachment III, 14. System Development Life Cycle F.3-52, F.3-54, F.3.55, F.3-56-76</p>
			TeamA

Q Num	Proposal Evaluator	Score	Comments
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Proposer A's response is more than adequate to demonstrate comprehensive and technically sound procedures, methods and processes for coordinating and conducting systems and acceptance testing activities for mainframe and non-mainframe systems. Proposer A's response describes comprehensive testing processes for all of CD-MMIS including mainframe components, existing and replaced non-mainframe components, and current versions of the manual, clerical, and operational procedures, including recovery. Proposer A describes a general strategy that is structured and disciplined, with appropriate focus on collaboration, early planning, clear lines of communication, traceability and tracking of requirements and progress reporting.

Proposer A describes a complete systems testing approach that includes both static and dynamic testing of a system component or a system in its entirety, and which can be applied consistently across all test levels to ensure quality and correct code execution in a production environment.

Proposer A's response reflects understanding of the interrelationships and functional dependencies between Acceptance Testing and End-to-End (E2E) testing, recognizing this testing will confirm the system load capability, business process human factor workload, system response time, and security controls. Proposer's response demonstrates understanding of E2E testing and its purpose to validate that the entire application satisfies previously established acceptance criteria and performs successfully as an integrated system.

Proposer A indicates plans to establish and maintain multiple environments to support CD-MMIS testing. Proposer describes the Acceptance Test environment will reflect the production environment and include all the testing data and system files necessary to support test cases.

Proposer A proposes utilizing a software tool that will provide the automated work-pattern for requirements analysis, management, and traceability, and serve as the complete and standard reference for the various aspects of testing. The tool will enable business analysts, developers, and testers to elaborate requirements, conduct testing, store test results, and review and prioritize defects, and will be available to DHCS, ASO and FI staff.

1. Tab K. System Test Plan; System Test Plan Approach; Parallel Testing Method; Exhibit A, Attachment I –System Test Plan; System Test Plan and System Test Plan Execution
2. Tab P. Acceptance Testing Plan; Acceptance Testing Plan Approach; Acceptance Testing Strategy, Methodology and Schedule; Exhibit A, Attachment I – Acceptance Testing; Support Acceptance Test Functions
3. Page 40 Draft EPMO Plan (Tools description).

11	A	Eval2	3	TeamA
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Q Num	Proposal	Evaluator	Score	Comments
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The Proposer more than adequately demonstrates an understanding of Acceptance Testing.

The Proposer has over 45 years of Medicaid experience, including 20 years of CA-MMIS, and 10 years as a SG subcontractor. The Proposer uses their project management tool, iTRACE, to provide DHCS a single source of the test documentation to support the Denti-Cal system. This tool allows the Proposer to deliver system test products, including test scenarios, test cases, test execution results, and issue documentation.

The Proposer describes elements for its Test Plan including the Test Environment and Design Requirements, changes to be tested, and expected results, to name a few. The Proposer indicates that they will produce individual test programs and a total test system that will verify the system test results. This will include Acceptance Testing, parallel tests of CD-MMIS and Treatment Authorization Requests (TAR) processing, a second Acceptance Test with a DHCS review, and validating control procedures, to name a few. On completion of testing the Proposer indicates that they will provide DHCS test results documentation, including deficiencies found and associated responsibilities. The Proposer states that they will work on a training plan to educate stakeholders and will complete this plan prior to Acceptance Testing. The Proposer will perform testing in the test environment with the support of DHCS and the ASO who will develop the test cases.

The Proposer will support the User Acceptance Testing (UAT) effort by providing functional and technical support for DHCS and ASO personnel for the creation and execution of test cases. This will include helping testers interpret the results of their test cases and with correction recommendations. The Proposer will also assist with coordinating test execution and managing defect tracking and resolution activities. Acceptance Testing will be conducted in a controlled environment separate from the other environments and will simulate the Production environment. The Proposer indicates that the End to End (E2E) test level will validate that the integrated components of their solution work together against an established set of test data.

Volume 2, System Test Plan, K-1, K-4, P. Acceptance Test Plan, P-3, P-12, Volume 1, F.3 Exhibit A, F.3-64. F.3-66-67

12 A Eval1 3 TeamA

Proposer A provides a more than adequate response offering a comprehensive and technically sound approach and method for extraction, migration, implementation and maintenance of the business rules resulting from the Business Rules Extraction (BRE) project.

Proposer A's response demonstrates complete understanding of the purpose of the BRE effort, recognizing the significance toward achieving a higher level of Medicaid Information Technology Architecture (MITA) maturity and supporting CD-MMIS's future migration to the California MMIS.

Proposer A's response describes a technically sound approach to identify business rules and the linkage and traceability between State policy business requirements, testing artifacts for those requirements and application system objects such as programs, jobs, reports, letter and panels. Proposer A provides a more than adequate approach to incorporate the business rules update process into the SDLC work streams for each change instrument requiring system changes.

12 A Eval2 3 TeamA

Tab Q. Business Rules Extraction; Business Rules Extraction Approach; Project Management Plan and Requirements Traceability Tool

Q Num	Proposal Evaluator	Score	Comments
			<p>The Proposer more than adequately understands the processes necessary to incorporate the requirements to complete the Business Requirements Document process.</p> <p>The Proposer recognizes that DHCS has embarked on a project to create a repository of business rules implemented by CD-MMIS that will be responsible for maintaining and updating the Business Rules Repository (BRR). The Proposer acknowledges that the extraction of the business rules will be instrumental for the dental program to remain intact when merging with the CD-MMIS. The Proposer indicates that they will use their EDGE process framework for the SDLC to manage the CD-MMIS expansion items including the BRR. This includes working with DHCS to migrate the production version of the BRR to the servers they install for the CD-MMIS project. The Proposer uses iTRACE as a standard part of the EDGE SDLC and indicates that it has been tested and honed during a dozen implementations, operations and maintenance operations. The methodology includes the following values and benefits for the BRR migration: proven process and standards for quality control, integrated project management plans, and work streams using the SDLC phases from start-up to close-down. During Takeover, the Proposer will work with a subcontractor and DHCS to migrate the production version of the BRR to the servers they install for the CD-MMIS project. The Proposer will assist DHCS users in re-mapping the user interface and any local report folders they may have already created for storing report outputs. As system changes are made during Takeover and into Operations, the Proposer will change the procedures to begin storing business rule updates directly in the business rules repository as change requests are completed. During the term of the new FI contract, the Proposer will keep the repository updated with complete, and accurate business rules.</p> <p>Volume 1, F.3 Exhibit A, Attachment III F.3-86-87, Volume 2 Q. Business Rules Extraction, Q-1-4, Q-7</p>
13	A	Eval1	3
TeamA			

Q Num	Proposal	Evaluator	Score	Comments
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Proposer A provides a more than adequate response to demonstrate ability to facilitate the reporting responsibilities as well as to ensure consistent application of requirements for all manual and automated CD-MMIS reports. Proposer A's response acknowledges the comprehensive reporting requirements and broad definition of reports described in the RFP. Proposer A asserts 10 years of experience provides them with demonstrated understanding of each of the general reporting responsibilities individually, and how they fit together under the contract. Response acknowledges understanding of the ASO's role and reflects Proposer A's commitment to actively collaborate with the ASO for production and verification of reports. Proposer A's response indicates writers and editors will be provided to efficiently make changes to report manuals to make sure the documentation in the manuals complies with the requirements as defined in the RFP.

Proposer A proposes improving access through a variety of tools which will provide user-friendly navigation aids such as point-and-click, drop-down box selections, and drag-and-drop icons, keyword or phrase search capabilities, role-based, secure user access, and version control for audit trail capability. Additionally, Proposer A proposes to improve the accessibility of online reports by organizing the reports based on how the reports will be accessed and used, with adjustments across time to continually meet the business need or improve the user experience. Proposer A offers a hosted solution in a robust, scalable environment, providing the ability to scale out if additional processing power is needed because of an increase in system users, without component replacement. The various reporting tools allow multiple users to extract and download several documents without affecting response times.

Response indicates Proposer A's staff will validate that report production is accurate, verifying report elements such as whether the report is consistent with design specifications and whether it balances and reconciles with associated reports with similar data. Proposer A describes utilizing a single integrated source of information to serve the needs of operational reporting, management and administrative reporting, surveillance and utilization review reporting, and ad hoc reporting. Proposer A asserts this "single source of truth" will provide for improved accuracy of reporting and will drive improved efficiencies throughout the organization. Proposer A indicates intent to work with ASO to develop and implement procedures and processes, (for example, checklists customized to various report types and media) for quality review of reports before delivery. Proposer A's response sufficiently addresses the report delivery process and tracking, including reports delivered within 25 miles of the state capitol.

Tab F. Work Plan; Subtab F.2 Exhibit A, Attachment II – Operations; O. General Reporting Requirements; 2. General Responsibilities through 9. Report Delivery (beginning page 248)

13	A	Eval2	3	TeamA
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Q Num	Proposal	Evaluator	Score	Comments
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The Proposer has a more than adequate understanding of reporting requirements.

The Proposer acknowledges that DHCS expects General Reporting Requirements of the proposal to help identify reporting responsibilities and confirm consistent application of requirements for the manual and automated CD-MMIS reports. The Proposer will use their Enterprise Output Solution (EOS) report tool to produce CD-MMIS-generated reports that will be available to DHCS online and will provide on-demand access whenever needed. Surveillance and Utilization Review Subsystem (S/URS) and Detailed Design Specifications (DDS) reports will be stored in pdf format and available in SharePoint folders and available through the Business Objects Library.

The Proposer will use SharePoint to allow users to search for documents, bookmark favorites and set alerts to receive notices of document changes and updates. The Proposer will make accessible anytime a database that contains an inventory list of the CD-MMIS mainframe and non-mainframe reports, including plans, research studies, assessments, reports generated by the DDS and internal reports through their SDLC tool, iTRACE. The Proposer understands that timeliness of reports is essential to CD-MMIS Operations and that timely report delivery is measured by receipt date of the report by the identified report user, and by the individual delivery times for each report, such as daily, weekly, monthly, bimonthly, quarterly and on-demand reports, etc.

The Proposer states that they will validate that report production is accurate by verifying the following six elements: Reports reflect CD-MMIS DDS and Documentation; reports balance internally; reports balance and reconcile; claims are edited; data is passed to reporting programs; and reports are produced using the most recent completed claims-processing cycle.

F.2 Attachment II, Operations F.2-248, F.2-254-255, F.2-265, F.2-267

14	A	Eval3	3	TeamB
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The Proposer adequately demonstrated its understanding of the Enterprise Project Management Office's purpose and responsibilities by drawing on its experience with 20 State's Medicaid implementations. Utilizing this experience the Proposer laid out an EPMO plan that encompasses staffing the EPMO with experienced Medicaid staff, use of integrated project management plans based on industry standards, a suite of tools which will provide tracking of projects, programs and operations on an enterprise wide basis, provide a single document repository, and provide for requirements analysis, management and traceability during Design, Development, and Implementation (DD&I). The Proposer's EPMO draft plan further demonstrates the Proposer's understanding and responsibilities through the inclusion of key EMPO elements such as Governance, Integration, Scope, Time, Quality, Test, Resource, Communications, Risk, Change Management, Cost, and Procurement planning.

(Volume 2, Tab O-Enterprise Project Management Plan, pages O-1, O-3,O-12) (Tab Draft EPMO Plan, Section C)

14	A	Eval4	3	TeamB
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Q Num	Proposal Evaluator	Score	Comments
			<p>The Proposer more than adequately demonstrates an understanding of the Enterprise Project Management Office's (EPMO) purpose and responsibilities. The below information comes from Exhibit A, Attachment II – Operations, unless otherwise noted or specified. Proposer A describes the purpose and responsibilities of the EPMO as broadly controlling the changes that constantly take place on large, complex projects. The Proposer explains that the EPMO will coordinate the management of the project to achieve the program's strategic benefits and objectives. The Proposer has significant experience in this arena currently.</p> <p>The Proposer explains that management of releases is a function of program management. This focuses on the systematic delivery of program business functional ability into the existing organization. The EPMO will be responsible for release management and report changes implemented for the life of the contract. The Proposer will coordinate and confirm changes mandated by the Contracting Officer because of statute, regulation, judicial interpretation, policy, or other Department initiatives.</p> <p>The Proposer provides a well thought-out overall governance structure to ensure cooperation between the Department of Health Care Services (DHCS), the EPMO and the Administrative Services Organization (ASO) contractor that allows for monitoring and transparency. The EPMO will provide a communications framework for the California Dental Medicaid Management Information System (CD-MMIS) changes to support the monitoring, tracking, reporting, and general communication needs of the stakeholders through the communication channels described in the Communication Management Plan. In addition to communication with the beneficiary population, Proposer A demonstrates a sophisticated understanding of the importance of communication with the provider community to increase participation among their peers and satisfaction among participating providers.</p> <p>Proposer A explains that the Provider Master File will be current, accessible to the ASO contractor, and accessible for lookup as needed. Proposer A will ensure that their management will allow DHCS and the ASO contractor to have the information needed to perform their tasks for enrollment, payment, and effective communications. The Proposer explains that they will support the ASO contractor in meeting all of its obligations demanded by the contract in efficiently managing provider data. Proposer A acknowledges that their piece of the organization is crucial to the ASO contractor's fulfillment of their responsibilities. This acknowledgement is crucial to prevent finger pointing and blame shifting when the contract is in effect.</p> <p>The Proposer explains that business and system requirements will be captured during Design, Development and Implementation (DDI) by using methods that have proven successful in more than 10 other states where the Proposer implements various parts of the Medicaid accounts. These methods include extensive training, and department review and approval of documentation and deliverables.</p> <p>Of note, Proposer A has monthly executive meetings with "the Directors or deputy directors of DHCS, Office Of Systems Integration (OSI), California Department of Social Services (CDSS), and the Chief Information Officer (CIO) of California" that Proposer A says they can use to "assist DHCS in sorting through cross-department or agency project issues." (Page F.2-364)</p>
15	A Eval3	2	TeamB

Q Num	Proposal	Evaluator	Score	Comments
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The Proposer demonstrated adequate knowledge and understanding of industry accepted best practices in Project Management to provide effective and efficient management of staff resources and the allocation of those resources to the entire portfolio of projects the Department assigns. The Proposer uses a project management framework that encompasses industry standards from Project Management Body of Knowledge (PMBOK), Institute of Electrical and Electronics Engineers (IEEE) #1058-1998, Capability Maturity Model Integration (CMMI) and best practices from Office of the California State Chief Information Officer (OCIO). The proposed EPMO staffs are Project Management Institute (PMI) certified and the proposed EPMO director has multi-state experience with leading and applying project management processes.

The Proposer will provide effective and efficient management of staff resources by using a central point of contact and coordination of resource management, the EPMO, and Microsoft Project Server (MSPS) for automation, tracking and support. The Proposer illustrates this by providing a pictorial, 'Resource Management Based on Demand', illustrating resource management, beginning with the demand coming into the EPMO and flowing through the resource management process where project constraints are aligned with the available resources within resource pools by skill set. The MSPS is shown as the foundation for the automated management of resources.

To efficiently allocate and utilize staff across the portfolio of projects, the Proposer's EPMO will use an employee resource pool where the employees are identified by their skillset. Employee information maintained in MSPS will be used by project managers for use in evaluating current and future resource needs based on project prioritization and anticipated projects, as well as, historical resource trends and current resource usage to prior resource predictions comparisons. Weekly reporting will be used to depict staffs assignment on prioritized projects and project availability of future resource needs.

(Volume 2, Tab O-Enterprise Project Management Plan, pages O-3, O-11, O45 and O46)

15	A	Eval4	3	TeamB
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Proposer A demonstrates a more than adequate knowledge and understanding of industry-accepted best practices in Project Management including how to efficiently manage staff resources and allocate and utilize staff across the portfolio of projects assigned by the Department. The Proposer has an EPMO Executive Director that has worked with the Department on a prior project and a Director who is in charge of seven project management leads. The seven project management leads serve as the framework for utilizing staff across the portfolio of projects. The Director has lead Medicaid projects in three states, including California. The executive staff is all Project Management Institute (PMI) certified and follows those specific guidelines to spread out work and priorities. Proposer A has developed a comprehensive methodology for organization of the project that allows for integration of Agile, Waterfall and project management procedures. The systematic nature of the system allows the ability to analyze, develop, test, and maintain software, applications, and integrated systems and processes. (Tab O Enterprise Project Management Office Plan)

16	A	Eval3	3	TeamB
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The Proposer adequately demonstrated the knowledge and understanding of the implementation of a formalized process to make changes and/or amendments to the California Dental Medicaid Management Information System (CD-MMIS) through the depiction of its use of a proprietary Healthcare Enterprise Enabling Delivery and Global Excellence (EDGE) System Development Life Cycle (SDLC) project management framework and SDLC process. The EDGE incorporates industry standards from PMBOK, IEEE Standards #1058-1988 and OCIO. The Proposer has used the EDGE to successfully implement Centers for Medicare and Medicaid Services-certified Medicaid Management Information Systems (MMIS) in 14 States. The Proposer will use MSPS and EDGE to manage changes throughout the project life cycle including documentation of changes. The Proposer will also use a change control board comprised of Department of Health Care Services (DHCS), the Administrative Services Organization (ASO) and the Proposer's EPMS in the management of change requests. Automated workflows will be developed by change type to meeting processing requirements and to collaborate with the DHCS and ASO.

(Volume 2, Tab O-Enterprise Project Management Plan, page O-7 through O-10, O19&O-20)

16	A	Eval4	2	TeamB
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The Proposer demonstrates an adequate knowledge and understanding of the implementation of a formalized process to make changes and/or amendments to the CD-MMIS. Proposer A expresses a high degree of confidence that they will be able to establish solid communication and cooperation across all levels of the Operations, including DHCS, ASO contractor and the Systems Group (SG). The Proposer explains that they have successfully taken over as the Fiscal Intermediary (FI) in Georgia and fixed some of the problems that the prior contractor had left. The joint communication channels that the Proposer would like to establish with the Department and the ASO contractor will facilitate timely communication and prompt deliverables. Proposer A provides for several processes to make changes and/or amendments to the system including Dental Operating Instruction Letters (DOILs), FI contractor letters, System Development Notices (SDNs), miscellaneous change documents (MCDs), change orders, and Problem Statements (PSs) from DHCS for changes or modifications to the system. (Exhibit A, Attachment II – Operations).

17	A	Eval1	3	TeamA
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Proposer A provides a more than adequate approach to accept, manage and store all documents and supporting attachments into the CD-MMIS. Response describes a web-enabled solution that provides desktop access to all contract documents and supporting attachments, both active and historical and those that need to be tracked and updated, such as provider manuals, system documentation, and formal correspondence between DHCS, the ASO and the Fiscal Intermediary (FI). Proposer A proposes to work collaboratively with DHCS and the ASO to develop the initial document folders, work flows and permissions/rules for the various document types, prior to migrating documents from the current system to the new solution. The proposed solution is flexible to allow changes to the organization of document folders as modifications are decided on in the future. Previously stored documents can be “unloaded,” organized to the new folder structure, and reloaded.

Proposer A’s solution provides capability to easily access any file type from any location and to search for documents using keywords or phrases in the title, in the document, or in the metadata. Solution also allows for linking documents, which is useful for associating multiple documents, such as SDNs or MCDs, to a single source document, such as a Dental Operating Instruction Letter (DOIL). Proposer A indicates solution facilitates creation of workflows for tracking and approval of documents, including correspondence, to support the new relationships between DHCS, FI and ASO established in the RFP. Proposer A indicates documents will be securely stored, protected, and archived or purged consistent with California records management policy and record retention requirements of the FI contract.

- 1. Tab F. Work Plan; Subtab F.2 Exhibit A, Attachment II – Operations; J. Document Management; 1.Overview through 5. Additional Responsibilities, (starts on page 125)
- 2. Tab F. Work Plan; Subtab F.1 Exhibit A, Attachment I – Takeover; 27. Document Management

17	A	Eval2	3	TeamA
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Q Num	Proposal Evaluator	Score	Comments
			<p>The Proposer more than adequately describes the Document Management process.</p> <p>The Proposer outlines a draft of their Document Management Plan for managing Medi-Cal Dental documents, such as Claim Documents, TARS, Notice of Action/Authorization (NOAs) and contract documents, such as correspondence between DHCS and the Proposer, User Manuals and System Documentation. The Proposer will use SharePoint as a portal entrance to access active and historical document types that may need updating, such as correspondence between DHCS, the ASO and the FI, etc., and lists the users and their roles and responsibilities associated with retrieval of documents. The Proposer states that SharePoint will have some of the following benefits: any file type can be captured; content is easily accessible; content easily searched; and content is securely stored, protected and archived/purged.</p> <p>The Proposer indicates that DHCS users will have direct access to any document or record they need from their desktop without having to log into an intermediary tool such as Citrix (a DHCS system). Users will have read and edit access, and select users will have content approval authorization. Proposer states that DHCS will have on-site access to each original, signed hardcopy formal correspondence related to the CD-MMIS contract during regular working hours. The Proposer states that each document type will have different rules on how they are to be managed. Documents such as provider manuals will need version control. Change requests from DHCS will require reviews and signoffs. A document draft awaiting content approval is in the "Pending" status. When an approver reviews the document and approves the content, it becomes available for viewing by users who have read permissions. SharePoint will facilitate each of the required workflows mentioned above.</p> <p>The Proposer states that SharePoint allows a full text search feature of the documents loaded in the libraries. They indicate that they will make sure the uploaded source code is searchable by keyword or phrase. They want to keep information remain current as changes are made to the production environment. The Proposer states, that if selected as the contractor, they will replace their current system with SharePoint which will deliver more user capabilities than DHCS has available today. SharePoint provides search capabilities, allowing users to search file attributes and full text within the documents with ease.</p> <p>Volume 1, Draft Document Management Plan, Page 6, Page 8, F.2 Exhibit A, Attachment II Operations, F.2-125-126, F.2-127, F.2-129, F.2-133, F.2-136, F.2-140, F.2-143</p>
18	A	Eval1	3 TeamA

Q Num	Proposal Evaluator	Score	Comments
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Proposer A's response reflects a more than adequate approach to accurately process all documents and supporting attachments into the CD-MMIS. Proposer A proposes a high-speed imaging solution coupled with a storage and retrieval solution to deliver document preparation, image capture, processing, and storage/retrieval capabilities. Proposer A proposes to use reliable, scalable software that will provide Optical Character Recognition/Intelligent Character Recognition (OCR/ICR) features to automatically capture the data on forms, such as claims/TARs, perform validation edits and audits, and route the data to the MMIS for processing. Proposer A's OCR/ ICR solution enables the ability to easily add or change complex logic that can be used to improve the quality of data extracted by validation rules including the use of external databases containing provider IDs, recipient IDs, and other existing index records. Proposer A's scanning solution is highly configurable to accommodate user-defined edits based at the document, page, or field level; users can configure each field to accept or exclude user-defined data type or format.

Proposer A indicates intent to implement diligent prescreening in the mailroom to ensure the images are clear and the form is acceptable for further processing, reducing the number of denied and suspended claims during the adjudication process.

Tab F. Work Plan; Subtab F.2 Exhibit A, Attachment II – Operations; K. Image Management System; 1. Overview through 2. Objectives, (begins on page 146)

18	A	Eval2	3	TeamA
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Q Num	Proposal	Evaluator	Score	Comments
				<p>The Proposer has a more than adequate understanding of processing documents and attachments in the CD-MMIS.</p> <p>The Proposer has experience in managing systems similar to CD-MMIS and its operations, including manual pre-screening, Optical Character Recognition (OCR), assignment of unique identifying numbers, and certifying new providers for Electronic Data Interchange (EDI) submission. The Proposer's Document Management Plan should guide the document management activities that must be performed. This plan provides the detailed processing requirements for daily incoming mail which includes claims, TARs, NOA's and correspondence, and includes the following: scanning procedures, mailroom and document preparation procedures, OCR and data entry procedures, assignment of Document Control Number (DCN) and indexing procedures. The Proposer understands that they are responsible to process claims, TARS, Resubmission Turnaround Documents (RTD), Claims Inquiry Forms (CIFs), appeals, provider correspondence, radiographs, supporting attachments, and other documents. The Proposer indicates that claims will adjudicate as completely as possible on the first pass through the CD-MMIS. Editing each claim as completely as possible during an edit cycle rather than ceasing the process when it encounters a failure prevents multiple resubmissions of the claim. Claims, TARs and claim inquiry forms are validated in the CD-MMIS by following the business rules in the reference files. The Proposer will prescreen and use a scanning process to facilitate clean images and accurate data for the CD-MMIS program. The Proposer will maintain a document tracking and control procedure through the entire document life cycle beginning with the receipt of the document for final payment. For hard copy documents each days' receipts are prepped, sorted, batched, and assigned the Julian date. The Proposer states that documents will be scanned and imaged, and the data captured in a system generated report that will compile the final counts.</p> <p>The Proposer states that, if successful in their bid, they will use a high-speed imaging solution coupled with a storage and retrieval solution that has been successful in other lines of their business. The Proposer states that their document imaging solution is divided into the following functional processes: document preparation; imaging process; radiographs; capturing process, image storage process; and image retrieval process.</p> <p>The Proposer states that, if selected as the winning contractor, they will implement the scanning of radiographs and orthotic models to support an electronic retrieval method for claims, TARS or NOA's. These documents will then link to the associated claim, TAR, or NOA record.</p> <p>The Proposer states that scanning only occurs after diligent pre-screening in the mailroom. Pre-screening of documents before scanning leads to higher rates of auto-adjudication after the data is captured and fed to the CD-MMIS. Pre-screening also leads to clearer images in the OnDemand repository. Their pre-screening processes will verify if the claim submitted is acceptable for further processing, thereby reducing the number of denied and suspended claims during the adjudication process.</p> <p>1. F. Work Plan; F.2 Exhibit A, Attachment II, Operations F.2-7, F.2.9, K. Image Management System; 1. Overview F.2-146-148, F.2-</p>
19	A	Eval1	3	TeamA

Q Num	Proposal	Evaluator	Score	Comments
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Proposer A's response offers more than adequate methods to track, record and report all activity for each document type from receipt through final payment to provide a complete audit trail and be in compliance with all contract reporting requirements. Proposer A demonstrates thorough understanding of the multiple document types accepted by CD-MMIS for processing. Response describes a sound process that begins with the receipt, identification, labeling and numbering of hard copy documents, to identify sequences and batches which enable tracking and balancing activities. Response indicates this and other information is used to monitor inventory and create audit trails for cycle time compliance. For Electronic Data Interchange (EDI) documents, Proposer A indicates their solution automatically generates solution control and balance reports for each day's submission. Proposer A's tracking solution for scanned and imaged documents is met through document indexing and content management capabilities and fully supports document retrieval and storage. In total, Proposer A's response ensures accessibility and accuracy of documents and demonstrates capacity to meet contract reporting requirements.

Tab F. Work Plan; Subtab F.2 Exhibit A, Attachment II – Operations; K. Image Management System; 1. Overview, (begins on page 146)

19	A	Eval2	2	TeamA
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The Proposer adequately summarized their methods to track, record and report activity for each document type through the process.

The Proposer states that they will maintain document tracking and control through the entire document life cycle, beginning with the receipt of documents to final payments. Tracking and balancing begin with labeling and numbering to identify sequences and batches. The Proposer will use document control numbers, reference numbers, and other identifying information to make sure the document control center locations balance input and output. The Proposer states they will create audit trails along the way to make sure DHCS can track claims activity from receipt to final adjudication and payment.

Their Claims Processing Plan will detail how the Proposer will achieve compliance to RFP requirements in the following areas: Claim and TAR processing; maintaining payment cycles; collaboration with the ASO contractor; maintaining CD-MMIS certification and compliance to State and federal regulations; and maintaining control of records.

1. F. Work Plan. F.2 Exhibit A, Attachment II. 1. Overview D. Claims Processing Subsystem F.2-55, K. Image Management System. Overview. F.2-148-149

20	A	Eval1	3	TeamA
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Q Num	Proposal Evaluator	Score	Comments
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Response more than adequately demonstrates Proposer A's ability to maintain the system to ensure that performance requirements (e.g. system uptime), and ongoing operations are executed on time and cycle times are being met. Response demonstrates Proposer A has thorough understanding of and a decade of experience with the CD-MMIS scope of work to be performed under the FI contract. Proposer A's response indicates current responsibility for duties outlined in the RFP today such as verifying the authorization of services and the reimbursement of providers. Proposer A proposes to implement proven methods to streamline mailroom functions, prescreening, scanning, data entry, suspense resolution, and claims processing through the use of new software tools and reliance on accurate auto adjudication processes.

Proposer A describes methods to maintain document control through strict balance procedures utilizing various control numbers for documents and location centers, with audit trails created along the way to validate and track claims activity. Proposer A's description demonstrates a sound approach to maintaining control from receipt to final payment.

Tab L. Claims/TARs Auto Adjudication Processing Plan; Exhibit A, Attachment II, Operations, Claims Processing Subsystem; 1. Overview; 2. Objectives and 5. Document Management Responsibilities

20	A	Eval2	3	TeamA
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Q Num	Proposal	Evaluator	Score	Comments
21	A	Eval1	3	TeamA

The Proposer more than adequately understands the performance and ongoing operations requirements.

The Proposer states that they understand the importance of timely processing of documents for the Medi-Cal Dental Program. The Proposer states they will support the ASO to verify claims documents and NOAs process within an average of 20 calendar days. The Proposer states that they will support this process by entering documents promptly and running the daily and weekly cycles to confirm that the CD-MMIS accurately reflects adjudicated claims and NOAs. Using daily and weekly cycles the Proposer states that they will work with the ASO in processing and final adjudication of 90 percent of claims and NOA records within 25 calendar days and 99 percent within 55 calendar days from receipt to rendering payment. The Proposer states that they will process priority documents within 7 calendar days of receipt of the request. The Proposer states they will monitor inventories throughout the day, looking at volume trends across time and adjust staff accordingly. The Proposer offers solutions to streamline mailroom functions, pre-screening, scanning, data entry, suspense resolution and claims processing based on previous knowledge and experience. The Proposer states they will automate many of the manual processes, update business rules and standardize data in compliance with State and federal requirements.

The Proposer states they will process claims, TARs and other documents according to DHCS policy and business rules. The Proposer states that they understand the current processes for submission and adjudication of claims. The Proposer understands that their role is to monitor, track and maintain the files for accurate and timely payment to the providers. The Proposer understands that their claims processing responsibilities include: confirm input is timely and accurately captured, maintain and apply DHCS-approved CD-MMIS edits and audits; batch process claims/NOAs; verify timely payment to providers in accordance with State/federal statutes and regulations; and batch process TARs according to program policy and procedures, etc.

The Proposer states that they will maintain document tracking and control through the entire document life cycle, beginning with the receipt of documents to final payments. Tracking and balancing begin with labeling and numbering to identify sequences and batches. The Proposer will use DCN's, reference numbers, and other identifying information to make sure the document control center locations balance input and output. The Proposer states they will create audit trails along the way to make sure DHCS can track claims activity from receipt to final adjudication and payment.

The Proposer states that they understand the contract performance requirements related to Claims Processing. The Proposer states that they also understand how the ASO and FI have interdependencies to perform to specific requirements.

The Proposer, if selected, will use their software-as-a-service (SaaS) EDI Cloud Shared Translator for EDI-submitted transactions and their document imaging and capture system for hard copy document processing. The Proposer states that both methods are supported by thoroughly trained and experienced staff to provide timely and accurate processing of documents.

1. Tab L. Claims/TARs Auto Adjudication Processing Plan L.2., L.10, L.13, L.24, 19. Cycle Time Requirements L-58-60, F.2 Exhibit A, Attachment II, Operations, Components F.2-10. K. Image Management System. Overview. F.2-148-149

Q Num	Proposal	Evaluator	Score	Comments
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Response more than adequately demonstrates Proposer A's ability to maintain the system to ensure performance requirements are met and demonstrates a thorough understanding of edit and audit processes. Proposer A's response accurately describes the edit and audit process, recognizing that business rules in the Reference File subsystem control the hierarchy for the edit categories, the sequence they will follow, and pricing information needed for final adjudication. Proposer A describes a sound transition approach, maintaining stability in the CD-MMIS while bringing in modernized tools to assist in getting the data captured and into the MMIS for processing of claims, Treatment Authorization Requests (TARs), and other documents according to DHCS policy and business rules.

Proposer A demonstrates complete understanding of the Recipient, Provider, Procedure and Surveillance and Utilization Review (S/UR) subsystem edit criteria, recognizing that the edit processes and procedures will validate that payment is made for covered benefits to eligible providers serving eligible beneficiaries in an authorized place of business. Response accurately depicts how eligibility data is used to provide benefits unique to each beneficiary eligibility program. Response demonstrates understanding of the Provider Master File (PMF) and its use in claims processing to apply provider-specific rules to claims payments and withholds. Proposer A proposes to deliver an innovative S/UR module solution that will be integrated into the Decision Support System enabling timely, direct access to detailed claims and encounter data for identification of possible fraud, waste, and abuse.

Proposer A's response demonstrates thorough understanding of the History Crosscheck audit criteria and its purpose in catching inconsistencies between diagnosis, age and gender rules, validating medical necessity, identifying duplicate claims and/or those failing established frequency limitations.

Proposer A asserts knowledge acquired through 10 years of experience with CD-MMIS and 22 years' experience with the Medi-Cal program. Response demonstrates knowledge of the different dental programs such as California Children's Services/Genetically Handicapped Persons Program (CCS/GHPP), Healthy Families and Regional Center consumers, and the unique scope of benefits and processing requirements for each program. Response reflects understanding of the eligibility files used and the current process for eligibility verification using aid codes to accurately apply program specific criteria.

Tab L. Claims/TARs Auto Adjudication Processing Plan; Exhibit A, Attachment II, Operations, Claims Processing Subsystem; 1. Overview; 2. Objectives; 4. General Responsibilities; 8. Recipient Edits; 9. Provider Edits; 10. Procedure Edits/History Cross Check; and 14. Third Party Liability Recoveries

21	A	Eval2	3	TeamA
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The Proposer more than adequately demonstrates their ability to maintain a system to ensure performance requirements.

The Proposer states that they will maintain document tracking and control through the entire document life cycle, beginning with the receipt of documents to final payments. Tracking and balancing begin with labeling and numbering to identify sequences and batches. The Proposer will use document control numbers, reference numbers, and other identifying information to make sure the document control center locations balance input and output. The Proposer states they will create audit trails along the way to make sure DHCS can track claims activity from receipt to final adjudication and payment.

The Proposer states that they will apply their operational and technical expertise to make sure the CD-MMIS continues to process claims and related documents according to DHCS rules and policies. Claim records will process from receipt to final adjudication, applying state-approved edits and audits as required to facilitate accurate payment. Failed edits and audits become a part of the claims history, and actions or changes on claims or TARs are also captured as part of the audit trail.

The Proposer will maintain the current beneficiary eligibility edits in the CD-MMIS. Many edits take place on a claim to verify that the beneficiary is eligible for Medi-Cal Dental services. Edits include those listed in the requirements, such as no eligibility limitations, other insurance is considered, share-of-cost is applied and a TAR is in place for services requiring prior approval.

The Proposer will maintain the CD-MMIS so that only eligible providers receive payments. Edits further verify the provider is eligible to render the specific services billed on a claim and the dates of service are within the dates of the provider's valid enrollment period.

The Provider Master File (PMF) is accessed to verify DHCS policy and rules are applied to process claims to final adjudication. The Proposer will apply provider-specific rules, such as special review, during the processing, causing claims to suspend to the proper Data Control Center (DCC).

The Proposer will follow the DHCS procedures for withholds, including withholds for delinquent taxes and other limitations. The Proposer states that catching suspected duplicate services or stopping services that have exceeded annual or lifetime benefits exclusions is crucial for proper reimbursement and program management.

The Proposer will verify that the CD-MMIS contains current and accurate history for cross-checking beneficiary limits for previously billed services, and other claim checks needed to preserve state dollars. Edits will capture claims submitted with invalid procedure codes, and deny or suspend according to the DHCS-defined business practices.

The Proposer states that their monthly payment files are divided by each program type, such as Denti-Cal, California Childrens Services (CCS), and Genetically Handicapped Persons Program (GHPP), which is derived from the aid code on each claim line. These files are sent to Enterprise Innovation Technology Services (EITS) in the Department-approved Claims Payment 35C file layout. The Proposer states that their verification processes and procedures for maintaining the CD-MMIS will validate that payment is made for covered benefits to eligible providers serving eligible beneficiaries in an authorized place of business. The Provider states that edits and audits will catch inconsistencies between diagnosis, age, and gender rules, and validate medical necessity. Duplicate claims or those failing frequency limitations will suspend or deny as DHCS rules outline.

K. Image Management System F.2 148-149, Exhibit A, Attachment II, 4. General Responsibilities, L-22, 7. Adjudication Responsibilities, L-37, L.39-40, 10. Procedure Edits/History Cross Check Audits, L-42, 18 Payment Responsibilities L-54

Q Num	Proposal	Evaluator	Score	Comments
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22	A	Eval1	2	TeamA
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Proposer A's response is adequate to demonstrate understanding of the American Dental Association (ADA) claim form and how its adoption is important to increasing provider participation. Proposer A's response acknowledges that DHCS is planning to implement the ADA claim form and asserts their data capture solution can support the current proprietary format and also the ADA form. Proposer A will validate that inputs are timely and accurately captured, and that positive controls are maintained throughout processing. Additionally, Proposer A is prepared to change the CD-MMIS as needed to accept the form. Proposer A recognizes that a project of this size and effect would require significant preparation and coordination among the parties, notably the ASO and the provider community and intends to work with DHCS to gather requirements and perform system modifications based on the Change Requirement process. Proposer A will develop a project plan with detailed requirements and milestones based on when the Department would transition to the new form.

Tab L. Claims/TARs Auto Adjudication Processing Plan; Exhibit A, Attachment II, Operations, Claims Processing Subsystem; 2. Objectives and 3. Assumptions and Considerations

22	A	Eval2	3	TeamA
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The Proposer more than adequately understands that DHCS is planning to implement the American Dental Association (ADA) claim form.

The Proposer states that their data capture solution can support the current proprietary format and also can support the ADA form. Additionally, the Proposer is prepared to change the CD-MMIS as needed to accept the form. The Proposer understands that a project of this size and effect would require significant preparation and coordination among the parties, notably the ASO and the provider community. As part of the project, the Proposer will develop a project plan with detailed requirements and milestones based on when DHCS would transition to the new form. The Proposer understands how important this project is as far as increasing provider participation.

The Proposer states that their data capture solution is capable of supporting the proprietary Claim/TAR form and the ADA form. The Proposer also understands the ADA form is essential to increase provider participation. If successful in their bid, the Proposer will work with DHCS to gather requirements and perform system modifications based on the Change Requirement process.

L. Claims 2. Objectives, L-12 3. Assumptions and Considerations, L-18

23	A	Eval1	3	TeamA
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Q Num	Proposal Evaluator	Score	Comments
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Proposer A provides a more than adequate response demonstrating the ability to maintain and process all electronic media documents and comply with the most current EDI standards adopted pursuant to Health Insurance Portability and Accountability Act (HIPAA) and in accordance with DHCS-approved formats and specifications. Proposer A proposes to use a Software-as-a-Service (SaaS) EDI Cloud Shared Translator that is compliant with the most current EDI Specification and Protocol Manual and that supports the rejection of claims not meeting the standards configured in the business rules approved by the DHCS.

Proposer A demonstrates understanding of HIPAA EDI requirements and describes processes sufficient to meet federal and state HIPAA mandates. Proposer A's solution will provide automatic validation of total lines or claims submitted and the total dollar amount billed as transactions pass through the EDI Cloud Shared Translator. Response indicates appropriate use of the HIPAA compliant EDI Functional Acknowledgement Transaction Set (997/999) to send Health Care Acknowledgements to submitters for each file submitted. Proposer A's solution will provide electronic Explanation of Benefits (EOBs) as HIPAA compliant X12 835 healthcare claim payment/advice transactions, if requested by enrolled providers.

Proposer A's solution allows for linking of attachments and radiographs associated with EDI claims, TARs, Notices of Action (NOAs) and Claims Inquiry Forms (CIFs) using the CD-MMIS control number of the original EDI document and the provider identification number. This solution supports automated linking for both hard copy and EDI submissions.

Proposer A's response indicates their EDI Cloud Shared Translator solution will be available for submission and retrieval 24 x 7 except for DHCS-approved maintenance windows.

Proposer A's response demonstrates full understanding of EDI requirements and the files and reports needed to support electronic document submission/processing. Response indicates Proposer A will provide reports to providers for electronic retrieval as outlined in the EDI Specification and Protocol Manual. Proposer A demonstrates understanding that EDI reports support EDI submission/processing, such as enabling providers to track their electronically submitted documents.

Tab L. Claims/TARs Auto Adjudication Processing Plan; Exhibit A, Attachment II, Operations, Claims Processing Subsystem; 6. Electronic Data Interchange (EDI) Document Responsibilities

23	A	Eval2	3	TeamA
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Q Num	Proposal	Evaluator	Score	Comments
				<p>The Proposer more than adequately demonstrates the ability to maintain and process all electronic documents.</p> <p>The Proposer will verify meeting Health Insurance Portability and Accountability Act (HIPAA) mandates and will comply with the most current EDI standards adopted pursuant to HIPAA and in accordance with DHCS-approved formats and specifications. The Proposer states that they will use their SaaS EDI Cloud Shared Translator for compliance and translation of EDI transactions. The Proposer states that this software will be compliant with the most current EDI Specification and Protocol Manual as it will reject claims not meeting the standards configured in the business rules. The Proposer's solution allows for linking attachments and radiographs associated with EDI claims/TARs/CIFs, which are then forwarded to the appropriate operational business area for processing. Attachments are linked using the DCN of the original EDI document. Strict controls, such as verification of a valid original DCN of the EDI document, aid in managing attachments. The Proposer states that they will document this processing specifically in operational procedure manuals to confirm consistency and accuracy in processing.</p> <p>The Proposer states that their EDI Cloud Shared Translator will be available for submission and retrieval 24 hours, 7 days a week except for DHCS-approved maintenance windows. The Proposer states that logic in the system automatically matches the claim/TAR/NOA/RTD to the attachment based on provider ID and original DCN to verify the right documents are linked. The Proposer states that this logic applies to hard copy and EDI submissions.</p> <p>The Proposer states that their solution allows for linking attachments and radiographs that are then forwarded to the appropriate operational business area for processing. The Proposer states that attachments link using the DCN of the original EDI document, and strict controls, such as verification of a valid original DCN of the EDI document, are used in managing attachments. The Proposer will follow prescribed procedures to forward radiographs to the ASO contractor. As a proposed benefit to DHCS, the Proposer will provide a scanning and indexing solution for dental radiographs and orthotic models with clinical review-quality images. These items will link to the associated claim, TAR, or NOA record.</p> <p>The Proposer will provide reports to providers for electronic retrieval as outlined in the EDI Specification and Protocol Manual. The Proposer states that EDI reports are available to help providers track their electronically submitted documents. The reports also may include NOAs and RTDs.</p>
L. Claims. 6.	Electronic Data Interchange.	L-30	L-32	
24	A	Eval1	3	TeamA

Q Num	Proposal	Evaluator	Score	Comments
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Proposer A's response is more than adequate to demonstrate complete understanding of the checkwrite process and the ability to develop and implement procedures, processes and methods to ensure the checkwrite requirements will be met. Response indicates Proposer A has experience of 22 years in the Medi-Cal Program and 10 years in the Medi-Cal Dental Program with responsibility for checkwrite, payment and Electronic Funds Transfer (EFT) processes. Proposer A's response provides a comprehensive overview and detailed listing of the FI's responsibility to monitor, track and maintain the files necessary for accurate and timely payment to providers.

Proposer A intends to validate the accuracy of the payment files using extensive edits and audits before creating the invoice or releasing payments. Proposer A proposes to use experienced SG staff to run programs that balance the weekly check write accurately and timely, and will provide information to the ASO for manual verification. After validation, the payment files will be used by Proposer A for the issuance of provider warrants.

Proposer A's methods for executing the processes that generate the data to produce provider warrants is sound. Proposer A describes intent to maintain the CD-MMIS so that fully adjudicated claims automatically move to the financial processing module for the creation of the payment files. Proposer A's staff will monitor the processing cycle closely to confirm it completes as expected and that payment files complete on time for issuance of provider payments.

Proposer A demonstrates a comprehensive and technically sound approach to execute EFTs. Upon release of funds from the State Controller's Office (SCO) to the designated bank account, Proposer A will send EFT files to the bank using secure file transfer protocol (SFTP) according to their required format and predefined schedule. The results of the cycle will post to database files so the voice response system is updated and providers can access their claim and checkwrite status. After the payments are generated, online systems and claims history will be updated with the warrant information.

Proposer A's response demonstrates thorough understanding of the accounts receivable system and the interrelationships and functional dependencies within the checkwrite process. Proposer A's response recognizes that accounts receivable functional capabilities are embedded in the CD-MMIS and accurately describes how negative balance situations can occur from adjustments or collection activities, how the amount owed is reflected in the CD-MMIS and how payments are applied against the negative balance until the balance is zero. Response indicates Proposer A will develop the functional capability for pre-checkwrite and suspect holds during the Takeover Phase. Additionally, Proposer A proposes to work with the ASO to automate the payment calculation process used in determining interim and emergency payments, which will allow providers to receive emergency interim payments for unpaid claims held in the system for at least 30 days due to error, or retroactive rate/policy changes. Proposer A asserts they have experience developing these processes for the Medi-Cal program, as the prior FI contractor.

Tab L. Claims/TARs Auto Adjudication Processing Plan; Exhibit A, Attachment II, Operations, Claims Processing Subsystem; 18. Payment Responsibilities

24	A	Eval2	3	TeamA
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Q Num	Proposal	Evaluator	Score	Comments
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The Proposer more than adequately states that, with 10 years of service to DHCS, they will successfully produce and process the electronic payment and Electronic Fund Transfer (EFT) files weekly. The Proposer will also, as part of the weekly payment process, generate checks to providers. The Proposer understands that their role will be to monitor, track, and maintain the files for accuracy, and generate timely payments to providers.

The Proposer states that DHCS will see service excellence from them in the checkwrite, payment, and EFT process, demonstrated by their service of 22 years in the Medi-Cal Program and 10 years in the Medi-Cal Dental Program. The Proposer states that check printing and issuance is a core competency for their print centers. The Proposer also states that monthly payment files are divided by each program type, such as Denti-Cal, CCS, and GHPP, which is derived from the aid code on each claim line. The Proposer states that after the creation of the weekly payment files, a checkwrite invoice is prepared that is delivered by their courier to the designated DHCS Accounting and State Controller's Office (SCO) staff members, including backup personnel and sign-off procedures.

The Proposer states that they validate the accuracy of the payment files using extensive edits and audits before creation of the invoice or releasing payments. The SG will run programs that balance the weekly check write. The Proposer states that when the payment cycle is completed, and the funding has been approved by DHCS and released from the SCO to the Proposer's bank account, they will generate a print job to their print center for issuing checks. EFT files are sent to the bank using Secure File Transfer Protocol (SFTP) according to their required format and pre-defined schedule. The results of the cycle post to database files so the voice response system is updated and providers can access their claims and checkwrite status. The Proposer states that as the cycle completes, the CD-MMIS will generate a detailed Explanation of Benefits (EOB) to the provider, showing the paid, denied, and suspended claims that are more than 18 calendar days in the system, as well as accounts receivable items such as levies for the reported cycle and warrant information.

The Proposer states that the accounts receivable functional capabilities are embedded in the CD-MMIS. When a negative balance situation occurs from adjustments or collection activities such as TPL and levies, the amount owed reflects in the CD-MMIS. The Proposer understands that there may be situations where funds are not available. The Proposer, if successful in their bid, will conduct operational payment responsibilities from a Sacramento location.

L. Claims 18. Payment Responsibilities, L-54-56.

25	A	Eval1	1	TeamA
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Proposer A's response describes a barely adequate approach to execute the CD-MMIS functionality necessary to produce checks on behalf of the ASO contractor and to pay Clinical Screeners for their services. Proposer A proposes to work closely with the ASO to produce reimbursement checks for the licensed dentists who provide clinical screenings, based on the data received from the ASO.

Tab L. Claims/TARs Auto Adjudication Processing Plan; Exhibit A, Attachment II, Operations, Claims Processing Subsystem; 13. Clinical Screening of TARs

25	A	Eval2	1	TeamA
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Q Num	Proposal	Evaluator	Score	Comments
				The Proposers response is barely adequate regarding the ASO and Clinical Screening payments. The Proposer understands that serving as the FI means collaboration and a close working relationship with the ASO. The Proposer will team with the ASO regardless of who that might be. As the ASO works with licensed dentists for Clinical Screenings, the Proposer will work with the ASO to verify dentists receive proper payment for their services. The Proposer states that in addition to their programs that balance the weekly checkwrite, the ASO will provide manual verification. The Proposer will produce reimbursement checks based on the data received from the ASO.
				L. Claims, 18. Payment responsibilities, L-48, L-55.

26 A Eval3 3 TeamB

The Proposer more than adequately demonstrated a knowledge and understanding of the services to be provided as described in the Takeover Plan

The Proposer showed an understanding of the interrelationships and functional dependencies between all required tasks and activities to ensure successful completion of Takeover. Multiple projects will be undertaken that make up the Takeover Plan. These projects will be completed as a portfolio. The use of Portfolio Management allows for the identification of interrelationships and functional dependencies between the projects' tasks and activities. The Proposer developed a migration methodology using its experience from 8 MMIS Takeover projects, the CA-MMIS 2010 turnover project, and incorporated industry processes, methods and standards including CMMI and International Organization for Standardizations (ISO). The Proposer's proven migration methodology focuses on roles and responsibilities definition for DHCS, the ASO, the incumbent California Dental Medicaid Management Information System (CD-MMIS) Fiscal Intermediary (FI) and the Proposer. In addition, the migration methodology focus includes the definition of technical planning activities for pre-migration, migration, and post-migration activities, such as knowledge transfer, data center preparation, and contingency planning/testing.

The Proposer's Takeover Project Management Plan includes dependencies on other project management plans. The Proposer submitted a draft Project Schedule which includes all tasks, milestones and deliverables for the RFP. A work breakdown chart and a timeline view depicting key dates and checkpoints were also provided.

The Proposer submitted a Draft Organizational and Personnel Acquisition Plan that complies with the Request for Proposal (RFP) Exhibit A, Attachment I Takeover, Section 12 Organizational and Personnel Acquisition. Included in the Draft Organizational and Personnel Acquisition Plan were the three required sections, Personnel Acquisition Plan, Organizational Structure Plan and Schedule Execution and Reporting, where each section contained the required RFP content.

(F.1 Exhibit A, Attachment I –Takeover pages F.1-2, F.1-7, F.1-24) (Draft Takeover Project Management Plan page 8) (Takeover Project Schedule) (Draft Organizational and Personnel Acquisition Plan)

26 A Eval4 2 TeamB

Q Num	Proposal	Evaluator	Score	Comments
27	A	Eval3	3	TeamB

The Proposer demonstrates an adequate knowledge and understanding of the services to be provided as described in the Takeover Plan. The Proposer demonstrates a keen understanding of the interrelationships between all of the required tasks for a successful Takeover. The Proposer explains that they have developed specific tools for this Takeover and that they have successfully completed several other Takeovers, including in three other states. The work that the Proposer has completed has garnered them praise from several other Medicaid directors. Clearly defined roles between DHCS, the Proposer and the ASO contractor allow for the Proposer to maximize the efficiency of the Takeover. The Takeover is divided into five different phases to clearly delineate roles and stages of The Takeover. The phases are 1) Migration Start-Up, to gather information and develop a high level plan; 2) Planning the details; 3) Mock phase to test the plan; 4) Migration phase, execution of the plan; and 5) Post migration phase, where any incidents are fixed and a plan is formulated for changes. Along with the Takeover plan, Proposer A includes a timeline for when each section of the plan is expected to be implemented. This timeline ensures that Proposer A is planning for the timely execution of Takeover milestones. Proposer A has a Takeover Director in place who has prior experience and a wealth of knowledge regarding this specific process, having completed it in other states. Proposer A also explains how they are experts at attracting talent to support Takeover and Operations of CD-MMIS Operations. (Exhibit A, Attachment I – Takeover)

The Proposer more than adequately demonstrated comprehensive and technically sound approaches and/or methods for coordinating and conducting System Testing in Takeover. The Proposer has a thorough understanding of the CD-MMIS as the current Systems Group (SG) subcontractor to the current CD-MMIS FI. The familiarity with the CD-MMIS places the Proposer in a unique position to understand the required activities and tasks to evaluate the readiness of the CD-MMIS for acceptance testing. The Proposer's system test plan includes all mainframe components and existing and replaced non-mainframe components. It also includes current versions of manual, clerical, and operational procedures.

The Proposer submitted a draft Systems Test Plan and a draft System Test Support Plan which describes in detail the Proposer's procedures, processes, methods and tools used to ensure the effectiveness and accuracy of System Testing. The Proposer's system testing process, as well as other testing levels, uses three overall phases--Plan Test, Prepare Test, and Execute Test. Included in the draft Systems Test Plan is a pictorial, "Test Process – Plan, Prepare, Execute", illustrating the details of the testing process activities and outcomes. The Proposer's draft System Test Plan and draft System Test Support Plan addresses each of the requirements in the RFP for Exhibit A, Attachment I, and Section 32. System Testing, Item a. System Test Plan and Item b. System Test Support Plan

(Draft System Test Plan Page 8) (Draft System Test Plan) (Draft System Test Support Plan)

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The Proposer has more than adequately contemplated and planned for comprehensive and technically sound approaches in coordinating and conducting System Testing in the Takeover phase of the contract. Proposer A has committed to early planning, cooperation, and working with DHCS and the ASO contractor to ensure that the CD-MMIS is ready for System Testing. They have also implemented iTRACE, an industry leading tool to assist in tracking and reporting test progress. Information about testing deliverables, procedures, schedules, and tools maintained for delivery to DHCS will be logged and tracked for all users in iTRACE, allowing all parties the opportunity to share information. The Proposer's comprehensive test plan includes specific test scenarios to ensure that the system requirements are met. Additionally, the plan's timeline includes clearly defined roles of responsibility for the FI contractor, DHCS, and the ASO contractor. The Proposer will perform two parallel tests with the goals of proving that the Denti-Cal policies are operational and that there will be minimal provider claim submission policy issues when the Takeover is complete. The Proposer will have both a system-tested version of the mainframe and all of the non-mainframe systems. All information for this response is found in Exhibit A, Attachment I – System Test Plan, Tab K, System Test Plan, and Draft System Test Plan.

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28	A	Eval3	3	TeamB
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The Proposer more than adequately demonstrated comprehensive and technically sound approaches and/or methods for coordinating and supporting Acceptance Testing in Takeover. The Proposer has a thorough understanding of the CD-MMIS as the current SG subcontractor to the current CD-MMIS FI and has successfully taken over Medicaid systems without missing provider payment cycles.

The Proposer submitted a draft Acceptance Test Plan and draft Acceptance Test Support Plan that complies with the requirements in the RFP. The draft Acceptance Test Plan describes the Proposer's acceptance test support role. The Proposer will support Acceptance Testing by providing training, technical support, and functional support to the ASO and DHCS. Technical and functional support includes items such as assist in the identification of test data, run batch cycles, assist testers to interpret test case results and provide recommendations for correction. Additional support provided is the implementation and management of iTRACE, which is used for requirements storage and traceability. Overall the Proposer will coordinate with the ASO in the development of the Acceptance Test Plan, coordinate test execution, manage defect tracking and resolution.

The Takeover Project Schedule will be used to identify dependencies affecting the readiness for assumption of CD-MMIS Operations. For Acceptance Testing the Proposer identified exit criteria to determine the completion of individual test levels. A table of the test levels was provided.

(Draft Acceptance Test Support Plan page 8) (Draft Acceptance Test Plan page 9 and 12) (Tab F.1, page F.1-1)

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Proposer A more than adequately demonstrates the approaches and methods needed for coordinating and supporting Acceptance Testing in Takeover. Acceptance Testing allows the Department to validate that the CD-MMIS can satisfy the business needs of the Department. It includes interface testing and transport protocols in a controlled environment. The Proposer will provide training, technical support, coordination of test execution and assistance in managing defect tracking or resolution activities. The ASO contractor will provide the scenarios for testing and executing the test scenarios.

Once Acceptance Testing is set up and ready to implement, Proposer A explains that it has tools in place to ensure that the testing is accurate and effective. These include ensuring that there is a strong migration team, and performing two mock cut-overs before the actual cut-over. Proposer A would like to minimize risks and avoid disruption of the ongoing services to DHCS' recipients and providers. To accomplish this, they have adopted industry standards and certified processes, such as Capability Maturity Model Integration® (CMMI), International Organization for Standardization (ISO), to ensure these goals are met. Proposer A will provide tracking tools to ensure testing is accurate and make information available to DHCS and the ASO contractor. The Acceptance Test Support Plan explains in detail the ways in which Proposer A can assist in the Acceptance Testing, and deliverables associated with it, including accurate reporting and problem solving. Proposer A highlights that several tests are required by DHCS, and will include the following tests: Evaluation of manuals, General CD-MMIS Accuracy Tests, Online Functions Test, Contractor Staff Proficiency Test, Volume, Stress, and Parallel Tests, and Security and Confidentiality Tests.

Within the Proposer's plans for Hardware and Equipment Installation Execution and Hardware and Equipment Acquisition Plan, Proposer A explains that they have all equipment detailed and it is all functional including operational mainframe and non-mainframe systems. The draft Acceptance Test Plan contains the details of Proposer A's approach and methodology including identification of each deliverable and the dependencies of these, the team project roles, and a focus on the system user requirements of end-to-end (E2E) business scenarios. All information for this response is found in Exhibit A, Attachment I – System Test Plan, Tab K - System Test Plan and Tab - P Acceptance Testing Plan.

Q Num	Proposal	Evaluator	Score	Comments
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29	A	Eval3	2	TeamB
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The Proposer adequately demonstrated its capability of meeting Facilities and Resources requirements and responsibilities.

The Proposer described the creation of a steering committee, as part of its draft Takeover Project Management Plan that will be responsible for the development of an initial high-level migration plan. The steering committee will include representatives from key support areas of operating systems, network, operations, and enterprise storage.

The Proposer submitted multiple interdependent plans as required in the RFP that addresses the on/off site hardware equipment, software and the installation of the hardware equipment and software to support the CD-MMIS, including all non-mainframe systems. The plans the Proposer submitted are the draft Facilities Acquisition and Installation Plan, the draft Hardware and Equipment Acquisition Plan and Installment Plan, the draft Software Installation Plan. These plans draw on the Proposer's experience in managing MMIS takeovers and include detailed descriptions of how the Proposer will meet the requirements for these required plans outlined in the RFP.

The draft Facilities Acquisition and Installation Plan contains contingency planning to minimize schedule slippage. The Proposer has completed activities such as identifying priorities, contacted vendors to facilitate purchases, prepared purchase orders to be in positioned to make the required purchases upon the contract execution date. The Proposer will use Software as a Service (SaaS) and Platform as a Service (PaaS) to reduce risk. If needed the Proposer can temporarily acquire hardware from its inventory, and/or temporarily use its data center facilities.

The Proposer also committed to providing one comprehensive Assumption Plan that conforms to PMI standards and incorporates the Proposer and ASO contractor activities, two months following contract execution. The Assumption Plan will include the RFP requirements and tasks for the assumption of CD-MMIS Operation. To this end the Proposer provided a pictorial, "Assumption Plan requirement cross-reference table" which lists the contract requirements and cross-references those requirements to the section where it will be located in the Assumption Plan to be provided. Included in the table is a File Transfer and Maintenance section that will address the cut-over/transfer of the CD-MMIS terminal network data lines, backup dial-up business lines, files.

(Draft Takeover Management Plan, page 11) (F.1 Exhibit A, Attachment I –Takeover, page F.1-61) (Draft Hardware and Equipment Acquisition Plan) (Draft Facilities Acquisition and Installation Plan, page 36) (Draft Software Installation Plan)

29	A	Eval4	2	TeamB
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The Proposer demonstrates an adequate capability of meeting Facilities and Resources requirements and responsibilities starting with a sophisticated and proven Asset Management System that tracks all hardware and software assets under the control of the contractor. Proposer A has experienced this kind of transfer previously with DHCS and has learned that tight control of inventory via logs and records creates a dependable trail for providing information to all parties involved, including DHCS and the ASO contractor. (Tab F. Work Plan; Subtab F.1 Exhibit A, Attachment I – Takeover; 16. Hardware and Equipment Acquisition and Installation). The draft Hardware and Equipment Acquisition and Installation Plan provides for detailed timelines and descriptions of events that will ensure transparency to the ASO contractor and DHCS, including weekly reports of transition. The beneficiaries and providers should not be aware of the transition, and checkwrites and beneficiary services should continue uninterrupted. (Tab I. Facilities Plan; Support Services and Office Equipment). Proposer A explains that they will support the Takeover steps within the schedule to prevent slippage in acquisition and installation of hardware and equipment. They acknowledge that these steps are crucial for the other Takeover tasks to be completed. The complete Facilities Plan includes the provisioning of the disaster recovery facilities during the Takeover phase of the contract. When these facilities are operational, they can absorb responsibility as a back-up site for CD-MMIS processing and will accommodate active telecommunications links to assist in recovery within the timeframes required by the Request for Proposal (RFP). (Draft Hardware and Equipment Acquisition and Installation Plan, page 36-37).

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The Proposer adequately demonstrated its overall capability to identify, measure, monitor, and report on all contractors' performance. The Proposer has 40 years' experience using a quality management methodology that stresses early defect detection and stakeholder collaboration. The Proposer is a member of the American Society for Quality (ASQ) organization and employs certified members. As such, the Proposer has knowledge of the ISO 9001 standards and certification process. The Proposer commits to the confirmation of the entire systems operation being in compliance with ISO 9001 standards upon contract implementation and will be certified to ISO 9001:2015 within one year of the start of the Operation's period. After certification, the Proposer will monitor ISO for new versions and stay current with the latest release. The Proposer also commits to achieve CMMI Level 3 by the end of Operations year 1 and will remain current with future releases.

The Proposer describes the use of Quality Management and Quality Assurance Plans to define and measure each performance standard, and to review, verify, and validate processes, work products, and deliverables.

The System Reviews section of the Proposer's Quality Management Plan describes how it will test and review each of the required functions listed in the RFP Exhibit A, Attachment II, Section H. Quality Management Operations, Section 9. System Reviews. As part of quality assurance, the Proposer will use Lean Six Sigma (LSS) methodology to identify, research, and correct problems as part of quality assurance.

(Quality Management Plan pages M-1, M-3, M-27, and M-38 through M-40)

30	A	Eval4	2	TeamB
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The Proposer adequately demonstrates their capability to identify, measure, monitor and report on all Contractor's performance by using a Quality Management Plan (QMP) approach that is based on the principles of discipline, transparency, and accountability. The Proposer explains that the mechanism to implement Quality Management (QM) is through a Quality Management System (QMS). The Proposer's QMS is based on ISO 9001:2008 standards and includes the ability to effectively and accurately monitor contract requirements and performance standards. Proposer A has previously implemented such a plan where they have served as a FI. The design of the QMS is based on five main elements and four main activities. The five elements include: 1) Documentation; 2) Management responsibility; 3) Resource management; 4) Product realization; and 5) Measurement, Analysis, and Improvement. The four main activities include: quality planning, quality assurance, quality control, and quality improvement.

Systems Test documentation promotes consistency and saves time when changes take place and retesting becomes necessary. The tests will be re-useable test cases that will conform to Capability Maturity Model Integration (CMMI) Level 2 or higher standards. Testing will disclose defects that must be corrected. Proposer A will also document the details of the test and the error so that the developer can duplicate the error easily and then correct it. (Exhibit A. Attachment II – Quality Management Operations)

31	A	Eval3	2	TeamB
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The Proposer adequately provided a detailed Quality Management Plan addressing quality planning, quality assurance, quality control and quality improvement. The Proposer's approach to quality management is the use of a quality management system, designed around five main elements, and four main activities listed below.

Elements: Documentation, management responsibility, resource management, product realization, and measurement, analysis, and improvement.

Activities: Quality planning, quality assurance, quality control, and quality improvement.

The Proposer commits to include concurrent and retrospective reviews of contract work for contract requirements compliance, accuracy and timely performance rates in its quality management system.

The Proposer did not provide a listing describing each performance standard, but the Proposer did provide examples of takeover quality standards and measurements. The Proposer also committed to working with DHCS to identify the final standards and measures to be included in the Proposer's Quality Assurance Plan.

The Proposer also noted that quality planning activities include identification of quality requirements and standards, and methods and procedures to measure quality.

(Tab M, page M-7, M-30 and M-33 through M-36)

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The Proposer provides a detailed QMP that adequately addresses quality planning, quality assurance, quality control and quality improvement. Proposer A proposes a Quality Management Program that includes reviews to determine if the Contractor is complying with all contract requirements including accuracy and timely performance rates. Each QM review will include month and year of the data, performance standard measured, qualitative or quantitative standard measured, confidence and precision levels, population size, sample size, percentage of criteria, percentage needed, the percentage shortfall of each standard for QM reviews, percentage exceeded for standards, separate and distinct scoring calculations, total aggregate score, deficiency, quality and production improvements, corrective action taken, and recording of significant issues. Proposer A's QM will result in having processes that support meeting customer requirements and performance standards. The goal is to measure, verify compliance and then process improvements, if needed. (Exhibit A. Attachment II – Quality Management Operations).

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The Proposer demonstrated adequate knowledge and understanding of the process for reviewing, verifying, and validating processes, work products, and deliverables to ensure compliance with contract requirements, as well as processes for improving performance.

The Proposer described its comprehensive quality approach as emphasis on continuous improvement using a Define, Measure, Analyze, Improve, and Control (DMAIC) process. The DMAIC is used to balance and improve business processes and designs.

The Proposer commits to develop performance measurements to be applied in the review of operational contract requirements. Reviews of the operational contract requirements will consist of ongoing quality checks and corrective actions. During Takeover, the methodology and procedures for the reviews will be developed and tested for use beginning with operations start-up. The Proposer provided a list of the reviews to be performed such as Edit/Audit review, Provider Enrollment, and Cycle Time Review. When quality standards are outside of the control limits for either the ASO or CD-MMIS FI processes, the Proposer's Quality Management group will make recommendations to the ASO or CD-MMIS FI and provide notification to DHCS.

The Proposer offered methods and approaches to gather accurate required information for the quality management performance reporting. Within its quality management system is quality assurance. Quality assurance as defined by the Proposer is "product assurance and process assurance". Quality assurance activities include the auditing of quality requirements and quality control measurement results.

(Draft Takeover Quality Management Plan, pages 13 and 27) (Tab M. Quality Management Plan, page M-3, M-9, M16, M17 and M-27)

32	A	Eval4	2	TeamB
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The Proposer demonstrates an adequate knowledge and understanding for reviewing, verifying, and validating processes, work products, and deliverables to ensure compliance with contract requirements, as well as processes for improving performance. The Proposer's QMP sets out specific methods such as reviewing the SG staff's performance to determine their reliability and accuracy of changes to the CD-MMIS, for ensuring on-going improvement of contract and employee performance. The QMP proposes using change documents such as Change Orders, DOILS and SDNs to confirm the CD-MMIS accurately reflects the change requested. The Quality Plan describes processes for confirming contract requirements are met and the processes for improving performance. The QMP describes the trend analysis report which includes the ongoing status report of system process error recommendations. The Proposer states they will track the status of the error recommendations and follow-up. (Exhibit A. Attachment II – Quality Management Operations).

33	A	Eval3	3	TeamB
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The Proposer more than adequately demonstrated knowledge and understanding of the services to be provided by the Security and Privacy Office. The knowledge and understanding of the ISPO staffs general responsibilities are addressed through the Proposer's description of its approach to meeting each of the 18 general responsibility requirements in the RFP. Overall the Proposer will use its experience developing security policies and procedures for its 20 current MMIS contracts, including lessons learned, and the employment of a strong professional security team to perform the tasks required of the ISPO staffs. All proposed team members, the Information Security Officer, Privacy Officer and Risk Assessor have from 8 to 17 years of experience each in information security or privacy.

The knowledge and understanding of the reporting responsibilities are demonstrated by the Proposer acknowledging it will develop, implement, and maintain a Monthly and/or Comprehensive Overview of Current and Planned Security and Privacy Activities report, a Dashboard Summary Report, and the Plan of Action and Milestones (POAM). The POAM will include the identification of resources required, milestones, and estimated completion date. The Proposer also acknowledged the Security Risk Assessor will provide a bi-weekly status report that will be kept current on a daily basis. In addition to these reports the Proposer identified additional reporting of security and privacy activities that will be included on the Weekly Progress Report, the Weekly Status report, the Problem Correction Tracking report and the Weekly Deliverable Exception report.

The Proposer demonstrated knowledge and understanding of the Security Risk Assessor's responsibilities by describing in detail the tasks the Proposer's Security Risk Assessor would perform. These tasks met the minimum required in the RFP. The task descriptions included detail such as the use of identified areas of risk associated with the Security Impact Assessment and the identification source of weaknesses for the Risk Assessment Questionnaire. The candidate for the security risk assessor position has 17 years of experience with Information Security, Information Security Risk Assessment or Information Technology Audits.

(Tab F. Work Plan; Subtab F.2 Exhibit A, Attachment II –Operations; R. Information Security Office and Privacy Office; 4. Security Risk Assessor) (Tab J, Security Risk Assessor Role, page J-13)

Note: Administrative Bulletin 6 addendum 1 dated 12/22/15 removed the Security Architect role.

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Q Num	Proposal Evaluator	Score	Comments
			<p>The Proposer demonstrates more than adequate knowledge of the services to be provided by the Security and Privacy Office having more than thirty-two years of direct experience in this same kind of role. (F.2 Exhibit A, Attachment II – Operations). The Proposer explains that they will establish an Information Security and Privacy Office (ISPO) which will be staffed with the Information Security Officer, Privacy Officer, and Security Risk Assessor. The ISPO will report directly to the CD-MMIS Executive Director. This office will have independence from the system management functions, and they will develop standards and procedures for Operations to follow. The IPSO will review the safeguard implementation and verify that the safeguards are followed to protect individuals' privacy rights. Part of the IPSO's job is to work collaboratively with the ASO contractor's IPSO to coordinate privacy practices. One of the standout factors about this proposal is that the ISPO will report to the CD-MMIS Executive Director, but also has a reporting relationship to Proposer A's Global Security Group allowing the ISPO to draw on global resources and best practices that will benefit DHCS. (F.2 Exhibit A, Attachment II – Operations).</p> <p>Proposer A understands the reporting requirements for several activities including daily reports, annual reports and reports on demand. The Proposer will report training activities including an annual training plan, and General Reporting Requirements will be met in regards to Records Retention reports from CD-MMIS including maintenance of reports and records. The Proposer explains the process for production of Daily Records, Quarterly Performance Reports, and if there is a problem, they will issue a Problem Statement (PS) to clarify the issue at hand. (F.2 Exhibit A, Attachment II – Operations).</p> <p>Proposer A explains that the Security Risk Assessor has large responsibilities in regards to privacy concerns for each project, enhancement, or proposal. The Security Risk Assessor role will:</p> <ul style="list-style-type: none"> <li>• Conduct a Security Impact Assessment (SIA) to determine potential security risks before change implementation.</li> <li>• Document identified risks in a Risk Assessment Questionnaire (RAQ) for project team review and response.</li> <li>• Document decisions in a Risk Assessment Deliverable (RAD).</li> <li>• Provide a Post Risk Assessment Deliverable to determine if risks identified before implementation have incurred changes after implementation.</li> <li>• Plan for assessments by coordinating with assessment management functions. <ul style="list-style-type: none"> <li>o Provide evidence requested</li> <li>o Review evidence to verify removal of sensitive data before delivery</li> <li>o Prepare interim progress reports</li> <li>o Organize management reviews of draft and final reports</li> <li>o Document identified risks in the ***redacted (Proposer) and Department risk tracking tools"</li> </ul> </li> </ul> <p>(Security and Confidentiality Plan - Page J-13).</p>
34	A	Eval3	3 TeamB

Q Num	Proposal	Evaluator	Score	Comments
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The Proposer more than adequately demonstrated its knowledge and understanding of the policies, procedures, guidelines, safeguards, and audit controls that protect data confidentiality, data integrity, privacy rights, and ensures the integrity, security, and availability of these information systems. The Proposer will use its experience developing security policies and procedures for its 20 current MMIS contracts to provide for the collection, storage, access and destruction of information assets. The Proposer developed policies, procedures and guidelines that align with Health Insurance Portability and Accountability Act (HIPAA) for the use, disclosure, transmission, and storage of information that is protected under applicable federal and State laws. The policies and procedures will provide for the Proposer and DHCS authorized access of protected confidential information, electronic information transmission encryption, stored electronic information encryption, and Federal Information Processing Standards (FIPS) validated Cryptographic protections. The Proposer’s draft Security and Confidentiality Plan provides detailed descriptions of the policy and procedure applications for data access, handling, storing and destruction.

The Proposer will report security and privacy incidents in accordance with HIPAA, 45 CFR 164.308 (a) (6) (ii), 45 CFR 164.530(f) and HITECH Act Section 13402. Proposer staff will be trained on the Proposer’s security and privacy incident reporting polices which comply with contract requirements. The Proposer’s Global Security Group leads investigations to determine if unauthorized access occurred and if so, the Global Security Group will consult with the Proposer’s Privacy Office.

(Tab F. Work Plan; Subtab F.2 Exhibit A, Attachment II –Operations; R. Information Security Office and Privacy Office; 3. General Responsibilities, page F.2-290 through F.2-292), (Draft Security and Confidentiality Plan)

34	A	Eval4	2	TeamB
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Proposer A demonstrates an adequate understanding of the policies, procedures, guidelines, safeguards, and audit controls that shall protect data confidentiality, data integrity, privacy rights, and ensure the integrity, security, and availability of these information systems. Proposer A has policies that are developed using industry standards and criteria for the collection, storage, access, and destruction of Medicaid information. Relying on the experience gained from being awarded 20 current MMIS contracts, the Proposer explains that they understand applicable federal and State law regarding use, disclosure, transmission and storage of protected information. Proposer A explains that they “will remain HIPAA compliant throughout the life of the contract. We will make sure our policies and procedures are in line with HIPAA and staff is fully trained.” (F.2 Exhibit A, Attachment II – Operations, Page F.2-291).

35	A	Eval3	3	TeamB
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The Proposer demonstrated more than adequate knowledge and understanding of the administrative, physical and technical safeguards that protect the confidentiality, integrity and availability of the public, confidential, sensitive and personal information. The Proposer has 10 years of experience with CD-MMIS and 22 years of experience with CA-MMIS where the security and privacy requirements and practices were applied. The Proposer drafted and submitted a Security and Confidentiality Plan that provides for the physical and system security of CD-MMIS mainframe and non-mainframe subsystems. The Draft Security and Confidentiality Plan foundation is a basic plan, used by the Proposer's many Medicaid accounts, and takes into account security laws such as FIPS, State Medicaid Manual, Office of Management and Budget and Federal Information Security Management Act. The basic plan was then updated to include CD-MMIS specific requirements.

All contractor-used facilities for CD-MMIS and each of the areas called out in the RFP are addressed in the Proposer's Security and Confidentiality Plan. The Proposer provides for the physical security through security applications such as 24/7 onsite security guards, keycard access, closed circuit TV, patrolled well-lit parking, access rosters, visible badge policy, etc.

The Proposer will have procedures that are updated annually, covering the handling, packaging, and transportation of sensitive/confidential data or resources. The procedures will include the use of encryption for the digital transmission of electronic data. Non-digital data transmission will use content inventory, bonded courier, lockable containers, end-to-end tracking, proof of delivery, mailing logs, double envelopes, and filament tape.

(Tab J, 4. Security Requirements, page J-24 and J31) (Tab J, Security and Confidentiality Plan, Contractor Facilities, page J-27-29)

35	A	Eval4	2	TeamB
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The Proposer adequately demonstrates knowledge and understanding of the administrative, physical and technical safeguards that protect the confidentiality, integrity and availability of the public, confidential, sensitive and personal information. The Proposer explains that protection of Medicaid data is of utmost importance with this project. They understand that protection of data also must allow access, as needed, to those users authorized to view or edit the data. (Exhibit A, Attachment I – Takeover). The Proposer has both physical and system security including physical barriers such as locked rooms and cabinets and system security such as data encryption of routers and e-mail servers for the CD-MMIS and non-mainframe subsystems that will provide adequate security from breaches. Proposer A provides a complex design for the handling, packaging, and transportation of confidential data which includes different types of encryption depending on the storage of the information. It provides for storage that meets federal and State requirements for encryption and confidentiality including e-mail, data storage, and data transmission. (Exhibit A, Attachment II – Operations).

36	A	Eval3	3	TeamB
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The Proposer more than adequately demonstrated its capability for meeting all applicable federal and State security and privacy requirements (including HIPAA) to provide adequate physical and system security for the CD-MMIS and non-mainframe subsystems network. The Proposer has 10 years of experience with CD-MMIS and 22 years of experience with CA-MMIS where the security and privacy requirements and practices were applied. Proposer staff members have attended HIPAA training that included identification, protection and treatment of sensitive information in compliance with federal regulations, guidelines and best practices. In addition to HIPAA, the staff members are well educated in the federal and State security and privacy requirements.

All contractor-used facilities for CD-MMIS and each of the facilities called out in the RFP are addressed in the Proposer's Security and Confidentiality Plan. The Proposer provides for the physical security through security applications such as 24/7 onsite security guards, keycard access, closed circuit TV, patrolled well-lit parking, access rosters, visible badge policy, etc.

The Proposer will track the application access of all its employees, State employees and contractors by using Active Directory. The current Active Directory used by the incumbent CD-MMIS FI, which meets the minimum RFP requirements, will be imported, validated and updated for the new CD-MMIS environment. The Proposer will also provide for additional security protection through the implementation of the Proposer's application ArcSight for Security Information and Event Management.

(Tab J, Security and Confidentiality Plan, Contractor Facilities, page J-25-29)

36	A	Eval4	2	TeamB
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The Proposer adequately explains that they have a great deal of experience with federal and State security and privacy requirements to be able to provide adequate physical and system security. This includes experience in compliance with requirements under the Health Insurance Portability and Accountability Act of 1996 (HIPAA). Proposer A explains that they have an understanding and real world experience with federal and State security requirements including 22 years of Medicaid experience in California. The Proposer addresses all facilities including the contractor's main site for processing claims and back up site, and has a plan for physical security of CD-MMIS and the non-mainframe subsystems that includes locked rooms and locked doors controlled by a key lock or cipher lock, dual-factor authentication for access to restricted areas, identification badges, locked cabinets, cameras and alarms on sensitive areas, and security guards on premises 24 hours a day. These safeguards apply for all State employees and employees of the contractor from the day that they are hired. (Exhibit A, Attachment II – Operations, and Security and Confidentiality Plan).

37	A	Eval3	3	TeamB
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The Proposer adequately demonstrated its capability to provide for adequate back-up and recovery for all Operations, both manual and automated, mainframe and non-mainframe system/applications, including all functions required to meet the back-up and recovery time frames as specified in its Business Continuity Plan (BCP). The Proposer illustrated real life examples of its application of business continuity planned responses to disasters encounter by other State Medicaid accounts. The Proposer's current work includes performing backup and recovery for CD-MMIS. The Proposer has submitted a draft BCP as part of its draft Security and Confidentiality Plan included in its proposal. The draft BCP will be updated annually and provides for backup/redundancy, backup facility, transfer of full operations and disaster recovery. It identified the resources requiring back up and the use of a back-up facility. While no specific site was provided, the BCP refers to a Proposer back-up facility and identifies the requirements for that facility.

The Proposer will use self-assessments, third party assessments, security assessments and special reviews to identify potential risks. If the risks identified need additional controls a corrective action plan will be created and documented in the POAM.

(Draft Security and Confidentiality Plan, Appendix A pages 6 through 9) (Draft Security and Confidentiality Plan, Appendix B) (Tab J, Security and Confidentiality Plan, Risk Analysis, page J-8) (Tab J, Security and Confidentiality Plan, Back-up Facility, page J-61)

37	A	Eval4	2	TeamB
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The Proposer adequately demonstrates their capacity to provide for adequate back-up and recovery for all Operations. The Proposer explains that they will use SharePoint to keep a library of back-up documentation and safeguard review materials used in performance of the Risk Analysis and preparation of a Risk Analysis document. The Risk Analysis is a living document that updates the security plan for the Proposer's back-up documentation. The final Security and Confidentiality Plan updated at contract execution will contain an initial list of resources that require back-up, included among them are the mainframe systems, non-mainframe systems, software, data entry systems, and network devices and connections. Proposer A has a back-up facility where Operations can continue in case of not being able to continue where they are currently located. The Proposer has experience in surviving call center floods and call center power outages. They have a back-up plan and back-up facilities ready to resume normal Operations for CD-MMIS if needed. (Security and Confidentiality Plan).

38	A	Eval3	3	TeamB
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Q Num	Proposal	Evaluator	Score	Comments
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The Proposer more than adequately demonstrated an understanding of HIPAA requirements, and possesses the ability to have adequate processes in place to ensure federal and State HIPAA mandates are met or exceeded and employees are properly trained. The Proposer will use its 22 years of Medicaid experience in California, other MMIS Security plans, the RFP, State and federal regulations along with its current work on the CD-MMIS to plan for the implementation of HIPAA requirements. The Proposer's draft Security and Confidentiality plan is comprehensive and is built on National Institute of Standards and Technology (NIST) Special Publication (SP) 800-53, and meets State and federal regulations as required in the RFP. The Proposer mapped the HIPAA security rule sections for Administrative Safeguards, Physical Safeguards, Technical Safeguards, Organization Requirements, and Documentation Requirements to the NIST SP 800-53 security control.

The draft Security and Confidentiality Plan includes standards and procedures to prevent unauthorized disclosure of confidential information. For example, the Proposer will inventory the current CD-MMIS data and catalog the data by confidentiality classification. By cataloging the CD-MMIS data the Proposer will have a ready understanding of the confidentiality data type and to whom the data can be released, and thereby avoid inappropriate sharing of data. Disclosure of confidential information will require advanced written notification and staff use of confidential information will be limited to the minimum necessary. For the destruction of confidential information, the Proposer will use a third party vendor who will provide proof that destruction was completed according to the Security and Confidentiality standards and procedures.

The Proposer's draft Security and Confidentiality Plan also provides for training of all Proposer staff and is tailored to the staff members' roles. Training topics will include federal and State laws, Medi-Cal Dental Security and Confidentiality policies and procedures, classes of sensitive information, staff's roles and responsibilities, education on how security and confidentiality breaches can occur, review of the manual and automated processes, and physical safeguards. Annual training is required for any staff that has access to or manages Protected Health Information (PHI) information.

(Tab J, Security and Confidentiality Training Program, Page J-5) (Tab J, Security and Confidentiality Plan, Page J-1, J38 through J41) (Draft Security and Confidentiality Plan, Pages 36-43)

38	A	Eval4	2	TeamB
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The Proposer demonstrates an adequate understanding of HIPAA requirements. The Proposer explains that not only do they have experience in California with strict HIPAA compliance but also experience in several other states. The Proposer explains that they will provide the training as identified in the RFP including training for each staff member that supports or uses the CD-MMIS mainframe, non-mainframe components, files and other records. The security plan provides for the prevention of unauthorized disclosure or access of confidential data by imparting training to identify Protected Health Information (PHI), the ability to apply privacy and security policies and to protect customer assets and information. After an initial training, all employees must repeat the training on an annual basis, and the CD-MMIS Information Security Officer will present security awareness information at recurring meetings to educate staff and enforce the security and confidentiality rules. (Security and Confidentiality Plan).

39	A	Eval3	2	TeamB
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Q Num	Proposal	Evaluator	Score	Comments
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The Proposer adequately demonstrated knowledge and understanding of the process for requesting payment for Operations. For Takeover, Operations, Turnover and Runout, the Proposer acknowledged the invoice process outlined in Exhibit B, Attachment I, Special Payment Provisions. Takeover invoicing will consist of 12 monthly installments totaling 80% of the Takeover fixed price. Invoices will not be submitted until DHCS has approved the required deliverables and the agreed upon milestones have been met. Accompanying the invoices will be the Weekly Deliverable Status and Weekly Deliverable Exception reports for supporting documentation. The 12 monthly installment-based invoices will be based on the Takeover Project Plan as approved by DHCS. The first installment invoice will be submitted once the Takeover Project Plan is approved. Once all requirements have been met and the Proposer has six months of successful Operations, the final 20% of the Takeover fixed price will be invoiced.

The Operations invoicing will be subdivided into four payment categories: General CD-MMIS Operations—25%; Cycle Time—30%; Reports and Documentation—20% and Quality Management/Problem Correction Systems—25%. The Proposer accurately described the Base Volume Method of Payment (BVMP) calculations including the use of reports CP-O-495, CP-O-496 and CP-O-503B to produce the monthly Claim and TAR volumes. Supporting invoice documentation includes the Annual BVMP reconciliation payment report, Adjudicated Claim Service Line (ACSL) billing report, Treatment Authorization Request (TAR) billing report, and Consolidated ACSL and TAR billing report.

The Turnover invoicing will consist of 9 monthly installments totaling 55% of the Turnover fixed price with 9% withheld from each invoice. The final 45% of the Turnover fixed price plus the 9% withheld will be invoiced once all Turnover and Runout requirements are met.

The Runout invoicing will consist of 7 monthly installments totaling 55% of the Runout fixed price with 7% withheld from each invoice. The final 45% of the Runout fixed price plus the 7% withheld will be invoiced once all Turnover and Runout requirements are met.

(Tab F.1 pages 1-119 through 1-121)

39	A	Eval4	2	TeamB
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The Proposer adequately understands the process for requesting payment for Operations encompassing Takeover invoicing, Operations invoicing, and Turnover and Runout invoicing. As part of the requirements from the RFP, the Proposer plans on using iTRACE as the core repository of system requirements documentation. It allows traceability of requirements to test cases directly and allows the ability to track several metrics to determine appropriate payments. The Proposer has reviewed and acknowledges the Operations and Takeover invoicing process outlined in the Special Payment Provisions in Exhibit B of the RFP which includes detailing the monthly Operations invoice to include the Base Volume Method Payment (BVMP), provider payment, SG, and cost reimbursement elements. (Exhibit A, Attachment 1).

40	A	Eval3	2	TeamB
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The Proposer adequately described their approach and methodology for providing reporting and supporting documentation of Operations payments. The Proposer acknowledged the conditions precedent to payment. The Proposer also acknowledged and committed to meeting the requirements specified in Exhibit B, Attachment I, Special Payment Provisions; however no specific approach was given for meeting the precedent to payment or certification requirements. The Proposer described that its approach for reports and supporting documentation is working with the ASO contractor to develop the Claims and TAR reports. The reports to be submitted were described in detail and indicated their accompaniment with the monthly general CD-MMIS invoice. The Proposer described the use of monthly and annual reconciliation reporting.

(Tab F.1 Exhibit A Attachment I-Takeover pages F.1-119 and F.1-120) (Tab F.2 1 Exhibit A Attachment II-Operations pages F.2-270 and F.2-271)

Q Num	Proposal	Evaluator	Score	Comments
40	A	Eval4	2	TeamB
<p>The Proposer adequately describes their approach and methodology for providing reporting and supporting documentation of Operations payments. The Proposer explains that for providing certifications and reports for Claims and Treatment Authorization Requests (TAR) they will utilize an existing Billing Report format sent to DHCS. The Proposer understands that DHCS has a responsibility to its federal partners and understands that the reports that they provide are crucial to payment systems functioning correctly. Proposer A explains that they understand the monthly and annual reconciliation reports that are required. They will fulfill the requirements set forth in the RFP as they develop and produce the CD-MMIS Financial Management Manual for DHCS approval which is to be delivered within four months of contract execution. The monthly Operations invoice will be developed to include General CD-MMIS Operations Twenty-Five Percent (25 percent), Cycle Time Thirty Percent (30 percent), CD-MMIS Reports and Documentation Twenty Percent (20 percent), and QM/Problem Corrections Systems (PCS) Twenty-Five Percent (25 percent). Each of these categories has conditions precedent-to-payment that must be met before the invoice is paid. (Exhibit A, Attachment I – Takeover).</p>				
41	A	Eval3	2	TeamB
<p>The Proposer adequately demonstrated its understanding and compliance with the payment requirements detailed in Exhibit B, Special Payment Provisions and Exhibit E, Additional Provisions by acknowledging and addressing the requirements for each of the seven payment categories. In addition, the Proposer will use Corrective Action Plans (CAPs) to respond and mitigate issues discovered through quality measurement activities. The Proposer acknowledged and accepted possible liquidated and actual damages as a result of unsatisfactory performance.</p> <p>(F.1 Exhibit A, Attachment I –Takeover, pages F 1-118 through F 1-121)(Tab N Systems Group Procedures and Organization Plan, page N-38) (F.2 Exhibit A, Attachment II – Operations, pages 270 through 272)</p>				
41	A	Eval4	2	TeamB
<p>The Proposer demonstrates an adequate understanding and willingness to comply with the payment requirements detailed in Exhibit B, Special Payment Provisions and Exhibit E, Additional Provisions. The Proposer explains that they have reviewed and acknowledge the invoicing provisions in the RFP. For example, they have detailed the payment requirements for the fixed price Takeover which is to be paid in 12 equal installments as follows: the Proposer will submit 12 monthly installment invoices for payment by DHCS and after DHCS has approved, in writing, the required deliverables and the attainment of defined milestones, the invoice will be paid. If a deliverable is not approved, the payment will be withheld until the deliverable is approved. (Exhibit A, Attachment I).</p> <p>The Proposer acknowledges and accepts the payment requirements and liquidated damage sections contained in Exhibit B, Special Payment Provisions and Exhibit E, Additional Provisions. Liquidated and actual damages may be assessed for unsatisfactory performance. Proposer A explains that they realize that they must take action when results from measurement activities point to issues. The Proposer will develop and implement a corrective action plan (CAP) that is available to DHCS which includes actions to be taken, estimated resolution date, and current status of resolution process. The Proposer understands that liquidated and actual damages may be assessed for unsatisfactory performance. (Exhibit A, Attachment I).</p>				
42	A	Eval3	3	TeamB

Q Num	Proposal	Evaluator	Score	Comments
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The Proposer more than adequately demonstrated a working knowledge and understanding of the erroneous payment correction (EPC) process by accurately describing what an EPC is and how and who initiates the EPC. The Proposer also described the need to coordinate with the ASO contractor to correct payments, adjust records and described the steps in the EPC process to be utilized to complete the correction. The steps in the EPC process align with the contract requirements. The Proposer acknowledged that if a problem affected claims payment then the Problem Statement process would correct the problem before the EPC was started. To link the problem statement with the EPC, the problem statement and interim response would note that an EPC is needed.

(Volume 1, Tab F.3, pages 79 and 82; and Volume 2, Tab M, pages 48-50)

42	A	Eval4	2	TeamB
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The Proposer demonstrates an adequate working knowledge and understanding of the erroneous payment correction (EPC) process. When problems effect claims payments, the Proposer explains that they will document the change that needs to occur, and once DHCS gives approval, they will begin the EPC process. The Proposer will create PSs to allow them to process the solution quickly and then provide DHCS with a sample of the claim lines selected for reprocessing a description of the selection criteria, and provide a minimum of 50 claim lines that require reprocessing. The goal of this process is to correct the system, select the claims in error, and process those claims through the system in a test environment. The Proposer explains that they will work diligently with the ASO contractor to make the EPC process a smooth one. (Exhibit A, Attachment III - Change Requirements).

43	A	Eval3	3	TeamB
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The Proposer more than adequately demonstrated a knowledge and understanding of the services to be provided as described in the Turnover/Runout Plan. The Proposer will submit a Turnover Work Plan, based on a previous successful Turnover Plan and modified for inclusion of specific DHCS's tasks and activities. The Proposer's approach to Turnover and Runout include the use of consistent and formalized project management, a communications plan, a staff transition plan, a comprehensive training program and chain of custody. The chain of custody is a process developed by the Proposer which tracks and reconciles the disposition of all CD-MMIS documentation and contract-related correspondence transmitted from the Proposer to the new/successor contractor. The Proposer also acknowledges that for Runout it will continue to carry out the contract requirements, provide the required services, and activities beginning with the startup of TAR processing by the new/successor contractor through the end of the Proposer's contract.

(Tab F.4 Exhibit A, Attachment IV –Turnover and Runout pages F.4-1, F.4-9, F.4-30)

43	A	Eval4	3	TeamB
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Proposer A more than adequately demonstrates a knowledge and understanding of the services to be provided as described in the Turnover/Runout Plan. Proposer A has experience in this area having completed a Turnover with DHCS recently, and was given accolades for their performance in said activities. Proposer A provides for payment of the potential Turnover/Runout of the contract to be borne by the Contractor. Proposer A will provide the detailed turnover project plan for DHCS approval and a detailed plan for transfer of the Data Library. The Chain of Custody log specifically highlights the attention to protection of PHI and how to safeguard it. Of note, the Runout plan is phased in a time-based format which makes it particularly user-friendly and amendable to the strict timeframes that one can anticipate at the end of contractual operations. (Exhibit A, Attachment IV – Turnover and Runout; Exhibit B, Attachment 1, Special Payment Provisions).

44	A	Eval3	3	TeamB
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Q Num	Proposal	Evaluator	Score	Comments
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The Proposer more than adequately illustrated its knowledge and understanding of the record retention requirements and responsibilities as the custodian of all claims payment records by highlighting its experience through current custodianship of 19 Medicaid programs and its familiarity with CD-MMIS records retention requirements through current work. The Proposer will continue to use IBM Image OnDemand as an image repository but proposes a new environment in an alternate data center. The IBM Image OnDemand will provide for the capture, management and security of claims, TASs, attachments, forms, letters and correspondence. The Provider will use the CD-MMIS databases to store the provider related data records. In a separate repository, SharePoint, the Proposer will store its business and financial documents/records in compliance with the contract and California state law required.

(Volume 1, Tab F.2 pages 31,344, 345, and 348)

44	A	Eval4	3	TeamB
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The Proposer more than adequately illustrated its knowledge and understanding of the record retention requirements and responsibilities as the custodian of all claims payments records. Proposer A explains that they follow specific guidance in creating a records policy that allows for on-demand access to a document repository for claims records, TAR documents, forms and letters and the CD-MMIS database for claims payment data records. For Proposer A's corporate business and financial records, they will utilize an enterprise SharePoint site with the Operations Director responsible for executing Records Retention responsibilities. Proposer A currently houses the claims payment records of 19 Medicaid programs around the country and demonstrates an understanding of the importance of record maintenance and retention for auditing and litigation purposes. The retrieval services that they will offer combine an understanding of specific rules for record retention, record preservation, ease of retrieval and security for records that have been retrieved. (F-2 Exhibit A. Attachment II – Operations page F-2-343-362)

1	B	Eval1	3	TeamA
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Proposer B provides a more than adequate response to demonstrate knowledge of and commitment to building and supporting the multiple environments, technical and physical, required for comprehensive California Dental-Medicaid Management Information System (CD-MMIS) mainframe and non-mainframe testing processes.

Proposer B's response includes comprehensive and complete listings of mainframe and non-mainframe components, manual and automated processes, with detailed explanations of testing protocols to be used for each testing phase.

Proposer B provides a more than adequate response reflecting a solid understanding of resources required to adequately operate and manage the California Integrated Database Management System (IDMS), including physical environment needs, hardware and software, structured retention, storage, back-up and recovery processes and facilities. Proposer B's response recognizes the unique staffing needs with appropriate resource allocation and contingencies for backup and training options.

Proposer B's response demonstrates understanding of the Pseudo-Relational nature of the IDMS, providing descriptions of its use in supporting operational business requirements.

2.0 Proposing Firm's Capability

Entire Plans: 4.0 Work Plan; 7.0 Facilities Plan; 9.0 System Test Plan; 11.0 Quality Management Plan; 12.0 Systems Group Procedures and Organization Plan; 13.0 Enterprise Project Management Office Plan; 14.0 Acceptance Testing Plan

Q Num	Proposal	Evaluator	Score	Comments
1	B	Eval2	3	TeamA

The Proposer more than adequately understands that the California Dental Medicaid Management Information System (CD-MMIS) that supports the Denti-Cal program is a complex set of seven interrelated subsystems.

The Proposer states that as changes occur they will thoroughly test each change to ensure it is ready for Acceptance Testing. The Proposer states that System Testing will include processing of hard-copy and electronic dental claims, Treatment Authorization Requests (TARs), Notice of Authorizations (NOAs), Claim Inquiry Forms (CIFs) and related documents and functions. The Proposer states that they will also perform system testing of claims and related documents and functions for the Genetically Handicapped Persons Program (GHPP), Healthy Families (HF) Program, California Children's Services (CCS) Program and Department of Developmental Services for Regional Center Consumers. The Proposer states that they will test manual, clerical and automated functions of CD-MMIS, including verifying edits and audits, checking interfaces, computer programs, system files and job control language (JCL); as well as producing paid claims files and reports. Testing will also validate links between programs and subsystems. The Proposer states that some of the procedures to be tested include input preparation, data capture and correction, manual pricing, eligibility, checks and recoupment, to name a few. The Proposer states that in addition to a Takeover Director, the system testing functions will be closely monitored and supported by Takeover EPMO staff and Takeover Quality Management (QM) staff. The Proposer states they have the necessary infrastructure to support and maintain the separate Takeover system test environment, including: Computer Hardware, Vendor Software, CD-MMIS Test and Production Files, and Libraries and Computer operations. The Proposer states that they will perform interface testing with data exchange stakeholders, such as Information Technology Services Division's (ITSD's) Fiscal Intermediary (FI) Access to Medi-Cal Eligibility (FAME)/External Interface Test Environment (EXITE) and Medi-Cal Eligibility Data System (MEDS) data sets. The Proposer states they will conduct performance testing to verify that systems perform properly with the daily load of transactions. The Proposer explains their Acceptance Testing plan by developing an Acceptance Test Strategy, Methodology and Schedule. The Proposer states they have a Project Personnel Plan, which includes a Personnel plan staffing chart, job descriptions, and key management personnel and resumes.

F1-3 page 3.8, 9-1 9-4 9-7 9-10, 9-18, 9-20, 9-26, 14-1-13

2	B	Eval1	3	TeamA
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Q Num	Proposal	Evaluator	Score	Comments
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Proposer B's response is more than adequate to demonstrate understanding of the effort to build the IDMS. Proposer B's response reflects a strong understanding of staffing resources and skill requirements needed to effectively maintain and modify the IDMS and indicates more than adequate knowledge of database design and usage of utilities used to perform database unloads, reloads, database reorganization, expansion and restructures.

Proposer B's response indicates understanding of an appropriate level of responsibility for contract-wide security and confidentiality functions with establishment of a dedicated Information Security and Privacy Officer (ISPO), a Security Risk Assessor and a Policy Specialist. Proposer B offers a comprehensive Security and Confidentiality Plan, requiring initial and refresher mandatory training of Security Policy and Procedures for all staff. Proposer B's response indicates usage of Resource Access Control Facility (RACF) as a primary access control and auditing function security system for all online mainframe CD-MMIS data in addition to various other security software listed in their Security and Confidentiality Plan.

Proposer B's response indicates an approximate size of the CD-MMIS database as 342 gigabytes and asserts their experience provides them with an understanding of the complexities, sequencing and time needed to perform each function related to loading the data.

Proposer B provides a more than adequate response proposing to use existing change instruments to authorize and support day-to-day operational change requests. Proposer B's Change Management Plan outlines the governance workflows specific to each change instrument to ensure consistency in approach across the portfolio. A newly established Enterprise Project Management Office (EPMO) will manage the change process under a shared responsibility with the Department of Health Care Services (DHCS) and the Administrative Services Organization (ASO).

Entire Plans: 4.0 Work Plan; 5.0 Takeover Project Plan; 8.0 Security and Confidentiality Plan; 12.0 Systems Group Procedures and Organization Plan; 13.0 Enterprise Project Management Office Plan

2	B	Eval2	3	TeamA
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The Proposer more than adequately understands the effort to store, retrieve and manipulate the data necessary to provide California Medicaid Dental services.

The Proposer states that they will develop, maintain and annually update a Security and Confidentiality Plan that addresses the physical security of the building, building contents, files and associated data. The proposed plan also addresses the system security measures that protect the software (both mainframe and non-mainframe) and control access to the data center, computer programs, files, system components, data preparation areas, mailroom, data entry areas and storage vaults. The Proposer states that they have processed 42 million claims with an accuracy rate of 99.5 percent. The Proposer states that if successful in their bid they will ensure that CD-MMIS is maintained, updated and available to provide uninterrupted access to care for 12.5 million beneficiaries through reliable eligibility transactions, provider data, document processing and prompt provider payments. The Proposer states that they will use existing procedures and documentation as the foundation for change requirements, as approved by the Department of Health Care Services (DHCS) and have provided an overview of their change requirement activities. The Proposer states that as changes to CD-MMIS arise, their EPMO and Systems Group (SG) staff will evaluate the impact of changes to both the mainframe and non-mainframe systems, including data elements, record layouts, files and business rules to be sure all interfaces and functions perform as intended.

FI-1: Page 1-1,1-3, 4-328-332, FI-3: 8-4, FI-4: 12.9

3	B	Eval1	3	TeamA
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Q Num	Proposal	Evaluator	Score	Comments
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Proposer B's provides a more than adequate response to demonstrate Proposer B has in place the hardware necessary to operate the CD-MMIS. Proposer B currently hosts the various mainframe and non-mainframe components of CD-MMIS and plans to continue to host all the mainframe and non-mainframe components that support CD-MMIS which are assigned to the Fiscal Intermediary (FI) contractor. Proposer B response indicates Proposer B has reviewed the currently installed hardware and equipment against Request For Proposal (RFP) requirements and will develop a Hardware and Equipment Acquisition Installation (HEAI) Plan for submission to the Department one month from contract effective date.

Proposer B's response indicates the proposed system including teleconferencing and telecommunications equipment is scalable to meet the volume of claims, calls, and ancillary services required to operate the CD-MMIS. Proposer B agrees to customize and upgrade the system during the new contract to ensure that it fully supports contract operations.

Proposer B's response includes listing of existing hardware used to support CD-MMIS and new hardware proposed. Proposer B indicates intent during Takeover, to re-evaluate the hardware and equipment required to support FI contract functions to determine if replacement or upgrade is required, to support FI contract functions. Proposer B's response indicates any identified hardware or equipment will become part of the HEAI Plan submitted to the Department one month after contract effective date.

2.0 Proposing Firm's Capability

Entire Plans: 4.0 Work Plan; 7.0 Facilities Plan; 12.0 Systems Group Procedures and Organization Plan; 13.0 Enterprise Project Management Office Plan

3	B	Eval2	2	TeamA
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The Proposer adequately has in place the hardware necessary to operate the CD-MMIS.

The Proposer states that in their Work Plan there are numerous non-mainframe application systems that they must host as the FI contractor. The Proposer states that they will provide the software, hardware, licenses, refreshes, upgrades and documentation for each in accordance with the Request for Proposal (RFP) requirements. The Proposer states that for over 40 years they have been successful in acquiring and installing the necessary hardware and equipment to support activities of Medicaid. The Proposer states that they have the hardware and equipment to operate the CD-MMIS system, including: Mainframe Hardware and Equipment, Shared Hardware for Non-Mainframe Systems, Non-Mainframe Hardware and Equipment Inventory, Multi-Function Printers and Personal Computers (PC's)/Workstations and Smart Phones. The Proposer states that their computer systems and technologies are compatible with Department of Healthcare Services (DHCS) standards for hardware and software configurations. The Proposer states that they have a history of successfully operating and managing large-scale data processing systems, administering government contracts and delivering high-quality, accessible dental services. The Proposer states that they will provide the following ancillary services, including Data Center Equipment Maintenance, Data Storage and Backup, Emergency Backup Facility and Equipment Replacement, Emergency Print and Mail Services.

FI-1: Page 4-20, 4-112-116, 4-182, FI-3 7-13

4	B	Eval1	3	TeamA
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Q Num	Proposal Evaluator	Score	Comments
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Proposer B's response is more than adequate, reflecting an infrastructure, (processes, procedures, and personnel) in place to execute jobs, produce CD-MMIS reports and backup data off-site. Proposer B's response indicates more than 40 years' experience providing processes, procedures and personnel to operate CD-MMIS. Proposer B's response demonstrates a clear understanding of all aspects of CD-MMIS and the requisite resources and skills needed to successfully operate and maintain system functions including daily, weekly, and monthly jobs, with appropriate recovery and backup processes.

Proposer B intends to use their existing data center, facilities, staff, systems, procedures and documentation as the foundation for meeting Request for Proposal (RFP), requirements. Proposer B proposes to employ a fully tested Business and Continuity Plan which addresses adequate backup and recovery for all operations, both manual and automated, (including both mainframe and non-mainframe systems and applications) required to meet the backup and recovery time frames specified in the RFP. Proposer B plans to continuously modify the Business and Continuity Plan to cover any additional systems and/or applications added during the term of this contract.

Response indicates Proposer B will subcontract for Data Center Equipment Maintenance with prime shift coverage for the Data Center available between 7 a.m. and 7 p.m. Monday through Friday and on-call coverage for the Data Center provided for all other hours, with a committed response time of two hours or less. Proposer B's response demonstrates a satisfactory process for ensuring the subcontractor has the ability to successfully perform all responsibilities under the contract which includes setting the parameters and tone for collaboration, implementing comprehensive written subcontractor agreements and remaining actively involved with subcontractor activities throughout the term of the agreement.

2.0 Proposing Firm's Capability; 3.1.3. Management of Subcontractors

Entire Plans: 4.0 Work Plan; 6.0 Project Personnel Plan; 7.0 Facilities Plan; 12.0 Systems Group Procedures and Organization Plan

8.7.1 Approach to Security and Confidentiality and Privacy throughout Operations

4	B	Eval2	3	TeamA
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Q Num	Proposal Evaluator	Score	Comments
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The Proposer more than adequately states that they have a work plan that is divided into 5 major sections that correlate to the RFP Scope of Work (SOW) requirements for the expansion items, change requirements and three contract phases.

The Proposer describes the personnel that will be working on the new contract if this bidder is successful. The Proposer's key staff includes a Vice President and Contractor Representative, a Takeover Director, Takeover Testing Manager, Takeover EPMO Director, etc. The Proposer understands the batch processing nature of the CD-MMIS that dictates the duration of the nightly, weekly, monthly, quarterly and annual processing cycles. This includes the nightly cycle, which must be completed accurately and in its entirety before each workday begins. The Proposer understands that any disruption to the cycle in the future would prevent the Administrative Services Organization (ASO) contractor from performing its daily responsibilities and keep both contractors from meeting performance. The Proposer has identified the hardware and equipment that will be needed against RFP requirements standards. The Proposer states that their operational readiness requirement tasks include realigning Post Office boxes for provider submission of TARs and claims documents without interruption, establishing toll-free telephone lines and developing provider notifications for billing and communications. The Proposer, if successful in their bid, will use existing facilities, staff, systems, procedures and documentation as the foundation for Operations activity, as approved by DHCS. The Proposer states they have a Project Personnel Plan, which includes a Personnel plan staffing chart, job descriptions, and key management personnel and resumes. The Proposer acknowledges their understanding and acceptance of DHCS rules applicable to billable and non-billable SG activities. The Proposer states that all SG staff will be trained on contract timekeeping provisions and monthly invoices will be prepared in accordance with RFP requirements. The Proposer has worked with a subcontractor on prior projects such as the development of a central repository, a project management and reporting system, and an invoicing system. The Proposer may use other subcontractors and will use key techniques to perform effective subcontractor monitoring and management. This agreement with the subcontractor would include setting parameters, implementing written subcontractor agreements and being actively involved with the subcontractor.

FI-1, Page 2-29-31, 4-10, 4-19,4-29, 4-117, 4-169

5	B	Eval1	3	TeamA
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Q Num	Proposal	Evaluator	Score	Comments
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Proposer B's response more than adequately meets the organizational structure for the Systems Group (SG) as described in Exhibit A. Attachment III. Proposer B's response reflects a unified management approach incorporating 36 staff in the SG supplemented with 9 EPMO team members and active participation of the Quality Management (QM) team. This approach is intended to ensure effective governance of projects and allows for routine independent appraisals of SG performance. The SG Director will report directly to the Contractor Representative, enabling high visibility and oversight within the organization.

Proposer B's response more than adequately demonstrates a comprehensive staffing model to meet the appropriate levels and classifications needed to support the beginning of full CD-MMIS operations. Proposer B's proposed SG staffing meets the requirement to have 60% of the SG staff at the senior level with a ratio of staff to first line managers of no more than 8:1.

Proposer B provides a more than adequate response to organize and manage the appropriate resources for all development projects utilizing the EPMO's professional project management methodologies and standards supported by various Commercial-Off-The-Shelf (COTS) tools. For example, proposed tools allow for the management of resources across the portfolio and at an individual project level with dashboard displays of resource allocation by person for all projects. Overall, Proposer B's approach to use the EPMO to track and control project status is sound and consistent with RFP requirements.

Entire Plans: 4.0 Work Plan; 6.0 Project Personnel Plan; 12.0 Systems Group Procedures and Organization Plan; 13.0 Enterprise Project Management Office Plan

5	B	Eval2	3	TeamA
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The Proposer more than adequately states that their SG Procedures and Organization plan supports the ongoing activities of the CD-MMIS which drives Denti-Cal Operations.

The Proposer understands that the CD-MMIS system relies on embedded rules, various reference tables and a large number of files with constantly changing program policies, payment amounts and dental criteria, and indicates that their staff have an in-depth knowledge and understanding of the CD-MMIS system. The Proposer states that the SG will be fully staffed, trained and equipped to perform all duties one week before the assumption of TAR processing. The Proposer states that the SG will be organized into three areas of responsibility: Non-Mainframe and Combined Projects, Mainframe Projects and Business Rules Extraction (BRE), and Special Projects. The Proposer states that each team will be led by a SG project manager and staffed with programmers, system designers, systems analysts and testers. The Proposer has prepared a Staff Loading Chart which includes the following elements: titles of all proposed FI contract positions, number of personnel in each position, and the full-time equivalent (FTE) or percentage of staff time the Proposer's staff will devote to the FI contract. The Proposer states that their managers are committed to project management and will assess, control, track and report all changes and other projects throughout the contract term. The Proposer states that their EPMO will perform change release management duties and ensure that all SG and other project tasks are compatible with CD-MMIS business Operations and are completed on schedule. The Proposer states that EPMO project managers will review new and established projects to identify conflicts in resources or schedules due to prioritizations by DHCS and will work with the ASO to develop a recommendation to accomplish DHCS objectives.

FI-1, Page 4-28, FI-3, 6.3, FI-4 12.1, 12.5, 13.8

6	B	Eval1	2	TeamA
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Q Num	Proposal	Evaluator	Score	Comments
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Proposer B's response reflects an adequate approach to provide ongoing monitoring and maintenance processes to ensure capacity and volume of database areas and indexes meet the needs of CD-MMIS. Proposer B's response indicates their intent to use the SG to identify system inefficiencies and risks. Proposer B's non-SG Information Technology (IT), staff will proactively monitor system databases and indexes to avoid out-of-space and other system disruptions or degradation and maintain system up-time and performance standards.

Proposer B's non-SG IT staff will maintain the Denti-Cal non-mainframe systems to ensure systems meet system availability performance standards, and ensure hardware and software system integrity. Monitoring will include but not be limited to storage, file and data size, to prevent out-of-space errors.

Proposer B's response is adequate to control and measure the effectiveness and accuracy of the system. Proposer B describes a structured approach to SG system testing processes intended to produce valid results that emulate real-world CD-MMIS experience; ensuring tests contain required data and are catalogued, scheduled, executed and evaluated according to plan.

Proposer B proposes to use the Acceptance Testing process to test all system business areas, including the interfaces and requirements for both mainframe and non-mainframe systems and to confirm system load capability, response time, and security control.

Proposer B's response is adequate to respond to potential out-of-space errors through proactive monitoring by SG and Proposer B's non-SG IT staff.

Proposer B's response to staffing for the SG, supplemented by Proposer B's contract IT staff and supported by proposed software tools, reflects a sound approach to implementation and maintenance of CD-MMIS changes. Proposer B's proposal reflects a comprehensive staffing model which meets the appropriate levels and classifications to support the beginning of full CD-MMIS Operations and thereafter.

Entire Plans: 4.0 Work Plan; 7.0 Facilities Plan; 11.0 Quality Management; 12.0 Systems Group Procedures and Organization Plan; 13.0 Enterprise Project Management Office Plan

6	B	Eval2	2	TeamA
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Q Num	Proposal Evaluator	Score	Comments
The Proposer adequately offers procedures and methods to monitor database areas.			
The Proposer indicates that an important consideration of maintenance and modification of the CD-MMIS is the fragility of the system. The Proposer states this is based on the size, age, complexity, alterations, enhancements and adaptations the system has undergone. The Proposer states that they have a central role in maintaining the viability of the CD-MMIS for the length of the FI contract. This requires the Proposer to have a full understanding of all CD-MMIS mainframe and non-mainframe systems as well as the day-to-day operations they support. The Proposer states that they monitor system performance and capacity to prevent out-of-space errors. The Proposer states that volume, stress and parallel tests will be conducted in accordance with DHCS directives to demonstrate the ability to process expected CD-MMIS workloads accurately and within RFP-required time frames. The Proposer states that volume and stress tests will be conducted when a problem to be tested is identified because of volume/stress capacity, when there is a diminished response-related issue or when there is a need to simulate a large number of users/records on the system in order to test a correction/enhancement. The Proposer states they will monitor, schedule and run all production, system test and user acceptance test jobs and cycles, including regression testing. The Proposer states that their QM Program is designed to systematically identify methods to prevent errors and inefficiencies based on the results of ongoing measuring and monitoring functions. These monitoring and measuring functions include reviewing production, program changes, manual documentation, analysis of all errors detected, etc. The Proposer lists the varied staff that will be responsible for implementation and maintenance of the contract.			
FI-1, 4.5, FI-3 6.4, 6.4.1, 7.2, 11.12, FI-4, 12.2 12.6,12-97, FI-3 Exhibit 6.0			

7 B Eval1 2 TeamA

Proposer B's response is adequate to demonstrate their approach and methodology to implement and provide the ongoing operational maintenance support for all current non-mainframe systems and those to be developed during the contract period. Response identifies all current non-mainframe systems and proposes to use non-SG IT staff and SG staff collaboratively to support CD-MMIS non-mainframe systems. Non-SG IT staff will provide the hardware and operating system software and SG will ensure the hardware applied, software upgrades and patching do not impact Denti-Cal Operations.

Proposer B commits to provide the software, hardware, licenses, refreshes, upgrades and documentation for non-mainframe systems in accordance with RFP provisions. Proposer B agrees to support additional equipment, Personal Computers (PCs), software/hardware components purchased or exchanged by the DHCS to support new functions and staff on existing systems, and provide connectivity and support for these components as necessary without incremental costs. Proposer B's response is inclusive of FI contractor-owned workstation hardware/peripherals used currently by FI staff.

Response indicates Proposer B understands their responsibility for providing the network infrastructure to support all authorized PC connectivity to host computers during required business times, with downtime not to exceed RFP specifications. Proposer B's response offers a network that is fully redundant, fully meshed and monitored with automatic 24/7 alerting capabilities and supported by experienced Systems Administrators and well-qualified technical help support staff located onsite. Support includes file-server backup/recovery procedures for State staff, maintaining a secure network software configuration and network manuals/documentation, providing training as needed on CD-MMIS related applications and problem escalation procedures.

Entire Plans: 4.0 Work Plan; 7.0 Facilities Plan; 12.0 Systems Group Procedures and Organization Plan; 13.0 Enterprise Project Management Office Plan; 14.0 Acceptance Testing Plan

Q Num	Proposal	Evaluator	Score	Comments
7	B	Eval2	3	TeamA

The Proposer more than adequately describes their approach and methodology to support non-mainframe systems.

The Proposer states that they understand that the legacy mainframe CD-MMIS is vulnerable due to its aged technology and the overall web of mainframe subsystems and non-mainframe systems that has reached a point of complexity that makes ongoing maintenance and changes increasingly risky. The Proposer states that they have subject matter expertise in many technical disciplines and knowledge of how to apply that expertise within the context of the legacy CD-MMIS mainframe and non-mainframe systems and Denti-Cal Program Policy. The Proposer states that they have knowledge of the various non-mainframe systems that have been added to the CD-MMIS environment. The Proposer states that they are aware of the numerous non-mainframe application systems that a winning bidder will have to host. The Proposer states that they have experience enhancing the CD-MMIS system with a complex mainframe and non-mainframe environment that has accommodated technology changes, new policy initiatives and growth. The Proposer states that they have experience managing and executing changes to the CD-MMIS including supporting mainframe and non-mainframe systems. The Proposer states that they can provide equipment maintenance, data storage/backup, emergency backup facility and equipment replacement and emergency print/mailling services. The Proposer states that changes to QM methods, procedures and functions may be necessary or beneficial as a result of evolving quality industry standards, program policy changes, contractual changes or CD-MMIS mainframe and/or non-mainframe application changes. The Proposer states that they use high performance desktop computers to support Dental operations. They further state that staffs are supplied with personal computer workstations configured to accommodate their specific duties that have connections to the core network at their Data Center. The Proposer states that they will maintain System Administrators in all Contractor facilities to support the CD-MMIS network and State staff.

FI-1, 1.0, 1.8, 4.1.3, 4.1.3.3, 4-20, 4.3.7, 4-112, 4.4.8.3, 4.5.2, 4-328, FI-3, 7.2.5, 11.6, 11-39

8	B	Eval1	3	TeamA
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Q Num	Proposal	Evaluator	Score	Comments
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Proposer B provides a more than adequate response describing the implementation of changes mandated by policy, regulation, statute, or judicial interpretation or directed by the DHCS. Proposer B's response describes a coordinated, collaborative, inclusive process led by the EPMO professionals who will provide the leadership, knowledge, skills and tools to apply appropriate industry standards and best practices to all change projects. Response indicates the EPMO will have lead responsibility for gathering and disseminating information on change requests to DHCS, SG, ASO, FI contract staff and others as needed.

Proposer B's response recognizes the need to fully engage FI staff, the ASO contractor counterparts and DHCS in order to achieve program changes accurately, timely and within budget. Response indicates intent to develop collaboratively a cohesive training approach to address all FI and ASO responsibilities without duplication and to promote a shared understanding of program policies and procedures related to the CD-MMIS mainframe and non-mainframe systems and functions. Proposer B's response reflects an understanding of the ASO role as a major user of CD-MMIS functions and a commitment to work closely with appropriate ASO staff at multiple points in each project work plan.

Proposer B's response demonstrates a thorough understanding of change instruments utilized across the contract. Proposer B's response indicates an awareness of the future interrelationships of the FI contractor and the ASO, and the functional dependencies of the various change processes. Proposer B's response includes the establishment of customized, standardized workflows for each project type.

Entire Plans: 4.0 Work Plan; 12.0 Systems Group Procedures and Organization Plan; 13.0 Enterprise Project Management Office Plan; 14.0 Acceptance Testing Plan; 15. Business Rules Extraction

8	B	Eval2	3	TeamA
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Q Num	Proposal Evaluator	Score	Comments
The Proposer more than adequately describes their approach to implementing changes.	<p>The Proposer states that, if successful in their bid, they will augment their team with project management professionals and technical staff that can apply best practices and technology to manage and execute change projects. The Proposer states that their EPMO will have a vital role in making DHCS-approved changes across all business areas and describes the entities that they will work with, including DHCS, the ASO and other State and federal agencies. The Proposer states that, if successful in their bid, they will manage the change instruments, such as System Development Notices (SDNs), Dental Operating Instruction Letters (DOILs), Change Orders (COs) and Ad Hoc reports, to name a few. The Proposer states they will prepare a Change Management Plan for DHCS approval that documents the workflows applicable to each change instrument, such as roles and responsibilities, policies, processes, guidelines and procedures. The Proposer states that an element of their Change Management Plan is ongoing risk identification, severity and probability assessments and corresponding resolution and escalation protocols. The Proposer states that their EPMO staff and SG management team will work closely with DHCS to provide accurate assessments of potential changes and other projects. This may include schedule, resource and cost impacts to assist DHCS in evaluating and prioritizing projects. The Proposer states that they will interact regularly with EPMO staff to evaluate overall SG performance, methods and activities and to update project plans as work plan milestones and deliverables are satisfactorily completed. The Proposer understands that they will rely on the ASO contractor to notify them when changes are needed to CD-MMIS manuals and to submit deliverables that the EPMO must transmit to DHCS within required time frames. The Proposer states that in collaboration with the EPMO, Information Security and Privacy Office (ISPO) and ASO contractor, the SG will participate in project definition analysis and identification of general functional requirements, risk management, acceptance test data and more. The Proposer states that if successful in their bid, they will prepare a Business Requirements Document (BRD) template that will begin the consultative process between the EPMO, SG and other internal staff and the ASO contractor to develop the project plan and submit it for DHCS approval.</p>	FI-1, Page 4-26, 4-29, 4.2.12, FI-3,11-25, 11-27, FI-4,12-67,12-72,12.9	9      B      Eval1      3      TeamA

Q Num	Proposal Evaluator	Score	Comments
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Proposer B provides a more than adequate response providing a description of the estimation tools, methodology, metrics and project control processes employed to support implementation of CD-MMIS changes. Proposer B proposes to utilize modern COTS tools to provide reliable, accurate estimates including schedule, resource and cost impacts. Tools and processes are more than adequately described in Proposer B's response, such as: the creation of a baseline inventory of application infrastructure to evaluate the scope/complexity of proposed system changes and to provide standardized system documentation and artifacts; the use of the McCabe Cyclomatic Metric (MCC) scale to measure program code complexity; the capability to extract system meta-data for source code analysis; the capture and traceability of business requirements to specific estimation components; the provision of dynamic dashboards to create "what-if" scenarios by reassigning resources and/or revising project priorities to evaluate the impact of possible changes; and the ability to view forecasts of schedule effort and costs based on performance to date.

Proposer B's response describes the EPMO's primary role and the processes that will be used to ensure that all projects in the CD-MMIS portfolio conform to State and industry standards and practices, and adhere to the RFP-prescribed System Development Life Cycles (SDLCs), established for changes to CD-MMIS mainframe and non-mainframe systems.

Proposer B's response reflects their intent to retain all project data changes by user, date and time to provide complete audit capabilities and comparisons between estimated and actual schedules and resource allocations. This information will be reviewed by the EPMO, SG, QM, the ASO contractor and DHCS staff during the project closeout phase of each project to evaluate accuracy of the resource and schedule estimation process, quality/acceptance of deliverables and overall efficiency. The lessons learned from these reviews will be used to drive subsequent project management decisions and estimates and estimating methodology.

Proposer B's proposed staffing levels, functional responsibilities and qualifications are well defined and appropriate. Proposer B's response reflects a comprehensive, collaborative and transparent approach to project management relying on appropriate governance and data driven processes to inform and support all project activities including oversight, planning and decision making activities.

Entire Plans: 4.0 Work Plan; 12.0 Systems Group Procedures and Organization Plan; 13.0 Enterprise Project Management Office Plan

9	B	Eval2	3	TeamA
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The Proposer more than adequately describes their processes to support changes to the CD-MMIS.

The Proposer states that for CD-MMIS change projects or related requests, the EPMO Project Manager (PM) will work directly with the SG director and applicable SG team manager to develop a preliminary work plan with detailed estimates of hours, cost and resource allocations. The Proposer states that their PM will evaluate and discuss the SG proposed task and resource requirements using their experience with similar Information Technology (IT) projects, past experience on similar projects and empirical data from the IT project estimation tools used in preparing the estimate. The Proposer states that they will provide an extensive array of resource management features that will enable the EPMO PM and SG manager to see available and allocated resources by position, staff member and project to select the most appropriate staffing plan for each project. The Proposer states that work plans will also include key tasks, Work Breakdown Structure (WBS) hierarchies, estimates, dependencies and deliverables and resource allocations. The Proposer states that as system development projects move through the overall project plan and System Development Life Cycle (SDLC) phases, there will be time frames and accuracy standards defined for key elements of the phase. The Proposer states that these standards will be clearly defined in the SG Performance and Quality Monitoring Plan prepared during Takeover.

The Proposer states that, at a minimum their standards and metrics will address Design Standards, Documentation Standards, Coding Standards, Testing Standards and Practices. The Proposer states that if successful in their bid, during Takeover, they will engage an independent third party IT consultant to assist in establishing the initial standards and metrics. The Proposer states that they will review these at least annually with an independent consultant working with QM, the EPMO and SG leadership to continually improve estimating methodologies and optimize productivity and quality. The Proposer states that their EPMO will ensure that all projects conform to State and industry standards and practices, including application of prescribed SDLCs established for changes to CD-MMIS mainframe and non-mainframe systems.

The Proposer states that the EPMO PM will generate and maintain reports to document baseline project plans and schedules for tracking, monitoring and continually improving project management functions. The Proposer states that they will work closely with the QM to evaluate overall SG performance and individual SG members. This will be accomplished by ongoing reviews that include assessing quality of work using multiple metrics (number of system test and acceptance test defects number of deliverables requiring revisions prior to submittal and work product sampling). The Proposer will also assess methodologies to ensure efficient and effective practices (evaluating documented methods to identify improvements comparing actual methods to approved methods to identify non-conformance and determining members' mastery of skills/methods). In addition the Proposer states that they will be assessing resource estimating capabilities (reviewing project variances in actual versus estimated time and resources and reviewing staff skills and tool capabilities) and ensuring SG activities are consistent with CD-MMIS business operations (reviewing overall SG capacity versus services delivered).

The Proposer states that they have a pool of experienced dental health care staff and if selected as the winning bidder, will try to achieve and maintain a 60 percent target for senior-level staffing in the SG. The Proposer states that they will meet most of their hiring needs from within their existing organization, with additional staff provided by subcontractors. The Proposer identifies the names and position titles of each key member of their proposed Management Team and describes the duties and responsibilities of these managers. The Proposer states that their Management Team will have the primary responsibility for managing, directing, overseeing and coordinating the work of assigned staff, subcontractors and independent consultants. The Proposer has described their staff duties using staff loading charts. The Proposer states that if successful in their bid, their Takeover EPMO director will oversee training on project management principles and practices, EPMO tools and SDLC methodologies. They further state that training will be provided to the EPMO, SG, QM, and other designated FI staff and the ASO contractor's QM and change support staff to ensure timely and accurate completion of Department-approved changes and requests and resolution of problem statements (PSs). The EPMO and QM staff will monitor SG estimating and performance metrics on an ongoing basis, as well as annually, to work with the SG to continuously increase quality, cost and schedule measures throughout the contract term.

4.1.1.1, 6.2.1.3.6, 6.4.1, Attachment 6.0.1, 12.2.2.1, 12.3.1, 12.12, 13.8

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10	B	Eval1	3	TeamA	
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Proposer B provides a more than adequate response offering comprehensive and technically sound procedures, methods and approaches of Design, Development and Implementation (DD&I), for all system/process changes to CD-MMIS within the phase and deliverable structure of this contract. Proposer B's response describes utilizing an approved SDLC method that conforms to RFP and State and industry standards with the SDLC activities and deliverables embedded in the project life cycle at the outset of each DHCS-approved change request. Response indicates the work plan schedule will take into account RFP-specified timeframes for deliverable submittals, walkthrough schedules and DHCS review periods. Proposer B's response indicates each required deliverable will meet contract documentation standards as specified under RFP Operations, Data Processing and Documentation Responsibilities. The exchange of all deliverables and other related documents among the SG and other FI staff, the DHCS and the ASO contractor will be managed by the EP MO.

Proposer B provides a more than adequate response to demonstrate understanding of the EP MO's SDLC processes for Miscellaneous Change Documents (MCDs), and Problem Statements (PSs). Proposer's response describes a process for MCDs that includes a condensed version of the four SDLC phases of system development projects. As with other change projects or requests, the SG will work in concert with the EP MO, ASO contractor and others to successfully accomplish MCD objectives, with project information including deliverables, milestones, resources and schedules managed by the EP MO.

Proposer B provides a more than adequate response to demonstrate understanding of the Problem Correction, SDLC process, and the responsibility of the EP MO to manage processing, coordination and resolution, as with other change instruments. Proposer B's response reflects understanding of the documentation standards for each change instrument, including MCDs and PSs. Proposer B's response demonstrates understanding of the purpose of deliverables and each MCD and PS phase.

Entire Plans: 4.0 Work Plan; 12.0 Systems Group Procedures and Organization Plan; 13.0 Enterprise Project Management Office Plan; 14.0 Acceptance Testing Plan; 15. Business Rules Extraction

10	B	Eval2	3	TeamA	
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Q Num	Proposal Evaluator	Score	Comments
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The Proposer more than adequately understands the process changes to the CD-MMIS.

The Proposer states that they have an understanding of CD-MMIS and anticipates there will be necessary changes to the production system while Takeover is under way. The Proposer also states that there could be a number of changes associated with the new contract that may impact the CD-MMIS and the system test process including CD-MMIS EPMO, Project and Portfolio Management, Document Management, System Replacement and Business Rules Repository (BRR) Maintenance. The Proposer states that as necessary changes occur, they will test each change to ensure it is ready for Acceptance Testing. The Proposer also states that they will perform System Test tasks and incorporate them into their SDLC to ensure every change developed after the initial Takeover system test undergoes its own thorough System Test. The Proposer states that once the Miscellaneous Change Document (MCD) is approved, DHCS issues an MCD Notice to initiate development activity. The MCD Notice defines the change, assesses a priority, determines whether or not phases and/or deliverables can be consolidated and requests an implementation date. The Proposer understands that MCDs are used to implement minor system changes to the CD-MMIS. SG hours allocated to a MCD is limited to a maximum of 160 hours unless otherwise approved by DHCS. The Proposer states that, if successful in their bid, they will produce a MCD process that includes a condensed version of the four SDLC phases of system development projects. The Proposer states that as with SDNs and other change projects or requests, the SG will work in concert with the EPMO, QM, ISPO and ASO contractor to successfully accomplish MCD objectives.

The Proposer states that MCDs received by the EPMO to initiate a change to the CD-MMIS will be captured in the system for managing, coordinating, tracking and reporting project information, including deliverables, milestones, resources and schedule. The Proposer states that once the MCD is approved, the department issues an MCD Notice to initiate development activity. The MCD Notice defines the change, assesses a priority, determines whether or not phases and/or deliverables can be consolidated and requests an implementation date. The Proposer states that in cases where the EPMO determines after initial review that a Problem Statement (PS) requires an analysis and/or correction of CD-MMIS application programs or a system-based reprocessing of claim payments, the SG will participate in the PS process. The Proposer states that in the event DHCS determines that immediate action by the SG is required, the PS will be submitted directly to the SG, with a copy to the EPMO. The SG's problem statement coordinator will coordinate the SG's PS activities with the EPMO and SG project managers to ensure timely responses and facilitate deliverables and other required documents to complete PSs. The Proposer describes and illustrates the SG role and activities in the multi-phase PS process, performed in conjunction with the EPMO, QM and ASO contractor. The Proposer states that all deliverables associated with PSs are reviewed by their QM and the ASO contractors prior to submittal to DHCS by the EPMO. The Proposer states that problem correction status reporting follows the same process as other EPMO and SG project types. The Proposer states that if successful in their bid, during Takeover, their staff will work with the ASO contractor to review all the CD-MMIS manuals to ensure that documentation complies with data processing and documentation responsibility requirements, such as Report Definition, Statement of Purpose, data element definition and description, report number, etc. The Proposer understands the purpose and deliverables of each SDLC, MCN, and PS phase.

FI-1, Page 4-284, FI-4, 9.4,12-71, 12-78-81

11	B	Eval1	3	TeamA
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Q Num	Proposal Evaluator	Score	Comments
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Proposer B provides a more than adequate response proposing comprehensive and technically sound procedures, methods, and processes for coordinating and conducting systems and Acceptance Testing activities for mainframe and non-mainframe systems.

Proposer B provides a more than adequate response describing an approach to System Testing that ensures that all applications will function in production. Proposer B's response demonstrates an understanding of the hardware and software components and architecture of CD-MMIS which must be considered in executing a comprehensive System Test Plan and understands that all manual and automated functions of CD-MMIS are addressed within the scope of System Testing.

Proposer B intends to leverage extensive preparation and documentation associated with their pursuit of International Organization for Standardization (ISO) certification and describes processes and methods to follow industry best practices for performing a controlled and complete System Test in a sequence that enables evaluators to assess performance accurately and ensure each change is ready for Acceptance Testing.

Proposer B's response demonstrates understanding of the interrelationships and functional dependencies between End-to-End (E2E) regression testing and Acceptance Testing. Response describes E2E as the final phase of acceptance that will be performed by the ASO contractor staff in order to validate that the entire application satisfies previously established acceptance criteria, that the existing components work prior to system changes, that the integrated components work correctly as part of the overall system, and that system changes do not have unanticipated impacts on CD-MMIS.

Proposer B's response demonstrates understanding that successful testing requires the establishment of testing environments, in both a physical and technical sense. Response describes intent to utilize four distinct environments to support system test processes: Unit Test, System Test, Parallel and Acceptance Test.

Proposer B provides a more than adequate response to address the coordination by the EPMO and tracking of all test activities using appropriate staff and COTS tools.

Entire Plans: 9.0 System Test Plan; 12.0 Systems Group Procedures and Organization Plan, 13.0 Enterprise Project Management Office Plan; 14.0 Acceptance Testing Plan; 15.0 Business Rules Extraction

11	B	Eval2	3	TeamA
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Q Num	Proposal Evaluator	Score	Comments	
9.1, Page 9.1.1, 9-3-4, 9.1.2, 9.1.3, 11.12.4., 12.3.2, 4.2.2.2, 4-55, 9.1.4, 9-16	B	Eval1	3	TeamA

The Proposer more than adequately explains their processes for Acceptance Testing. The Proposer states that their proposed System Test Plan begins by conducting a thorough examination of all CD-MMIS functions including CD-MMIS and non-mainframe systems, and conforms to DHCS- approved design specifications. The Proposer states that they will produce a testing regimen in which CD-MMIS functions will be certified as ready for Acceptance Testing. The Proposer states that their system test approach will combine the benefit of past experience with world-class standards and leading industry tools. The Proposer states that they have an experienced management team and technical staff with years of production and testing experience. The Proposer states that their QM staff will be responsible for evaluating the completeness and accuracy of the System Test Plan, System Test Support Plan and the associated deliverables including test results, system variance report resolution and certification for readiness for Acceptance Testing. The Proposer states that they will conduct system testing of the CD-MMIS subsystems and associated non-mainframe systems. The Proposer states that testing will include processing of hard-copy and electronic dental claims, TARS, NOAs, CIFs and related functions for Denti-Cal, along with system testing for GHPP, HF and CCS. The Proposer states that during the system tests they will test manual, clerical and automated functions of CD-MMIS, including verifying edits and audits, checking interfaces, computer programs, system files and JCL, and production of paid claims files and reporting. The Proposer recognizes the value of DHCS staff participation in system testing and the need for DHCS to review their System Test Plan processes and documentation including parallel test results, to determine readiness to proceed to Acceptance Testing.

The Proposer states that their System Test Plan incorporates multiple levels of tests, from individual programs to full parallel testing to emulate the production environment.

The Proposer states that their End-to End (E2E) testing is designed to verify claims processing and claims payment functions to include every edit, audit and Data Control Center (DCC) routing in CD-MMIS and to generate payment reports to validate results of change instruments. The Proposer understands that their E2E environment mirrors the production environment and functionality, validating that a quality system is ready for production. They further state E2E testing is conducted to ensure that the entire application satisfies previously established acceptance criteria, that existing components work prior to system changes, that integrated components work correctly as part of the overall system and the System changes do not have unanticipated impacts on CD-MMIS.

The Proposer states that if successful in their bid they will establish multiple environments to support development, system testing, E2E regression testing, Acceptance Testing, User Acceptance Testing (UAT) and production environments, in accordance with RFP provisions.

The Proposer lists Key Task and milestone coverage and provides views of project status reporting with standard project task tracking charts along with additional detail that includes percent complete data and color coded symbols to indicate whether tasks are on schedule. The Proposer states that their Application Lifecycle Management (ALM) tool provides a central data repository for organizing and managing the test process. The Proposer states that their ALM manages, houses and tracks necessary changes to the plan, test plans, test scenarios, test data, test results and variances.

Q Num	Proposal	Evaluator	Score	Comments
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Proposer B's response is more than adequate, describing a comprehensive and technically sound approach and method for implementation of the Business Rules Extraction (BRE). Proposer B's response recognizes a successful effort requires consistent processes, adherence to best practices and federal taxonomy standards, knowledgeable technical and business subject matter experts (SMEs), as well as automated tools.

Proposer B's response demonstrates an understanding of the purpose and use of Business Rules, recognizing the benefits to supporting maintenance and operational CD-MMIS processes, (for example: aiding in requirements traceability and program policy management) as well as preparing for the future migration to a replacement State MMIS.

Proposer B's response identifies how business rules will be discovered, captured as part of the SDLC and modified and maintained during the life of the contract. Proposer B's response describes integration of the BRE tool into the SDLC process at appropriate points in the change process with final disposition of the business rules residing in the Business Rules Repository (BRR), ensuring the repository continues to reflect up-to-date rules and production processes.

Entire Plans: 4.0 Work Plan; 12.0 Systems Group Procedures and Organization Plan, 13.0 Enterprise Project Management Office Plan; 14.0 Acceptance Testing Plan; 15.0 Business Rules Extraction

12	B	Eval2	3	TeamA
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The Proposer more than adequately understands the approach and implementation of the BRE. The Proposer understands the significant benefit to be derived from maintaining and updating the business rules identified and extracted from the CD-MMIS. The Proposer states that, if selected as the winning bidder, the rules governing CD-MMIS operations accumulated from the BRE project and rules that are created or modified during Takeover and throughout the contract term will be maintained by the Proposer in a BRR. The Proposer understands that the objective of BRR maintenance is to store, manage and update the set of business rules governing the CD-MMIS that DHCS has compiled through its BRE project to ensure that all changes made to CD-MMIS are properly identified and documented. The Proposer states that, if selected as the winning bidder, their automated workflow templates, configured and approved during Takeover and which drive project plan development and tracking, will reflect the SDLC processes applicable to SDNs and MCDs. The Proposer also views every critical activity in every SDN and MCD to be an assessment of the impact on existing business rules stored in the BRR and new business rules created and captured in the BRR.

The Proposer states that, if successful in their bid they will partner with a subcontractor who will provide technical expertise with BRE processes and tools. The Proposer states that the subcontractor has a track record of successfully documenting, enhancing and converting legacy systems.

The Proposer, if successful in their bid, proposes to use the Composer Advantage™ tool from Composer Solutions to provide automated tool-based rules extraction. The Proposer states that the purpose of an automated tool-based rules extraction is to mine business rules embedded in legacy system code that may otherwise be unknown to the business and systems teams. The tool is a software program that systematically extracts code determined to be a rule. The Proposer states that BRE will be a component of each change instrument requiring system changes. The Proposer also states that the use of the Composer Advantage tool supports the integrity of the business rules repository so that good business requirements can be developed and traced throughout the SDLC.

4.1.1.3, 4-12, 4-23, 4-65, 13.5,15.0, 15.1.1,

13	B	Eval1	2	TeamA
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Q Num	Proposal Evaluator	Score	Comments
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Proposer B's response is adequate to demonstrate Proposer B's ability to facilitate reporting responsibilities and consistent application of requirements for all manual and automated CD-MMIS reports. Proposer B indicates intent to utilize existing systems, providing maintenance and support of hardware, software licenses, and necessary connectivity throughout the life of the contract. Proposer B's response recognizes the varied reporting types, sources and schedules that are supported by the CD-MMIS mainframe and non-mainframe systems. Proposer B proposes to continue to generate CD-MMIS mainframe and non-mainframe reports from the FI-hosted systems for on-time delivery to designated recipients. Proposer B intends to work with the ASO contractor during Takeover and Operations to inventory all CD-MMIS reports from all sources and ensure they are documented in accordance with RFP standards for report manuals. Response indicates Proposer B will work collaboratively with the ASO contractor to respond within requested timeframes to ad hoc reports and special studies requests approved by DHCS and will use existing systems for managing, distributing and maintaining the inventory of all CD-MMIS reports. Proposer B's response indicates accepted responsibility to provide access to or delivery of copies of all reports produced by the FI, whether for internal or external use, on a timely basis. Proposer B's response indicates accepted responsibility to provide staff for general reporting activities and to ensure report accuracy and validity.

Entire Plans: 4.0 Work Plan; 10.0 Claims/TARs Auto Adjudication Processing Plan; 12.0 Systems Group Procedures and Organization Plan; 13.0 Enterprise Project Management Office Plan

13	B	Eval2	2	TeamA
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Q Num	Proposal Evaluator	Score	Comments
			<p>The Proposer adequately understands reporting requirements. The Proposer states that, if successful in their bid, during Takeover they will submit templates of all proposed documentation for Department review and approval. If approved by DHCS, the Proposer will use the templates for all reports submitted to DHCS including technical design and user desk manuals, user training for DHCS staff prior to implementation, on-site technical assistance during the implementation phase and continuing assistance throughout the term of the contract, system performance reports within 48 hours of any performance problems on the system, including problem definition, solution and corrective measures to prevent reoccurrences. The Proposer states that the Management and Administrative Reporting Subsystem (MARS) is a mainframe infrastructure component of the CD-MMIS. MARS provides the Department and the Proposers with a timely and meaningful reporting capability in the key areas of Medicaid program activity. MARS reports are designed to assist management and administrative personnel with the difficult task of effectively planning, directing, and controlling the Denti-Cal program by providing information necessary to support the decision-making process. MARS uses the Month-To-Date Claims History File of paid and denied claims, the Provider Master File (PMF), the Recipient Eligibility File, the Procedure file, Drug and Diagnosis File, and the Suspended Claims File to produce detail level reports to summarize the data to update MARS history files. These history files are then processed to produce MARS reports.</p> <p>The Proposer states that they will ensure that all CD-MMIS Claims Processing Subsystem reports meet the general reporting requirements contained in the RFP. They also state that they are familiar with all Claims Processing Subsystem reporting requirements. The Proposer states that, if successful in their bid, they will be in full compliance with the general reporting requirements described in RFP Exhibit A, Attachment II, O and other requirements referenced therein for reporting requirements under this contract.</p> <p>The Proposer states that, if their bid is successful, during Takeover their current baseline documentation will be reviewed and updated to correspond to new requirements and submitted for DHCS approval. Once approved, it will be maintained and accessible in Alfresco, the Proposer's document management system that will serve as the system of record for all program documentation. DHCS and the ASO staff will have 50 licenses for authorized users to access, view and retrieve documents from Alfresco.</p> <p>The Proposer states that they will use the Enterprise Output Solution (EOS) Report Management System to access all reports. The Proposer states that during Takeover, they we will review their licensing agreement, including maintenance and hardware support, and will test the connectivity to the electronic Report Management Master Library to ensure DHCS and the ASO have electronic access to reports.</p> <p>The Proposer states that they will provide DHCS users and the ASO contractor with accurate and timely reporting through comprehensive validation methods, sound quality review and consistent application of defined requirements.</p> <p>Page 4-151, 4-201, 4.4.12, 4-252, 4.1.3.3, 4-20, 4.4.12.6, 10.10,10-67</p>
14	B	Eval3	3 TeamB

Q Num	Proposal	Evaluator	Score	Comments
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The Proposer more than adequately demonstrated an understanding of the Enterprise Project Management Office's (EPMO) purpose and responsibilities through its submission of an EPMO Plan. The EPMO plan provides for a central point of control for oversight of change management, a central document repository, and communication management between Department of Health Care Services (DHCS) and the Administrative Services Organization (ASO) contractor regarding change management. Included in the EPMO plan is an organizational chart depicting an EPMO Director and 7 subcontracted project management professionals. The EPMO Director is a certified project management professional (PMP) and a certified Scrum Master employed by the Proposer. Three of the subcontracted positions are project managers who are PMP certified with 10 plus years project management experience. The EPMO plan includes a pictorial, "EPMO Roles and Responsibilities", that describes the responsibilities for each position within the EPMO.

The EPMO plan also includes the use of a suite of commercial-off-the-shelf (COTS) tools. The Proposer will use the EPMO project management and portfolio CA Clarity™ PPM project and portfolio management (CA PPM) tool to create and monitor project plans and to report project and portfolio status. The Department and ASO contractor will have access to this tool to view the status of the entire portfolio and individual projects, and resource allocations. The Application Lifecycle Management (ALM) is the COTS tool that will be used to manage the capture of requirements during Design, Development, and Implementation (DD&I).

(Volume 1, 4.0 Work Plan, Page 4-51) (Volume 4, 12.0 Systems Group Procedures and Organization Plan, Page 12-11 and 12-12) (Volume 4, 13.0 Enterprise Project Management Office Plan, Page 13-11 to 13-15)

14	B	Eval4	2	TeamB
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The Proposer does an adequate job at demonstrating an understanding of the Enterprise Project Management Office's (EPMO) purpose and responsibilities. Proposer B explains that they have a novel approach to the EPMO by engaging professional project managers and business analysts with Denti-Cal program and system knowledge. Proposer B has engaged a contractor to provide project management services. The contractor has been providing project management services to two major health initiatives, the California Health Benefit Exchange and the California C-IV, a statewide automated welfare system (SAWS). (Page 4-1-1). The Takeover EPMO director will oversee training on project management principles and practices, including the Administrative Services Organization (ASO) contractor's appropriate staff. The Proposer explains that their approach to ensuring business and system requirements are captured during Design, Development, and Implementation is through planning and executing systems that have been proven in past contracts and projects. (Section 4.2).

15	B	Eval3	3	TeamB
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The Proposer more than adequately demonstrated the knowledge and understanding of industry accepted best practices in Project Management to provide effective and efficient management of staff resources and the allocation of those resources to the entire portfolio of projects the Department assigns. The Proposer's EPMO project management methodologies and standards conform to the California Project Management Methodology (CA-PMM), the Project Management Body of Knowledge (PMBOK) and other standards required in the Request for Proposal (RFP). The Proposer provided a list of the RFP standards. The Proposer provided a listing of industry standards, guidelines and best practices which identifies the standard, guideline or best practice with the California Dental Medicaid Management Information System (CD-MMIS) business functional area.

To provide effective and efficient management of staff resources, the Proposer will use the EMPO as the single point of contact and use a project management tool. The project management tool for Takeover and Operations will be different. The Microsoft Project Server (MSPS) is the current project management tool used by the incumbent CD-MMIS Fiscal Intermediary (FI) and will be used to capture, track and report staff hours during Takeover.

The CA-PMM project management tool will be used to track all projects beginning with the start of Operations. It contains many views that allow for resource management across the portfolio and also at the individual project level. For example, resource allocations can be viewed as a portfolio, a project, a job role, requested versus assigned, project priority and unanticipated projects and events.

The Proposer will efficiently allocate and utilize staff across the portfolio of projects assigned by the Department through the EPMO's establishment of regular meetings with the ASO contractor and DHCS. These meetings will be used to discuss resource management and other project constraints for change instruments and other projects. The Systems Group (SG) team will work with the EPMO, ASO and DHCS to allocate resources.

(Volume 1, Section 4.1.1.2, page 4-12) (Volume 1, Section 4.0 Work Plan, page 4-50) (Volume 1, Section 4.0 Work Plan, Resource Management, Page 4-61) (Volume 2, 5.1.1, page 5-3 through 5-6) (Volume 4, Section 12.1, Page 12-11) (Volume 4, Section 13.10, page 13-75 and 13-75)

15	B	Eval4	2	TeamB
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The Proposer demonstrates adequate knowledge and understanding of industry accepted best practices in Project Management. The functions of the EPMO focus on project management, change management, information tracking and deliverable management, all of which are carried out using industry best practices related to project management (page 4-168). The Proposer has hired people, or contracted with people, at every step in the process who have experience in utilizing industry best practices for project management, including in their training and management personnel. The Proposer sets out a plan for hiring people that demonstrate that they will structure management and staff in a way that should provide support to the Department while working with the ASO contractor as well (pages 4-48 - 4-49).

16	B	Eval3	2	TeamB
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The Proposer demonstrated adequate knowledge and understanding of implementing a formalized process to make changes and/or amendments to the CD-MMIS. The Proposer submitted a Takeover Change Control Management Plan which described change management roles, responsibilities, policies, processes, guidelines and procedures necessary to control and manage change. The EPMO Director is responsible for the overall change management and coordination with the ASO contractor and the DHCS. The Proposer included in its Change Control Management Plan a pictorial of the Change Request Process Flow that shows the steps to process a change request.

Prior to the completion of Takeover, the Proposer's Takeover management team will work with the ASO contractor and the DHCS to formulate a Change Control Management Plan to be implemented with Assumption of Operations. The Change Control Management Plan will include communication protocols, project governance methods, automated workflows and project plan templates by change type. Also included in the plan will be the roles of the Department, the ASO contractor, and the SG. The EPMO will be responsible for training all parties on the project governance and will be responsible for communications with the Department, the ASO contractor, and the SG regarding CD-MMIS changes.

The Proposer lists and describes the change management tools it will use in the change management process. Included in the tools is the application Alfresco which will be used as a central point to store all changes required by the contract. Changes are also tracked and viewed using the CA-PPM tool.

(Volume 2, Section FI T01, pages 1 through 5) (Volume 4, Section 12.1.1, Page 12-11) (Volume 4, Section 12.6.2, Page 12-72) (Volume 4, Section 12.2.2, pages 12-33 and 12-34)

16	B	Eval4	2	TeamB
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The Proposer adequately demonstrates the knowledge and understanding to implement a formalized process to make changes and/or amendments to the California Dental Medicaid Management Information System (CD-MMIS). The Systems Group (SG) Procedures and Organization Plan, set out by the Proposer, explains that the Proposer feels that they have identified specific management roles and procedures necessary to control and manage change. The EPMO PM will be assigned to lead the project to determine the project scope and participants. For CD-MMIS changes, the EPMO PM will work with the SG director to develop a work plan, including cost and resource allocation. The final plan will be approved by the Department. The EPMO PM will monitor project progress with the SG director and project leader. The Proposer's QM department and the ASO contractor will review all deliverables for completeness and accuracy and then they will be submitted to the Department. (Section 4. Section 12 Entire plan).

17	B	Eval1	3	TeamA
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Q Num	Proposal Evaluator	Score	Comments
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Proposer B's response is more than adequate describing a sound approach to accept, manage and store all documents and supporting attachments into the CD-MMIS. Proposer B's response reflects a plan to review and update baseline documentation to correspond to new requirements and submit to DHCS for approval. Once approved, documents will be maintained in the FI's proposed documentation management system that will serve as the system of record for all Denti-Cal program documentation. The EPMO will serve as the central point for information exchange between the DHCS, FI and ASO contractor, utilizing the workflow capabilities within the new document management system to manage inbound and outbound correspondence between the Department, the FI contractor and/or ASO contractor at the start of Operations.

Proposer B's response describes a proposal to provide automated retrieval and retention of original documents and supporting attachments. Proposer B proposes to use a web-based COTS tool product as the central repository that will be integrated with a new project and portfolio management tool, and configured with automated workflows to provide user-friendly, time-saving features that will facilitate prompt, complete records retrieval. Features, such as Variable search criteria, Drag and drop technology, Document thumbnails and Integrated workflow tool for document routing capabilities will facilitate access, search functions, and support correspondence tracking and approval processes. Proposer B's new document management system is sound and more than adequately meets RFP requirements.

Entire Plans: 4.0 Work Plan; 10.0 Claims/TARs Auto Adjudication Processing Plan; 13.0 Enterprise Project Management Office Plan

17	B	Eval2	2	TeamA
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Q Num	Proposal Evaluator	Score	Comments		
<p>The Proposer adequately offers an approach to accept and store documents. The Proposer states that they will be responsible for effectively and efficiently managing the receipt, image and data capture, in addition to the validation and storage of documents, from receipt to data input to the mainframe system.</p> <p>The Proposer states that, if successful in their bid, they will install and maintain a leading Commercial Off-The-Shelf, (COTS) product, Alfresco™, to be used by the EPMO for managing all formal contract correspondence, deliverables and program documentation, in addition it will provide users with more time-saving features. This document management system will serve as the system of record for documents exchanged between the DHCS, FI and ASO under the FI and ASO contracts.</p> <p>The Proposer understands that the winning Proposer, ASO contractor and DHCS staff require the capability to retrieve copies of records and documents on-line. The Proposer states that most documents can be retrieved either through Macess, the Proposer's proposed image management system, or Alfresco, the Proposer's proposed document management system. The Proposer states that documents that can be requested on-line include claims, NOAs, TARs, Explanation of Benefits (EOBs), CIFs and Resubmission Turnaround Documents (RTDs). The Proposer, if successful in their bid, will document retrieval procedures for end-users in the Records Retention Procedures Manual.</p> <p>The Proposer states that to achieve the greatest possible efficiency in CD-MMIS operation, both DHCS and its contractors need quick access to detailed, complete and timely data. The Proposer states that a web accessible electronic document repository enables easy access by centralizing data or pointing to its location in other systems. The Proposer states that regardless of the type of document for which a user is searching, an image management system can retrieve requested material within seconds. The Proposer states that while indexing makes the Macess image repository easy to search, the protections and controls the Proposer utilizes can ensure that remote searches can be carried out without compromising the integrity or confidentiality of data.</p>					
4.1.3.2, 16, 4.2.1.3.2, 4-30, 4.4.15.2 4-318, 10.4,10-31, 10.4.3,	18	B	Eval1	3	TeamA
<p>Proposer B's response is more than adequate, describing a comprehensive approach to accurately process all documents and supporting attachments into the CD-MMIS. Proposer B's response indicates intent to use up-to-date digital scanners and interactive Optical Character Recognition/Intelligent Character Recognition (OCR/ICR) capabilities to convert paper documents into electronic images and radiographs to digital format for nightly uploading to a new image repository. Images from the repository will be easily available for immediate review by contractor processing staff and for DHCS within seconds of an online request, whether internal or remote, without compromising the integrity or confidentiality of data.</p> <p>Proposer B's response proposes to provide integrated software that will allow for the identification, validation, editing and correcting of claim/treatment authorization requests (TARs), notices of action (NOAs), resubmission turnaround documents (RTDs) and claim inquiry forms (CIFs) using a configurable rules engine to automate the workflow. Proposer B's solution supports ability to cross-reference claims/TARs or other documents.</p> <p>Proposer B's new proposed process addresses the required pre-screening functions by eliminating the need for manual document sorting and pre-screening functions. Proposer B's response also proposes working with the ASO contractor to increase electronic submission of claims/TARs to eliminate manual processes that can be error-prone.</p>					
Entire Plans: 4.0 Work Plan; 10.0 Claims/TARs Auto Adjudication Processing Plan					

Q Num	Proposal	Evaluator	Score	Comments
18	B	Eval2	3	TeamA

The Proposer more than adequately offers an approach to process documents and supporting attachments.

The Proposer states they have designed and implemented, and have experience maintaining the federally-certified CD-MMIS for the Denti-Cal program. The system is comprised of the following interrelated mainframe subsystems: recipient, provider, claims, reference, payment, MARS and Surveillance and Utilization Review Subsystem (SURS). Additionally, various non-mainframe systems and manual processes are considered part of CD-MMIS as they support and complement functionality of the mainframe processes. By definition, CD-MMIS includes all systems and processes that Centers for Medicare and Medicaid Services (CMS) funds at the enhanced (75 percent) matching rate.

The Proposer states that they will use Mavro for its ability to significantly streamline mailroom functions. The Proposer states that this will enhance CD-MMIS front-end operations through use of a "One Touch Processing Solution" that includes an ergonomic scanner, imaging software, a radiograph digitizing solution and a series of configurable business rules optimized for Denti-Cal use. Mavro automates what was formerly the manual prescreening function, all but eliminating the errors typically associated with that process and significantly reducing mailroom labor costs. The key features of Mavro are sorting, scanning, image enhancement, reporting and workflow monitoring.

The Proposer states that they will use FormWorks 5, for front-end data capture, validation and correction of claims/TARs, correspondence and CIFs. After Mavro scanning creates document images, identifies the document type and sorts documents into virtual batches by type, FormWorks 5 reads the data on documents to assess validity and apply front-end edits. Upon completion of FormWorks 5 processing, documents are uploaded to the image repository and mainframe CD-MMIS.

The Proposer states that they understand the evolution of claims processing tools, methods and procedures and will use that knowledge to help assess the value of proposed changes in the Denti-Cal claims processing. The Proposer describes some of the improvements they have made during their current and previous contracts. One of these improvements is their Optical Character Recognition/Intelligent Character Recognition (OCR/ICR) feature. OCR is the mechanical or electronic translation of scanned images of handwritten, typewritten or printed text into machine-encoded text. ICR is an advanced OCR that allows fonts and different styles of handwriting to be identified by a computer during processing to improve accuracy and recognition levels. The Proposer uses OCR/ICR to enable all paper documents to be scanned and read using high-speed scanners.

The Proposer is proposing to implement Macess to replace their Electronic Image Management System. Macess is an image repository they have used successfully in other lines of business. The Proposer states that they will give the Proposer's staff, as well as ASO and DHCS staff, the ability to store, cross-reference and quickly retrieve claims/TARs or other documents, while also improving customer service and reducing costs. Macess is a multi-functional solution that integrates seamlessly with Mavro and FormWorks 5 processing. The Macess image repository will receive a nightly upload of document images that have been put into virtual batches by Mavro, and validated, edited and corrected through FormWorks 5 processing. The Proposer states that their TAR processing objective closely resembles the claims processing objective, except that it pertains to initial approval, modification or denial of an authorization request rather than its adjudication following the delivery of dental treatment. The Proposer understands the importance of accurately capturing data on TARs, entering them into the Claims Processing Subsystem promptly, applying program policy and pricing schedules correctly and adhering to State and federal statutes and regulations associated with TARs.

10.1.2.1, Page 10-6-7, 10.1.2.2, 10-7, 10.1.3,10-10, 10.1.1,10.5, 10.1.2.3 10-9, 10.1.4.1.4,10-13, 10.1.2.1,10-6

19	B	Eval1	3	TeamA
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Q Num	Proposal Evaluator	Score	Comments
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Proposer B's response is more than adequate, reflecting a solid approach to track, record and report all activity for each document type from receipt through final payment and providing a complete audit trail for compliance with all reporting requirements. Proposer B's response indicates complete understanding of documents related to data entry functions, claims, NOAs, TARs, and CIFs and payment processing. Proposer B's response recognizes there are several hundred Claims Processing Subsystem reports, which are generated at specific intervals as required by the contract and/or user needs, including manual reports, ad hoc reports and specially requested reports.

Proposer B's response describes use of unique identifiers for every document (and for individual claim lines within a document) to facilitate reporting at the lowest level of detail desired and conversely at a high level using aggregate data for specified dates, activities, and other reporting parameters. Proposer B describes business processes enhanced by use of modern COTS tools to support identification, redaction, tracking and reporting on all documents. Proposer B describes integrated workflow management and monitoring capabilities to ensure accountability of CD-MMIS business processes from receipt of claims documents to final payment. Proposer B's response is more than adequate to demonstrate compliance with contract reporting requirements.

Entire Plans: 4.0 Work Plan; 10.0 Claims/TARs Auto Adjudication Processing Plan

19	B	Eval2	3	TeamA
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Q Num	Proposal Evaluator	Score	Comments
			<p>The Proposer more than adequately understands that the CD-MMIS must have mechanisms and processes in place to identify, control and track documents through all stages of processing. The Proposer states that to fulfill FI responsibilities for tracking, recording and reporting all activity for each document the Proposer will rely on two key techniques, document control numbers (DCNs) and data control centers (DCCs).</p> <p>The Proposer states that CD-MMIS uses different kinds of DCNs depending on the type of document and its stage of processing. DCNs include the date the document was received, the document type, a sequential number and other identifying information. Attachments are assigned the same control number as the documents with which they are associated. DCNs become a permanent part of the data record for each document and enable easy retrieval of documents at any stage of processing.</p> <p>DCCs are unique, identifiable, manual or computerized locations to which, or from which, documents may be routed during processing. The system maintains a record of every DCC through which a document passes during processing, the date the document entered and left the DCC, the action taken while the document was in the DCC and the processing staff who dealt with the document. The Proposer states that the CD-MMIS maintains a complete audit trail of every operation performed and/or decision made on every document processed by the system or an individual adjudicator.</p> <p>The Proposer states they will use Opex scanners and Mavro software to scan all paper documents, correspondence, and radiographs to digital format. Mavro employs OCR capabilities to identify document type; for example, claim/TAR, RTD or CIF. Once documents are converted to electronic images by Mavro, the data on documents is captured, validated, edited and corrected through FormWorks 5 processing. FormWorks 5 also assigns the DCN. Next, documents will be uploaded to the Proposer's image repository, Macess, which provides immediate, on-line user access to all electronic document images. The Proposer states that more than 380 edits and audits are automatically applied by CD-MMIS to examine data contained on the electronic records of the various document types. The Proposer states that, if successful in their bid, they will update the adjudicated claim history file daily with claim and NOA payment information. Adjudicated claim and NOA data is transmitted to the financial processing module of CD-MMIS for use in creating payment files. These files are used to generate payment to providers.</p> <p>The Proposer states they have provided high-quality dental services to over 12 million Medicaid-eligible beneficiaries through extensive dental networks, superior customer service, detailed and complex reporting capabilities and experience in implementing program policy and changes. The Provider understands that there has been a concern voiced by the CMS regarding California's operations of two MMISs. The eventual migration to a single Medicaid Management Information System (MMIS), and the release of this RFP for an FI contractor and the RFP for an ASO contractor, has made reporting one of the key focus items of this proposal. The Proposer states that they will be in full compliance with the general reporting requirements and other requirements under this contract. The Proposer states that, if successful, they will provide DHCS and the ASO contractor with accurate and timely reporting through comprehensive validation methods, sound quality review and consistent application of defined requirements.</p>
10.1.4.1.2	Page 10-12,	10.1.5.3	10-18, 10.1.5.4,10.19, 10.1.4.2,10-16, 4.4.12
20	B	Eval1	3 TeamA

Q Num	Proposal	Evaluator	Score	Comments
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Proposer B provides a more than adequate response demonstrating a proven ability to maintain the system to ensure that performance requirements and ongoing operations are executed on time and cycle times are being met. Proposer B's response demonstrates a comprehensive understanding of the contract performance requirements obtained through a more than 40 year experience as the State's dental contractor. Response includes a detailed description of operational processes and systems used to support CD-MMIS including the methodology used to calculate cycle time and when certain TARs and special claims are excluded from the time calculation. Response indicates a complete understanding of and commitment to meeting all claims processing cycle time requirements defined in the FI RFP and contract, as well as federal MMIS performance standards.

Proposer B's response demonstrates Proposer's ability to develop and implement tools and/or system enhancements to ensure the accuracy and efficiency of processed documents. Proposer B's response indicates intent to use modern COTS tools to facilitate the front-end data capture, validation and correction of documents prior to them being entered into the mainframe, ensuring documents correctly represent the provider's submission and are ready to be adjudicated. Proposer B intends to automate all RFP-required pre-screening functions, which precede entry of documents to the mainframe CD-MMIS, scanning radiographs to digital format along with the documents they support, in order to increase the speed and accuracy of front-end processing.

Proposer B's response demonstrates the Proposer's ability to maintain document control for all document activity from receipt to final payment, through use of unique Document Control Numbers (DCNs) and enhanced work flow processes and software.

Entire Plan: 4.0 Work Plan; 10.0 Claims/TARs Auto Adjudication Processing Plan

20	B	Eval2	3	TeamA
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Q Num	Proposal	Evaluator	Score	Comments
				<p>The Proposer more than adequately demonstrates the ability to ensure performance requirements.</p> <p>The Proposer understands that the batch processing nature of the CD-MMIS dictates the duration of the nightly, weekly, monthly, quarterly and annual processing cycles. The Proposer states that from a day-to-day operational perspective, the most important is the nightly cycle, which must be completed in its entirety before each workday begins. Any disruption to the cycle in the future would prevent the ASO contractor from performing its daily responsibilities and both contractors from meeting performance standards. The Proposer states that they fully understand the methodology used to calculate cycle times, including when particular DCCs, such as prior authorization or special claims review, are included or excluded from processing time measurements. The Proposer states that they know how to maintain CD-MMIS in the manner necessary to support timely processing and state that their approach will satisfy both State and federal requirements. The Proposer states that they have expertise in the front-end FI processes that must be correctly completed for subsequent ASO adjudication tasks to be performed accurately and on time. The Proposer states that they recognize that continued compliance with cycle time standards will entail working in concert with the Department and the ASO contractor, each of whom has a part in promoting optimum CD-MMIS performance.</p> <p>The Proposer states that they understand their responsibility to collect all performance standards that DHCS uses to measure performance and to store descriptions of all standards in a central repository for reporting and auditing purposes. The Proposer states that performance standards and precedent-to-payment criteria have been clearly defined in the RFP to ensure compliance over the contract term. The Proposer understands that the QM function involves continuously monitoring CD-MMIS compliance with contractual performance standards, and spearheading improvement efforts if shortcomings are identified. For example, if QM reviews identify system processes that contribute to either timeliness or quality issues, the QM manager brings the errors to the attention of a manager in the claims processing area. The Proposer states that, if selected as the winning bidder, they will notify DHCS of their compliance with contractual standards on a monthly basis.</p> <p>The Proposer summarizes some of the improvements they have made during current and previous contracts. These improvements include, Scanning and Digitizing Documents, OCR/ICR, Image Repository, On-Line Manuals and Digitized Radiographs. The Proposer states that they have a history of developing and implementing procedures, processes and tools aimed at improving programs. They further state that they if selected as the winning bidder, they will implement changes resulting in gains in efficiency and quality improvement.</p> <p>The Proposer understands that the CD-MMIS must have mechanisms and processes in place to identify, control and track documents through all stages of processing. The Proposer states that to fulfill FI responsibilities for tracking, recording and reporting all activity for each document the Proposer will rely on two key techniques, DCNs and DCCs.</p> <p>The Proposer states that CD-MMIS uses different kinds of DCNs depending on the type of document and its stage of processing. DCNs include the date the document was received, the document type, a sequential number and other identifying information. Attachments are assigned the same control number as the documents with which they are associated. DCNs become a permanent part of the data record for each document and enable easy retrieval of documents at any stage of processing.</p> <p>DCCs are unique, identifiable, manual or computerized locations to which, or from which, documents may be routed during processing. The system maintains a record of every DCC through which a document passes during processing, the date the document entered and left the DCC, the action taken while the document was in the DCC and the processing staff who dealt with the document. The Proposer states that the CD-MMIS maintains a complete audit trail of every operation performed and/or decision made on every document processed by the system or an individual adjudicator.</p> <p>4.1.3.3, 10.1.1, 10.1.4.1.2, 10.2.2, 10.16, 11.4</p>

Q Num	Proposal	Evaluator	Score	Comments
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21 B Eval1 3 TeamA

Proposer B's response is more than adequate to demonstrate Proposer's ability to maintain the system to ensure performance requirements are met. Proposer B's response demonstrates a thorough understanding of the technical complexity of the CD-MMIS including its' multiple system environments and proposes the requisite resources and skills needed to successfully operate and maintain system functions.

Proposer B's response demonstrates a proven ability to ensure CD-MMIS continues to process claims and related documents, applying edits and audits to each document to final adjudication. Proposer B's response demonstrates a thorough understanding of CD-MMIS adjudication processes including the subsystems used, knowledge of how the 380 edits and audits are applied to appropriate claim documents and proposes skilled CD-MMIS Operations staff with many years of Denti-Cal claims processing experience to support the process.

Proposer B's response demonstrates detailed and comprehensive understanding of Provider, Recipient, Procedure, and Surveillance and Utilization Review (SURS) Subsystem edit criteria. Proposer B's response recognizes that the CD-MMIS system of edits is directed by Denti-Cal program policies and describes having a complete understanding of why each edit exists and the implication of each edit relative to the adjudication process. Provider B's response demonstrates full understanding of both the automated edits and the process needed for documents that do not pass the edits, which are routed for manual review, correction and/or medical necessity determination.

Provider B's response demonstrates understanding of the History Crosscheck audit criteria, describing the edit, its purpose, the manner in which it is employed and the subsystems utilized.

Proposer B's response demonstrates knowledge of the different dental programs; (e.g., California Children's Services/Genetically Handicapped Persons Program (CCS/GHPP) and Regional Center Consumers), and the unique scope of benefits and processing requirements for each program. Proposer B's response indicates adherence to processing and payment provision requirements is facilitated through use of a system-embedded rules base that conforms to the specific requirements applicable to each distinct program.

Entire Plans: 4.0 Work Plan; 7.0 Facilities Plan; 10.0 Claims/TARs Auto Adjudication Processing Plan

21	B	Eval2	3	TeamA
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Q Num	Proposal	Evaluator	Score	Comments
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The Proposer more than adequately demonstrates the ability to ensure performance requirements.

The Proposer understands that the methodology used to calculate cycle times, including when particular DCCs, such as prior authorization or special claims review, are included or excluded from processing time measurements. The Proposer describes enhanced methodologies that they will incorporate to ensure prompt, timely and accurate changes to the CD-MMIS. The Proposer states that they can reduce errors while meeting project costs and objectives.

The Proposer understands that if documents successfully pass all edits and audits they move on to final adjudication and/or payment. Documents that do not pass are suspended for manual review by the ASO contractor. The Proposer understands they must apply automated edits and audits as directed by policy and DHCS and are responsible for resolving them so adjudication decisions can be made.

The Proposer understands that hundreds of edits and audits are automatically applied by CD-MMIS to examine data contained on the electronic records of the various document types. The Proposer states that edits and audits are performed in a specific order to identify basic errors first, before more complex edits and audits and reviews take place.

The Proposer understands the history cross-check auditing process which examines data on claims/TARs in relation to data on other current or previously adjudicated documents. The Proposer states that their Claims Processing Subsystem accesses the adjudicated claims history file and interfaces with the Reference File Subsystem to carry out history cross-check audits.

The Proposer understands that California operates a variety of publicly funded programs that include dental benefits and CD-MMIS provider claims associated with these programs. The Proposer provides a brief description of programs with dental benefits: the Medi-Cal Program, the Child Health and Disability Prevention (CHDP) Gateway, the CCS Program, the GHPP and Regional Center Consumers. The Proposer understands that they must adapt CD-MMIS to conform to the policies applicable to each unique program, including eligibility criteria and scope of benefits, etc.

10.16, 12.3, 10-43, 10.1.5.4, 10.7.3.2, 10.1.4.1.3

22	B	Eval1	1	TeamA
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Proposer B provides a barely adequate response demonstrating knowledge of the American Dental Association (ADA) claim form. Proposer B's response describes Proposer's intent to accept proprietary forms during a grace period until the ADA form is phased-in, by working in concert with DHCS, the ASO contractor and providers to meet all applicable requirements. Proposer B's response clarifies that Proposer's ability to meet requirements is contingent on the timeline developed for required system modifications.

Entire Plan: 10.0 Claims/TARs Auto Adjudication Processing Plan

22	B	Eval2	2	TeamA
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Q Num	Proposal	Evaluator	Score	Comments
				<p>The Proposer adequately demonstrates an understanding of the American Dental Association (ADA) claim form.</p> <p>The Proposer states that they have experience routinely monitoring ADA codes for new versions and has implemented the latest Health Insurance Portability and Accountability Act (HIPAA) compliant code set as directed by DHCS.</p> <p>The Proposer states that they will support the use of the proprietary claim/TAR form until such time as the ADA claim form is phased in. The Proposer understands that providers will be given a grace period to use their existing inventory of proprietary forms, although this will be contingent on the timeline for system modifications. The Proposer states they will work in concert with DHCS, the ASO contractor and providers to phase in the ADA claim form in compliance with all applicable RFP requirements.</p>

10.1.4.2

23 B Eval1 2 TeamA

Proposer B's response is adequate to demonstrate Proposer's ability to maintain and process all electronic media documents and comply with the current Electronic Data Interchange (EDI) standards adopted pursuant to Health Insurance Portability and Accountability Act (HIPAA) and in accordance with Department-approved formats and specifications.

Proposer B's response indicates that the FI Operations is currently compliant with the data standards set out by HIPAA (1996) as well as State, federal and industry standards and requirements for security and privacy. Proposer B's response proposes ongoing collaboration with the ASO contractor to define specific, yet interrelated, roles and responsibilities in the new contract. Proposer B's response recognizes the importance of HIPAA in maintaining security and confidentiality, and has methods, systems and procedures in place to ensure continuous compliance, such as providing annual HIPAA training and maintaining complete audit trails of all document transactions to enable monitoring of HIPAA compliance.

Proposer B's response acknowledges that the CD-MMIS's design currently supports compliance with HIPAA standards, recognizes correct EDI formats and specifications and rejects submissions that are incorrect. Proposer B's response indicates intent to maintain CD-MMIS capabilities necessary for continued EDI compliance.

Proposer B's response provides a sound solution to link hard copy radiographs and other supporting documents to corresponding Claims/TARS using modern scanners, COTS tools and radiograph digitizer. This solution allows the attachments and radiographs to be stored and become part of the original electronic document, retrievable in real time along with the EDI claim/TAR or NOA. Proposer B's proposal also addresses the vendor-supported digitized radiograph process, which permits adjudication staff to view the radiographs via Internet access to the vendor's secure, HIPAA-compliant website as they process electronic claims/TARs and NOAs.

Proposer B's response indicates intent to continue to accept EDI transmissions 24 hours per day, Monday through Saturday, and from noon through midnight on Sunday.

Proposer B's response demonstrates understanding of all EDI requirements, enrollment and certification requirements for trading partners and the files and reports needed to support EDI document submission/processing.

Entire Plans: 1.0 Executive Summary; 4.0 Work Plan; 8.0 Security and Confidentiality Plan; 10.0 Claims/TARs Auto Adjudication Processing Plan

Q Num	Proposal	Evaluator	Score	Comments
23	B	Eval2	3	TeamA
<p>The Proposer more than adequately demonstrates the ability to process Electronic Data Interchange (EDI) standards pursuant to HIPAA.</p> <p>The Proposer states that they encourage participation in the EDI because EDI-enrolled providers receive multiple benefits from electronic claims submission, such as faster claims processing turnaround and improved cash flow. The Proposer also states that the EDI participant can submit digital radiographs electronically reducing DHCS's expenses related to radiographs, envelopes and cost-reimbursable return postage for radiographs.</p> <p>The Proposer states that, if successful in their bid, during Takeover, they will be providing training to multiple audiences with different levels of interest, knowledge and skills. This includes HIPAA training for their FI staff and subcontractor staff. The Proposer states that they will maintain strict adherence to the privacy and security requirements of HIPAA. The Proposer states that they follow well-documented processes to protect the confidentiality of DHCS beneficiary data and protected health information.</p> <p>The Proposer understands that the types of documents that providers may submit through EDI are claims/TARs, NOAs and claim status inquiries and providers may receive NOAs, claim status responses and EOBs via EDI. The Proposer states that DHCS approved the use of digitized radiograph submission for all enrolled EDI providers and the Proposer has expanded its use through outreach campaigns.</p> <p>The Proposer states that they can accept EDI transmissions 24 hours per day, Monday through Saturday, and from noon through midnight on Sunday. They further state that these proposed hours afford providers an additional 12 hours, above and beyond the RFP-mandated hours, to submit EDI documents. The Proposer states that they have experience with EDI submissions including increased volume, and have frequently been at or near 400,000 records per month on a previous contract.</p> <p>The Proposer states, that if selected as the winning bidder, following completion of the enrollment materials, the trading partner (or their authorized agent) completes the EDI testing and certification process. This process verifies the submitter's ability to establish a connection with the EDI system, format commands that allow files to be transmitted, create and transmit documents in the proper formats (including compliance with HIPAA standards), and formats commands that request reports and data (such as EOBs) to be returned to the submitter.</p>				
4.4.4.8, 4.3.5.1, 4.4.10.3, 4.6.8, 10.5.2.2, 10.5.2.5, 10.5.1, 10.5.2.1				
24	B	Eval1	2	TeamA

Q Num	Proposal	Evaluator	Score	Comments
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Proposer B provides an adequate response to demonstrate understanding of the checkwrite process and the ability to develop procedures, processes and methods to ensure checkwrite requirements will be met. Proposer B’s response indicates knowledge and experience in executing checkwrite activities over four decades and acknowledges that new checkwrite processes are required due to the new weekly State funding mechanism for Denti-Cal payments. Proposer B’s response describes intent to update appropriate manuals to document these new processes and procedures dealing with banking, acquisition and control of provider check stock, weekly funding mechanisms, ongoing reconciliations and weekly checkwrite schedules.

Proposer B’s response describes relying on production of CD-MMIS reports and manual review by FI QM staff to ensure and verify that payment files are accurate and that payments are correct based on State and federal policies. Provider B’s response describes report reviews to support check-run balancing and the detection of errors or potential errors in payment amounts. Proposer B indicates ability to submit the payment file through a series of edits/audits to detect errors (if needed). Further action includes research, correcting the error and the system or processing condition that caused the error and adjusting the claim(s) as needed.

Proposer B’s response demonstrates comprehensive and technically sound approaches and methods in executing the processes that generate the data required to produce provider warrants. Proposer B’s response reflects understanding of activities in support of checkwrite processing, such as DHCS’s paid claim reporting needs by funding category, the one week pre-checkwrite payment hold, provider withholds or offsets, payment correction processes, and activities in support of State budget impasse processes. Proposer B’s response describes the intent to continue to utilize the CD-MMIS financial processing module, which is updated on a daily basis with claim and NOA payment information to create weekly payment files, provider warrants and Explanation of Benefits (EOBs).

Proposer B’s response demonstrates an adequate sound approach to execute Electronic Fund Transfers (EFT) for providers who request this service. Proposer B’s response describes intent to provide providers with HIPAA compliant remittance advices (electronic supplemental EOBs) or hard-copy EOBs, releasing funds at the same time that provider checks are mailed.

Proposer B’s response demonstrates understanding of the accounts receivable system and the interrelationships and functional dependencies within the checkwrite process. Proposer B’s response demonstrates understanding of the need to adjust, off-set or withhold amounts from a provider’s check because of amounts owed to the Denti-Cal program, other State agencies or the Internal Revenue Service (IRS). Proposer B’s response indicates an understanding that these amounts may be related to previous provider overpayments, interim payments, liens, levies and/or collection actions. Response recognizes that negative provider balances are identified by the CD-MMIS accounts receivable system, and current procedure is to apply a 100-percent withhold of provider receivables against provider payables.

Entire Plans: 3.0 Management Plan; 4.0 Work Plan; 10.0 Claims/TARs Auto Adjudication Processing Plan; 11.0 Quality Management Plan

24	B	Eval2	3	TeamA
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Q Num	Proposal Evaluator	Score	Comments
The Proposer more than adequately understands the checkwrite process.			
The Proposer understands that strict controls and security measures on all activities associated with the checkwrite process must be accomplished to ensure that payment files are accurate before checks are printed and mailed to providers. The Proposer understands the key features to managing the checkwrite process. The Proposer understands that, if successful in their bid, they will work with DHCS to determine the specific timing of the checkwrite process including invoice submission, State Controllers Office (SCO) fund and Electronic Funds Transfer (EFT) and check release processes.			
The Proposer understands that, if selected as the winning bidder, upon funding of the week's checkwrite, they must print and mail provider checks and release EFT payments at the same time that checks are mailed to providers. The Proposer states they will offer direct deposit (EFT) and HIPAA-compliant remittance advice to providers who request this service.			
The Proposer understands that before they can generate provider payment files, they must resolve amounts providers owe to Denti-Cal. These can be previous provider overpayments, interim payments, liens, levies and/or collection actions.			
The Proposer understands that negative provider balances are identified by the accounts receivable system which will be updated before each checkwrite. The Proposer understands that the procedure is to apply a 100-percent withhold of provider receivables against provider payables, unless otherwise directed by DHCS.			
The Proposer describes their QM review that they state ensures that payment files are accurate prior to generation of the checkwrite invoice and provider checks.			
10.15.1, 11.8.1			

25      B      Eval1      2      TeamA

Provider B's response is adequate to demonstrate a sound approach to execute the CD-MMIS functionality necessary to produce checks on behalf of the ASO contractor and to pay Clinical Screeners for their services. Proposer B's response demonstrates understanding of the ASO contractor responsibilities to carry out the screening process, determine the payment amounts for screening dentists, provide check stock, and verify that clinical screening dentists have been paid the correct amount for their services. Proposer B's response indicates intent to maintain CD-MMIS functionality necessary to produce checks to pay clinical screening dentists on behalf of the ASO contractor.

Entire Plan: 4.0 Work Plan; 10.0 Claims/TARs Auto Adjudication Processing Plan

25      B      Eval2      3      TeamA

Q Num	Proposal	Evaluator	Score	Comments
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The Proposer more than adequately understands that they will produce checks for the ASO and Clinical Screeners.

The Proposer states that, if selected as the winning bidder, the Proposer will work with the ASO contractor to process provider checks received and to update procedures for processing returned checks. They also state that they will update current procedures and obtain Department approval for the updated procedures as well as for any form(s) used to report payments to the prior contractor. The Proposer states that they will work with the ASO contractor to compensate the prior contractor for its share of amounts of returned checks and to report these payments to the Department on a prior contractor check report.

The Proposer understands that in case of an emergency they will have a recovery site that can print checks and provide outgoing mail services.

The Proposer understands that the ASO contractor will be responsible for handling returned provider warrants and incoming payments from providers. The Proposer states that there may be situations where they receive repayments from providers and they will forward those repayments to the ASO contractor for processing in compliance with ASO RFP claims processing and QM requirements.

The Proposer understands that the ASO contractor is responsible for carrying out the clinical screening process, determining payment amounts for screening dentists, providing check stock, and verifying that clinical screening dentists have been paid the correct amount for their services. The Proposer understands that they will maintain CD-MMIS functionality necessary to produce checks to pay clinical screening dentists on behalf of the ASO contractor.

4.3.17.5, 10.15.4, 10.10

26	B	Eval3	2	TeamB
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The Proposer demonstrated adequate knowledge and understanding of the services to be provided as described in the Takeover Plan. The Proposer showed an understanding of the interrelationships and functional dependencies between all required tasks and activities to ensure successful completion of Takeover by developing a Takeover Work Plan where all of the RFP Takeover requirements were reviewed. When scheduling Takeover tasks and activities, predecessor tasks and activities were identified. The Proposer also reviewed the ASO RFP to assess the interrelationships and functional dependencies impact on Takeover. The Takeover Work Plan included all tasks, milestones and deliverables for the RFP.

The Proposer submitted a Human Resource Management Plan which contained a Takeover organization chart depicting the Takeover management team by their role or area, and the reporting structure. Also provided were Takeover and Operations staff loading charts which listed the position titles, job classifications and the associated full time equivalency for the position title.

(Volume 2, Section 5.0, Page 5-2) (Volume 3, Section 7.4, page7-31) (Volume 2, Section TO7, page 3) (Volume 3, Attachment 6.0-1, Staff Loading Charts, page 1) (Volume 2, Attachment 5.0-2, page 5-43)

26	B	Eval4	2	TeamB
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Q Num	Proposal	Evaluator	Score	Comments
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The Proposer adequately demonstrates a knowledge and understanding of the services to be provided as described in the Takeover Plan. Proposer B explains that they will use project management methods aligned with Project Management Body of Knowledge (PMBOK) and California Department of Technology standards to complete all Takeover tasks. The Proposer explains that Takeover of the CD-MMIS is complex and involves hardware, software, file installations and testing, and technical documentation. (Section 5.0). The Proposer has decades of experience in that specific area and with this specific technology. The Proposer will take all modifications including dental operating instruction letters (DOILs), problem statements (PSs), miscellaneous change documents (MCDs), system development notices (SDN), Change Orders, Contract Waivers, business requirements documents (BRD) or contract amendments in stride and will make sure that they are as non-disruptive as possible. The plan for staffing and allocation of resources is already in place and positioned to transition from the current Denti-Cal contract to the Fiscal Intermediary (FI) contract. Proposer B has specific staff in place already and has included an organizational chart that provides for the reporting responsibilities in the Takeover phase of the contract. (Sections 4.0 and 5.0).

27	B	Eval3	3	TeamB
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The Proposer more than adequately demonstrated comprehensive and technically sound approaches and/or methods for coordinating and conducting System Testing in Takeover. The Proposer has a thorough understanding of the CD-MMIS as the current CD-MMIS FI. The Proposer's Takeover testing manager has 19 years of technical experience and 10 years of operations experience with CD-MMIS and the Denti-Cal program. The familiarity with the CD-MMIS places the Proposer in a unique position to understand the required activities and tasks to evaluate the readiness of the CD-MMIS for Acceptance Testing. The Proposer's System Test Plan includes mainframe components, existing and replaced non-mainframe components.

The Proposer submitted a draft Systems Test Plan and a draft Systems Test Support Plan which describes in detail the systems, functions and procedures to be tested and the different types of testing that will be performed (e.g. system, functional, parallel). The Proposer provided a pictorial which illustrates five steps in the System Test process: specifying releases, specifying requirements, planning tests, running tests, and tracking variances. The Proposer commits to meeting the RFP requirements for the draft Systems Test Plan and the draft Systems Test Support Plan.

(Volume 3, Section 9.0, page 9-1) (Volume 3, Section 9.1.2, pages 9-7 and 9-10) (Volume 3, Section 9.1.7, page 9-16)

27	B	Eval4	2	TeamB
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The Proposer adequately demonstrates comprehensive and technically sound approaches and/or methods for coordinating and conducting System Testing in Takeover. The Proposer has a Takeover team, the EPMO staff and legacy testing specialists for Takeover. The leads will collaborate with the ASO contractor to prepare and execute a consolidated Takeover Project Plan and joint Assumption of Operations Plan. (Page 1-5). The Proposer explains that system testing and acceptance testing are based on several components: Requirements Manager, Test Plan, Test Lab and Defect Manager to plan, build, test and deliver reliable software encompassing requirements management, test management and business process testing for Information Technology (IT) and application environments; houses project test plans, test scenarios, test discrepancies/defects and test results. The Proposer explains that they are equipped to handle all of those components in a professional and efficient manner (Page 4-28). Additionally, the Proposer provides a System Test Plan with specific deliverables, dependencies, project team members, and describes the system test environment to contribute to a system that is completely tested during Takeover. (Section 9).

28	B	Eval3	3	TeamB
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Q Num	Proposal	Evaluator	Score	Comments
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The Proposer more than adequately demonstrated comprehensive and technically sound approaches and/or methods for coordinating and supporting Acceptance Testing in Takeover. The Proposer has a thorough understanding of the CD-MMIS as the current CD-MMIS FI and has a deep understanding of the tasks and activities required to take over and stabilize the CD-MMIS. The Proposer's experienced staff will use their in-depth knowledge to develop test cases, monitor and track variances, and assist the ASO contractor with Acceptance Testing.

Using its proven approach, the Proposer will plan, prepare, execute, track and control, and document test cases in coordination with the ASO contractor. The Proposer will work with ASO contractor to subdivide the acceptance testing into processes, categories and test series in preparation for acceptance testing. The Proposer will use ALM, a new test management tool, to track, monitor, control, and document test cases.

The Proposer commits to maintaining a separate environment from the systems test and production environments to be used by the ASO contractor for Acceptance Testing. The Proposer described in detail what will be included in the Acceptance Test infrastructure for the areas of Computer Hardware, Vendor Software, CD-MMIS Test and Production Files and Libraries, and Computer Operations.

The Proposer's use of ALM and SharePoint aids its procedures for status tracking, reporting, and documenting of all tests and associated artifacts (e.g. test criteria, expected and actual test results). The Proposer views Acceptance Testing as complete once all planned test cases and the second parallel test have been executed and there are no variances.

(Volume 3, Section 11.12, page 11-78 and 11-79) (Volume 4, Section 14.1, pages 4-3 and 4-4) (Volume 4, Section 14.12, page 14-43 and, 14-44)

28	B	Eval4	2	TeamB
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The Proposer demonstrates adequate understanding of the methods and approaches for coordinating and supporting Acceptance Testing in Takeover. They explain that during Takeover, three business analysts and two testers will participate in CD-MMIS system testing and collaborate with the ASO on Acceptance Testing. The goal in solid Acceptance Testing is solid Operations. After Takeover, the Proposer will have a senior business analyst and a tester who will continue as part of the SG. As part of the responsibility to take over and stabilize the CD-MMIS, the EPMO and SG will be responsible for ensuring that business rules are appropriately evaluated, updated and stored as part of the change management process (page 4-13). Proposer B explains that they have engaged a contractor, a technology company that specializes in supporting mission-critical legacy systems in the public sector, to provide mainframe testing and business analysis (page 4-47).

29	B	Eval3	2	TeamB
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Q Num	Proposal	Evaluator	Score	Comments
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The Proposer adequately demonstrated its capability of meeting Facilities and Resources requirements and responsibilities. The Proposer's chosen Takeover management team is comprised of CD-MMIS experienced and knowledgeable staff. The proposed Takeover Director has experience as a previous Takeover Director, Takeover Quality Management Director, and Takeover Operations Management Director.

The Proposer described its approach for developing a plan of assumptions in coordination with the ASO contractor. The plan of assumptions will specifically address 18 key functions of which file transfer and maintenance is one of the functions. The Proposer will submit an updated File Installation Plan that will describe activities for the transfer, verification and installation of files. Prior to Acceptance Test completion the Proposer will execute the file installation activities.

The Proposer committed to the development of a Hardware and Equipment Acquisition Installation Plan. The plan will include the on/off site hardware equipment, software and the installation of the hardware equipment and software to support the CD-MMIS, including all non-mainframe systems. Also included in the Hardware and Equipment Acquisition Installation Plan will be a contingency plan in case of schedule slippage.

As the incumbent CD-MMIS FI, the Proposer has compared the RFP requirements to the current CD-MMIS installed hardware in preparation for the Hardware and Equipment Acquisition Installation Plan submittal.

(Volume 1, Section 4.3.17, Page 1-54) (Volume 1, Section 4.3.2, Page 4-72, 4-73 and 4-78) (Volume 1, Section 4.3.7.2, Page 4-117 and 4-118)  
 (Volume 1, Section 4.3.9, Page 1-36) (Volume 1, Section 4.6.6, Pages 4-107 and 4-108)

29	B	Eval4	2	TeamB
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The Proposer adequately demonstrates the capability of being able to meet Facilities and Resources requirements and responsibilities. Proposer B has current experience in performing most of the Operations activities required under the contract. They recognize that they need to work with the ASO contractor to coordinate and integrate the Assumption of Operations and execute the Comprehensive Plan for Assumption of CD-MMIS Operations (page 4-107). As the Proposer is the current fiscal intermediary with hardware, terminal network data lines, and backup dial-up business lines, they will maintain those in place. The Proposer provides a detailed list of equipment to provide transparency to the ASO contractor and the Department of Health Care Services (DHCS). (Section 4).

30	B	Eval3	2	TeamB
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Q Num	Proposal	Evaluator	Score	Comments
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The Proposer adequately demonstrated its overall capability to identify, measure, monitor, and report on all contractors' performance. The Proposer, as the current CD-MMIS FI, has existing procedures for the completion of quality reviews, quality audits, special studies and other processes for internal standards and contract requirement performance monitoring.

The Proposer is currently certified for the International Organization for Standardizations (ISO) 9001:2008 and plans to be 9001:2015 certified in 2017. The Proposer's current practice is to monitor ISO standards to stay current, and the Proposer commits to continue this practice.

The Proposer will use its current Quality Assurance Standards and Procedures Manual (QASPM), updated to reflect the RFP, to document and maintain performance standards and measurements. Included in the QASPM are the definitions of each performance measure and how those performance measures are validated for reliability.

The Proposer's Continuous Quality Improvement (CQI) methodology employs the use of two tracks: prospective reviews, and concurrent and retrospective reviews. The Proposer provided a pictorial, "Dual QM Tracks Produce CQI" that depicts how concurrent, retrospective, and ISO prospective reviews contribute to process improvements for the different business process areas like EPMO, document management, or records control.

The Proposer will use qualitative and quantitative standards to assist in identification, research, reporting and problem correction to increase the efficiency and accuracy of CD-MMIS. The Proposer commits to finalize the qualitative and quantitative standards at contract award.

(Volume 3, Section 11.1, page 11-3) (Volume 3, Section 11.1.1 page 11-14) (Volume 3, Section 11.5.3, page 11-36) (Volume 3, Section 11.5.5 page 11-37) (Volume 3, Section 11.6, pages 11-38 and 11-39) (Volume 3, Section 11.7, page 11-40) (Volume 3, Section 11.7.3, page 11-53 through 11-55)

30	B	Eval4	2	TeamB
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The Proposer adequately demonstrates their overall capability to identify, measure, monitor, and report on all contractor's performance. The Proposer explains that they will meet the standards set by Carnegie Mellon University's Capability Maturity Model Integration (CMMI) and International Organization for Standardization (ISO) 9001:2008 standards, among other industry standards. Proposer B explains that their quality management program was first certified to the ISO 9001:2000 standards in March 2007 and subsequently certified to the ISO 9001:2008 standards in 2010 and 2013. They are currently preparing for certification to the ISO 9001:2015 standards by 2017. (Section 4).

31	B	Eval3	2	TeamB
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Q Num	Proposal	Evaluator	Score	Comments
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The Proposer adequately provided a detailed Quality Management plan addressing quality planning, quality assurance, quality control and quality improvement.

The Proposer submitted a Takeover Quality Management Plan as part of a set of project management plans used to manage Takeover. The Takeover Quality Management Plan includes the tasks and functions the Takeover QM team will perform as they relate to the RFP. The Proposer committed to address quality planning, quality assurance, quality control and quality improvement activities in its QM and Quality Assurance (QA) plans. The Proposer considered its narrative response to RFP Exhibit A, Attachment II, Section H. Quality Management Operations, Item 5 a. Quality Management Plan as a baseline QM plan. The Proposer identified what content would be added when the QM plan is formalized. The Proposer also provided a content listing of its QA plan.

The Proposer provides an approach to evaluate concurrent and retrospective reviews of the system and contractor performance and compliance with all contract requirements, including accuracy and timely performance. The Proposer's quality management approach uses 8 QM principles of the ISO 9001:2008 standard. The Proposer provided a pictorial of common QM review methods such as random sampling, stratified sampling, and judgement sampling. The Proposer indicated judgement sampling was the primary method it uses for population unit selection for QM reviews. Another pictorial showed commonly used QM review tools.

The Proposer did not provide a listing describing each performance standard, but the Proposer did provide an acknowledgement that it is responsible for the collection of all performance standards. The Proposer will document the performance standards in the QASPM along with their descriptions. In addition the contractor will store the performance standards in a single repository, SharePoint.

(Volume 2, TO6, Quality Management Plan) (Volume 3, Section 11.1 page 11-3) (Volume 3, Section 11.4, page 11-30) (Volume 3, Section 11.5 pages 11-33 and 11-34) (Volume 3, Section 11.7.1.1, page 11-42)

31	B	Eval4	2	TeamB
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The Proposer provides an adequately detailed QM plan addressing quality planning, quality assurance, quality control and quality improvement. The QM plan explains that the objectives of the Proposer's QM team is to assess, monitor, measure and improve all key processes for the FI contract. The Proposer says that they place a high emphasis on quality improvement through the use of technology and qualified staff members. To review the system, the Proposer explains that they use a dual track model to produce Continuous Quality Improvement. The Proposer performs prospective reviews, including ongoing ISO 9001:2008 audits that evaluate the structures in place in FI functional areas to identify and implement process improvements, and they conduct ongoing concurrent and retrospective reviews to measure, report and improve the performance of operational functions. (Section 11).

32	B	Eval3	2	TeamB
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Q Num	Proposal	Evaluator	Score	Comments
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The Proposer adequately demonstrated knowledge and understanding of the process for reviewing, verifying, and validating processes, work products, and deliverables to ensure compliance with Contract requirements, as well as processes for improving performance.

The Proposer demonstrated the ability to develop and implement procedures, processes, methods and tools which will be used to ensure the on-going improvement of contract and employee performance. The Proposer’s CQI methodology employs the use of two tracks: prospective reviews, and concurrent and retrospective reviews. The Proposer provided a pictorial, “Dual QM Tracks Produce CQI” that depicts how concurrent, retrospective, and ISO prospective reviews contribute to process improvements for the different business process areas like EPMO, document management, or records control.

The Proposer will use CQI tools and varied automated tools to monitor, measure, report, and improve processes. CQI tools include Lean Thinking (Lean), Six Sigma and Theory of Constraints. The Proposer has established procedures to correct or improve processes identified outside of the controlled limits. The procedures include analyze quality key performance indicators, track issues, and include all stakeholders in proposed improvements.

The Proposer’s methods and approaches to gather accurate required information for the QM performance reporting were not specifically stated, but the Proposer did provide its proposed QA Plan content. Included in the content was “Identification and definition of quality standards and measures for work products and deliverables”, and, “Internal quality control and QA tools” that would be applicable to the gathering of accurate required information for the QM performance reporting.

Also, the Proposer has documented in its current DHCS approved QASPM the procedures for quality reviews, audits, special studies, and other improvement activities. The QASPM will be updated to reflect any changes needed to reflect the RFP requirements/changes not already captured.

(Volume 3, Section 11.1.2, page 11-7 and 11-8) (Volume 3, Section 11.6 page 11-38 and 11-39) (Volume 3, Section 11.7, page 11-40) (Volume 3, Section 11.9.1 page 11-69)

32	B	Eval4	2	TeamB
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Q Num	Proposal	Evaluator	Score	Comments
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The Proposer adequately demonstrates knowledge and understanding of the process for reviewing, verifying, and validating processes, work products, and deliverables to ensure compliance with Contract requirements, as well as processes for improving performance. The Proposer explains that the EPMO is responsible for continually improving the efficiency and accuracy of project and change management processes including overall performance and the performance of individual members of the SG (page 4-46). In addition, in an effort to develop and implement procedures, processes, methods and tools which will be used to ensure the on-going improvement of contract and employee performance, the Proposer explains that they have a detailed training program that encompasses the staffs of the Department, FI, FI subcontractor, and ASO contractor. Items covered include: Denti-Cal Program and FI Contract Orientation; The Health Insurance Portability and Accountability Act of 1996 (HIPAA), Security and Confidentiality; Waste, Fraud and Abuse; and Job Training. (Section 4).

Proposer B explains that they will provide a Monthly QM Report which will include reports identifying process-oriented error trends and proposed system process improvement recommendations. The report content will be based on data collection from correction notices, monthly QM performance reviews, federal and State audit reports, and internal audits. The report will include information such as a cumulative analysis or errors, follow-up information from the prior months correction notices and system-implemented resolutions to the recommendations and identification of the specific process within the FI that contributed prominently to the errors. (Section 11).

33	B	Eval3	2	TeamB
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The Proposer demonstrated adequate knowledge and understanding of the services to be provided by the Security and Privacy Office. Many of the duties of the Information Privacy Officer were acknowledged. Other duties of the Information Security and Privacy Officer (ISPO) were highlighted in the Security and Confidentiality Plan. All together each of the eighteen general responsibilities of the ISPO requirements in the RFP was either acknowledged or address in detail.

The Proposer's response demonstrated knowledge and understanding of the reporting responsibilities by acknowledging it will provide a monthly report and/or comprehensive overview of current and planned Security and Privacy activities. The Proposer highlighted that, as the incumbent CD-MMIS FI, it currently executes monthly security meetings where a Dashboard Summary Report and the Plan of Action and Milestones are reviewed. The Security Risk Assessor also presents a bi-weekly status report at the monthly security meeting.

The Proposer demonstrated knowledge and understanding of the Security Risk Assessor's responsibilities by describing the role the Security Risk Assessor plays in the development of a risk assessment. The Proposer further describes the specific duties of the Security Risk Assessor which meet the minimum required duties outlined in the RFP.

(Volume 3, Section 8.4.2. page 8-17), (Volume 3, Section 8.4.2.3 page 8-20), (Volume 3, Section 8.4.2.5 page 8-21) (Volume 3, Section 8.6 page 8-26 through 8-30)

33	B	Eval4	2	TeamB
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Q Num	Proposal	Evaluator	Score	Comments
				<p>Proposer B adequately demonstrates knowledge and understanding of the services to be provided by the Security and Privacy Office. The Proposer's Information Security and Privacy Office (ISPO) will be staffed with an Information Security and Privacy Officer supported by a Security Risk Assessor and a Policy Specialist. The people in these positions currently have experience in performing these same tasks. The Proposer also makes Security and Confidentiality Training mandatory for the entire workforce, not just those staff with access to the CD-MMIS. The ISPO is responsible for documenting project risk, "developing system security questionnaires and incorporating applicable work products into the systems development life cycle (SDLC) documentation. The ISPO and ASO contractor will also oversee the annual risk assessment and Denti-Cal's information security and privacy programs, including a security awareness program for all employees, technical staff, management and any subcontractors that support CD-MMIS operations" (page 8-16).</p> <p>The Proposer will provide the Department with a monthly report and/or a comprehensive overview of current and planned security and privacy activities. At monthly security meetings with the Department, the Proposer will explain "any incidents that happened in the previous month, any security violations, security patches installed, audit results from any audits performed during the previous month, the hourly allocation for the Security Risk Assessor and the Plan of Action and Milestone (POAM)" (page 8-21). The POAM lists and monitors the tasks that are planned to correct any weaknesses or deficiencies in the security controls noted during an assessment.</p> <p>The Proposer provides a job duty statement for the position of Security Risk Assessor, to be hired after the contract is awarded. This person works with project teams to evaluate project solution-related vulnerabilities. The Security Risk Assessor develops secure solutions and enhancements for CD-MMIS (Section 4).</p>
34	B	Eval3	3	TeamB

Q Num	Proposal	Evaluator	Score	Comments
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The Proposer more than adequately demonstrated knowledge and understanding of the policies, procedures, guidelines, safeguards, and audit controls that protect data confidentiality, data integrity, privacy rights, and ensures the integrity, security, and availability of information systems. The Proposer currently has a Security and Confidentiality Procedures Manual and a Health Insurance Portability and Accountability Act (HIPAA) Policies and Procedures Manual that accounts for all confidential, privacy and security requirements including processes and procedures for the use, disclosure, transmission, and storage of protected information. The HIPAA Policies and Procedures Manual is based on HIPAA Privacy and Security Rules. Examples of the Proposer's privacy processes and procedures are redaction of sensitive data using Adobe Acrobat DC, a clean-desk policy where paper documents containing personal, sensitive or confidential information cannot be left unattended and must be locked in a cabinet/drawer, use of a bonded courier service when transporting Protected Health Information (PHI), and encryption of data at rest.

The Proposer's ISPO will be responsible for the development of Information Security and Privacy programs that will comply with federal and State laws, safeguard sensitive and confidential information, provide audit controls, provide system log reviews for unauthorized access, and provide fraud prevention and detection. The ISPO will be responsible for development and maintenance of policies and procedures for the collection, storage, access and destruction of information assets.

The Proposer uses a written Incident Management Plan as part of its security incident management. The Incident Management Plan provides for the formulation of a team of staff whose responsibility is to respond, report, and recover from incidents. The Incident Management Plan also includes corrective action plans and lessons learned. The Proposer's execution of monthly security meetings also includes reporting of incidents from the prior month.

(Volume 3, Section 8.3 page 8-14), (Volume 3, Section 8.4.1 page 8-16), (Volume 3, Section 8.4.2.1 pages 8-17 and 8-18)

34	B	Eval4	2	TeamB
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The Proposer adequately demonstrates knowledge and understanding of the policies, procedures, guidelines, safeguards, and audit controls that shall protect data confidentiality, data integrity, and privacy rights, and ensure the integrity, security, and availability of these information systems. Proposer B explains that they have security procedures that are specific instructions for security-related processes to ensure that information assets are protected at all times. Some examples of policies and procedures for the collection, storage, access and destruction of information assets include secure archives, shredding, duplicating data where appropriate, and use of a multi-sensor Network Intrusion Detection System (NIDS). NIDS allows the Proposer to monitor and analyze all data traffic moving into, out of and within the organization. The Proposer uses firewalls, switches, routers and access controls and security to protect information that is protected under applicable federal and State laws. (Section 8). If an incident occurs that involves the unintentional or unauthorized use, disclosure, or modification of protected information, Proposer B's security incident management includes the formulation and adoption of a written Incident Management Plan that provides for the timely assembly of staff capable of responding and recovering from a variety of incidents. The IPSO will collect the data, inform the Department, and provide written notification within 24 hours. The Incident Management Plan which handles the reporting of incidents will address Escalation, Impact Assessment, Internal Reporting and Response Coordination. (Section 8).

35	B	Eval3	2	TeamB
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Q Num	Proposal	Evaluator	Score	Comments
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The Proposer adequately demonstrated knowledge and understanding of the administrative, physical and technical safeguards that protect the confidentiality, integrity and availability of public, confidential, sensitive and personal information. The Proposer provides physical and technical security for CD-MMIS mainframe and non-mainframe systems through its Security and Confidentiality Plan. The Security and Confidentiality Plan will conform to principles contained in documents such as Federal Information Processing Standards (FIPS), State Medicaid Manual, Office of Management and Budget, and the Federal Information Security Management Act. The Security and Confidentiality Plan also conforms to all RFP requirements. For example, the Proposer protects the Data Center physically from unauthorized entry through special encoded identification badges. Access to the data center is granted on a need-to-have basis. Another example is a multi-sensor Network Intrusion Detections System (NIDS) used to monitor all network data traffic.

The Proposer has four buildings where access is granted based on Proposer and/or DHCS pre-authorization by area of access, and controlled through security guards and two factor authentication, access card and fingerprint. Security staffs are kept knowledgeable with the Proposer's security policies. Additional security is provided through staffs security and confidentiality training, monthly access reports, terminated employee checklists, locked entrances, closed circuit TV, and well-lit parking.

The Proposer commits to providing procedures for the handling, packaging, and transportation of sensitive/confidential data or resources. The procedures developed will also be used by all Proposer subcontractors. Bonded courier service will be used when transporting PHI. Individuals traveling with confidential information must keep it securely locked and in possession.

(Volume 3, Section 8.2 pages 8-2 and 8-3) (Volume 3, Section 8.2.1 pages 8.4 through 8.7) (Volume 3, Section 8.2.2 page 8-8) (Volume 3, Section 8.6.4.2 page 8-29)

35	B	Eval4	2	TeamB
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The Proposer adequately demonstrates knowledge and understanding of the administrative, physical and technical safeguards that protect the confidentiality, integrity and availability of the public, confidential, sensitive and personal information. The Proposer explains that their physical and system security for CD-MMIS consists of services to meet State and federal requirements under Federal Information Processing Standards (FIPS); State Administrative Manual, Electronic Data Processing Data Security (Commission Enterprise IT Architecture Framework (CEAF)); and federal and State mandates including the State Medicaid Manual and federal and State legislation including HIPAA and the Information Practices Act (Civil Code 1798, et seq.). The Proposer's Security and Confidentiality Plan ensures that access to the facilities is only allowed for authorized staff and visitors and those who are permitted entry by security guards. Access to any of the facilities, with the exception of the lobby in one building, will require two factor authentication: a specific access card and a biometric (fingerprint) scan. Additionally, special access badges are required for entrance to the Data Center, telephone room and areas designated for Department staff. (Section 7).

Proposer B will update and submit, for Department approval, procedures for the handling, packaging and transportation of sensitive confidential data or resources once the contract is executed. Proposer B includes Department-approved procedures for the handling, packaging and transportation of sensitive/confidential data or resources in all of their many subcontracts. And they use a traceable, bonded courier service when transporting any sensitive data (page 8-3).

36	B	Eval3	3	TeamB
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Q Num	Proposal	Evaluator	Score	Comments
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The Proposer more than adequately demonstrated their capability for meeting all applicable federal and State security and privacy requirements (including HIPAA) to provide adequate physical and system security for the CD-MMIS and non-mainframe subsystem network. The Proposer has 40 years' experience with CD-MMIS and employs an ISPO with Certified Information Systems Security Professional (CISSP) certification and seven years' experience in information security, privacy and disaster recovery. The Proposer's security and confidentiality programs are in compliance with federal and State laws as identified in the RFP. Staffs of all levels are also trained on federal and State confidentiality laws.

The Proposer's security procedures and controls are applied to all its physical locations including the specific facilities named in the RFP. Examples of security procedures and controls applied are staffs training on security and confidentiality, monthly access reports, checklists used for terminated employees, locked entrances, use of closed circuit TV, well-lit parking, and background checks for staffs who access personal, sensitive or confidential information.

The Proposer's application access solution conforms to the RFP for the application access of all its employees, State employees and contractors. The solution includes the RFP-required minimum data elements for reporting purposes. The Proposer uses multiple access controls such as Customer Information Control System with Resource Access Control Facility to control access to CD-MMIS. Other controls include password policies, access permissions controlled by user's business area and position, and review of system logs by the Proposer's ISPO.

(Volume 3, Section 6.4.3 page 6-70) (Volume 3, Section 8.1 page 8-2) (Volume 3, Section 8.2 page 8-3) (Volume 3, Section 8.2.1 pages 8-4 through 8-7) (Volume 3, Section 8.2.3 page 8-11 and 8-12) (Volume 3, Section 8.4.1 page 8-16) (Volume 3, Section 8.7.1 page 8-31)

36	B	Eval4	2	TeamB
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The Proposer adequately demonstrates their capability for meeting all applicable federal and State security and privacy requirements (including HIPAA) to provide adequate physical and system security for the CD-MMIS and non-mainframe subsystems network. The Proposer explains that their Security and Confidentiality Plan adheres to standards and principles contained in State and federal rules and guidance.

Proposer B includes privacy and security controls for all of the physical facilities that it is responsible for including security guards and two factor identification for entry to the buildings. They also provide a monthly report to the Department, identifying all staff with facility access and all violations of the access requirements. The Customer Information Control System (CICS) is one of the CD-MMIS access controls. CICS security is maintained by the Denti-Cal ISPO, to provide restricted access to only those personnel who have sufficient clearance providing security for the application. Such security also can restrict access for specific users to only certain on-line transactions and define access times for each operator. (Section 8).

37	B	Eval3	2	TeamB
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Q Num	Proposal	Evaluator	Score	Comments
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The Proposer adequately demonstrated its capability to provide for adequate back-up and recovery for all Operations, both manual and automated, mainframe and non-mainframe system/applications, including all functions required to meet the back-up and recovery time frames as specified in their Business Continuity Plan (BCP). The Proposer selected an ISPO who has 7 years of experience with information security, privacy and disaster recovery. The selected ISPO will utilize his experience in the development, maintenance and oversight of the BCP and Disaster Recovery Plan. The Proposer identified the functional areas of its BCP with detailed descriptions of the recovery processes and procedures that align with the Back-up / Redundancy, Back-up Facility, Annual Testing and Disaster Recovery Plan requirements in the RFP. The Proposer described the contents and recovery events of its Disaster Recovery Plan which included recovery activities in case of fire, earthquake, flood, utility outages, bomb threats, labor or civil disputes, and terrorism.

The Proposer employs the use of Risk Analysis and Business Impact Analysis to determine all resources requiring backup. Specific attributes were identified requiring backup for the CD-MMIS mainframe and non-mainframe systems such as Interactive Voice Response, Voicemail, Telephone system, procedures and user manuals.

The Proposer will contract with a third party to provide for a fully operational facility which includes resources for the continuation of CD-MMIS operations. The operational facility will include hardware, software and computer resources, space for data processing operations, and the necessary backup data files and documentation.

The Proposer will develop an annual risk assessment using Qualitative Risk Analysis (QRA) methodology. The QRA is based on an industry standard methodology Facilitated Risk Analysis Process. Any risks that are not immediately resolved will be reported on the Plan of Action and Milestones. A Corrective Action Plan will be completed and submitted for any new risks not identified on the annual risk assessment.

(Volume 3, Section 8.7.4, page 8-45 through 8-47) (Volume 3, Section 8.7.5, page 8-47 through 8-50) (Volume 3, Section 8.7.5.11, page 8-51 and 8-52) (Volume 4, Attachment 16.4-1, page 5)

37	B	Eval4	2	TeamB
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The Proposer adequately demonstrates their capability to provide for adequate back-up and recovery for all Operations, both manual and automated, mainframe and non-mainframe system/applications, including all functions required to meet the back-up and recovery time frames as specified in their Business Continuity Plan (BCP). This plan will be continuously monitored and changed to cover any additional systems or applications added during the contract term. The Proposer's response provides a comprehensive list of all resources that require back-up. It also identifies that they have a back-up facility via a contract with a business continuity and recovery subcontractor for a full operational backup facility. They also have space in San Francisco, and Rancho Cordova that can be utilized as well as a contract for trailers that can be used as work-space in case of emergency. The Proposer explains that they have thought through the potential risks to California Dental Medicaid Management Information System (CD-MMIS) operations and their BCP for all of the foreseeable categories of risks, such as power outage, natural disaster, or security threat to the system.

The Proposer's response adequately demonstrates their ability to develop and implement required back up plans to ensure continued CD-MMIS operations. They explain that all support departments required for recovery in the event of a disaster are knowledgeable about the recovery time requirements and all contracts with third-party vendors specifically address the time requirements for recovery. (Section 8).

38	B	Eval3	2	TeamB
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Q Num	Proposal	Evaluator	Score	Comments
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The Proposer demonstrated adequate understanding of HIPAA requirements, and have adequate processes in place to ensure federal and State HIPAA mandates are met or exceeded and employees are properly trained. The Proposer will use its enterprise-wide experience from its commercial and public sector accounts, where it is already HIPAA compliant, to protect the privacy and security of the health information in its custody. The Proposer uses a multilayer approach comprised of Security Policies and Procedures, Security Standards and Controls, and Data Security Software to prevent unauthorized disclosure or access of confidential data. This multilayered approach includes items such as the use of a data inventory system to classify data by confidentiality classification and the Vormetri Data Security Platform to protect data at rest. The Vormetri Data Security Platform allows for individual product deployment while maintaining centralized management of data at rest across different environments and platforms. It also provides for redaction of sensitive data using Adobe Acrobat DC and the destruction of data through a vendor who provides onsite destruction. Staffs also adhere to a clean-desk policy where paper documents containing personal, sensitive or confidential information cannot be left unattended and must be locked in a cabinet/drawer.

The Proposer's Security and Confidentiality Plan provides for the training as identified in the RFP. The Security and Confidentiality Training Program is delivered through an online Learning Management System. Training modules address the definition of confidential data, identification of State and federal laws pertaining to confidential data, definition of unauthorized disclosure and what to do if an unauthorized disclosure occurs, facility and system access policies, HIPAA Privacy and Security requirements, and fire, flood or other disaster response procedures. Training is provided to all Proposer staffs and all subcontractors are held responsible for meeting the Security and Confidentiality Training requirements in the RFP. Annual training is provided to all staffs and an annual report documenting the training course completion of Proposer staffs is provided to DHCS.

(Volume 3, Section 8.2.4 page 8-13) (Volume 3, Section 8.3.1 page 8-15) (Volume 3, Section 8.4.2.1 page 8-18) (Volume 3, Section 8.4.2.2, page 8-19) (Volume 3, Section 8.7.1, pages 8-31 and 8-32)

38	B	Eval4	2	TeamB
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The Proposer adequately demonstrates an understanding of HIPAA requirements, and that there are adequate processes in place to ensure federal and State HIPAA mandates are met or exceeded and that their employees are properly trained in these areas. Proposer B explains that they will furnish their staff with HIPAA training on an annual basis. It is the responsibility of the ISPO to conduct initial and ongoing HIPAA and security training. The Proposer's training defines unauthorized disclosure of confidential data and following training, employees will know how to minimize the occurrences of unauthorized disclosures and recognize what procedures should be followed in the event of an unauthorized disclosure. (Section 8).

39	B	Eval3	2	TeamB
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Q Num	Proposal	Evaluator	Score	Comments
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The Proposer adequately demonstrated knowledge and understanding of the process for requesting payment for Operations. Takeover invoicing is described by how it aligns with the Takeover installment payment method where the Takeover cost is to be paid as a fixed price with 80% paid in 12 equal installments and the remaining 20% paid after three conditions have been met. The first Takeover invoice will be submitted after DHCS accepts and approves the Takeover Project Plan. The next 11 installment invoices will be submitted after DHCS accepts and approves the required deliverables which meet the milestones scheduled for that month. The remaining 20% will be invoiced and submitted after DHCS has approved all scheduled deliverables and milestones, accepts that all Takeover criteria has been met, and the Proposer has successfully completed six months of Operations.

Operations invoicing is described as billed monthly in arrears and the use of a three-step process to calculate the BVMP payment. The Proposer also includes the monthly/annual reconciliation in the BVMP calculation process. The Proposer will submit four separate Operations invoices as a percentage of the total Operations amount owed: General CD-MMIS Operations—25%; Cycle Time—30%; Reports and Documentation—20% and Quality Management/Problem Correction Systems—25%. Supporting invoice documentation includes the CP-O-495, General CD-MMIS Billing Report, CP-O-496, General CD-MMIS Billing Report, CP-O-497, General CD-MMIS Consolidated Billing Report, and the CP-O-503B, Consolidated Claim and TAR Document Billing Report.

Turnover and Runout invoicing is described by how it aligns to the Turnover and Runout installment payment method. Turnover is to be paid 55% in 9 installments with 9% withheld from each of those installments. The remaining 45% plus the 9% withheld will be paid once DHCS approves and accepts that all Turnover and Runout requirements have been met. Runout is to be paid 55% in 7 installments with 7% withheld from each of those installments. The remaining 45% plus the 7% withheld will be paid once DHCS approves and accepts that all Turnover and Runout requirements have been met.

(Volume 1, 3.2.3.1 Takeover, page 3-36) (Volume 1, 3.2.3.2 Operations: Base Volume Method of Payment pages 3-36 through 3-38 and 4.4.12.13 Other Reports4-289) (Volume 1, 3.2.3.5 Turnover and Runout, page 3-40 and 3-41)

39	B	Eval4	2	TeamB
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Proposer B adequately demonstrates knowledge and understanding of the process for requesting payment for operations and specifies the method for maintaining costs so that they are appropriately segregated so that only allowable costs are billed under the contract. (Section 3 Management plan) Additionally, Proposer B identifies and explains the operations invoicing including details of accounting and the cost accounting system it will use. The Proposer describes the process for Takeover invoicing and explains the billing reports to be generated during this time period. (pages 3-37-3-38) Proposer B also explains their use of subcontractors and the way that the invoicing will function with the subcontractors. Proposer B highlights Turnover and Runout invoicing as per the Request for Proposal (RFP) Exhibit B including payments based on successful completion of deliverables, written approvals where appropriate and potential withholds. (pages 3-40-3-41)

40	B	Eval3	3	TeamB
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Q Num	Proposal	Evaluator	Score	Comments
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The Proposer more than adequately described their approach and methodology for providing reporting and supporting documentation of Operations payments. The Proposer described their approach and methodology for providing certifications and reports for Claims and Treatment Authorization Request (TARS) documents as either using the current Operations billing reports updated for the RFP requirements or developing new reports with automated calculations based on direction from DHCS. For each invoice the Proposer will provide a signed certification, the Operations billing reports, all supporting documentation which demonstrates precedent to payment requirements have been met, and any other supporting documentation requested by DHCS needed for invoice payment. The Proposer recognizes that there are precedents for payment that need to be met and will submit complete documentation for each payment requirement to show that the conditions have been met. The Proposer will also perform a monthly and annual reconciliation.

(Volume 1, Section 3.2.4, pages 3-37, 3-42 and 3-43)

40	B	Eval4	2	TeamB
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The Proposer adequately describes their approach and methodology for providing reporting and supporting documentation of Operations payments. Invoices are submitted by the Proposer to the Department monthly in arrears, after the deliverables specified in the contract are completed. The original invoice, together with supporting documentation, a separate paper copy and an electronic copy, will be delivered to the individual designated by the Contracting Officer. Invoices will be submitted for payment no earlier than the first State work day of the month following the month being invoiced. It is the responsibility of the Department to monitor invoices for timely submission, accuracy and completeness. (Section 3). Proposer B highlights that the monthly and annual reconciliation reports will be provided in the form of a formal letter to DHCS (page 3-29-3-30).

41	B	Eval3	2	TeamB
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The Proposer adequately demonstrated its understanding and compliance with the payment requirements detailed in Exhibit B, Special Payment Provisions and Exhibit E, Additional Provisions by addressing in detail how the Proposer will invoice each of the 7 contractor payment categories while acknowledging remedies and/or liquidated damages for non-compliant payment requirements.

(Volume 1, Section 3.2.3, Pages 3-33 through 3-41)

41	B	Eval4	2	TeamB
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Proposer B adequately expressly acknowledges and accepts the payment requirements and liquidated damages sections detailed in Exhibit B, Special Payment Provisions and Exhibit E, Additional Provisions and expressly reiterates the amounts of said damages from Exhibit E. (page 3-34)

42	B	Eval3	3	TeamB
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The Proposer more than adequately demonstrated a working knowledge and understanding of the erroneous payment correction (EPC) process by acknowledging the coordinated effort needed with the ASO contractor to correct payments, adjust records, and if needed to correct the underlying issue that caused the erroneous payment(s). The Proposer described the key elements of the EPC as the CAP, the Sample Select, the Final Select, the EPC notification, and provider bulletin. These key elements are used in conjunction with the Problem Statement Correction (PSC) process. The process described for both the EPC process and PSC process, will be managed by the EP MO and aligns with the contract requirements.

(Volume 3, Section 11.8.2, page 11-68) (Volume 4, Section 12.8.3, Pages 12-83 and 12-84)

Q Num	Proposal	Evaluator	Score	Comments
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42	B	Eval4	2	TeamB
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The Proposer adequately demonstrates a working knowledge and understanding of the erroneous payment correction process (EPC). The Proposer explains the EPC process as complex but within the expertise and handling ability of the Proposer when broken down into specific steps and processes. (3.0) Proposer B has historical experience with the EPC process. It implemented Problem Statements historically in a project regarding 10 Percent Schedule of Maximum Allowances (SMA) Reduction and Repayment/Adjustment which started in 2008 and continues to the current budget year. (page 2-40-2-41) The Proposer explains in great detail how they would work collaboratively with the ASO contractor in general and specifically, "Preparing provider bulletins or letters regarding EPC Actions." (page 12-32-12-33)

43	B	Eval3	2	TeamB
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The Proposer adequately demonstrated its knowledge and understanding of the services to be provided as described in the Turnover/Runout Plan by relating its current experience with the Turnover requirements and briefly describing how the Proposer will meet those requirements. The Proposer's approach to Turnover includes robust communication, risk/issues tracking, effective change order management, a focus on training, and milestone review. The Proposer also acknowledges that for Runout, it will continue to carry out the contract requirements, provide the required services and activities through the Runout period to the end of the contract.

(Volume 1 Section 4.6, Pages 4-337, 4-340 through 4-344 and 4-360)

43	B	Eval4	3	TeamB
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The Proposer more than adequately describes the requisite knowledge and understanding of the services to be provided in a Takeover/Runout scenario. The Proposer has previously completed such activities for the Department on 2 separate occasions, although Takeover was not required at those times. (page 4-334) The Proposer outlines the 5 requirements from the Department in the RFP for a Takeover/Runout Plan, and illustrates its plan to meet said requirements including flexibility in the changing requirements, bearing the costs of the Turnover, timeframe to begin 2 1/2 years prior to the end of contract term, overlapping Turnover and Takeover activities, and abiding by departmental requests. (page 4-335-336) Additionally, the Proposer's Turnover project is guided by 5 guiding principles that are highlighted in the Turnover Services Plan, Runout Work Plan, Runout processing and contract close out. These 5 principles are robust communication, risk and issue tracking, effective change order management, focus on training and milestone review with a focus on practical deliverables. (page 4-337-339) The Proposer demonstrates an understanding of the Turnover requirements and highlights their existing experience in providing Turnover services such as on-site facility tours for prospective successor contractors, and providing documentation and document transfer. (page 4-344-360) The Proposer provides for appropriate Runout activities to complete its contractual obligations in a Runout Work Plan which includes a timeline of activities, organizational chart, and documentation of specifics for preparing annual reports to the Internal Revenue Service (IRS), State of California Franchise Tax Board (FTB) and providers. (page 4-360-367)

44	B	Eval3	3	TeamB
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Q Num	Proposal	Evaluator	Score	Comments
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The Proposer more than adequately illustrated its knowledge and understanding of the records retention requirements and responsibilities as the custodian of all claims payment records by highlighting its familiarity with California Dental Medicaid Management Information System (CD-MMIS) and the records retention responsibilities for the CD-MMIS as the incumbent CD-MMIS FI. Based on this experience the Proposer was able to thoroughly describe the claims payment records that would be under their custodianship along with the retention periods. The Proposer will replace the current IBM OnDemand with SunGard iWorks Macess as the image repository to store, cross-reference and retrieve claims, TARS or other documents. The Proposer also recognizes responsibility for maintenance and disposition of corporate financial records in compliance with governing rules.

(Volume 1, Section 4.3.13, Page 4-146) (Volume 1, Section 4.4.15, Page 4-314) (Volume 3, Section 10.1.2.3, Page 10-9)

44	B	Eval4	2	TeamB
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Proposer B demonstrates an adequate knowledge and understanding of the record retention requirements and responsibilities as custodian of all claims payment records. The Proposer explains the requirements and says that it will meet the requirements as well as provide specific examples of the claims payments records. Proposer B highlights their commitment to cooperate with the ASO contractor to preserve and provide records for litigation and auditing purposes. (page 4-146-4-150)