

**Exhibit A, Attachment I – Scope of Work
Takeover****1.0 TAKEOVER****1.1 OVERVIEW**

This section provides the Contractor with the requirements, activities, due dates and quality assurance levels necessary to perform Takeover activities for the assumption of the Health Care Options (HCO) Operations.

The complete adherence to the requirements stated herein provides the Department of Health Care Services (DHCS), with assurance that the Contractor will be effective in meeting Exhibit A, Attachment II, Scope of Work Operations requirements during the HCO Operations time period.

The objectives of the Takeover requirements shall:

1. Ensure the Contractor is able to fully assume all HCO Operations activities in order to educate, enroll, disenroll and transition Medi-Cal beneficiaries and applicants into Medi-Cal managed care plans;
2. Ensure a smooth transition of HCO Operations from the prior Contractor;
3. Establish a Takeover Schedule for the Contractor to comply with the Takeover requirements and where appropriate, coordinate with related and/or dependent activities with the prior Contractor;
4. Establish the procedures the Contractor shall use to submit Takeover Deliverables to DHCS for review and approval; and
5. Ensure that Takeover activities are scheduled, accurate and as transparent as possible to applicants, beneficiaries, health plans, and DHCS.

1.2 GENERAL REQUIREMENTS

1. Takeover activities shall commence upon the Contract Effective Date (CED).
2. Takeover activities shall conclude:
 - a. Three (3) months following Assumptions of Operations (AOO), and
 - b. When the Contractor has successfully assumed operations, and
 - c. When DHCS provides written approval that Takeover requirements have been satisfactorily completed.
3. Dates or timeframes stated in the Takeover requirements may need to be adjusted to accommodate changing circumstances during the Takeover phase. Any changes to dates or timeframes shall be approved by DHCS.
4. Any changes to deliverable requirements shall be approved by DHCS.

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5. Quality Management Measures - The Contractor shall employ quality management measures throughout Takeover, and continue these during the term of the Contract, as specified in Exhibit A, Attachment II, Section 6.0, Quality Management Program. Sufficiently trained and experienced quality management personnel shall be on staff to ensure that all quality management requirements are met during Takeover. The quality management measures that must be in place during Takeover shall include, but not be limited to:
 - a. The Contractor management review of deliverables to ensure Contract compliance and timely performance of Contract requirements.
 - b. Monitoring of milestones on the Contractor's Takeover Work Plan (TWP) to ensure that all activities are completed in accordance with the Contract provisions.
 - c. Ensure that all deliverables are complete and accurate at the time of submission to DHCS.
 - d. A process that: a) identifies deficiencies that compromise completion schedules and deliverables' accuracy; b) reports these deficiencies in written form, along with proposed solutions, to DHCS immediately upon discovery of the deficiencies and c) monitors the Problem Correction Process to ensure they are consistent with the directions and time frames provided in Exhibit A, Attachment II, Section 12, Problem Correction Process.
6. Takeover Deliverables
 - a. All Takeover deliverables, including but not limited to data and information, submitted by the Contractor, shall be accompanied by a C-letter, signed by the Contractor Representative or an appointed designee, certifying that the supplied materials are current, accurate, and complete.
 - b. Takeover deliverables shall be submitted in .pdf format and an editable format (.docx, .xlsx, .ppt) as specified by DHCS.
 - c. DHCS or the Contractor may request a pre-meeting prior to the development of a Deliverable Expectation Document (DED) or a deliverable to confirm requirements, objectives, format or content of a deliverable. Any deliverable meetings or walkthroughs shall not impact the deliverable due date.
 - d. Upon DHCS request, the Contractor shall submit a DED to DHCS in advance of the deliverable due date. The DED can be used to verify the deliverable format, content and detail level meets DHCS expectations. The request or submission of a DED shall not impact the deliverable due date.
 - e. DHCS may require a draft version of a specific deliverable be provided to DHCS prior to formal submission. The request or submission of a draft shall not impact the deliverable due date.

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- f. DHCS or the Contractor may request a walkthrough of the deliverable. Any deliverable meetings or walkthroughs shall not impact the deliverable due date.
 - g. The Contractor shall allow at least ten (10) business days for DHCS review and approval of Takeover deliverables, prior to implementing and/or performing those required Takeover activities. If DHCS determines that ten (10) business days is not sufficient time for review and approval of Takeover deliverables, the time allotted for DHCS review shall be increased accordingly.
 - h. Deliverables must be submitted to DHCS by 10a.m. The ten (10) business day review cycle starts the following business day after submission of the deliverable.
 - i. DHCS may require that corrections or revisions be made to each deliverable. The Contractor shall have ten (10) business days from the date DHCS requests revision(s) to correct and resubmit unaccepted deliverables.
 - j. The Contractor shall ensure that all DHCS approved revisions to deliverables and milestones are incorporated into the TWP within five (5) business days of DHCS approval of the revision(s).
 - k. DHCS shall have the authority to approve or disapprove all Takeover Deliverables. DHCS also retains the authority to disapprove the early or late submission of Takeover Deliverables, in relation to the date due per the Takeover Schedule.
7. Takeover Meetings
- a. For any meetings related to Takeover activities that are attended by both DHCS and the Contractor's staff, the Contractor shall:
 - i. Create and distribute meeting artifacts by 10 a.m. one (1) business day prior to meeting or as directed by DHCS.
 - ii. Record decisions, discussions, and action items, and distribute to all invitees and attendees within one (1) business day of meeting.

1.3 TAKEOVER PHASES

Takeover activities, deliverables and milestones have been grouped into phases, which may overlap or run concurrently. The table below identifies the phases, the phase timeframes relative to CED and AOO, and the high-level objectives of each phase.

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Phase	Timeframe	High-level Objectives for the Phase
Takeover Start-up	Start: CED End: two (2) months after CED	<ul style="list-style-type: none"> • Establish baseline Takeover reporting, and infrastructure for Takeover activities • Initial submission of recurring deliverables
AOO Preparation	Start: one (1) month after CED End: four (4) months prior to AOO	<ul style="list-style-type: none"> • Submit initial AOO plan • Initial submission of planning deliverables identified by DHCS as critical • Develop, Implement and Install all Contract components required for Takeover Testing and AOO • Facility setup • Environment setup • Initiate and perform Takeover-Turnover dependent activities (receive manuals + software + equipment + files, hiring)
Takeover Training	Start: eight (8) months prior to AOO End: six (6) months prior to AOO Estimated Duration: six (6) weeks	<ul style="list-style-type: none"> • Contractor to conduct training for DHCS on all areas of the Contract
Stage 1 Testing	Start: seven (7) months prior to AOO Estimated Duration: six (6) weeks	<ul style="list-style-type: none"> • DHCS receives confirmation from the Contractor on readiness for Takeover Stage 1 Testing • Initial Contractor Integration Testing • The Contractor reports progress of builds, testing, identification of variances and resolution.
Stage 2 Testing	Start: six (6) months prior to AOO Estimated Duration: six (6) weeks	<ul style="list-style-type: none"> • DHCS receives confirmation from the Contractor on readiness for Takeover Stage 2 Testing • Secondary Contractor Integration Testing • Confirm system accuracy and the Contractor's Staff proficiency • Confirm the Subcontractor dependencies and functionality • Volume/Stress/1st of 2 parallel testing • Disaster Simulation and Disaster Recovery/Business Continuity Exercise

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Phase	Timeframe	High-level Objectives for the Phase
Stage 3 Testing	Start: four (4) months prior to AOO Estimated Duration: six (6) weeks	<ul style="list-style-type: none"> • DHCS receives confirmation from the Contractor on readiness for Takeover Stage 3 Testing • The Contractor to conduct AOO Readiness Testing with DHCS Testing Scenarios • Confirm system accuracy and Contractor Staff proficiency • Confirm Subcontractor dependencies and functionality • Receive approval from DHCS for AOO
Pre-AOO	Start: three (3) months prior to AOO End: two (2) weeks prior to AOO	<ul style="list-style-type: none"> • Update and finalize AOO plan • Start and complete installation and implementation of critical Operational and contractual components • Start installation and implementation of remaining Operations and other contract requirements • Establish AOO monitoring based on AOO Plan
AOO	Start: two (2) weeks prior to AOO End: two (2) weeks after AOO	<ul style="list-style-type: none"> • Receive final set of files and equipment, manuals from prior the Contractor • Complete installation and implementation of Operational and other contract requirements • Assume Operations from prior the Contractor
Post-AOO and Takeover Closeout	Start: one (1) day after AOO End: three (3) months after AOO	<ul style="list-style-type: none"> • Monitor and report on operational activities and other Contract activities and based on AOO plan. • Complete residual Takeover requirements • Receive approval from DHCS that Takeover is complete

1.5 TAKEOVER SCHEDULE

1. The Takeover Schedule below provides a summary, by Takeover phase, of the milestones, deliverables and tasks identified in this Takeover section.
2. Recurring Takeover deliverables are identified with “(R)” after the deliverable name in the table below. Only the initial submission of the deliverable is

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identified in the table below. Recurring deliverables are defined only as recurring by a specific timeframe (weekly, monthly). Situational recurrence is not identified in this section; for example, if an organizational change requires revised deliverables be submitted DHCS, those deliverables are not identified with an “(R)”. Timeframes are provided in deliverable-specific requirements later in this Takeover section.

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CATEGORY	DELIVERABLE or MILESTONE
PHASE: TAKEOVER START-UP	
Takeover Project Management (Takeover Section 2.0)	At CED: <ul style="list-style-type: none"> • Assemble Takeover Management Team • Submit Takeover Management Team name, resumes, roles and responsibilities Two (2) weeks after CED: <ul style="list-style-type: none"> • Submit updated Takeover Work Plan (R) • Submit Takeover Communication Management Plan ® • Submit Issue and Risk Management Plan (R) • Implement Issue and Risk Tracking System • Submit Project Control and Reporting Deliverables and Process ® • Submit the Disaster Prevention and Initial Response Plan (DPIRP) • Submit the Business Continuity Plan (BCP) • Submit the Disaster Recovery Plan

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<p>Takeover Requirements – Operations (Takeover Section 5.0)</p>	<p>Within one (1) day after CED:</p> <ul style="list-style-type: none"> • Implement Security and Confidentiality Plan <p>Two (2) weeks after Contract Effective Date (CED), submit updated:</p> <ul style="list-style-type: none"> • Telephone Call Center Implementation Plan • Education and Outreach Implementation Plan • Enrollment-Disenrollment Processing Implementation Plan • Quality Management Implementation Plan • Records Retention and Retrieval Implementation Plan • Problem Correction Process Implementation Plan <p>Four (4) weeks after Contract Effective Date (CED), submit updated:</p> <ul style="list-style-type: none"> • Informing Materials Implementation Plan • Complaints and Grievances Implementation Plan • Reports Implementation Plan • Disaster Recovery and Initial Response Plan • Business Continuity Plan • Disaster Recovery Plan
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<p>Takeover Requirements – Other (Takeover Section 6.0)</p>	<p>At Contract Effective Date (CED):</p> <ul style="list-style-type: none"> • Submit confirmation that forms are current or submit updated forms • Implement data repository <p>Two (2) weeks after Contract Effective Date (CED):</p> <ul style="list-style-type: none"> • Submit extra copies of Proposal • Conflict of Interest Disclosure Statements, questionnaires and avoidance plans [if needed] • Submit updated Personnel Acquisition Plan • Submit Organizational Structure Chart (R) • Submit updated Facilities and Equipment Acquisition and Installation Plan • Stand-up Facility for use by DHCS and the Contractor Staff <p>One (1) Month after Contract Effective Date (CED):</p> <ul style="list-style-type: none"> • Submit Takeover Hiring and Staffing Status Report (R) • Submit the Contractor Resources Level Report (R) • Submit Financial Management Manual
<p>PHASE: AOO PREPARATION</p>	
<p>Takeover Project Management (Takeover Section 2.0)</p>	<p>Five (5) months prior to AOO:</p> <ul style="list-style-type: none"> • Submit updated Takeover Communication Management Plan
<p>Takeover Training (Takeover Section 3.0)</p>	<p>Six (6) weeks prior to Takeover Training:</p> <ul style="list-style-type: none"> • Submit Takeover Training Plan
<p>Takeover Requirements – Operations (Takeover Section 5.0)</p>	<p>Six (6) weeks prior to Takeover Training:</p> <ul style="list-style-type: none"> • Submit all Manuals and related Documentation <p>Four (4) months prior to AOO:</p> <ul style="list-style-type: none"> • Submit updated Security and Confidentiality Plan • Allocate specific resources to an adequate back-up facility(ies)

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<p>Takeover Requirements – Other (Takeover Section 6.0)</p>	<ul style="list-style-type: none"> • Continue Hiring Activities <p>Three (3) months after CED:</p> <ul style="list-style-type: none"> • Submit updated Estimated Expenses and Actual Expenses Specifications and Reports • Submit initial Assumption of Operations Plan <p>During AOO Prep and prior to the start of Takeover Testing:</p> <ul style="list-style-type: none"> • Install and Verify two-way file transfer with the Incumbent Contractor <p>Four months prior to AOO:</p> <ul style="list-style-type: none"> • Submit updated Security and Confidentiality Plan
<p>Assumption of Operations (Takeover Section 7.0)</p>	<p>Six (6) weeks prior to Takeover Training:</p> <ul style="list-style-type: none"> • Submit all other Administrative Procedures <p>Five (5) months prior to AOO:</p> <ul style="list-style-type: none"> • Submit updated Assumption of Operations Plan
<p>PHASE: TAKEOVER TRAINING</p>	
<p>Takeover Training (Takeover Section 3.0)</p>	<p>During Takeover Training Phase:</p> <ul style="list-style-type: none"> • Conduct Takeover Training • Submit Takeover Training Progress Report (R) • Submit Takeover Training Evaluations (R) • Takeover Training Sign-up and Attendance list (R)
<p>PHASE: STAGE 1 TESTING</p>	

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<p>Takeover Testing (Takeover Section 4.0)</p>	<p>Four (4) weeks prior to start of Stage 1 Testing:</p> <ul style="list-style-type: none"> • Submit Takeover Stage 1 Test Plan <p>Ten (10) business days prior to start of Stage 1 Testing:</p> <ul style="list-style-type: none"> • Submit the Contractor Takeover Testing Stage 1 Readiness Certification <p>During Stage 2 Testing:</p> <ul style="list-style-type: none"> • Conduct Stage 1 Testing • Submit Takeover Testing Stage 1 Status and Progress Reporting (R) • Submit Takeover Stage 1 Testing Results
<p>PHASE: STAGE 2 TESTING</p>	
<p>Takeover Testing (Takeover Section 4.0)</p>	<p>Four (4) weeks prior to start of Stage 2 Testing:</p> <ul style="list-style-type: none"> • Submit Takeover Stage 2 Test Plan <p>Ten (10) business days prior to start of Stage 2 Testing:</p> <ul style="list-style-type: none"> • Submit the Contractor Takeover Testing Stage 2 Readiness Certification <p>During Stage 2 Testing:</p> <ul style="list-style-type: none"> • Conduct Stage 2 Testing • Submit Takeover Testing Stage 2 Status and Progress Reporting (R) • Submit Takeover Stage 2 Testing Results
<p>PHASE: STAGE 3 TESTING</p>	

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<p>Takeover Testing (Takeover Section 4.0)</p>	<p>Ten (10) business days prior to start of Stage 3 Testing:</p> <ul style="list-style-type: none"> • Submit the Contractor Takeover Testing Stage 3 Readiness Certification <p>Three (3) days prior to start of Stage 3 Testing DHCS will provide the Contractor with Stage 3 testing scenarios:</p> <p>During Stage 3 Testing:</p> <ul style="list-style-type: none"> • Conduct Stage 3 Testing • Submit Takeover Testing Stage 3 Status and Progress Reporting (R) • Submit Takeover Stage 3 Testing Results
<p>PHASE: PRE-AOO</p>	
<p>Takeover Requirements – Operations (Takeover Section 5.0)</p>	<p>Two (2) months prior to AOO:</p> <ul style="list-style-type: none"> • Submit Initial Takeover version of the Master Index of Records • Submit Initial Takeover version of the Records and Files Summary • Submit the Risk Analysis/Assessment report <p>No later than six (6) weeks prior to AOO date, submit:</p> <ul style="list-style-type: none"> • Telephone Call Center Compliance Plan • Education and Outreach Compliance Plan • Informing Materials Compliance Plan • Enrollment-Disenrollment Processing Compliance Plan • Complaints and Grievances Compliance Plan • Quality Management Program Compliance Plan • Reports Compliance Plan • Records Retention and Retrieval Compliance Plan • Security and Confidentiality Compliance Plan • Disaster Prevention, Disaster Recovery and Business Continuity Compliance Plan • Problem Correction Process Plan

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<p>Takeover Requirements – Other (Takeover Section 6.0)</p>	<p>Three (3) months prior to AOO:</p> <ul style="list-style-type: none"> • Submit Cost Reimbursement Plan • Back-up storage fully operational <p>No later than two (2) months prior to AOO:</p> <ul style="list-style-type: none"> • Conduct, document and submit a Risk Analysis/Risk Assessment
<p>Assumption of Operations (Takeover Section 7.0)</p>	<p>No later than ten (10) business days prior to start of Pre-AOO activities:</p> <ul style="list-style-type: none"> • Submit the Contractor Assumption of Operations Readiness Certification <p>During Pre-AOO:</p> <ul style="list-style-type: none"> • Implement AOO Monitoring and reporting a based on AOO Plan
<p>PHASE: AOO</p>	
<p>Takeover Requirements – Operations (Takeover Section 5.0)</p>	<p>At AOO:</p> <ul style="list-style-type: none"> • Assume the responsibilities of record custodianship
<p>Takeover Requirements – Other (Takeover Section 6.0)</p>	<p>Two (2) weeks after AOO:</p> <ul style="list-style-type: none"> • Submit Cost-Reimbursed DHCS Owned Equipment Inventory List
<p>Assumption of Operations (Takeover Section 7.0)</p>	<p>At AOO:</p> <ul style="list-style-type: none"> • Accept responsibility for PO boxes • Accept responsibility for TCC toll-free telephone lines • Accept all responsibilities associated with HCO Operations and Contractual requirements • Provide AOO reporting to DHCS • Notify DHCS of any issue as defined • Maintain files
<p>PHASE: POST-AOO and TAKEOVER CLOSEOUT</p>	
<p>Post AOO and Takeover Closeout (Takeover Section 8.0)</p>	<p>One (1) month after AOO:</p> <ul style="list-style-type: none"> • Submit Records and Files Summary • Master Index of Records <p>Through Post-AOO and Takeover Closeout:</p> <ul style="list-style-type: none"> • Provide Post-AOO reporting to DHCS • Complete Post All and Takeover requirements

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1. This section provides the Contractor requirements on elements of Takeover Project Management including:
 - a. Takeover Project Management Team
 - b. Takeover Work Plan
 - c. Takeover Communication Management
 - d. Takeover Issue and Risk Management
 - e. Takeover Project Control and Reporting Process
2. The Contractor may, with DHCS approval, implement or utilize additional Project Management tools and processes to better manage Takeover activities.

2.1 TAKEOVER PROJECT MANAGEMENT TEAM

At CED, the Contractor shall:

1. Assemble a Takeover Management Team to lead the Contractor's Takeover activities. The Takeover Management Team must include, at a minimum, the following:
 - a. One (1) individual designated as the Takeover Project Manager. The individual shall be fully dedicated to this role for the entire Takeover Project and not serve in other capacities. The Takeover Project Manager shall be responsible for ensuring that all Takeover requirements are met, and shall serve as the Contractor's liaison to DHCS for the entire Takeover Project.
 - b. One (1) individual as the Information Security Officer (ISO) that meets the requirements identified in Exhibit E – Additional Provisions.
 - c. One (1) individual designated as the Privacy Officer (PO) that meets the requirements identified in Exhibit E – Additional Provisions.
2. Submit to DHCS for review and approval:
 - a. The names and resumes, roles and responsibilities of each Takeover Management Team member.
 - b. Identify any changes to the Takeover Management Team from what was in the Contractor's Narrative Proposal. All changes are subject to the same requirements as set forth in Exhibit E, Additional Provisions.
3. DHCS reserves the right to review and approve the appointment of the Takeover Manager and any other member of the Takeover Management Team, as well as to instruct the Contractor to make changes in the Takeover Management Team anytime during Takeover.

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The Takeover Work Plan (TWP) shall specify, in detail, the Contractor's strategy, tasks and activities, timing and dependencies for meeting all Takeover requirements.

2.2.1 REQUIREMENTS

1. **Two (2) weeks after CED**, the Contractor shall update the TWP included in its Narrative Proposal and submit to DHCS for review and approval.
2. The Contractor shall make the TWP fully accessible to DHCS at any time.
3. The Contractor shall maintain the TWP throughout the Takeover Phase.
4. The Contractor shall submit a final version of the TWP as part of Takeover Closeout.
5. The TWP shall include the following components:
 - a. A narrative that demonstrates the Contractor understands the responsibilities, tasks, sequence and timing of tasks that require coordination with Turnover tasks performed by the previous contractor.
 - b. A comprehensive schedule of tasks that reflect all of the Takeover deliverables identified within this Section. The comprehensive schedule shall detail all contractual requirements, deliverables, milestones and required DHCS approvals.
 - c. A Work Breakdown Structure (WBS) code used to identify all processes and work performed during Takeover.
 - d. Clear identification of all contractually defined deliverables, milestones, walkthroughs, and DHCS approvals.
 - e. Ensure that, upon completion, it meets all applicable Contract requirements; and
 - f. Ensure that all required DHCS review and written approval steps can be completed without creating scheduling delays.
 - g. A Gantt (or equivalent) chart to graphically depict all Takeover activities. This chart shall be submitted two (2) weeks after CED and shall meet the following requirements:
 - i. Utilize Precedence Diagramming Methods to graphically illustrate the dependencies and precedence relationships between/among all Takeover activities.
 - ii. Clearly identify the beginning and end dates, as well as the duration, of all tasks.
 - iii. Clearly identify all critical paths (sets of task dependencies that, if not kept on schedule, will delay the final completion date).

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2.3 TAKEOVER COMMUNICATION MANAGEMENT

The objective of Takeover Communication Management is to identify the processes, methods, artifacts, recipients and repository for all Takeover Project information, and ensure industry best practices are utilized in Takeover Communication.

2.3.1 TAKEOVER COMMUNICATION MANAGEMENT PLAN

1. **Two (2) weeks after CED**, the Contractor shall create and submit to DHCS for review and approval a Takeover Communication Management Plan.
2. **Five (5) months prior to AOO**, the Contractor shall review and update the Takeover Communication Management Plan and submit to DHCS for review and approval.
3. At DHCS request, anytime during Takeover, the Contractor shall review and update the Takeover Communication Management Plan and submit to DHCS for review and approval.
4. The Takeover Communication Management Plan shall be maintained through the Post-AOO and Takeover Closeout Phase.
5. Any updates to the Takeover Communication Management Plan shall be submitted to DHCS for review and approval.
6. The Takeover Communication Management Plan shall be based on industry best practices and shall include, at a minimum:
 - a. Executive Summary including reader's guide to Plan contents
 - b. Stakeholder identification and role
 - c. Communication artifacts
 - d. Communication purpose
 - e. Communication distribution
 - f. Communication storage
 - g. Communication methods
 - h. Frequency of communication
 - i. Assumptions and Constraints

2.4 TAKEOVER RISK AND ISSUE MANAGEMENT

The objective of Takeover Risk and Issue Management is to identify the processes, methods, artifacts, recipients and repository for identification, tracking and reporting of Takeover project issues and risks.

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1. **Two (2) weeks after CED**, the Contractor shall create and submit to DHCS for review and approval a Takeover Risk and Issue Management Plan.
2. The Contractor shall submit any updates to the Takeover Risk and Issue Management Plan to DHCS for review and approval.
3. At DHCS request, anytime during Takeover, the Contractor shall review and update the Takeover Risk and Issue Management Plan and submit to DHCS for review and approval.
4. The Takeover Risk and Issue Management Plan shall be maintained through the Post-AOO and Takeover Closeout Phase.
5. Any updates to the Takeover Risk and Issue Management Plan shall be submitted to DHCS for review and approval.
6. The Takeover Risk and Issue Management Plan shall be based on industry best practices and contain, but not be limited to, a narrative description of Takeover Risk and Issue Tracking and Reporting System that includes, at a minimum, the following:
 - a. Information and process flow of the Takeover Risk and Issue Tracking and Reporting System
 - b. Fields and field values used to identify and track issues
 - c. Fields and field values used to identify and track
 - d. Reporting capabilities

2.4.2 TAKEOVER RISK AND ISSUE TRACKING

1. **Two (2) weeks after CED**, the Contractor shall implement the Takeover Risk and Issue Tracking and reporting system.
2. The Contractor shall ensure DHCS has full access to all components of the Takeover Risk and Issue a tracking and reporting system. Full access is defined as ability to read, add, update any issue, export data and produce reports.
3. Risk and Issue reporting shall be part of the Takeover Weekly Progress Reporting described in the Exhibit A, Attachment 1 – Takeover, Section 2.5 Takeover Project Control and Reporting Process (PCRP).
4. The Contractor shall submit the final version of the Takeover Risk and Issue tracking and reporting system during Takeover Closeout.

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The Takeover Project Control and Reporting Process (PCRP) provides requirements for Takeover Project status and progress reporting and meetings through Takeover closeout. Reporting and meetings include:

1. Takeover weekly progress meetings
2. Takeover weekly progress reports
3. Weekly Deliverable Status (WDS) Report
4. Weekly Deliverable Exception Report (WDE)
5. Dashboard-level reporting for Management and Executive staff.

2.5.1 TAKEOVER PCRP REQUIREMENTS

1. The Contractor shall utilize a Project Control and Reporting Process (PCRP) to advise DHCS of progress in meeting goals and schedules contained in the TWP.
2. This PCRP reporting mechanism shall **begin two (2) weeks after CED** and applies weekly thereafter until DHCS provides written notification that the Takeover Phase is complete.
3. For all reports in the PCRP, the Contractor shall:
 - a. Submit in a DHCS approved format.
 - b. Submit by 10 a.m. one (1) business day before each weekly progress meeting or as directed by DHCS.
 - c. Verify all information is current at time of report submittal.
 - d. Provide dashboard-level reporting for Executive Staff.
4. The PCRP shall consist of the following components:
 - a. Weekly progress meetings attended by the Contractor and DHCS. The frequency may change based on DHCS direction.
 - b. Weekly progress reports shall contain items to be discussed at each meeting. These reports shall include, at a minimum, the following:
 - i. Attendees scheduled for upcoming meeting.
 - ii. Progress of each task and/or activity, as applicable for that period of time.
 - iii. Topics of general discussion.
 - iv. Action items and decisions made at the previous weekly meeting.

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- v. Problem(s) encountered, resolution(s) proposed for each problem, projected completion date of problem resolution(s), current and/or actual status of problem resolution(s), and a DHCS and Contractor contact person(s) and their phone number(s).
 - vi. Planned activities for the next two (2) reporting periods.
 - vii. Status of contractually required deliverables, milestones, and walkthroughs scheduled in the TWP.
 - viii. A list of all deliverables, milestones, and DHCS approvals that are behind schedule.
 - ix. Verification by the Quality Assurance Unit that the Takeover tasks are completed within the required time frames and in accordance with Contract provisions as stated in Exhibit A, Attachment II, Operations.
 - x. A list of missing files, deliverables and/or processes that should have been transferred from the prior contractor as part of its Turnover activities, and an adjunct list of inaccurate files and/or programs transferred from the prior contractor as part of its Turnover activities.
 - xi. Risk and Issue status.
 - xii. Any other information deemed necessary by the Contractor or required by DHCS.
- c. Weekly Deliverable Status (WDS) Report shall be in the form of a Gantt (or equivalent) chart. The WDS report shall include the status of deliverables, milestones, walkthroughs and DHCS approvals. The WDS shall be used by the Contractor and DHCS for tracking the status of Takeover deliverables. The WDS shall include, at a minimum, the following items:
- i. WBS Number - The number that the Contractor has assigned to the deliverable and/or activity required in the TWP.
 - ii. Description - Brief description of the deliverable and/or activity.
 - iii. Date Delivered - The actual date that the deliverable was submitted to DHCS for review and approval.
 - iv. Original Due Date - Initially, this shall be the due date originally submitted in the Contractor's TWP. Subsequent submittals shall provide the updated or most recently DHCS approved assigned due date.
 - v. Days Early and/or Late - The number of days the deliverable was submitted either late (- days) or early (+ days).
 - vi. Date Approved, Disapproved, or Conditionally Approved - The date DHCS either: Approved (A), Disapproved (D) or Conditionally Approved (C) the deliverable.

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- vii. Resubmission Due Date - If disapproved or conditionally approved, this field shall reflect the new due date set by DHCS. There will be as many entries in this column as disapprovals, or conditional approvals provided by DHCS.
 - viii. Date Resubmitted – The date resubmitted to DHCS for review.
 - ix. Date Approved, Disapproved, or Conditionally Approved - The date DHCS approves, disapproves, or conditionally approves the resubmitted deliverable.
 - x. Remarks – Free-form comments space allowing up to one-hundred twenty (120) characters.
- d. Weekly Deliverable Exception (WDE) Report. This report, in the form of a Gantt (or equivalent) chart, shall extract those deliverables, milestones, walkthroughs, and DHCS approvals/disapprovals from the WDS Report that are past due. The format shall be in the same format as the WDS Report.

3.0 TAKEOVER TRAINING

This section describes the Contractor's responsibilities for the development and delivery of Takeover Training for DHCS staff.

The objective of Takeover Training is for the Contractor to provide subject-specific information to authorized DHCS staff in a classroom-style setting to enable a successful AOO. Takeover Training includes the development of a comprehensive Training Plan, Training preparation, classroom training, status and progress reporting of tasks as it relates to the Takeover Training Plan.

3.1 REQUIREMENTS

The Contractor shall:

1. **Six (6) weeks prior to the start of Takeover Training**, submit to DHCS for review and approval, a comprehensive Takeover Training Plan, describing plans and materials to conduct required training of DHCS staff, as necessary. Requirements for the Training Plan are listed separately in Exhibit A, Attachment I – Takeover, Section 3.0.
2. **Seven (7) months prior to AOO**, conduct Takeover Training based on the approved Takeover Training Plan.
3. Develop a Takeover Training schedule so that Training can be completed **within 6 weeks**, unless otherwise directed by DHCS.
4. Develop the training session signup process.
5. Provide space, materials and equipment for training DHCS staff. The Contractor's staff may attend training based on DHCS approval.
6. Conduct training within a fifteen (15) mile radius (as determined by freeway access) of the State of California Capitol Building in Sacramento, unless another location is approved by DHCS.
7. Limit class size to twenty (20) participants, unless otherwise directed by DHCS.

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8. Ensure all training materials shall be based on the complete and current documentation required under this Contract.
9. Within three (3) days after a Takeover training session has completed, have the evaluations, attendance and variances between registration/sign-up and attendance available for DHCS review.
10. Submit to DHCS a written Takeover Training Progress Report, Requirements for the Takeover Training Progress Report are listed separately in Exhibit A, Attachment I – Takeover, Section 3.0

3.2 TAKEOVER TRAINING PLAN

1. **Six (6) weeks prior to the Start of Takeover Training**, the Contractor shall submit to DHCS for review and approval, the Takeover Training Plan.
2. The Takeover Training Plan will meet all the requirements listed in the Takeover Section.
3. The Takeover Training Plan shall include, but not be limited to:
 - a. A description of the Contractor's plan to accomplish the required training and training methodology;
 - b. A description of each trainer's professional background, experience, subject area knowledge and expertise, and previous training experience;
 - c. The topics to be covered in the Contractor's training. These topics shall include all areas of the HCO Operations and Contract Management;
 - d. A schedule of planned training sessions;
 - e. A description of training session signup process
 - f. How attendance will be tracked and reported to DHCS including identification of any variances between signup and attendance;
 - g. Training evaluation techniques to be used;
 - h. Training materials to be provided for each session; and
 - i. Proposed format of Takeover Training Progress Reporting.

3.3 TAKEOVER TRAINING PROGRESS REPORTING

1. **One (1) week after Takeover training begins and bi-weekly thereafter**, the Contractor shall submit to DHCS, a written Takeover Training Progress Report, which details the progress and status of the Takeover Training Program over the previous reporting period.

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2. The status and progress of the Takeover Training Program shall be reported in the context of the approved Takeover Training Plan.
3. The Takeover Training Progress Report shall clearly identify on-schedule, ahead-of-schedule, and behind-schedule Takeover training tasks.

4.0 TAKEOVER TESTING

Takeover Testing has been divided into three (3) stages: Stage 1, Stage 2 and Stage 3. Each stage has distinct activities to allow the Contractor to demonstrate increased readiness for Assumption of Operations.

1. For Takeover Testing, the Contractor shall:
 - a. Submit separate deliverables for DHCS review and approval for each stage of testing. Deliverables include, but are not limited to, Test Plan, Testing Status, Test Results, Contractor certification.
 - b. Submit test plan **not less than four (4) weeks** prior to the scheduled start of the Takeover Testing Stage
 - c. Allocate **six (6) weeks** of test case/scenario execution in each stage of Takeover Testing.
 - d. Provide Certification of readiness at the start of each stage of Takeover Testing.
 - e. Build a schedule where all Takeover testing is completed at least three (3) months prior to AOO.
 - f. Ensure Key Contractor staff will be available for and dedicated to testing efforts.
 - g. Provide weekly Takeover Testing Status and Progress Reporting
 - h. Provide DHCS full access to the system used to log Takeover testing issues and discrepancies.
 - i. Provide DHCS the ability to enter and view data into the system used to log Takeover testing issues and discrepancies.
2. The Contractor may continue Takeover Testing within in a Stage after the date of Contractor certification to DHCS of readiness for the next Stage of Takeover Testing (or pre-AOO activities) and/or the date of written DHCS approval of the Contractor completion of a stage of Takeover Testing. Any changes made by the Contractor shall be identified, completely tested and environment updated and verified after DHCS approval.

**Exhibit A, Attachment I – Scope of Work
Takeover****4.1 TAKEOVER TESTING – STAGE 1****4.1.1 OBJECTIVES**

The objectives of Takeover Testing Stage 1 are:

1. Establish and demonstrate Integration Testing environment, Integrated QA Testing Team, facilities, staff, processes, tools and deliverables to be used in Takeover Testing Stage 1 and, as identified, throughout the term of Contract.
2. Verify the functionality, compliance and adherence of related processes, procedures, plans and manuals for all areas operational areas listed in Exhibit A, Attachment II Operations.
3. Verify functionality of Two-Way file transfer with the prior Contractor. Requirements are listed in the Exhibit A, Attachment I, Takeover, Section 6.0.

4.1.2 REQUIREMENTS

1. The Contractor shall:
 - a. Create and formally submit the Takeover Testing Stage 1 Test Plan to DHCS for review and approval in accordance with Takeover Testing Plan requirements identified in the Takeover section.
 - b. Confirm space has been provided to DHCS staff.
 - c. Confirm DHCS access to systems and Testing tools and repositories that will be used in Stage 1 Testing.
 - d. Set up Integrated Testing Environment for Takeover Testing Stage 1 and Stage 2 and for use through the term of Contract. Set up includes, but is not limited to: test files, test data, facilities, equipment, hardware and software. Requirements for Integrated Testing are listed in Exhibit A, Attachment II Operations, Section 10.
 - e. Implement the Problem Correction Process to be used through all Takeover testing activities and through Term of Contract.
 - f. Submit readiness certification for Stage 1 Takeover Testing.
 - g. Prepare and conduct testing activities as identified in the Takeover Testing Stage 1 Test Plan.
 - h. Identify and address variances/deficiencies found during testing through the Problem Correction Process
 - i. Identify areas with unacceptable performance and provide corrective action plan.
 - j. Identify areas where testing is on schedule, behind schedule or at risk and if necessary, provide corrective action plan.

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- k. Conduct testing walkthroughs as requested by DHCS.
- l. Monitor and report Takeover testing progress and results to DHCS as requested and through weekly status meetings.
- m. Create and submit weekly Takeover Testing status reports with dashboard-level reporting and supporting detail.
- n. Schedule weekly status meetings, create and distribute meeting artifacts **no later than 10 a.m. one (1) business day prior to meeting.**
- o. During weekly Testing status meeting, record decisions, discussions, and action items, and distribute **within one (1) business day of meeting.**
- p. If appropriate, satisfactorily complete items/actions identified by DHCS and obtain approval from DHCS to start Stage 2 Testing.

4.2 TAKEOVER TESTING – STAGE 2**4.2.1 OBJECTIVES**

- 1. The objectives of Takeover Testing Stage 2 are:
 - a. Establish and demonstrate testing environment, facilities, staff, processes, tools and deliverables to be used through Takeover Testing and as identified, throughout the term of the Contract.
 - b. Verify the functionality, compliance and adherence of related processes, procedures, plans and manuals for all areas operational areas listed in Exhibit A, Attachment II Operations.
 - c. Conduct first of two (2) parallel test cycles with the prior the Contractor.
 - d. Conduct Disaster Simulation, Disaster Recovery and Business Continuity exercises to meet requirements in Exhibit A, Attachment II Operations (9.0).

4.2.2 REQUIREMENTS

- 1. The Contractor shall:
 - a. Create and formally submit the Takeover Testing Stage 2 Test Plan to DHCS for review and approval in accordance with Takeover Testing Plan requirements identified in the Takeover section.
 - b. Confirm space has been provided to DHCS staff.
 - c. Confirm DHCS access to systems and Testing tools and repositories that will be used in Takeover Testing Stage 2 Testing.
 - d. Setup integrated testing environment for Takeover Testing Stage 2. Setup may include, but is not limited to: test files, test data, facilities, equipment, hardware and software. Requirements for Integrated Testing are listed in Exhibit A, Attachment II Operations, Section 10.

**Exhibit A, Attachment I – Scope of Work
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- e. Verify the Problem Correction Process readiness for Takeover Testing Stage 2
- f. Submit readiness certification for Stage 2 Takeover Testing with supporting documentation.
- g. Prepare and conduct testing activities as identified in the Takeover Testing Stage 2 Test Plan.
- h. If appropriate, satisfactorily complete items/actions identified by DHCS and obtain approval from DHCS to start Stage 2 Testing.
- i. Identify and address variances/deficiencies found during testing through the Problem Correction Process
- j. Identify areas with unacceptable performance and provide corrective action plan.
- k. Identify areas where testing is on schedule, behind schedule or at risk and if necessary, provide corrective action plan.
- l. Conduct testing walkthroughs as requested by DHCS.
- m. Monitor and report Takeover testing progress and results to DHCS as requested and through weekly status meetings.
- n. Create and submit weekly Takeover Testing status reports with dashboard-level reporting and supporting detail.
- o. Schedule weekly status meetings, create and distribute meeting artifacts **no later than 10 a.m. one (1) business day prior to meeting.**
- p. During weekly Testing status meeting, record decisions, discussions, and action items, and distribute **within one (1) business day of meeting.**
- q. If appropriate, satisfactorily complete items/actions identified by DHCS and obtain approval from DHCS to start Stage 3 Testing.

4.3 TAKEOVER TESTING – STAGE 3**4.3.1 OBJECTIVES**

1. The objectives of Takeover Testing Stage 3 are:
 - a. Demonstrate and verify the Contractor AOO Readiness in all Contract areas.
 - b. Demonstrate and verify acceptable, the Contractor staff proficiency in all Contract areas as defined by Contract standards.
 - c. Demonstrate and verify acceptable, scheduled and accurate processing as defined by Contract standards.
 - d. Demonstrate and verify seamless integration of all Contract areas that are dependent on Subcontractors.

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- e. Verify the functionality, compliance and adherence of related processes, procedures, plans and manuals for all areas operational areas listed in Exhibit A, Attachment II Operations.
- f. Conduct 2nd of 2 parallel tests with the prior the Contractor.

4.3.2 REQUIREMENTS

1. The Contractor shall:
 - a. Confirm space has been provided to DHCS staff.
 - b. Confirm DHCS access to systems and Testing tools and repositories that will be used in Stage 3 Testing.
 - c. Confirm Acceptance Testing Environment is ready for Stage 3 Testing, including, but not limited to: test files, test data, facilities, equipment, hardware and software.
 - d. Confirm appropriate level of the Contractor staff available for testing.
 - e. Submit readiness certification for Takeover Stage 3, testing with supporting documentation.
 - f. If appropriate, satisfactorily complete items/actions identified by DHCS and obtain approval from DHCS to start Stage 3 Testing.
 - g. Prepare and conduct Testing activities as identified by Stage 3 Test Plan developed by DHCS and provided to the Contractor no more than five (5) business days prior to the start of Stage 3 testing.
 - h. Run second (2nd) of 2 parallel tests with the prior contractor.
 - i. Identify and address variances/deficiencies found during testing through the Problem Correction Process.
 - j. Identify areas with unacceptable performance and provide a corrective action plan.
 - k. Identify areas where testing is on schedule, behind schedule or at risk and if necessary, provide corrective action plan.
 - l. Conduct testing walkthroughs as requested by DHCS.
 - m. Monitor and report Takeover testing progress and results to DHCS as requested and through weekly status meetings.
 - n. Create and submit weekly Takeover Testing status reports with dashboard-level reporting and supporting detail.
 - o. Schedule weekly status meetings, create and distribute meeting artifacts **no later than 10 a.m. one (1) business day prior to meeting.**

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- p. During weekly Testing status meeting, record decisions, discussions, and action items, and distribute **within one (1) business day of meeting**.
- q. If appropriate, satisfactorily complete items/actions identified by DHCS and obtain approval from DHCS to start pre-AOO activities.

4.3.3 DHCS responsibilities

DHCS shall create the Takeover Testing Stage 3 Test Plan including test cases/scenarios and provide to the Contractor no more than three (3) business days prior to the start of Stage 3 testing.

4.4 TAKEOVER TEST PLANS**4.4.1 TAKEOVER TEST PLANS – STAGE 1 and STAGE 2**

1. For the Stage 1 Takeover Test Plan and the Stage 2 Takeover Test Plan, the Contractor shall:
 - a. Submit the Takeover Test Plan for DHCS review and approval **not less than four (4) weeks prior to the scheduled start of the Takeover Testing Stage**.
 - b. Ensure the content of the Takeover Test Plan addresses all the requirements for the specific Stage of Takeover Testing.
 - c. Describe, in narrative form, the methods to successfully execute and complete the Takeover testing. Requirements for each Takeover Testing stage are described within this Takeover Section.
 - d. Identify the number, classification, and names of key Contractor staff responsible for testing, including the Contractor's staff responsible for communication with DHCS during Testing. The staff shall be employed one (1) month after CED.
 - e. Define Testing documentation standards and provide for inclusion of initial and subsequent testing results.
 - f. Define the Quality Assurance criteria that will be used in Testing.
 - g. Identify the central location for storage of all testing documentation in a manner easily accessible and retrievable by DHCS monitoring staff.
 - h. Provide a detailed work plan for Takeover testing activities. Test case/scenario execution shall be based on a six-week duration. Test set-up and preparation activities can be done in advance of test case/scenario execution.
 - i. Identify test cases/scenarios and expected results.

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- j. Define the methodologies and procedures for identifying and tracking areas of unacceptable performance and the CAP applied to deficiencies. These methodologies and procedures shall include steps for DHCS review and approval during the problem identification/tracking and CAP processes, and provisions for daily written notification to DHCS when problems are identified.
- k. Provide a proposed format for Takeover testing status and progress reporting. Reporting shall include dashboard-level as well as detail level by functional area. Requirements are described within this Takeover Section.
- l. Provide a proposed format for expected and actual Takeover testing results report. Requirements are described within this Takeover Section.
- m. Confirm availability of space for DHCS staff participating in Takeover Testing activities.
- n. Specify the criteria the Contractor will use in determining the completion of Takeover Testing.

4.4.2 TAKEOVER TEST PLAN – STAGE 3

No more than three (3) days prior to the start of Stage 3 testing, DHCS will provide the Contractor with the Takeover Test Plan for Stage 3 testing.

4.5 TAKEOVER TESTING STATUS AND PROGRESS REPORTING

1. The Contractor shall:
 - a. Schedule weekly meetings to discuss Takeover Testing Status and Progress.
 - b. Conduct weekly Takeover Testing status and progress meetings during Stage 1, Stage 2 and Stage 3 Testing.
 - c. Provide report(s) based on the approved format from the Test Plan.
 - d. Submit Takeover Testing Status and progress reporting **by 10 a.m. PST one (1) business day before each weekly meeting.**
2. The Takeover Testing status and Progress Reporting shall include, but is not limited to, the following items:
 - a. Dashboard-level reporting of the detailed information provided in the report.
 - b. Progress of each task and/or activity, as applicable for the reporting period.
 - c. Risk(s) and Issue(s) encountered, mitigation or contingency actions proposed for each risk and/or issue and status.
 - d. Action items/decision made at the previous Takeover Testing Meeting.
 - e. Planned activities until the next meeting.
 - f. Any other information deemed necessary by the Contractor or required by DHCS.

**Exhibit A, Attachment I – Scope of Work
Takeover****4.6 TAKEOVER TESTING RESULTS – STAGE 1, STAGE 2 and STAGE 3**

1. The Contractor shall:
 - a. Conduct Testing Walkthroughs as requested by DHCS.
 - b. Provide Testing Results based on the format approved in the Test Plan.
 - c. Submit all Test Results to DHCS for review and approval no later than 5 business days after completion of Takeover Testing stage.
2. The Takeover Testing Results shall include, but is not limited to the following items:
 - a. Dashboard-level reporting of the detailed information provided in the report
 - b. Test case/scenario
 - c. Expected Result
 - d. Actual Result
 - e. Status (pass, Fail, not executed)
 - f. For any test case/scenario where the expected result is not consistent with the actual result, clearly identify the discrepancy and how it is being addressed.

4.7 CONTRACTOR READINESS CERTIFICATION – STAGE 1, STAGE 2 and STAGE 3

The Contractor Readiness Certification provides formal verification to DHCS on the status of required activities and the Contractor is ready to begin a specific stage of Takeover Testing.

1. **No later than 10 business days prior to the start of a Takeover Testing Stage**, the Contractor shall submit Readiness Certification to DHCS for review and approval.
2. The Readiness Certification shall include, but is not limited to, the following items:
 - a. Confirmation that the Contractor is fully ready to start the identified Stage of Takeover Testing.
 - b. Confirmation that all preparation for the identified Stage of Takeover Testing is complete. If all activities are not complete, identify the activity, the status and the plan to complete the activities including a timeline.
 - c. If the Contractor is submitting a Stage 2 or Stage 3 Readiness Certification, a Dashboard-level summary of status of prior Stage and Testing activities, and a summary of any unresolved and open issues from prior Stage of Testing and plan to resolve or mitigate the open issue.

**Exhibit A, Attachment I – Scope of Work
Takeover****5.0 TAKEOVER REQUIREMENTS – OPERATIONS**

In order to prepare for and demonstrate operational readiness for all requirements outlined in Exhibit A, Attachment II – Operations, the Contractor shall develop and submit for DHCS approval the following deliverables and artifacts:

1. Implementation Plan
2. Manuals and Related Documentation
3. Compliance Plan

The Contractor shall submit the deliverables and artifacts according to the schedule outlined in Section 1.5 – Takeover Schedule.

The following section provides the requirements for each deliverable and artifact.

5.1 IMPLEMENTATION PLAN

The Implementation Plan provides details on how the Contractor will implement the processes, procedures and systems to meet contractual requirements during Takeover in preparation for AOO.

A separate implementation plan is required for each operational component specified Exhibit A, Attachment II – Operations.

5.1.1 REQUIREMENTS

1. **Two (2) weeks after CED**, unless otherwise specified in Section 1.5 – Takeover Schedule, the Contractor shall update the Implementation Plans submitted in the Narrative Proposal and submit to DHCS for review and approval.
2. The Implementation Plan shall demonstrate the Contractor's ability to implement and comply with all related contractual requirements **no later than two (2) months prior to Assumption of Operations date**, otherwise specified in Section 1.5 – Takeover Schedule.
3. The Implementation Plan shall include, at a minimum, the following sections:
 - a. **Introduction** - A narrative description to demonstrate how the Contractor shall prepare during Takeover to meet the contractual requirements identified within this Takeover Section and Exhibit A, Attachment II, Operations.
 - b. **Narrative Details** - Detailed description of the Contractor's procedures, tasks, activities, design/development/implementation documents, staffing, space and facilities plan (if appropriate) to ensure successful implementation and compliance to Contract requirements.
 - c. **Implementation Schedule** – A detailed implementation schedule and a Gantt chart (or equivalent) showing all tasks required to meet all related contractual requirements. Clearly identify any dependencies on the prior Contractor or DHCS. The Implementation Schedule shall align with

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information in the Narrative Details Section of the Implementation Plan and information and schedules in the Takeover Work Plan.

- d. **Assumptions and Constraints** – List all assumptions and constraints identified in the development of this Implementation Plan
 - e. **Risks and Issues** - Identify any anticipated risks or issues with the implementation with a preliminary mitigation plan.
 - f. **Additional Information** - Provide any additional information critical to implementation.
4. The Contractor shall maintain the Implementation Plan through Takeover Closeout.
 5. Any updates to the Implementation Plan shall be submitted to DHCS for review and approval.

5.2 MANUALS AND RELATED DOCUMENTATION

1. Manuals and related documentation shall be created and initially submitted to DHCS for review and approval during Takeover.
2. Manuals and related documentation shall be maintained throughout the term of the Contract and submitted on a recurring basis throughout the term of the Contract.
3. Requirements and additional information are in Exhibit A, Attachment II Operations.

5.2.1 REQUIREMENTS

1. **No later than the timeframes specified in** Section 1.5 – Takeover Schedule, the Contractor shall submit to DHCS for review and approval the Manuals and related documentation identified in Exhibit A, Attachment II, Operations.
2. The approved manuals and related documentation shall be used in the Contractor-led Takeover Training.
3. If Takeover activities necessitate updates to previously approved manual(s) or related documentation, the Contractor shall update the manual(s) or related documentation and submit to DHCS for review and approval.

5.3 COMPLIANCE PLAN

1. The Compliance Plan shall be created and initially submitted to DHCS for review and approval during Takeover.
2. The Compliance Plan shall be maintained and submitted on a recurring basis through the term of the Contract.
3. Requirements and additional information are in Exhibit A, Attachment II Operations.

**Exhibit A, Attachment I – Scope of Work
Takeover****5.3.1 REQUIREMENTS**

1. **No later than six (6) weeks prior to AOO date**, unless otherwise specified in Section 1.5 Takeover Schedule, the Contractor shall submit the initial Compliance Plan to DHCS for review and approval.
2. The Compliance Plan shall include, but not be limited to:
 - a. Identifying each contractual requirement.
 - b. If the Contractor is currently meeting that requirement (Yes/No).
 - c. A description of how the Contractor is complying with each requirement.
 - d. Any additional information the Contractor and/or DHCS determines is relevant.

5.4 RECORDS RETENTION AND RETRIEVAL – ADDITIONAL REQUIREMENTS

1. In the Records Retrieval and Implementation Plan, the Contractor shall include a section of Proposed formats and design containing:
 - a. Records and Files Summary - The proposed format for a Records and Files Summary that includes a brief description of all records and/or files that will be maintained during the contract.
 - b. Master Index of Records - The proposed design and compilation of a Master Index of Records to assist in the location and retrieval of records.
2. **Two (2) months prior to AOO**, the Contractor shall submit the initial Takeover version of the Records and File Summary to DHCS for review and approval.
3. **One (1) month after AOO**, the Contractor shall submit to DHCS for review and approval a copy of the Final Takeover version of:
 - a. The Records and Files Summary
 - b. Master Index of Records

5.5 DISASTER PREVENTION, DISASTER RECOVERY AND BUSINESS CONTINUITY – ADDITIONAL REQUIREMENTS**5.5.1 DISASTER PREVENTION AND INITIAL RESPONSE PLAN (DPIRP)**

Two (2) weeks after CED, the Contractor shall submit the DPIRP to DHCS for review and approval in accordance to the requirements listed in Exhibit A, Attachment II Operations – Section 10.0 Disaster Prevention, Disaster Recovery, and Business Continuity.

5.5.2 BUSINESS CONTINUITY PLAN (BCP)

Two (2) weeks after CED, the Contractor shall submit the BCP to DHCS for review and approval in accordance to the requirements listed in Exhibit A, Attachment II

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Operations – Section 10.0 Disaster Prevention, Disaster Recovery, and Business Continuity.

5.5.3 DISASTER RECOVERY PLAN

Two (2) weeks after CED, the Contractor shall submit the Disaster Recovery Plan to DHCS for review and approval in accordance to the requirements listed in Exhibit A, Attachment II Operations – Section 10.0 Disaster Prevention, Disaster Recovery, and Business Continuity.

5.5.4 BACKUP FACILITIES

Four (4) months prior to AOO, The Contractor shall allocate specific resources to an adequate back-up facility(ies), where HCO Operations can continue in the event of a disaster, major hardware problem or labor dispute that renders the main operating facility inoperable.

5.5.5 RISK ANALYSIS/ASSESSMENT REPORT

Two (2) months prior to Assumption of Operations, The Contractor shall submit the Risk Analysis/Assessment report to DHCS for review and approval in accordance to the requirements listed in Exhibit A, Attachment II Operations – Section 10.0 Disaster Prevention, Disaster Recovery, and Business Continuity.

6.0 TAKEOVER REQUIREMENTS – OTHER**6.1 DOCUMENT REPOSITORY**

At CED, the Contractor shall have a data repository available to store all Takeover deliverables and accessible to authorized DHCS staff throughout the term of the Contract.

6.2 ADMINISTRATION

1. **At CED**, the Contractor shall submit to DHCS through formal correspondence the following documents:
 - a. Current ownership and control Information
 - b. The name of the Contractor Representative
 - c. Proof of Insurance and Bonding
2. **No later than two (2) weeks after CED**, the Contractor shall submit additional copies of the proposal as specified in Exhibit E, Additional Provisions.
3. **No later than two (2) weeks after CED and annually thereafter through the term of the Contract**, the Contractor shall submit updated Conflict of Interest disclosure statements, questionnaires, and if needed, avoidance plans as required in Exhibit E, Additional Provisions (Avoidance of Conflicts of Interest by Contractor).

**Exhibit A, Attachment I – Scope of Work
Takeover****6.3 PERSONNEL****6.3.1 PERSONNEL ACQUISITION PLAN**

The Personnel Acquisition Plan provides details on how the Contractor will ensure appropriate staff has been secured to assume full operations of the HCO.

The Personnel Acquisition Plan shall be maintained through the end of Post-AOO and the Takeover Closeout Phase.

6.3.1.1 REQUIREMENTS

1. **Two (2) weeks after CED**, the Contractor shall update the Personnel Acquisition Plan submitted in the Narrative Proposal and submit to DHCS for review and approval.
2. The Personnel Acquisition Plan shall demonstrate the Contractor's ability to implement and comply with all related contractual requirements and have appropriate staffing levels **no later than two (2) months prior to Assumption of Operations date**.
3. The Personnel Acquisition Plan shall include, at a minimum, the following sections:
 - a. **Introduction** - A narrative description to demonstrate how the Contractor shall prepare during Takeover to meet the Contractual requirements identified within this Takeover Section and Exhibit A, Attachment II, Operations.
 - b. **Narrative Details** - Detailed description of the Contractor's:
 - i. Methods, sources and dedicated staff for recruitment and selection of staff to assume full operation of the HCO.
 - ii. Specific actions to be taken of how the Contractor shall ensure that experienced and trained personnel, in sufficient numbers, are available to support all Takeover tasks and begin full HCO Operations without interruption of service to applicants, beneficiaries, health plans, and DHCS.
 - iii. Plan for hiring all specialized trained and/or experienced staff as required during Takeover and the term of the Contract, for such areas as the Telephone Call Center, Presentation Sites, and other operational activities.
 - c. **Hiring Schedule** – A detailed hiring schedule and a Gantt chart (or equivalent) showing all tasks required to meet all related Contractual requirements. Clearly identify any dependencies on the prior Contractor or DHCS. The Hiring Schedule shall include numbers to employ by functional area. Include a Staff Loading Chart. The schedule shall provide for hiring staff during Takeover within the time frames required in this Contract. The Hiring Schedule shall align with information in the Narrative Details Section of the Personnel Acquisition Plan and information and schedules in the Takeover Work Plan.
 - d. **Assumptions and Constraints** – List all assumptions and constraints identified in the development of the Personnel Acquisition Plan

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- e. **Risks and Issues** - Identify any anticipated risk or issue with a preliminary mitigation plan. Also include in this section alternative actions, or contingency plans if the Contractor is unable to recruit sufficient numbers of adequately trained staff for each functional or operational area on a scheduled basis.
- f. **Additional Information** - Provide any additional information critical to Personnel acquisition.
- g. **Personnel Report formats**
 - i. Takeover Hiring and Staffing Status Report - Requirements for this report are described in a later Takeover Section. Information included in the proposed Takeover Hiring and Staffing Report shall be current for submission date.
 - ii. Takeover Contractor Resources Level Report - Requirements for this report are described in a Takeover Section. Information included in the proposed Takeover Contractor Resources Level report shall be current for the submission date.
- 4. The Contractor shall maintain the Personnel Acquisition Plan through Takeover Closeout.
- 5. Any updates to the Personnel Acquisition Plan shall be submitted to DHCS for review and approval. The proposed update(s) shall be submitted to DHCS ten (10) business days prior to the effective date of the proposed update(s). All changes shall be subject to DHCS approval prior to implementation.

6.3.2 ORGANIZATIONAL STRUCTURE CHART

- 1. **Two (2) weeks after CED**, the Contractor shall, update the Organizational Structure Chart presented in the Narrative Proposal and submit to DHCS for review and approval.
- 2. In the Organizational Structure Chart, the Contractor shall provide:
 - a. A complete and detailed description of the organizational structure to be used by the Contractor during Takeover and Operations phases.
 - b. The total staffing levels by classification, for each phase and each organizational unit and function. The Takeover staffing levels submitted shall correspond to the staffing needs indicated by the Contractor in the TWP. If the staffing levels needed for Takeover vary throughout the Takeover phase, variable levels shall be indicated through a written narrative description, Gantt (or equivalent) chart and Staff Loading Chart, which identify staffing by Takeover task.
 - c. Organization charts and descriptions showing the location of the HCO Contract, within the Contractor's overall corporate structure and organization charts and descriptions for all HCO Program operational areas.
 - d. The functional responsibilities of each organizational unit, the delegation of responsibilities to HCO Program organizational units, organizational decision-making points, and unit staffing by classification.

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- e. Complete job descriptions (specifications) for all classifications used within the organization, including job titles, function responsibilities, and educational/experience requirements.
3. During Takeover, if the Contractor is proposing updates to the approved Organizational Structure Chart, the proposed update(s) shall be submitted to DHCS ten (10) business days prior to the effective date of the proposed update(s). All changes shall be subject to DHCS approval prior to implementation.

6.3.3 TAKEOVER HIRING AND STAFFING STATUS REPORT

1. **One (1) month after CED and bi-weekly (every other week) through Takeover**, the Contractor shall, submit the Takeover Hiring and Staffing Status Report to DHCS for review and approval.
2. The Contractor shall:
 - a. Provide format and content that are consistent with the requirements and information provided in the approved Personnel Acquisition Plan.
 - b. Provide the names of staff, organizational unit, positions/classifications, start dates and numbers of staff who have reported to begin work on the HCO Program. Identify any staff that that is from the prior Contractor staff.
 - c. Provide the names of staff, organizational units, positions/classifications, terminations/resignation date and numbers of staff who were resigned or terminated. Identify any staff that that is from the prior Contractor staff.
 - d. Provide the names of staff, organizational units, positions/classifications, projected start dates and numbers of staff who have accepted job offers. Identify any staff that that is from the prior Contractor staff.
 - e. Provide a summary of the detailed information provided in this report.
 - f. Identify if information in current submission of Takeover Hiring and Staffing Status Report will result in updates to the Personnel Acquisition Plan and/or Organizational Structure Chart.

6.3.4 TAKEOVER CONTRACTOR RESOURCES LEVEL REPORT REQUIREMENTS

1. **One (1) month after CED and bi-weekly (every other week) through Takeover**, the Contractor shall, submit the Takeover Contractor Resources Level Report to DHCS for review and approval.
2. The Contractor shall:
 - a. Provide format and content that are consistent with the requirements and information provided in the approved Personnel Acquisition Plan.
 - b. Provide the number of staff by function and classification currently working on the Contract. These numbers will be compared to the staffing levels by function and classification proposed in the Narrative Proposal, as modified with the approval of the Contracting Officer. This report shall also show

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staffing by function and classification from CED through the end of the Takeover.

- c. Identify any variances, causes and alternative plans when current reported hiring and staffing levels are not at the levels or pace identified in the Personnel Acquisition Plan.
- d. Include a change log to show history of any updates to staffing levels.
- e. Identify if information in current submission of Takeover Contractor Resources Level Report will result in updates to the Personnel Acquisition Plan and/or Organizational Structure Chart.

6.3.5 PERSONNEL HIRING COMMITMENTS

1. The Contractor shall hire all necessary personnel as needed and prior to AOO.
2. In the cases where the Contractor is required to have a position(s) filled and a hiring commitment has been made to fill the position(s) with the prior Contractor's staff member(s), DHCS shall work with the prior contractor to establish a transfer date.
3. If necessary, upon written request by the Contractor and written approval by DHCS, DHCS may consider a waiver of the hiring dates required in the Contract on a case-by-case basis.

6.4 FACILITIES AND EQUIPMENT**6.4.1 FACILITIES, EQUIPMENT ACQUISITION AND INSTALLATION PLAN**

1. **Two (2) weeks after CED**, the Contractor shall update the Facilities, Equipment Acquisition and Installation Plan presented in the Narrative Proposal and submit to DHCS for review and approval.
2. At a minimum, the Facilities, Equipment Acquisition and Installation Plan shall provide:
 - a. Narrative descriptions, supporting documentation, installation schedule and a Gantt (or equivalent) chart detailing the installation schedule.
 - b. The planned usage of space for the Contractor's manual and automated HCO Operations activities related to the enrollment process.
 - c. Provision of space for DHCS on-site staff during both Takeover and on-going HCO Operations, and provision of space for all equipment and informing materials.
 - d. Methodology describing how the Contractor shall maintain an ongoing inventory of all cost-reimbursed DHCS-owned equipment referred to in this section, including property used in Contractor's facilities.
 - e. Proposed format of the Cost-Reimbursed DHCS Owned Equipment Inventory Report. Requirements for this report are described in Takeover Section 6.4.
 - f. The location of the Contractor's main operating facility. This Contract requires that the Contractor's permanent main operating facility be located within a fifteen (15) mile radius (as determined by freeway access) of the

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State of California Capitol Building in Sacramento. The temporary main operating facility be located within a twenty-five (25) mile radius (as determined by freeway access) of the State of California Capitol Building in Sacramento.

- g. The extent to which the Contractor's main operating facility is currently under lease or ownership and/or planned to be leased or bought. If the facility is not currently under lease or ownership, the Contractor shall, at a minimum, provide a guaranteed lease option on the facility including the name, address, and telephone number of the leasing or selling agent for contact by DHCS.
- h. A description of the facility(ies) it currently has in the Sacramento area for use in HCO Operations, if any, and what facility space, and for what functions, it must obtain and/or finalize development. A temporary main operating facility shall be obtained by the Contractor, if necessary, and be available for occupancy by DHCS staff and Contractor staff **two (2) weeks after the CED**. Any change in main operating facility location from that which the Contractor specified in its Narrative Proposal shall be subject to prior written approval by DHCS.
- i. A description of the modifications that must be made to the permanent and temporary, if utilized, main operating facility, a schedule for completing those modifications, and the actions taken by the Contractor to ensure that this schedule is met. This description shall address at a minimum:
- j. Installation of anything that is in addition to standard office space.
- k. Installation of telecommunications (both data and voice) lines.
- l. Installation of necessary modifications needed to provide access to individual with disabilities pursuant to the Americans with Disabilities Act (ADA), Section 1557 of the Affordable Care Act, and other applicable federal and state requirements.
- m. Installation of necessary special flooring.
- n. Installation of special electrical equipment.
- o. Installation of computer air conditioning and cooling systems.
- p. Installation of fire suppression system that conforms with all applicable city, county, state and federal laws, regulations and/or ordinances. Consideration will be given to fire suppression systems that are able to avoid destruction to physical and electronic data.
- q. Major facility installation milestones.
- r. A certification that the Contractor has verified that electrical, telecommunications, and telephone service can be provided to the Contractor's main operating facility and on-site DHCS offices in order to adequately support HCO Operations.
- s. The interdependencies with other Takeover tasks and contingencies for problems and delays. The Contractor shall describe how it will utilize space to support Takeover activities including any temporary space needed for the

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Contractor and DHCS staff and how required space will be handled for each Takeover task.

- t. Allocated space by function, including DHCS space.
- u. List of Contractor staff accessibility, by name and job title, to DHCS space.
- v. Access to telephone, and electrical power and network connection.
- w. A certification that the Contractor has verified and approved the inventory list of all cost-reimbursed DHCS owned equipment, provided for use during the Contract by the prior contractor during Takeover. The inventory referred to in this section includes, but is not limited to, property used in the Contractor's facilities. The certification of the inventory list shall be due at a date determined by DHCS. The Contractor shall accept the transfer of the items on the inventory list at a date determined by DHCS and the Contractor.
- x. An Equipment Transfer Schedule to identify sequence and dates that Contractor is requesting to take custody of the cost-reimbursed, DHCS owned equipment, from the Incumbent Contractor.
- y. A description of available parking, including DHCS (management and staff), Contractor (management and staff), visitor and disabled reserved parking spaces.

6.4.2 FACILITY SET-UP AND EQUIPMENT INSTALLATION

1. Utilizing the Facilities, Equipment Acquisition and Installation Plan, if necessary, a temporary main operating facility shall be obtained by the Contractor until the permanent main operating facility is installed.
2. The facility, whether permanent or temporary, shall be available for occupancy by DHCS Takeover and Testing staff and Contractor staff **two (2) weeks after the CED.**
3. The Contractor shall comply with all requirements as defined in the provision of HCO Operations for up to one-hundred and fifty (150) permanent DHCS staff and temporary space available for forty-five (45) DHCS Takeover staff.
4. Temporary Main Operating Facility
 - a. The temporary main operating facility, with sufficient space to perform Takeover activities, including all planning and testing responsibilities, is to be located within a twenty-five (25) mile radius (as determined by freeway access) of the State of California Capitol Building in Sacramento.
 - b. Subcontractors are not subject to the twenty-five (25) mile radius requirement.
5. Permanent Main Operating Facility
 - a. The Contractor shall obtain a permanent facility, with sufficient space to perform all Takeover activities including all planning and testing responsibilities and activities, within a fifteen (15) mile radius (as determined by freeway access) of the State of California Capitol Building in Sacramento to perform Contractor Operations.

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- b. Subcontractors are not subject to the fifteen (15) mile radius requirement.
- c. The permanent facility, including all DHCS space, shall be completely operable **four (4) months prior to AOO**.
- d. DHCS staff shall be able to move into the Contractor's permanent main operating facility **four (4) months prior to Assumption of Operations**.

6.4.3 COST-REIMBURSED DHCS OWNED EQUIPMENT INVENTORY LIST

1. **Two (2) weeks after AOO**, the Contractor shall, submit the Cost-Reimbursed, DHCS Owned Equipment Inventory List to DHCS for review and approval.
2. The Contractor shall:
 - a. Provide format and content that are consistent with the requirements and information provided in the approved Facilities, Equipment Acquisition and Installation Plan.
 - b. Provide all equipment information related to inventory as defined in Exhibit E, Additional Provisions, Paragraph 37.
 - c. Group the inventory by operational area.

6.5 FINANCIAL MANAGEMENT**6.5.1 FINANCIAL MANAGEMENT MANUAL**

1. The Contractor shall:
 - a. **One (1) month after CED**, submit the Financial Management Manual for DHCS review and approval.
 - b. The manual shall meet the requirements and include the accounting procedures and processes described in Accounting Requirements in Exhibit E, Additional Provisions.
 - c. These procedures and processes shall classify expenses by Takeover, Scope of Work, Additional Contractual Services, Change Orders, Hourly Reimbursement, Cost Reimbursement and Turnover. Each of these major classifications of expenses shall be further broken down by:
 - i. Personnel time reporting.
 - ii. Ordering and paying for goods and services.
 - iii. Cost accounting services.
 - iv. Allocation of corporate overhead.
 - v. Accounting ledgers.

6.5.2 COST REIMBURSEMENT PLAN

1. The Contractor shall:
 - a. **Three (3) months prior to AOO**, the Contractor shall submit a Cost Reimbursement Plan for DHCS review and approval
 - b. This plan shall include, at a minimum, a narrative of the Contractor's activities in cost reimbursable areas during Takeover, Operations and Turnover, and

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the information specified in Exhibit B, Attachment I, Special Payment Provisions.

6.5.3 ESTIMATED EXPENSES AND ACTUAL EXPENSES REPORTING

Three (3) months after CED, **the Contractor shall submit updated specifications and report layouts for both the Estimated Expenses and Actual Expenses Reports for DHCS review and approval as specified Exhibit E, Additional Provisions.**

6.6 OTHER ADMINISTRATIVE PROCEDURES

The Contractor shall develop any and all administrative procedures required for Takeover of the Contract and to perform HCO Operations. These include, but are not limited to, such areas as budgeting and financial issues, personnel, inventory and acceptance of DHCS cost-reimbursed, purchased and/or leased hardware, software and equipment and computer operations. All administrative procedures required for AOO of the HCO Program shall be submitted for DHCS review and approval no later than **six (6) weeks prior to the start of Takeover Training.**

7.0 PRE-ASSUMPTION OF OPERATIONS (AOO) AND AOO PHASES

1. The Pre-AOO phase starts three (3) months prior to AOO and ends two (2) weeks prior to AOO.
2. The AOO phase starts two (2) weeks prior to AOO and ends two (2) weeks after AOO.
 - a. During the Pre-AOO phase, the Contractor shall submit the final AOO Plan for review and approval and prepares for AOO.
 - b. The Contractor shall implement critical systems, as identified by DHCS, up to three (3) months ahead of AOO. The Contractor establishes issue identification, tracking and reporting processes that will be used throughout Takeover closeout.

7.1 ASSUMPTION OF OPERATIONS PLAN REQUIREMENTS

1. **Three (3) months after CED**, the Contractor shall submit to DHCS for review and approval its Assumption of Operations Plan.
2. **Five (5) months prior to AOO**, the Contractor shall submit to DHCS for review and approval an updated and finalized Assumption of Operations Plan.
3. In the Assumption of Operations Plan, the Contractor shall:
 - a. Address specific Takeover requirements and provide detailed, step-by-step procedures for each specific Takeover activity to demonstrate how the Contractor proposes to successfully assume complete and full operation of the current HCO Operations.
 - b. Provide narrative descriptions, supporting documentation and detailed procedures for each activity, an implementation schedule for all areas of HCO Operations, and a Gantt (or equivalent) chart to describe the Contractor's overall plan for starting and completing each task and activity associated with the Assumption of Operations process.

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- c. Provide narrative on issue identification, tracking and reporting processes to DHCS and other stakeholder groups that will be utilized during Pre-AOO, AOO and Post-AOO and Takeover closeout phases.
- d. Provide an updated Takeover Communication Plan.
- e. Describe the activities identified in the AOO Plan under each of the following AOO tasks. Quality Assurance procedures are required on all tasks below:
 - i. Staff needed to fulfill Contract requirements, and contingency plans if the Contractor is unable to fulfill Contract staffing requirements. The Contractor shall develop and submit for DHCS approval staffing levels, then upon DHCS' written approval, implement hiring of staff and utilize contingency plans, if necessary, for all HCO Operations. The contingency plans shall describe the actions the Contractor will take if it is unable to meet contractual staffing requirements.
 - ii. Transfer of all Telephone Call Center toll-free telephone numbers.
 - iii. Education and outreach activities:
 - 1) Negotiate new, and/or assume current Presentation Site agreements.
 - 2) Assess and arrange for all Presentation Sites to be fully operational, including availability of HCO informing materials, as well as furniture, telephones and other equipment as needed.
 - iv. Assumption of processing of applicant, beneficiary and other interested parties' inquiries and grievances.
 - v. All HCO enrollment processes, to include testing of all processes whether automated or not. The Contractor shall develop and submit for DHCS approval the plan for processing all HCO enrollment forms, including, but not limited to, Choice Forms and all other remaining enrollment forms, not processed by the prior contractor due to transition of the Contract.
 - vi. Two-way information sharing and maintenance of the MEDS maintained by DHCS Enterprise Innovation & Technology Services (EITS):
 - 1) Testing of two-way sharing of eligibility information with the California Department of Health Care Services, EITS.
 - 2) Exchanging processing information and information with the prior contractor.
 - 3) For testing purposes, uniquely identifying the Contractor versus the prior Contractor file information for reporting purposes.
 - 4) Producing accurate documentation for reports.
 - vii. Communication processes with health plans, Fiscal Intermediaries, and DHCS including:
 - 1) Establish retrieval and/or information sharing method(s) and protocols for information receipt or exchange of information.
 - 2) Testing of retrieval and information sharing.

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- viii. Assumption of Mailing Functions.
- ix. Assumption of Fulfillment Functions.
- x. Implementing Quality Management responsibilities.
- xi. Implement Problem Correction Process.
- xii. Producing required reports.
- xiii. Implementing Records Retention responsibilities.
- xiv. Implementing Security and Confidentiality responsibilities.
- xv. Implementing Disaster Prevention and Recovery/Business Continuity responsibilities.
- xvi. Transfer of existing records and history files, and transfer and utilization of current inventory (e.g., DHCS-owned/leased computers and related DHCS equipment, furniture, telephones, HCO informing materials, etc.).
- xvii. Transfer of all Post Office box(es) and postage accounts from the prior contractor at the end of the prior contractor's Operations period.
- xviii. Update Conflict of Interest Statements, Questionnaires and Avoidance Plan.

7.2 CONTRACTOR CERTIFICATION FOR AOO READINESS

The Contractor Readiness Certification provides formal verification to DHCS on the status of required activities and that the Contractor is ready to begin Pre-AOO activities.

1. **No later than 10 business days prior to the start of Pre-AOO Activities**, the Contractor shall submit AOO Readiness Certification to DHCS for review and approval.
2. The Readiness Certification shall include, but is not limited to the following items:
 - a. Confirmation that the Contractor is ready to start Pre-AOO phase.
 - b. Confirmation that the Contractor has completed all activities and requirements associated up to AOO.
 - c. If all activities scheduled to be completed are not complete, identify the activity, the status and the plan to complete the activities with a timeline.
 - d. If all requirements have not been met, identify the activity, the status and the plan to complete the activities with a timeline.
 - e. Identify any unresolved issues, and plan to resolve or mitigate the open issue.

7.3 ASSUMPTION OF OPERATIONS REQUIREMENTS

1. At AOO, the Contractor shall:
 - a. Accept responsibility for the Post Office boxes at AOO.
 - b. Accept responsibility for the TCC toll-free telephone line(s) at Assumption of Operations.

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- c. Accept all responsibilities associated with HCO Operations and the Contractual requirements.
- d. Monitor, track and correct all issues identified during AOO Phase and post-AOO Phase. Issues must be logged in system available to DHCS.
- e. During AOO Phase and post-AOO Phase Notify DHCS within 2 hours of any issue impacting beneficiaries, health plans or providers. Notify DHCS within 4 hours for all other issues unless otherwise directed by DHCS.
- f. Maintain Files
 - i. Maintain all files, including receipt of data, from the prior Contractor through the end of the prior contractor's Turnover period.
 - ii. Beginning with the Assumption of Operations, implement the record retention responsibilities.
 - iii. At the time of receipt of processing data from the prior Contractor, uniquely identify each transaction as processed by the prior Contractor.

8.0 POST-AOO AND TAKEOVER CLOSEOUT

The Post-AOO phase starts on the day of AOO and concludes three months after the Assumption of Operations Date. Activities during this period include oversight of Operational components, verifying processes are working appropriate, status and incident reporting, completion of transfers and Takeover activities and Takeover closeout.

8.1 POST-AOO REQUIREMENTS

- 1. The Contractor shall:
 - a. Complete implementation of all plans and activities required in this section of the Contract not completed prior to Assumption of Operations.
 - b. Complete transfers of all residual equipment transfers from the prior Contractor.
 - c. Complete transfer of all residual inventory and residual records from the prior Contractor.
 - d. Complete the processing of all inventory and storage of all records for retrieval.
 - e. Monitor, track and correct all issues identified during AOO Phase and post-AOO Phase. Issues must be logged in system available to DHCS.
 - f. During AOO Phase and post-AOO Phase Notify DHCS within two (2) hours of any issue impacting beneficiaries, health plans or providers. Notify DHCS within four (4) hours for all other issues unless otherwise directed by DHCS.
 - g. Provide status of Post-AOO activities as required by DHCS.

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1. Takeover shall be considered complete and the Contractor's Takeover responsibilities accomplished upon the conclusion of the following items as approved in writing by DHCS:
 - a. Complete implementation of all plans and activities required in this section of the Contract.
 - b. All Takeover deliverables and activities.
 - c. The Final Takeover version of the Records and Files Summary as defined in Records Retention and Retrieval.
 - d. The Final Takeover version of the Master Index of Records as defined in Records Retention and Retrieval.
 - e. Correction, to the satisfaction of DHCS, of all errors and/or deficiencies identified during Takeover Testing and approval of such corrections by DHCS.
 - f. Successful operation of all manual and automated activities of the HCO Operations for all activities during Takeover.
 - g. Receipt of all residual inventory and residual records from the prior contractor and the processing of all inventory and storage of all records for retrieval.
 - h. Receipt and implementation of all information files produced by the prior contractor during Takeover.
 - i. Schedule for recurring deliverables through the term of the Contract identified only as "annual", "Semi-annual". Schedule should include month and day deliverable will be submitted.
 - j. Submission of the final Takeover Issue and Risk log used through Takeover closeout.
 - k. Submission of the final testing error and discrepancy log.
 - l. Submission of the final version of the Takeover Work Plan (TWP).
 - m. Submission of Lessons Learned document for Takeover Phase. This document shall include Takeover activities and areas that worked well and recommendations for improvements from the Contractors perspective.