

## TECHNICAL SUBMITTAL

- I-1. Statement of the Project.** State in succinct terms your understanding of the project presented and the service required by this RFP. The Offeror's response should demonstrate that the Offeror fully understands the scope of services to be provided, the Offeror's responsibilities, and how the Offeror will effectively manage the contract. The statement of the project should discuss specific issues and risks associated with the Resource and Referral Tool services and include proposed solutions for each. The Offeror should demonstrate how it would develop and maintain relationships with stakeholders, community-based organizations ("CBO"), and other contractors.

### **Offeror Response**

- I-2. Management Summary.** Include a narrative description of the proposed effort and a list of the items to be delivered or services to be provided. Include a description of the proposed collaboration with the stakeholder, community-based organizations, and other contractors. The Offeror should condense and highlight the contents of the Technical Submittal in a manner that allows a broad understanding of the entire Technical Submittal.

### **Offeror Response**

- I-3. Qualifications.**

- A. Company Overview.** The Offeror must describe its corporate history and relevant experience of the Offeror and any subcontractors. This section must detail information on the ownership of the company (names and percent of ownership), the date the company was established, the date the company began operations, the physical location of the company, and the current size of the company. The Offeror must provide a corporate organizational chart.

The Offeror must describe its corporate identity, legal status, including the name, address, telephone number, and email address for the legal entity that is submitting the proposal. In addition, the Offeror must provide the name of the principal officers, a description of its major services, and any specific licenses and accreditations held by the Offeror.

If an Offeror is proposing to use services or products of a subsidiary or affiliated firm, the Offeror must describe the business arrangement with that entity and the scope of the services the entity will provide.

If the experience of any proposed subcontractor is being used to meet the qualifications and requirements of this RFP, the Offeror must provide the same information as listed above for the subcontractor. This information must be presented separately within this section, clearly identifying the subcontractor's experience and name.

**B. References.** The Offeror must provide a list of at least three (3) relevant contacts within the past three (3) years to serve as corporate references. The references must be outside clients (non-DHS). This list shall include the following for each reference:

1. Name of customer
2. Type of contract
3. Contract description, including type of service provided
4. Total contract value
5. Contracting Officer's name and telephone number
6. Role of subcontractors (if any)
7. Time period in which service was provided

The Offeror must submit **Appendix B, Corporate Reference Questionnaire**, directly to the contacts listed. The references should return the completed questionnaires in sealed envelopes to the Offeror. The Offeror must include these sealed references with its technical submittal under **Tab 12**.

The Offeror must disclose any contract or agreement cancellations, or terminations within five (5) years preceding the issuance of this RFP. If a contract or agreement was canceled or terminated for lack of performance, the Offeror must provide details on the customer's allegations, the Offeror's position relevant to the allegations, and the final resolution of the cancellation or the termination. The Offeror must include each customer's Company or entity name, Address, Contact name, Phone number, and Email address.

The Department may disqualify an Offeror based on a failure to disclose such a cancelled or terminated contract or agreement. If the Department learns about such a failure to disclose after a contract is awarded, the Department may terminate the contract.

### **Offeror Response**

**C. Prior Experience.** The Offeror should include experience or similar types of experience in providing a R&RT solution. Experience shown should be work done by individuals who will be assigned to the Project as well as that of your company. Studies or projects referred to must be identified and the name of the customer shown, including the name, address, and telephone number of the responsible official of the customer, company, or agency who may be contacted.

The Offeror's response should describe their experience in:

### **Offeror Response**

**D. Offeror Personnel.** Include the number of executive and professional personnel, analysts, auditors, researchers, programmers, consultants, and other staff, who will be engaged in the work. Show where these personnel will be physically located during

the time they are engaged in the Project. For key personnel, include the employee’s name and, through a resume or similar document, the key personnel’s education and experience in similar in size and scope projects. Indicate the responsibilities each individual will have and how long each has been with your company. Identify by name any subcontractors you intent to use and the services they will perform.

The Department has identified six (6) key personnel:

- Executive Account Director
- Project Manager
- Technical Manager
- Operations Manager
- Testing Manager
- Training Manager

Table 1 provides the high-level responsibilities and minimum qualifications for Key Personnel.

**Table 1: Key Personnel Qualifications**

ROLE NAME	RESPONSIBILITIES	QUALIFICATIONS
<b>Executive Account Director</b>	<ol style="list-style-type: none"> <li>1. Provide overall leadership, coordination, and implementation of the R&amp;RT.</li> <li>2. Communicate with Commonwealth executives and other Contractors, and Organizations who use the R&amp;RT, as needed.</li> <li>3. Function as the primary point of contact with the DHS IT Governance Board and the Health and Human Services Delivery Center (“HHSDC”) IT executive staff for activities related to contract administration, overall project management and scheduling, correspondence between HHSDC and the selected Offeror, dispute resolutions, and status reporting.</li> <li>4. Responsible for approving the invoices submitted to HHSDC.</li> </ol>	<ol style="list-style-type: none"> <li>1. Ability to commit selected Offeror’s resources as needed to successfully perform work.</li> <li>2. Ability to identify and resolve project-related issues and risks requiring escalation within the selected Offeror’s organization.</li> <li>3. Ability to resolve project-related issues and risks requiring action by the selected Offeror’s subcontractors.</li> <li>4. Minimum of ten (10) years of experience working on or leading large, complex system implementation projects for similar clients.</li> <li>5. Knowledge of the Health and Human Services (“HHS”) industry.</li> </ol>
<b>Project Manager</b>	<ol style="list-style-type: none"> <li>1. Provide day-to-day management of the R&amp;RT Project.</li> <li>2. Be the principal liaison for the Executive Account Director, HHSDC Project Manager, HHSDC and DHS staff, and other stakeholders and</li> </ol>	<ol style="list-style-type: none"> <li>1. Minimum of eight (8) years of experience managing large, complex systems, and with the development, implementation and operation of projects of a scale similar to the R&amp;RT</li> <li>2. Minimum of at least five (5) years</li> </ol>

ROLE NAME	RESPONSIBILITIES	QUALIFICATIONS
	<p>organizations who use the R&amp;RT.</p> <ol style="list-style-type: none"> <li>3. Guide Project by using project management processes, organizing the project, and managing team work activities consistent with the approved Work Plan.</li> <li>4. Schedule and report project activities.</li> <li>5. Coordinate use of personnel resources.</li> <li>6. Point of contact for issue identification and resolution.</li> <li>7. Oversee Disaster Recovery (“DR”).</li> <li>8. Facilitate implementation of the R&amp;RT Modifications/Enhancements.</li> <li>9. Responsible for all project Deliverables.</li> </ol>	<p>of experience managing design and development of human services information systems.</p> <ol style="list-style-type: none"> <li>3. Experience leading teams of more than twenty (20) staff members, including staff from diverse organizations to successfully implement and operate technology-based solutions.</li> <li>4. Experience working with CBOs.</li> </ol>
<b>Technical Manager</b>	<ol style="list-style-type: none"> <li>1. Coordinate the gathering of R&amp;RT business requirements.</li> <li>2. Track changes to business requirements and final system requirements for each modification and enhancement.</li> <li>3. Oversee the modification of requirements through the Change Control Board (“CCB”).</li> <li>4. Participate in testing of all requirements during User Acceptance Testing (“UAT”).</li> <li>5. Work in cooperation with all R&amp;RT stakeholders to document requirements.</li> <li>6. Document and maintain all modification and enhancement requirements.</li> <li>7. Participate in DR Testing.</li> </ol>	<ol style="list-style-type: none"> <li>1. Minimum of five (5) years of experience in managing technical requirements, configurability, interoperability, testing, SDLC, release management, and the system requirements in a large-scale IT implementation.</li> <li>2. Experience with requirements gathering standards and processes.</li> <li>3. Experience with continuous quality improvement programs, developing and implementing project quality standards and processes.</li> </ol>
<b>Operations Manager</b>	<ol style="list-style-type: none"> <li>1. Network recruitment, onboarding, and retention.</li> <li>2. Resource directory maintenance.</li> <li>3. External and internal customer service management.</li> </ol>	<ol style="list-style-type: none"> <li>1. Minimum of six (6) years of experience with recruitment, onboarding, and retention in personnel.</li> <li>2. Experience providing support for</li> </ol>

ROLE NAME	RESPONSIBILITIES	QUALIFICATIONS
		resource directory maintenance. 3. Experience executing external and internal customer service management. 4. Experience recruiting and onboarding CBOs.
<b>Testing Manager</b>	1. Coordinate testing efforts for R&RT to support implementations, continuity of operations (COOP), and overall function. 2. Develop the Test Plan for R&RT system modifications and enhancements. 3. Oversee test case and test script development and approval for R&RT integration testing efforts. 4. Facilitate test environment setup. 5. Coordinate defect management efforts during integration testing efforts. 6. Participate in DR testing.	1. Minimum of six (6) years of experience with planning and executing all phases of testing – unit testing, system testing, integration testing, user acceptance testing, regression testing, and performance testing. 2. Experience with and expertise in selection and use of automated test tools and other testing-related tools. 3. Experience managing test teams comprising individuals from multiple organizations.
<b>Training Manager</b>	1. Provide internal training to Commonwealth staff and other R&RT stakeholders, on the R&RT system components and functionality. 2. Provide training as needed to communicate framework details, integration items, governance processes, and other project items. 3. Create and maintain training materials related to the R&RT. 4. Develop and deliver training materials for the R&RT system.	1. Minimum of eight (8) years of experience leading a team responsible for creating training materials and directing training activities. 2. Experience with planning and implementing training activities. 3. Experience working with diverse stakeholders and staff in training efforts. 4. Familiarity with technologies included in Offeror's proposed solution.

A minimum of three (3) client references for Key Personnel must be identified. All client references for Key Personnel must be outside clients (non-DHS) who can give information on the individual's experience and competence to perform project tasks similar to those requested for this RFP. Key Personnel may be a member of the Offeror's organization, or any subcontractor included in the Offeror's proposal.

The Offeror must submit **Appendix C, Key Personnel Reference Questionnaires** directly to each of the references listed. The references should return completed

questionnaires in sealed envelopes to the Offeror. The Offeror should include these sealed references with its hardcopy Technical Submittal under **Tab 13**.

Submitted resumes are not to include personal information that will, or will be likely to, require redaction prior to release of the proposal under the Right-to-Know Law, including but not limited to home addresses and phone numbers, Social Security Numbers, Driver's License numbers or numbers from state identification cards issued in lieu of a Driver's License, and financial account numbers. If the Commonwealth requires any of this information for security validation or other purposes, the information will be requested separately and as necessary.

**E. Staffing Requirements.** The selected Offeror must maintain a core team of qualified staff who are able to support all aspects of the DHS R&RT Project, as well as assign additional staff as needed during each implementation phase. The selected Offeror must be able to work cooperatively with Commonwealth staff and other individuals and entities during the R&RT Project. The selected Offeror must coordinate and receive direction from designated Department and HHSDC staff. In the case it is necessary to identify a resource who will not be 100% dedicated and full time to this Project, the selected Offeror must indicate the percentage of time the resource will be assigned to the contract, the percent of time the resource will be assigned to concurrent projects; as well as the reasoning to provide for project requirements to be completed timely.

The selected Offeror may not assign Key Personnel to more than one role to any other position under the R&RT project contract.

The selected Offeror may acquire specialized expertise through the use of subcontracts and must identify any proposed subcontractors in response to **Part I, Section I-3.G. Subcontractors**.

For all other personnel, describe job title, position descriptions, responsibilities and minimum qualifications.

The Offeror must include organizational charts outlining the staffing, reporting relationships and staff members in its response. Show the total number of proposed staff and indicate the Full Time Equivalent to account for any additional staff that are not assigned on a full-time basis. Provide similar information for any subcontractors that are proposed. The organizational chart must illustrate the lines of authority, designate the positions responsible and accountable for the completion of each component of the RFP, indicate the names, *if available*, job titles, number of personnel who will be assigned to each role, and the number of hours per week each person is projected to work on this project. The organizational chart must clearly indicate any subcontracted functions, along with the name of the subcontracting entities and the services they will perform.

**F. Key Personnel Diversions or Replacement.** Once Key Personnel are approved by DHS, the selected Offeror may not divert or replace personnel without prior approval of the DHS Contract Administrator (or designee). The selected Offeror must provide notice of a proposed diversion or replacement to the DHS Contract Administrator (or designee) at least thirty (30) calendar days in advance and provide the name, qualifications, and background check (if required) of the person who will replace the diverted personnel. The DHS Contract Administrator (or designee) will notify the selected Offeror within ten (10) business days of the diversion notice whether the proposed diversion is acceptable and if the replacement is approved.

“Divert” or “diversion” is defined as the transfer of personnel by the selected Offeror or its subcontractor to another assignment within the control of either the Offeror or subcontractor. Advance notification and approval do not include changes in Key Personnel due to resignations, death, disability, dismissal for cause or dismissal as a result of the termination of a subcontract or any other causes beyond the control of the selected Offeror or its subcontractor. DHS must approve the replacement personnel.

The DHS Contract Administrator (or designee) may request the selected Offeror remove a person from this project at any time. In the event a person is removed, the selected Offeror will have ten (10) business days to fill the vacancy with a person possessing the required experience and skills, subject to the DHS Contract Administrator’s (or designee’s) approval. DHS may require the removal of an assigned resource to the contract at any time.

### ***Offeror Response***

**G. Subcontractors.** Provide a subcontracting plan for all subcontractors, including SDB and SB subcontractors, who will be assigned to the Project. The selected Offeror is prohibited from subcontracting or outsourcing any part of this Project without the written approval from the Commonwealth. Upon award of the contract resulting from this RFP, subcontractors included in the proposal submission are deemed approved. For each subcontractor included in your subcontracting plan provide:

1. Name of subcontractor;
2. Address of subcontractor;
3. Number of years worked with the subcontractor;
4. Number of employees by job category to work on this project;
5. Description of services to be performed;
6. What percentage of time the staff will be dedicated to this project;
7. Geographical location of staff; and
8. Resumes (if appropriate and available).

If applicable, the Offeror’s subcontractor information must include (through a resume or a similar document) the employees’ names, education and experience in the services outlined in this RFP. Information provided shall also indicate the

responsibilities each individual will have in this Project and how long each has been with the subcontractor's company.

### **Offeror Response**

- I-4. Training.** The selected Offeror must provide both initial and ongoing training on the use and operation of the R&RT and will develop all training materials. Ongoing training will include web-based training, in person training, training modules available on the selected vendor's website, and any customized training requested by the Department.

The selected Offeror must conduct training of the R&RT's functionality, user interfaces, technical components, reporting, and other operational requirements. Training will be scheduled for Department employees, as well as network organizations' staff. As organizations continue to join the network, training sessions will be scheduled as needed, within seven (7) business days from the date the joining organization signed the MOU with the Department. Training modalities will include web-based training, in person training, training modules available on the selected vendor's website, and any customized training requested by the Department.

The selected Offeror must design, develop and implement a comprehensive training plan with training materials to provide technical training to the Department and network organizations' users. The training must communicate an overview of the R&RT, which includes technical framework, integration touchpoints, governance processes, system components, business processes, services, implementation processes and other project requirements. The selected Offeror will deliver the initial R&RT Training Plan within thirty (30) calendar days after the purchase order effective date and update the plan as additional information is known regarding entities to be trained.

The Offeror must describe its approach to the design, development, implementation, and maintenance of the R&RT Training Plan. The Offeror must also submit a draft copy of its proposed training plan, to include, at a minimum, all training methods, materials, and its approach to the R&RT training. The Offeror must also describe its training solution, the training schedule including ongoing training, settings, the target audiences, number of trainers available for this project, and provide samples of training material in its Technical Submittal. The Offeror must describe its approach to addressing the needs of trainees with varied levels of computer skills and database experience.

### **Offeror Response**

- I-5. Financial Capability.** Describe your company's financial stability and economic capability to perform the contract requirements. Provide your company's financial statements (audited, if available) for the past three (3) fiscal years. If your company is a publicly traded company, please provide a link to your financial records on your company website in lieu of providing hardcopies. Financial statements must include the company's Balance Sheet and Income Statement or Profit/Loss Statements. Also include

a Dun & Bradstreet comprehensive report, if available. The Commonwealth may request additional information it deems necessary to evaluate an Offeror's financial capability.

### **Offeror Response**

- I-6. Work Plan.** Describe in narrative form your technical plan for accomplishing the work. Use the task descriptions, deliverables, and reports and project control activities in **Part I** as your reference point. Modifications of the task descriptions are permitted; however, reasons for changes should be fully explained. Indicate the number of person hours allocated to each task. Include a Program Evaluation and Review Technique or similar type display, time related, showing each event. If more than one approach is apparent, comment on why you chose this approach. Where appropriate, the selected Offeror must use automation to facilitate the completion of tasks. Describe the relationship between key staff described in **Part I, Section I-3.D Offeror Personnel** and the specifics tasks, assignments, and deliverables proposed to accomplish the scope of work. Indicate the number of staff hours allocated to each task.

Describe your management approach, including how you will implement the proposed work plan. Where applicable, the Offeror must provide specific examples of methodologies or approaches, including monitoring approaches, it will use to fulfill the RFP requirements and examples of similar experience and approach on comparable projects. The Offeror must describe the management and monitoring controls it will use to achieve the required quality of services and all performance requirements. The Offeror must also describe the approach to internally monitor and evaluate the effectiveness of meeting the contract requirements.

The Offeror should include in the work plan its planned approach and process for establishing and maintaining communication between all parties and a technical approach that is aligned with all written specifications and requirements contained in the RFP. The work plan must include a timeline with goals and benchmarks for implementation, as well as the Offeror's understanding of the Department's vision and scope of the Project. The Offeror should also state how the objectives of the Project will be met and how each task will be performed.

### **Offeror Response**

#### **I-7. Tasks.**

- A. Program Management.** The Department will provide strategic oversight for the R&RT. The selected Offeror has primary responsibility for the services under a resulting contract for the lifecycle of the R&RT.

Throughout the life of the R&RT contract, the selected Offeror must use project management techniques that include a comprehensive project plan that is designed, developed, implemented, monitored, tracked, and maintained. The selected Offeror

must develop status reports and project plan updates as defined in **Part I, Section I-9 Reports and Project Control.**

The selected Offeror must develop, maintain, and execute the R&RT Master Work Plan (“RR&T-MWP”) for the successful completion of services within scope, budget and schedule throughout the term of the contract. The work plan must adhere to industry best practices for project management, such as Project Management Body of Knowledge (“PMBOK®”). Offeror’s must describe the standard that it will use and its rationale for choosing that project management tool.

The selected Offeror must provide the IT system and all support services to allow for the use of the R&RT by citizens, providers, Department contractors (i.e., MCO plans), CBOs and Commonwealth agencies. The selected Offeror’s R&RT–MWP must, at a minimum, include: the phased implementation of the R&RT, network recruitments, network onboarding, directory implementation, and CBO network training and onboarding, and ongoing maintenance, operations, and support.

The selected Offeror must develop the R&RT-MWP that, at a minimum, includes the following deliverables:

1. Master Schedule
2. Communication Plan
3. Risk and Issues Management Plan
4. Change Management Plan
5. Requirements Management Plan
6. Test Plan
7. User Acceptance Testing
8. Defect Management Plan
9. Release Management Plan
10. System Design/Configuration Document
11. System Security Plan
12. Quality Management Plan
13. Rollout Plan
14. Closeout Plan
15. Maintenance & Operations (“MO”) Plan
16. Turnover Plan

Upon approval by the Department, the selected Offeror must execute and monitor the R&RT-MWP. As changes are approved through the Change Management process, the selected Offeror must update plans and provide the Department with a summary of the changes as part of its reporting requirements. Offerors may recommend an alternative to this reporting requirement and provide a rationale for their recommendation. The selected Offeror must immediately alert the Department to any risk identified as the result of the change.

**Deliverable:** R&RT-MWP

The Offeror must describe its approach to designing, developing, and implementing the R&RT-MWP with recommended timelines for completion of the components. Additionally, the Offeror must describe how it will coordinate and work with R&RT stakeholders to execute and monitor the R&RT-MWP.

***Offeror Response***

- B. R&RT Master Schedule.** The selected Offeror must design, develop, implement, and maintain the R&R Master Schedule in coordination with the stakeholders and the Department. At a minimum, the Master Schedule must include: the implementation of the R&RT system, CBO network recruitment and onboarding, stakeholder training to include but not limited to Department personnel, Department contractors and CBOs, and an approach for the phased rollout as described in **Part I, Section I-7.M**. The selected Offeror must deliver the initial R&RT Master Schedule for the Department's approval within thirty (30) calendar days after the purchase order effective date. Modifications to R&RT Master Schedule occurring throughout the implementation lifecycle must be approved by the Department. The Department anticipates that the R&RT Master Schedule is both business and technically oriented with a focus on the technical aspects of the R&RT.

**Deliverable:** R&RT Master Schedule.

The Offeror must describe its approach to the design, development, implementation, and maintenance of the Master Schedule.

***Offeror Response***

- C. R&RT Communications Plan.** The selected Offeror must design, develop, implement, and maintain the R&RT Communications Plan, under the guidance of the Department. The Communications plan must specify the methods, key stakeholders, and timing the selected Offeror will utilize for communicating with the Department and stakeholders during the implementation phase and ongoing through M&O. The selected Offeror must deliver the R&RT Communications Plan for the Department's approval within thirty (30) calendar days after the purchase order effective date. Modifications to R&RT Communications Plan occurring throughout the R&RT lifecycle must be approved by the Department.

**Deliverable:** R&RT Communications Plan.

The Offeror must describe its approach to the design, development, implementation, and maintenance of the R&RT Communications Plan.

***Offeror Response***

**D. R&RT Risk and Issues Management Plan.** The selected Offeror must design, develop, implement, and maintain an R&RT Risk and Issues Management Plan which applies an industry standard risk management methodology throughout the term of the contract. The selected Offeror must deliver the initial R&RT Risk and Issues Management Plan for the Department's approval within thirty (30) calendar days after the purchase order effective date; and must update the Plan weekly. At minimum, the R&RT Risk and Issues Management Plan must include issue identification, tracking, analysis, mitigation recommendations, reporting, and resolution. The Department anticipates that risk and issues are both business and technically oriented with a focus on the technical aspects of the R&RT. The selected Offeror must immediately alert the Department of any risk or issue that may jeopardize design, development, implementation, and maintenance of the R&RT.

**Deliverable:** R&RT Risk and Issues Management Plan.

The Offeror must describe its approach to identifying, evaluating, mitigating risk and issues as well as the design, development, implementation, and maintenance of the R&RT Risk and Issues Management Plan.

### ***Offeror Response***

**E. R&RT Change Management Plan.** All changes to the SaaS solution must be approved by DHS. The selected Offeror shall provide for change management to include: change request tracking, approval process, and communication approach. Offerors should describe its change management approach to include, how it plans to identify, evaluate, document, prioritize, categorize, resolve, and close-out changes. The change management process shall be used to manage all system changes to include, changes for defect management, system maintenance, and modifications/enhancements.

If the Offeror has a process that is used to determine changes that are incorporated into the product vs those that are determined to be custom, it should be fully explained including the change order process and timeframes. The Department requires documentation to justify cost and schedule changes defined during the change order process.

The selected Offeror must design, develop, implement, and maintain the R&RT Change Management Plan as a participant of the CCB. The selected Offeror will deliver the R&RT Change Management Plan within forty-five (45) calendar days after the purchase order effective date for the Department's approval. The R&RT Change Management Plan should discuss a process to request and manage changes, The plan must contain a methodology for determining and reporting the level of effort, hours, resources, scheduling, and cost of the change.

**Deliverable:** R&RT Change Management Plan.

The Offeror must describe its approach to the design, development, implementation, and maintenance of the R&RT Change Management Plan.

**Offeror Response**

**F. R&RT Requirements Management Plan.** Under the guidance of the Department, the selected Offeror will design, develop, implement, and maintain an R&RT Requirements Management Plan. This plan must specify the requirements gathering and management methods, processes and procedures the selected Offeror must utilize to gather and manage requirements.

The selected Offeror will lead business requirements sessions that use the requirements in the high-level functionality requirements found in **Appendix F** and use cases found in **Appendix G** as a basis to obtain final detailed business requirements. The selected Offeror will use methods to collect requirements that include work sessions, surveys, interviews, business rules reviews, facilitated JAD sessions and any other means necessary to identify all requirements. The selected Offeror must consolidate the final requirements approved by the Department into a Business Requirements Document (“BRD”).

The selected Offeror will develop and maintain through implementation a Business Requirements Traceability Matrix (“BRIM”) that will become the initial baseline for the design phase and a reference point throughout the Software Development Life Cycle (“SDLC”) for determining if the final product meets all requirements. For each identified requirement, the BRIM must contain the source of the requirement, the implementation point, and reference to the test case or script that validates the proper implementation of the requirement.

Once the Department approves the BRD, the BRD becomes the blueprint for the selected Offeror’s design document that will document system design. The Department has a standardized template for the BRD and BRIM documents. If the Offeror has a template used across all customers, it may be submitted for approval. Otherwise it is expected that the selected Offeror shall use the Department’s template.

The selected Offeror must submit the initial R&RT Requirements Management Plan no later than fifteen (15) calendar days after the purchase order effective date.

**Deliverable:** R&RT Requirements Management Plan.

The Offeror must describe its approach to the design, development, implementation, and maintenance of the R&RT Requirements Management Plan.

**Offeror Response**

**G. R&RT Test Plan.** In the Testing Phase of the SDLC, the selected Offeror, Department, stakeholders, other contractors, and the HHSDC staff have varying roles dependent upon the objective of the test being conducted. While the Department must approve all test results, tests are conducted by different entities. Accordingly, the selected Offeror must cooperate with the Department to develop a comprehensive testing plan that ensures the R&RT meets or exceeds the functional, technical, security, and performance requirements.

The selected Offeror must update the functionality being tested as well as the testing environment as a result of defects identified. The selected Offeror must communicate testing status to the Department and appropriate stakeholders throughout this phase.

The minimum levels of expected testing are defined below. Offerors may recommend additional levels or strategies and provide a rationale for their recommendation.

- 1. Unit Testing:** Unit testing verifies the configuration/changes/enhancement made to the R&RT is functioning in isolation. Unit testing is led by the selected Offeror.
- 2. Integration Testing:** Integration testing verifies the configuration/changes/enhancements made to the R&RT are acceptable when integrated with other functions of the tool. Integration testing is testing of individual software changes when combined and tested as a group with the entire R&RT. The selected Offeror must lead this level of testing.
- 3. System Testing:** System testing tests end-to-end IT system functionality including interfaces with any Department or external system. System testing includes assessing non-functional system requirements including security, speed, accuracy, and reliability; and assessing functionality to external interfaces to other applications, including provider systems, CBO systems, and department systems.

**H. User Acceptance Testing (“UAT”):** During UAT, system users test the software to validate it can handle required tasks in real-world scenarios, according to specifications. UAT is a critical part of the SDLC. UAT shall demonstrate how the developed solution meets all business requirements and system design. UAT testing for the R&RT will be performed by the Department and external stakeholders such as MCOs, providers, and CBOs. The selected Offeror shall provide a UAT Testing environment as well as business and technical support of UAT including testing coordination and progress monitoring and reporting.

Any defects found in UAT will be resolved prior to implementing the R&RT into production.

The selected Offeror must submit the results of security vulnerability and security penetration testing to the Department after completion of this phase and prior to production implementation.

**Additional Required Testing:** The selected Offeror must also perform:

1. Regression Testing;
2. Stress Testing;
3. Interface Testing; and
4. Usability and Human Interaction Testing.

The selected Offeror will provide all various system environments needed to perform the required testing activities for the R&RT. A training environment for use during onboarding of providers must also be provided. The selected Offeror must develop test plans and summary reports in accordance with industry standards. Plans should outline various parameters, resources, methods, and criteria to fully test the system. The selected Offeror must provide its own tools for testing.

The selected Offeror must report the results of testing of the R&RT to the Department and HHSDC. The selected Offeror's report must identify successes, failures, defects and deviations of the expected results. The report must also identify risks, issues and dependencies that could prevent successful implementation. The selected Offeror must provide recommendations for risk mitigation as well as contingency plans. The Department and the HHSDC will approve recommendations and contingency plans.

**Deliverables:**

1. R&RT Integration Test Plan
2. R&RT System Test Plan
3. R&RT UAT Test Plan
4. Additional Required Test Plans

The Offeror must describe its approach to the design, development, implementation, and maintenance of the Integration Test Plans, System Test Plans, UAT Test Plans and Additional Required Test Plans.

***Offeror Response***

- I. **R&RT Defect Management Plan.** The selected Offeror must identify and resolve defects identified during testing as well as during production and after implementation pertaining to the R&RT.

The selected Offeror must provide overall defect management for the R&RT and will develop the R&RT Defect Management Plan to identify, track, monitor, and report defects identified during testing and production to the Department.

The selected Offeror will have a tool, such as ServiceNow or Team Foundation Server, that tracks and monitors defects. The Department and HHSDC will manage the CCB, which is responsible for defect management through the lifecycle. The selected Offeror must participate in the CCB.

The Department will determine the severity and priority of defects and will use defect resolution in accordance with the protocols in the chart below. The Severity Level and Definition columns will be used pre-M&O and the remaining columns will be used post production. During M&O, all columns will be used. Final Resolution indicates a fix has been made and Reconciliation is that any corrupted data or incorrect transactions will be fixed or reprocessed. All defects must be resolved by the selected Offeror without any expense to the Department.

The selected Offeror must deliver the initial R&RT Defect Management Plan and the initial R&RT Defect Management Report within thirty (30) calendar days of the purchase order effective date; and must update the report as defects are identified within one (1) business day. The Defect Management Plan and Report will be reviewed monthly as part of the Monthly Status Report (see **Part I, Section I-9.B.** of this RFP).

**Table 2. Defect Management Definitions**

	Definition	Response Time	Corrective Action Plan	Workaround Time	Final Resolution	Reconciliation*
Critical	<p>R&amp;RT is unavailable creating an inoperable state. Users unable to perform routine job functions that are mission critical.</p> <p>Qualifying condition examples include:</p> <ul style="list-style-type: none"> <li>• Inability make or accept referrals</li> <li>• Inability to access resource directory</li> <li>• Critical loss or corruption of data which severely impact users</li> <li>• Any security defect that has the potential to expose Protected Health Information (“PHI”) or Personally Identifiable Information (“PII”).</li> <li>• Any Commonwealth defined mission critical condition.</li> </ul>	15 Minutes	1.5 hours	2 hours	1 calendar day	3 calendar days

	Definition	Response Time	Corrective Action Plan	Workaround Time	Final Resolution	Reconciliation*
Major	<p>R&amp;RT is creating a serious system functionality loss that requires workarounds. Users are partially incapable of completing their normal functions.</p> <p>Qualifying condition examples include:</p> <ul style="list-style-type: none"> <li>Stakeholders that have interoperability must use the system in a stand-alone mode</li> <li>Reporting or data is inaccurate or delayed</li> <li>Issue affects large group of users with complicated workaround that could delay services to citizens</li> </ul>	1.5 hours	3 hours	4 hours	2 calendar days	7 calendar days
Minor	<p>Moderate system issues where workarounds exist but overall do not affect production.</p> <p>Qualifying condition examples include:</p> <ul style="list-style-type: none"> <li>Report is not available but can be generated manually</li> <li>Issue affects small subgroup of users with uncomplicated workaround</li> <li>One form of a function is available but not all – can see a report online but cannot print it.</li> </ul>	1 calendar day	5 calendar days	10 calendar days	30 calendar days	40 calendar days
Cosmetic	<p>Inconsequential loss of functionality. Impact to user is slight to unknown. Effect on R&amp;RT functions negligible to no impact. Issue cosmetic in nature such as spelling error or branding issue.</p> <p>Qualifying condition examples include:</p> <ul style="list-style-type: none"> <li>Report incorrectly named</li> <li>Minor page layout issue</li> <li>Help page missing or incomplete</li> </ul>	7 calendar days	30 calendar days	N/A	90 calendar days or as mutually agreed upon	As mutually agreed upon

\*Data reconciliation - Final Resolution indicates a fix has been made and Reconciliation is that any corrupted data or incorrect transactions will be fixed or reprocessed.

**Deliverables:**

1. R&RT Defect Management Plan
2. R&RT Defect Management Report

The Offeror must describe its approach to the design, development, implementation, and maintenance of the Defect Management Plan and Reports.

**Offeror Response**

**J. R&RT Release Management Plan.** The selected Offeror must design, develop, implement, and maintain the R&RT Release Management Plan. The selected Offeror shall deliver the initial R&RT Release Management Plan within forty-five (45) calendar days after the purchase order effective date; and shall update it no later than sixty (60) calendar days prior to product release. The selected Offeror must coordinate the R&RT Release Management Plan with the Department and the HHSDC to ensure operational readiness.

The selected Offeror will lead release planning meetings, which will be attended by the Department, appropriate internal and external stakeholders and the selected Offeror. See **Part I, Section I-9.C. Meetings** of this RFP.

**Deliverable:** R&RT Release Management Plan.

The Offeror must describe its approach to the design, development, implementation, and maintenance of the R&RT Release Management Plan. Any releases planned prior to R&RT implementation should be documented within the Release Management Plan with a description of the contents of the release. The Offeror must explain the process to plan and implement system releases. This should include product releases as well as the release of Department specific changes.

### ***Offeror Response***

**K. R&RT System, Cyber, and HIPAA Security Plan.** The selected Offeror must design, develop, implement, and maintain a System, Cyber, and HIPAA Security Plan (“SCHSP”) The selected Offeror will maintain compliance with Security Requirements in **Part I, Section 8-M** of the RFP and with Commonwealth Information Technology Policies in the Terms and Conditions. Additionally, the selected Offeror must maintain compliance with the Third-Party hosting security policy found in **Appendix H (Requirements for Non-Commonwealth Hosted Applications/Services)**, and if cloud storage is used, the Cloud Use case found in **Appendix I (Cloud Use Case Questions)**

The selected Offeror must deliver the initial SCHSP forty-five (45) calendar days after the purchase order Effective Date. The SCHSP must detail how cyber security measures and HIPAA security measures are built into the proposed solution, and include how the measures will keep Pennsylvania’s data secure from cyber data breaches and unauthorized HIPAA violations.

The Offeror must perform a HIPAA risk assessment and update the SCHSP at least annually or more frequently if required by HIPAA requirements.

The Offeror must provide detailed information regarding its SCHSP.

1. Describe the security measures in the proposed solution to prevent system and data breaches.
2. Describe preventative measures, such as policies and procedures, taken to reduce the risk of system cyber-attacks and HIPAA violations.
3. Provide details of how your solution's cyber security and risk mitigation plan prevents cyber data breaches, monitors and identifies cyber data breaches, and rectifies cyber data breaches that occur.
4. Describe the frequency of reviews and updates of the cyber security and risk mitigation plan, including the testing process and frequency.
5. Describe the use of PII and PHI and a description of the types of data that will be collected.
6. Describe the sources of PII and PHI, populations, and transfer and disclosure mechanisms.
7. Provide details about the entities with which the collected information will be shared.
8. Describe the privacy and security standards for business partners, other third parties and the agreements that bind these entities.
9. Provide details regarding incident handling procedures.
10. Describe the privacy and security awareness programs and materials for the Offeror's workforce.

The selected Offeror must detail in the SCHSP how it will enforce security within the R&RT and the selected Offeror's organization including physical security of hardware, interactions between other systems and, identification of individuals who have privileged access, and how data to and from external sources is controlled.

The selected Offeror must report all system security incidents and breaches including Cyber intrusions to the HHSDC within fifteen (15) minutes of incident identification regardless of the known scope of the incident. The selected Offeror must report misuse of IT resources and loss or theft of equipment (USB drives, laptops, smartphone etc.) that may contain R&RT data, via email, to the HHSDC within one (1) hour of the incident. The selected Offeror must follow incident-handling procedures to document the full scope of incident, containment, eradication, and recovery as appropriate to the situation for all incidents. The Department may assess damages for a failure to report any security issues or breach incidents as noted and provide sufficient response to any security issue or breach.

**Deliverable:**

1. R&RT System, Cyber, and HIPAA Security Plan
2. Annual Security Assessment.

The Offeror must describe its approach to designing, maintaining and monitoring the R&RT System, Cyber, and HIPAA Security Plan.

**Offeror Response**

**L. R&RT Quality Management (“QM”) Plan.** The selected Offeror must have a quality management and assurance process in place to validate the product is functioning as expected. The selected Offeror will provide QM services. The following items are subject to QA review: SSP, test plans, and DR/COOP plans.

The selected Offeror will design, develop, implement, and maintain an R&RT QM Plan to maintain quality practices for the SDLC of the R&RT. The selected Offeror shall deliver the initial R&RT QM Plan within sixty (60) calendar days after the purchase order effective date.

The R&RT QM Plan must include, at a minimum:

1. Overview of QM activities and tasks to be performed.
2. Processes and procedures for conducting QA/QC activities, including procedures for documenting, resolving, and reporting issues and risks identified during QA/QC activities, or problems that may be identified by the Department.
3. Performance monitoring reviews, measures, and reports.
4. Roles and responsibilities of the selected Offeror and subcontractors if applicable, in performing QA/QC activities.

**Deliverable:** R&RT QM Plan.

The Offeror must describe its approach to the design, development, implementation, and maintenance of the R&RT QM Plan.

**Offeror Response**

**M. R&RT Project Rollout.** The selected Offeror will work collaboratively with the Department, stakeholders and the project team to ensure successful phased rollout of the R&RT. The selected Offeror will design, develop, implement, and maintain the R&RT Project Rollout, in coordination with the Department, to move the R&RT functionality from design, development and implementation and testing to operations.

The selected Offeror will rollout the R&RT in seven (7) phases. Each phase will begin six (6) months after the starting date of the prior phase. The selected Offeror will work with DHS to achieve the timely statewide rollout of the R&RT. Phased rollout must adhere to the following schedule:

Phase	Counties – 67 Total	Organizations Onboarded
1-Pilot	Berks, Cumberland, Dauphin, Lancaster, Perry, York (6 Counties)	42
2	Philadelphia (1 County)	36
3	Allegheny (1 County)	27
4	Adams, Franklin, Lebanon, Lehigh, Northampton, Bucks, Chester, Delaware,	63

	Montgomery, (9 Counties)	
5	Armstrong, Beaver, Bedford, Blair, Butler, Cambria, Fayette, Fulton, Greene, Huntingdon, Indiana, Lawrence, Somerset, Washington, Westmoreland (15 Counties)	122
6	Bradford, Carbon, Centre, Clinton, Columbia, Juniata, Lackawanna, Luzerne, Lycoming, Mifflin, Monroe, Montour, Northumberland, Pike, Schuylkill, Snyder, Sullivan, Susquehanna, Tioga, Union, Wayne, Wyoming (22 Counties)	154
7	Cameron, Clarion, Clearfield, Crawford, Elk, Erie, Forest, Jefferson, McKean, Mercer, Potter, Venango, Warren (13 Counties)	91

The Rollout Plan will be considered complete when all tasks for the R&RT statewide rollout are completed. At a minimum, the Rollout Plan must include:

1. Statement of purpose and management summary.
2. Objectives.
3. Assumptions.
4. Risks.
5. Project Roles and Responsibilities of Offeror staff and Commonwealth staff during Project Rollout, Phased rollout, and ongoing Maintenance and Operations.
6. Master Work Plan including activities, milestones, timeframes, resource requirements, Gantt chart and associated subplans.
7. Schedule of periodic status reporting and meeting schedule with the DHS Contract Administrator (or designee).
8. Dependencies.
9. Work products, deliverables and submission dates.

The selected Offeror must conduct a Phase 1 kickoff meeting within thirty (30) calendar days after the purchase order effective date, and one kickoff meeting at the beginning of each phase, starting with Phase 2. Refer to **Part I, Section I-9. C** for kickoff meeting requirements. The selected Offeror must submit the R&RT Rollout Plan within ten (10) calendar days of the Phase 1 kickoff meeting.

**Deliverable:** R&RT Rollout Plan.

The Offeror must describe its approach to the design, development, implementation and maintenance of the R&RT Rollout Plan.

**N. R&RT Closeout Plan.** The selected Offeror must design, develop, implement, and maintain the R&RT Closeout Plan. The selected Offeror shall deliver the initial R&RT Closeout Plan within thirty (30) calendar days after the statewide implementation of the R&RT. The R&RT Closeout Plan describes the activities associated with the implementation and the transition to M&O of the R&RT.

When the R&RT is successfully implemented statewide, the selected Offeror must validate all implementation activities have been completed per the Master Work Plan and all risks, issues, and action items are closed. The selected Offeror shall document any remaining operational concerns with an action plan for mitigating the issues and recommendations for future rollouts to prevent reoccurrence.

**Deliverables:**

1. R&RT Closeout Plan.
2. Issue resolution plan for operational issues.

The Offeror must describe its approach to the design, development, implementation, and maintenance of the Closeout and Issue Resolution Plans.

***Offeror Response***

**O. R&RT Maintenance & Operations Plan.** The selected Offeror must design, develop, implement, and maintain the R&RT M&O Plan. The selected Offeror shall deliver the initial R&RT M&O Plan within forty-five (45) calendar days before the implementation of phase 1 and will review monthly thereafter. The objective of the M&O phase of SDLC is to stabilize and maintain the deployed solution and operational processes. The selected Offeror must provide operational and maintenance support for the R&RT including customer service support, directory maintenance, network monitoring and onboarding, system/product/application upgrades, operational performance metrics and performance standards metrics.

Due to the phased implementation approach, the R&RT may not fully enter the M&O phase of SDLC until statewide rollout is completed. The R&RT must be capable of accommodating onboarded organizations as well as supporting the onboarding of new organizations into the network.

During M&O, the selected Offeror must monitor the day-to-day R&RT operations. At a minimum, the R&RT M&O Plan must describe and account for the following:

1. Maintaining current versions and licenses for all software, hardware, or other infrastructure.
2. Performing routine preventative maintenance.
3. Collaborating with the HHSDC and the Department to create a standard schedule for maintenance activities.

4. Providing support for production during both work hours and outside of normal business hours, and coordinating with the Department for the level of expected support.
5. Collaborating with the HHSDC and other contractors (if necessary) to perform defect triage, determining the severity of defects, responsibility, and resolution timeline.
6. Maintaining and modifying the resource directory.
7. Onboarding of new stakeholders.
8. Training for new system users.

**Deliverable:** R&RT M&O Plan.

The Offeror must describe its approach to the design, development, implementation, and maintenance of the R&RT M&O Plan.

### ***Offeror Response***

**P. R&RT Turnover Plan.** Turnover is defined as those activities that the selected Offeror must perform at the end of the contract term, to turnover service delivery to a successor Offeror or to Commonwealth resources. During the turnover period, the selected Offeror must actively and cooperatively participate with the Department, HHSDC, and its incoming contractor, if any. Offerors must submit a draft outgoing turnover plan with its Technical Submittal. The selected Offeror must provide the Department and incoming contractor any and all data, content, files, instructions, processes, and all other items deemed appropriate by the HHSDC to successfully transition services and work effort. The selected Offeror must provide data in a format that is considered an industry-standard and approved by the HHSDC. The outgoing turnover plan must include at a minimum:

1. Data turnover tasks;
2. Custom interface turnover tasks;
3. Reusable code turnover tasks;
4. Documentation regarding files, interfaces, and work flows not considered to be part of the COTS or SaaS proprietary documentation tasks; and
5. A timeline with milestones for the Turnover to include planning, execution, and implementation approval.

Additionally, the selected Offeror must develop an outgoing turnover plan when requested by the Department. The outgoing transition plan must be reviewed and approved by Department and stakeholders. Once approved by Department, the selected Offeror must complete all activities included in the outgoing turnover plan within nine (9) months.

**Deliverable:** R&RT Turnover Plan.

The Offeror must describe its approach to the design, development, implementation, and maintenance of the Turnover Plan.

### ***Offeror Response***

- Q. Onboarding.** The selected Offeror must develop a plan in consultation with the Department for the regional implementation of the R&RT, including a detailed strategy to identify and onboard organizations. The selected Offeror must onboard and train CBOs that agree to join the network, as well as DHS staff.

Offerors must submit a draft copy of their plan for onboarding organizations, to include, at a minimum the following aspects:

1. Their definition of and step-by-step approach to onboarding CBOs to include the estimated time and effort to be spent with each joining CBO.
2. The Offeror's and the Department's roles and level of effort during the onboarding process.
3. Onboarding and training resources outside of the technical aspects of the tool. Examples may include but are not limited to approaches to person-centered care or collaboration building.
4. The Offeror's approach to collecting and addressing R&RT users' feedback.

### ***Offeror Response***

- R. Requirements for Initiating Work:** If the Offeror has a process that is used to initiate changes to the application it must be documented including the process DHS will use to request changes and the process the Contractor will use to estimate, prioritize and implement the change. In absence of a process, the Offeror will be expected to use the DHS process described below.

During the project initiation process, charters will be developed in coordination with the HHSDC Business Relationship Managers ("BRMs"), to describe the high-level objectives for the potential change. The HHSDC Contract Administrator (or designee) will request the selected Offeror(s) to provide a high-level estimate including resource hours and total dollar amount for the change. This estimate will be help determine whether to move forward with a given project.

If the project moves forward, business requirements will be gathered and will provide specific information necessary to understand the business needs.

After gathering business requirements and before systems design, development, and implementation begins, the DHS Contract Administrator (or designee) will request, as appropriate, the selected Offeror provide a High-Level Estimate ("HLE"). The HLE must include all activities, resources hours, and timeframe for each phase of the SDLC. The HLE must provide supporting details for the entire effort. The DHS Contract Administrator (or designee) may require additional detail, format, or other

changes to the HLE until the Contract Administrator (or designee) determines the required level of clarity is reached and the HLE can be approved.

The DHS Contract Administrator (or designee) will provide written approval of the HLE and then a written request as appropriate to the selected Offeror to submit a WO. The draft WO must include each planned deliverable and submission date; and milestone dates for the effort. A fully loaded work plan must be provided with the draft and subsequent WO revisions (if any). A fully loaded work plan must include individually named resources and assigned hours each individual resource will devote to each deliverable, task, and activity; by each phase of the SDLC. The work plan must align to the previously submitted HLE(s).

The planned implementation timeframes(s) and dates(s) for the project's changes must be mutually agreed upon with the department and HHSDC.

The estimates, WOs, and work plans will be reviewed by the appropriate stakeholders. The DHS Contract Administrator (or designee) will provide written notification of approval of the WO and approval to begin the work.

No changes to a WO or fully loaded work plan are permitted prior to securing authorization and receiving formal, written approval from the DHS Contract Administrator (or designee). All requests for changes potentially impacting the effort, including the estimates, WO, and fully loaded work plans; must first be vetted through the appropriate change control process. The DHS Contract Administrator (or designee) will provide a written request for the selected Offeror to submit for review and approval; an updated WO and fully loaded work plan.

Deliverables must be submitted according to the deliverable submission plan contained in the WO. A comprehensive walkthrough with stakeholders is required for each deliverable. The walkthrough must include presentation and review of the deliverable content; and must specifically draw attention to any content where designs or plans may deviate from the documented business needs or requirements.

A WO is complete, and closeout occurs, after all work tasks, activities, and deliverables are complete and approved by the DHS Contract Administrator (or designee). This includes:

- Software changes are successfully deployed into production with no known or identified defects;
- Systems documentation has been updated to accurately reflect the system changes;
- Submission of a closeout report for each project or WO.

All estimates, WOs, and deliverables must be submitted and processed using written communications through the HHSDC Contract Management Office for review, acceptance, and approvals.

There may be deviations from the process described herein, depending on circumstance and as determined by the DHS Contract Administrator (or designee).

### **Offeror Response**

#### **I-8. Requirements.**

**A. Building Community Networks.** The selected Offeror will build, strengthen and expand county or region-based service provider networks in 67 counties, utilizing a phased rollout approach as defined in **Section I-7.M, R&RT Project Rollout**. The selected Offeror must successfully build a diverse network of 535 CBOs throughout the project phases, work with organizations to agree and sign a Memorandum of Understanding (“MOU”) developed by the Department which will delineate the responsibilities of network organizations, the standards of service quality and the expectations from users of the R&RT. The selected Offeror must:

1. In collaboration with the Department, create a steering committee for each county, based on the phased regional rollout approach determined by DHS.
2. Build county-level, multi-sector networks including representation from organizations providing services to address individuals’ SDOH needs.
3. Work collaboratively with county and local government officials, local leaders, early adopters identified by the Department.
4. Engage consumers, seek their input through all the phases, and develop a strategy to seek ongoing stakeholder and consumer input. Engage advocates and individuals from diverse and vulnerable populations.
5. Work with the Department to review stakeholder input and utilize it to improve the R&RT and the networks.
6. Leverage existing collaborative efforts and networks at the local community or county levels.
7. Provide the necessary staff to meet each phase’s timeline.
8. Provide a list of features or privileges that are unique to organizations within the network, for example: receiving and making referrals, scheduling appointments within the system, access to data, reporting capabilities, customization, rating, etc.
9. During each phase, onboard at least one (1) organization per county or county joiner, if available, from each of the following service categories during the first (3) months of each phase: food security, healthcare access and affordability, employment, utility assistance, childcare, clothing and transportation. The Department recognizes that some counties may not have all services available within county limits. The selected Offeror will work with the Department and the local steering committee to identify resources outside of the county. In identifying network organizations, the selected Offeror will assess agency capacity (and wait lists) and ability to receive and respond to referrals. These considerations also apply to Section I.8.A.10.
10. Onboard at least one (1) organization per county within the first four (4) months of each phase to provide the following services:
  - a. Interpersonal violence: domestic and sexual violence;

- b. Budget counseling;
  - c. Education and Literacy;
  - d. Services for individuals with disabilities;
  - e. Assistance with benefits; and,
  - f. Legal services.
11. Onboard all regional MCOs and at least one (1) healthcare system within the first four (4) months of each phase.
  12. Provide a detailed description of the technical and bandwidth requirements for an organization to join the network, and how organizations in remote/rural communities may join the network.

### **Offeror Response**

**B. Comprehensive Resources Information Database.** The selected Offeror's tool must provide a customer-friendly, easy to navigate, comprehensive resource guide with up-to-date information about services that will help address an individual's needs around the Social Determinants of Health ("SDOH"). The selected Offeror's R&RT must provide a Resource Information Database which, at a minimum, meets the following requirements:

1. Provide a comprehensive resource database that includes organizations providing services in the following areas: food security, housing, transportation, case management, childcare, employment, utility assistance, clothing, financial assistance, personal safety, health care, programs for individuals with disabilities, education and training, legal resources, community supports and supports for justice-involved individuals. Data from existing resources, such as Pennsylvania 211, may also be incorporated.
2. Identify the organization's services and contact information, including: each organization's phone number, address, hours of operation, website, services provided, and when available, eligibility criteria. Upon award, the selected Offeror must have a state-wide database of at least 5,000 organizations under the categories listed above, and signed agreements with at least thirty (30) organizations during the duration of the pilot.
3. Be available to all Pennsylvania residents, customer-centered, easy to navigate and include simple and advanced search features, categories and filters.
4. Provide a resources list generated in a customer-friendly format.
5. Be updated and maintained regularly. Resource information must be updated at least monthly and provide a mechanism for service providers to update their information. The selected Offeror will designate an adequate number of staff to fulfill this requirement, as well as have the capacity to add staff as the project expands in scope.
6. Provide a coordinated mechanism for the Offeror and network organizations to address incorrect information or broken links within three (3) business days after the request or notification has been received.
7. Prioritize search results based on the individual's location.

8. Accommodate the needs of individuals with different literacy levels, varied levels of English language proficiency, those who speak other languages, as well as individuals with disabilities.
9. Be accessible through a computer, mobile phone, mobile application or tablet.
10. Have the capacity to track and report services which are needed, but unavailable within a network or region.

**C. Social Determinants of Health Assessment.** The selected Offeror must make the SDOH assessment available to users accessing the R&RT from the public page or the service provider portal. Based on assessment results, individuals must be able to initiate referrals to address uncovered needs. The selected Offeror must:

1. Utilize the assessment results to generate a list of potential resources to address the SDOH needs.
2. Incorporate one SDOH assessment and make it available to the public, as well as three SDOH assessments that will be available to service providers. The Department will provide the assessments.
3. Allow Commonwealth residents to search for resources and self-refer to services based on the needs identified after the individual completes the SDOH assessment.
4. Provide reminders on a pre-determined basis (i.e, annually) to update the SDOH assessment
5. Provide a R&RT that may be accessed and utilized in different settings, including:
  - a. While applying for medical assistance;
  - b. During intake at a physician's office or emergency department;
  - c. At a care management appointment; or
  - d. While receiving services from a social services organization.

#### ***Offeror Response***

**D. Customized Assessments.** The selected Offeror must allow partner organizations to incorporate additional assessments, such as program-specific, eligibility screening, needs assessments or financial self-sufficiency assessments, into the R&RT. The selected Offeror must:

1. Incorporate customized assessments from network organizations;
2. Allow organizations to upload, maintain and edit assessments once incorporated; and
3. Incorporate eligibility criteria for network programs.

#### ***Offeror Response***

**E. Referrals.** The selected Offeror must allow network users to make direct referrals to service providers, and be accessible for individuals to self-refer to service organizations. The selected Offeror must provide a referral mechanism that incorporates the following minimum capabilities:

1. Refer to network organizations. Referral notification to the network organization, including system notification or inbox, email, etc.
2. Push the referral out to service providers. Allow the referring party to add notes or additional information to the referral for example: “The client needs wheelchair access”.
3. Communicate with individuals who self-refer to let them know the referral has been received and an appointment will be scheduled.
4. Allow system administrators to “favorite” organizations or make recommendations.
5. Pre-screen users for eligibility.
6. Generate reports on referral data.
7. Provide the capability for individuals or service providers to schedule appointments within the platform, while avoiding double booking of appointment slots.

### ***Offeror Response***

**F. Closed Loop Mechanism.** The selected Offeror must provide referral outcome information to the referring organization, including when the appointment is scheduled, the service provided, and the outcome of the referral. The selected Offeror will collect and report information to service providers about “no-show” appointments, cancellations, and denial of services due to ineligibility. The selected Offeror must also track services that are unavailable to informally track unmet needs in communities throughout the Commonwealth. The selected Offeror’s R&RT must automatically close the referral loop (notification or note within the system, email, other) and the content of the outcome report. The selected Offer must store referral information in the system for future reference for care team members, and generate reports to providers and DHS.

### ***Offeror Response***

**G. Individual/Household Records and Demographic Information and Interaction with Users.** The selected Offeror shall allow service providers and DHS to enter individual data, and link individuals within the same household. The selected Offeror must provide the following capabilities:

1. Enter individual and household data to allow the Department to customize the required data fields;
2. A uniform intake process;
3. Assign unique identifiers to each individual or household;
4. Validations to avoid duplicated entries;
5. Allow network organizations to enter, edit and maintain data;
6. Ability to move individuals to different households without having to re-enter information;
7. Save data in real-time to allow several users to access the same record simultaneously;

8. Allow direct communication with individuals, including: text messages, email, appointment reminders and automated phone calls;
9. Allow individual users and guardians to view their records; and
10. Provide a method for individuals to provide consent.

### ***Offeror Response***

**H. Care Coordination and Case Management.** The selected Offeror shall allow service providers working with the same family to use the R&RT to coordinate services, share information and track progress. The selected Offeror shall allow care team members to share notes, upload client documents, establish, track and document customizable goals for individuals within the system, obtain and record client consent to share information with multiple providers, and track and report individual progress towards the goals.

### ***Offeror Response***

**I. Customer Service Support.** The selected Offeror will provide initial and ongoing customer service support, including adequate staffing to support a project of this scope. As the project expands, the selected Offeror will assign teams that will work with regions during each phase. These teams will continue to work within each region until the onboarding and initial training is completed. Staff will be available to respond to users' questions, and technical issues within twenty-four (24) hours.

1. The following is the expectations of the Commonwealth regarding customer support:
  - a. Provide System Support Services. The selected Offeror must accommodate telephone and email as modes of communication.
  - b. Offeror support must be provided from within the Continental United States.
  - c. Both email and phone support shall be available during the hours described below.
    - The selected Offeror shall provide both end user support and system support during the core hours of 8 A.M. - 5 P.M. EST Monday through Friday. This shall include, but is not limited to, assistance and ongoing support regarding problems and issues, guidance in the operation of the solution, and identification and correction of possible data or system errors.
    - The selected Offeror must have 24x7 system support, which includes, but is not limited to, the identification and correction of possible data or system errors. The 24x7 system support must be live telephone and email support.
  - d. Notifications. Offerors must describe its notification policies and procedures. Offerors must include policies and procedures for notifications to the Commonwealth, stakeholders and clients in the event of scheduled maintenance, unscheduled maintenance, emergency maintenance, downtime, system errors, degraded performance, product releases, or other user

impacting events. The R&RT system shall provide system messages at login to notify users of maintenance or other system events.

**Offeror Response**

- J. Customer Service Transformation.** – In July 2019, Governor Wolf announced the Customer Service Transformation initiative that will improve customer service by making it easier for Pennsylvanians to connect with state agencies and services, while protecting their privacy and personal information. **Appendix L** contains the requirements of this initiative.

**Offeror Response**

- K. Eligibility Screenings.** The selected Offeror will assess individuals' eligibility for different programs and services in their areas. The selected Offeror's R&RT must:
1. Pre-screen individuals for a variety of programs;
  2. Upload and update eligibility criteria, allowing the system to incorporate screening criteria by county; and
  3. Incorporate eligibility assessments or screenings for programs at the state or regional level.

**Offeror Response**

- L. Special Needs.** DHS is interested in centralizing and streamlining processes and data entry in order to reduce the time individuals spend providing the same information to several providers through this customer-centered tool. The selected Offeror will address the needs of individuals with special needs by:
1. Providing accessibility to individuals with different literacy levels, and those with limited English proficiency ("LEP").
  2. Being accessible to rural or remote communities with limited bandwidth or access to technology.
  3. Building resources and incorporating information geared to providing individuals with disabilities and special needs access to services through targeted, easy to navigate searches, and displaying results in a format that is client-oriented.

**Offeror Response**

- M. Security.** The nature of this Project requires the handling of confidential and sensitive information. The selected Offeror must establish a process to provide for the protection and confidentiality of all results, records, and other related information. The Offeror must describe your product's security features and procedures used to save, store and secure data at all times, and meet the following requirements:
1. Ability to provide single sign on functionality for users of the R&RT, sending systems and receiving systems.

2. Ability to provide identity management (i.e., userid and password requirements) that complies with Commonwealth IT standards.
3. Ability to create role-based user access where each user is assigned a role with defined rights to create, read, update or delete select information based on their role. Ensure users only access information they are authorized to access.
4. Ability to secure data in transit and at rest.
5. Ability to provide consent management by providing multiple methods of obtaining citizen consent, i.e., email, phone, etc.
6. Ability to comply with all Commonwealth IT Security policies, per the contract terms and conditions for information handling and sharing of confidential and sensitive information being transferred from other agencies, external systems, and end users.
7. Demonstrate an understanding of and ability to comply with applicable federal and state laws, regulations, and rules regarding the security and confidentiality of information pertaining to state and federal programs and other related health care programs.
8. Process referrals to services in a manner that protects the individual's privacy and dignity. Particularly referrals to services to the most vulnerable populations. For example, referrals to behavioral health providers, drug and alcohol services, programs and services for individuals who are HIV positive, domestic violence services, and programs for immigrants or refugees.
9. All individuals with access to confidential or sensitive information must sign a confidentiality agreement and receive training on handling confidential information. Personnel policies must address disciplinary procedures relevant to violation of the signed confidentiality agreement.
10. Ability to implement and maintain measures to prevent unauthorized access, copying and distribution of information during work on this Project.
11. Provide for proper disposal (i.e. shred, surrender) of both hard and electronic working copies of such sensitive information during work on this project, as well as any remaining information upon the completion of the project.
12. Develop patch management policies and procedures.
13. Prior to release of internet-facing system perform secure code review and web application vulnerability scanning.
14. Meet all Commonwealth security policies including an annual security assessment.
15. Address security requirements of stakeholder organizations.
16. Protect data in transit and at rest through data encryption.
17. Provide user provisioning policies on activating and terminating users.
18. Provide capability to assign privileged user roles and a method to track activity performed by privileged users.
19. Provide audit trails and the information collected in those audit trails, for data as determined by the Department.
20. Provide the capability to mask data, i.e., portions of SSN so only necessary portions of the data can be seen.
21. Utilize modern authentication methods such as Open ID or SAML

22. Provide multi-factor authentication at a minimum for users who appear to constitute a security risk.

### ***Offeror Response***

- N. **Disaster Recovery (DR).** The selected Offeror must develop and document a DR plan for approval by the Commonwealth that integrates with the Commonwealth's enterprise DR standards and timing objectives for electronic records, equipment, and files relating to DHS support for each line of business.

The DR plan shall include at a minimum:

1. The ability to return to full operation within three (3) calendar days of DR event.
2. A plan to confirm the post-disaster software version is the same as before the disaster.
3. A procedure to confirm pre-disaster data is not lost or corrupted.
4. Upon installation of any software (new or upgraded), a complete backup copy of the software must be made; then the resultant backup must be stored at an external, secure site.
5. The plan must identify the backup sites. Data backups must be captured daily and must be cycled on a weekly basis.
6. Servers must be connected to an Uninterrupted Power Supply ("UPS") system, which will condition incoming power to the server and provide sufficient processing time for the server to be correctly shut down in the event of a power failure.
7. In the event of damage of a sufficient magnitude to the primary operational site, an alternate company location, at least fifty (50) miles away, must be modifiable to accommodate the system.
8. The DR plan must include a description of the chain-of-communication and chain-of-command, by level, in preparation for a system or power failure.
9. The selected Offeror must have a Business Continuity Plan to mitigate complete disruption of services (to maintain business operations in a semi-automated or manual mode) until systems have been restored to normal operating capacities.

The selected Offeror must deliver a DR Plan within sixty (60) calendar days after the purchase order effective date and must update the DR plan annually. The DR Plan will be reviewed at a frequency to be determined by the Department.

**Deliverable:** DR Plan.

Offerors must describe how, by whom, and how often its DR plans will be tested. Offerors must also describe the approach to backing up the infrastructure to provide continuity of operations.

### ***Offeror Response***

**O. Applicability - Use Cases.** The selected Offeror must address how the proposed platform will meet the needs of service providers and users within each scenario or use case for a variety of scenarios and organization types. **Appendix G (R&RT Use Cases)** is a representative sample of some of the potential user cases from a variety of stakeholders. The Offeror is expected to provide a detailed description of how the solution may provide the functionality to support each use case. Indicate when the platform is unable to perform any of the functions mentioned in the use case. Include any additional innovative features available within the proposed platform that may provide further support to users and service providers. The referenced use cases include:

- Anonymous and Registered User
- Community Based Organization
- Behavioral Health Management Care Organization
- Health Choices Managed Care Organization
- Healthcare Provider
- Local Government
- State Government

### **Offeror Response**

**P. Operational Metrics.** The selected Offeror will create a portal or dashboard that provides standard reports, the ability to create user-defined reports, and the ability to export data. Standard reports should include:

1. Number of resources in the database by type, county, zip code;
2. Number of users by type (MCO, CBO, etc.), county, zip code;
3. Number of referrals made by user type, county, zip code; and
4. Referral outcomes in real time or near real time.

The selected Offeror must:

1. Provide data downloads for inclusion in stakeholder data repositories by a number of filters including system-wide data, referred by entity, and referred to entity.
2. Provide Pennsylvania and network organizations with the ability to analyze referral data and report on the impact of these referrals at the individual organization level as well as statewide. Referral data must include referrals sent, referrals received, referral outcomes, referral timing, services search, services needed, services received, unavailable services, etc.
3. Accommodate reporting on data on the referral workflow, stored in the system, and attached to the member EHR record. Data on referrals must be made available to CBOs and MCOs to perform internal analytics and reporting.
4. Provide the ability to report on assessment results. Examples include, but are

not limited to, the number of assessments completed, the type of needs identified, and the type of needs identified by participant demographics (e.g. age, gender, zip code).

5. Provide the ability to report upon and aggregate assessment results including summaries of the population (i.e., 20% of those who take the assessment report food insecurity, 10% report housing needs, etc.).
6. Provide search results including, the number of searches satisfied, number of searches satisfied by groups of number of results (i.e. 1-5 results, 6-10 results) and the ability to look at search results by criteria and performing analytics on basic site reporting with regard to the number of times logged in, where people are going on the site, how long people are staying on the site and the types of searches being requested.
7. Provide the ability to export raw data to allow for reporting such as referral status, disposition, partner organization performance and referral responsiveness, gaps in service for referral requests, referral trends by category/service provider/geography.

#### ***Offeror Response***

- Q. Technical Support Systems** – The selected Offeror will utilize a Commercial Off-The-Shelf (“COTS”) or Software as a Service (“SaaS”) solution in which research and referral requirements are included or can be configured within the solution. The Department is aware of the interoperability challenges and will phase integration based on project priorities. If a COTS solution is used, the selected Offeror must implement and maintain all infrastructure.

The selected Offeror must provide all IT services associated with implementation, maintenance and support of the solution. This includes, but is not limited to, hardware and software (custom code, inbound and outbound interfaces, APIs, or web services).

#### ***Offeror Response***

- R. System Documentation.** The Offeror must provide a User Manual that provides comprehensive information on how to use the R&RT in a user-friendly manner. In addition, the proposed solution must provide online training webinars and documentation. The selected Offeror must update the online content as system changes are made.

#### ***Offeror Response***

- S. System Interoperability.** The nature of this Project requires interoperability between the selected Offeror’s R&RT and external stakeholder systems. A primary

goal of this interoperability is to allow users to work in their native systems, avoid duplicate data entry between multiple systems and provide as much prepopulated information or drop-down options as possible to provide for with reporting and accuracy. This interoperability will occur between the R&RT, external (non-commonwealth) systems, and internal commonwealth systems. The selected Offeror will provide access to the R&RT from within an organization's system, e.g., EHR Case Management System (“CMS”), MCOs, Health Care Organizations, CBOs, etc. The selected Offeror will provide system interoperability including, but not limited to, the following:

1. Send Single Sign On to R&RT / Receive Confirmation from R&RT;
2. Send Registration Information to R&RT / Receive Registration from R&RT;
3. Send Resource Inquiry to R&RT / Receive Resource List;
4. Send Assessment to R&RT / Receive Resource List;
5. Exchange Eligibility Info;
6. Send Referral to R&RT / Receive Resource Response;
7. Exchange Assessment Info;
8. Exchange Information Updates;
9. Exchange Appointments and Reminders;
10. Exchange Status Updates and Notices; and
11. Receive Referral Closures.

Examples of information exchanges between the R&RT and CMS include:

1. Send Referral to R&RT / Receive Resource Response;
2. Exchange Assessment Info;
3. Exchange Information Updates;
4. Exchange Appointments and Reminders;
5. Exchange Status Updates and Notices; and
6. Receive Referral Closures.

Please see **Appendix J (Interoperability Data Flow/Diagrams)** for a diagram of this proposed interoperability exchange of information.

Interoperability with Commonwealth systems and R&RT is planned in later phases. Interoperability features have been identified by potential R&RT users from the Behavioral Health and Physical Health MCOs, CBO, government entity, and healthcare systems as being necessary to satisfy R&RT functionality. See **Appendix F** to complete the Business Features and Functionality Checklist. Offerors should complete the spreadsheet provided in **Appendix F** to document the capabilities of the proposed solution and include it with their Technical Submittal.

The selected Offeror will work with R&RT stakeholders to provide implementation support and maintenance of APIs. Providers in their EHR systems will require interoperability with the R&RT. The selected Offeror shall provide an R&RT platform with exposed APIs to share a few standard data elements and use standard

formatting, such as HL7 FHIR, for data exchanges. The use of APIs will allow the ability to send and receive member level information real time or near real time. The selected Offeror will accomplish this level of interoperability with CMS, EHR, and Commonwealth Eligibility systems.

The Offeror must provide a list of current APIs and the systems they are interoperable with today. **Appendix K (R&RT Sample Systems List)** provides a limited list of stakeholder systems, which may require interoperability.

Offerors should describe how they will accomplish this level of interoperability with CMS, EHR, and Commonwealth Eligibility systems. Offerors should also describe how they will meet data exchange standards, i.e., HL7 FHIR, for interoperability with EHR systems.

### ***Offeror Response***

**T. Accessibility.** The selected Offeror’s R&RT must adhere to the following accessibility requirements:

1. Support browsers, and browser versions currently in use by over 95% of web users. Examples include, Internet Explorer, Firefox, Safari, Chrome, and Opera. The proposed solution must adhere to World Wide Web Consortium (“W3C”) recommendations and other standards of interoperability.
2. Comply with Commonwealth accessibility standards as described in the Information Technology Bulletins (“ITBs”).
3. Be accessible by various types of mobile devices (ex. iPad, smart phones, etc.) via browser or custom application.

### ***Offeror Response***

**U. Reporting.** The Offeror must provide a list of all standardized reports within the solution. Additionally, the selected Offeror’s solution must provide standardized data extracts as defined in coordination with DHS and also provide extracts upon request. The Offeror must also describe the process used to request a customized report.

### ***Offeror Response***

**V. Health Insurance Portability and Accountability Act (“HIPAA”).** The selected Offeror must comply with all federal and state laws related to the use and disclosure of information, including information that constitutes Protected Health Information, as defined by HIPAA. The selected Offeror must comply with the **Business Associate Addendum (Appendix D)** located in the **Buyer Attachment** section.

A security breach is an unauthorized access to data, that may include access to provider or client information, or a loss of media where provider or beneficiary

information may be stored such as a workstation, server, laptop, mobile devices, USB drives, or paper files. As soon as a potential HIPAA violation or security breach is identified, the selected Offeror must complete and submit a Security Incident Report to the DHS Contract Administrator (or designee) and HHSDC's CSO. At a minimum, the selected Offeror must report the following:

1. Date and time of incident;
2. Date and time incident discovered;
3. Name and position of person who discovered incident;
4. How incident was discovered;
5. Description of incident and data involved, to include specific data elements (if known), e.g. encrypted or protected information;
6. Potential number of data records involved—if unknown, provide a range (if possible);
7. Location of incident; and
8. IT involved—desktop, laptop, email, server, mainframe, etc.

The DHS Contract Administrator (or designee) will issue reports to Commonwealth and Federal authorities, as applicable.

### ***Offeror Response***

**W. Emergency Preparedness.** To support continuity of operations during an emergency, including a pandemic, the Commonwealth needs a strategy for maintaining operations for an extended period of time. One part of this strategy is to ensure that essential contracts that provide critical business services to the Commonwealth have planned for such an emergency and put contingencies in place to provide needed goods and services.

1. Describe how you anticipate such a crisis will impact your operations.
2. Describe your emergency response continuity of operations plan. Please attach a copy of your plan, or at a minimum, summarize how your plan addresses the following aspects of preparedness:
  - a. Employee training (describe your organization's training plan, and how frequently your plan will be shared with employees).
  - b. Identified essential business functions and key employees within your organization necessary to carry them out.
  - c. Contingency plans for:
    - i. How your organization will handle staffing issues when a portion of key employees are incapacitated.
    - ii. How employees in your organization will carry out the essential functions if prevented from coming to the primary workplace.
  - d. How your organization will communicate with staff and suppliers when primary communications systems are overloaded or otherwise fail, including key contacts, chain of communications (including suppliers), etc.

- e. How and when your emergency plan will be tested, and if the plan will be tested by a third-party.

**Offeror Response**

**X. Lobbying Certification and Disclosure of Lobbying Activities.** This Project will be funded, in whole or in part, with federal monies. Public Law 101-121, Section 319, prohibits federal funds from being expended by the recipient or by any lower tier sub-recipients of a federal contract, grant, loan, or a cooperative agreement to pay any person for influencing, or attempting to influence a federal agency or Congress in connection with the awarding of any federal contract, the making of any federal grant or loan, or entering into any cooperative agreement. All parties who submit proposals in response to this RFP must sign the **Lobbying Certification Form**, as shown in **Additional Required Documentation Group 2.1 No. 2.1.X Lobbying Certification and Disclosure Form** and, if applicable, complete the “Disclosure of Lobbying Activities” form. The signed form(s) must be included in the Technical Submittal.

**Offeror Response**

**I-9. Reports and Project Control.** The selected Offeror must work with the Department to define project reporting content and frequency; including weekly, monthly, quarterly, and annual reporting requirements. The selected Offeror must make all defined reports available online and in the required format by the scheduled times as defined and mutually agreed upon.

**A. Operations Report.** During the implementation phase, the selected Offeror must provide a weekly report on the progress of network recruitment and onboarding of healthcare and CBOs. After implementation, the report will be due monthly. The selected Offeror and the Department will mutually agree on the format.

The Offeror must describe its approach to the design, development, implementation, and maintenance of the Operations Report.

**Offeror Response**

**B. Monthly Status Reports.** The selected Offeror must submit an electronic monthly status report aligned to the R&RT-MWP in a format approved by the Department. The selected Offeror must submit monthly reports for the previous month (1<sup>st</sup> calendar day through the last calendar day of the month) to the Department no later than noon on the fifth business day of the subsequent month. At a minimum, monthly status reports must contain the following:

1. A description of the completion status of the project in terms of the approved project plan.
2. Key Project Indicators, including project scope, schedule and budget with explanations if either are beyond thresholds.

3. Updated Master schedule with upcoming milestones and overall percentage complete.
4. A dashboard that shows the overall status of the project.
5. The plans for activities scheduled for the next month.
6. The status of Deliverables as defined in **Part I, Section I-7, Tasks**.
7. Time ahead or behind schedule for applicable tasks.
8. Updated issue management report.
9. A risk analysis of actual and perceived problems along with suggested mitigations.
10. Changes in key personnel.
11. Key activities completed during reporting period.
12. If the month is the last month of a Phase, the Offeror must provide an end of phase section outlining accomplishments and achievement of requirements.

The Offeror must describe its approach to and execution of the monthly status reports. The Offeror may propose additional or more frequent reports and report items based on its experience with IT projects of this size and scope. The Offeror must provide a sample monthly status report with its Technical Submittal.

### ***Offeror Response***

- C. Meetings.** During the course of the contract, the selected Offeror must attend or lead meetings as requested by the Department. At the Department's discretion, these meetings will take place in the Harrisburg, Pennsylvania area or be conducted via conference calls.

The selected Offeror must attend R&RT meetings as directed and support these meetings by providing reports, participating in planning activities, providing consultation and technical assistance, and helping to resolve issues.

For meetings led or conducted by the selected Offeror, the selected Offeror must produce meeting materials, which include schedules, written status reports, draft and final minutes, decision registers, agendas, recaps and other meeting materials. The selected Offeror must provide meeting materials as follows:

1. Distribute agendas at least two (2) business days prior to meetings.
2. Submit meeting minutes to the Department for approval within two (2) business days of the meeting being held.

At a minimum, the selected Offeror must participate as directed in the following meetings:

1. **Project Kickoff Meeting.** The selected Offeror must conduct a kickoff meeting for stakeholders to review the Rollout Plan including project scope and roles and responsibilities.
2. **Stakeholder Meetings.** As requested, the selected Offeror must attend and, if requested, present information at Stakeholder meetings including the R&RT

Advisory Committee, R&RT Technical subcommittee, R&RT SDOH subcommittee, and the Legal subcommittee.

- 3. Change Control Board Meeting.** A representative from the HHSDC IT staff will lead the CCB Meeting that includes the Department, the selected Offeror, and other Department IT system contractors. The selected Offeror must participate in each CCB meeting addressing any changes required of the R&RT. The Change Control Board meeting frequency will be determined jointly by the selected Offeror and the Department.

The CCB reviews defects and requested changes for the R&RT and ensures that the Department and the HHSDC have a mutual understanding of what is to be delivered, when it is to be delivered, and the cost impact, if applicable. The CCB serves as a clearinghouse for all defects and changes, including changes to scope, schedule, and cost. The CCB reports to the R&RT Steering Committee Team. If a change control item must be elevated above the CCB for resolution, it will be sent by the CCB to the Steering Team for decision. The CCB will meet on a frequency and at a time mutually acceptable to all stakeholders.

The CCB will be comprised of Department resources, HHSDC staff, and the contractors who have the authority to make decisions related to the defect or status of a change order, its financial impact, and its importance. The core membership of the CCB will invite SMEs stakeholders to CCB meetings as needed.

- 4. Release Planning Meeting.** Release Planning is the logical output of the CCB. Release Planning involves the scheduling of changes (including enhancements and defect resolution) agreed upon by the CCB and the impact to Department and R&RT stakeholders. Release planning must also continue during the M&O phase of the R&RT. Release Planning is comprised of Department and HHSDC staff who have the authority to make decisions related to the release. The selected Offeror shall lead the Release Planning Meetings. The Department may invite stakeholders to the meetings as appropriate. The Release Planning Meetings will occur at least quarterly or more frequently, if needed, to accommodate system changes.
- 5. Requirements Gathering related meetings.** If modifications/enhancements are required to the R&RT, the selected Offeror will facilitate requirement gathering meetings. Once the system is fully implemented, the selected Offeror will support the Department's business strategy and planning contractor who will be responsible for collecting business requirements.
- 6. Status Meetings.** The selected Offeror must plan, conduct, and document status meetings with the Department. Under the strategic guidance of the Department, the meeting will follow an agenda and allow the selected Offeror to report to the Department on the projects' schedules, risks, issues, decisions, action items, and accomplishments, at a minimum.

The Offeror must describe its approach to leading and participating in meetings. The Offeror may propose additional meetings based on its experience with IT projects of this size and scope. The Department may require the selected Offeror to attend and lead other meetings at its discretion.

**Offeror Response**

- D. Final Report.** At the end of each contract year, the selected offeror must submit a final report, including the implementation status for each Phase requirements:
- a. Number of organizations successfully onboarded and incorporated into the network.
  - b. Training hours delivered per Phase.
  - c. The number of referrals completed utilizing the R&RT.
  - d. Overall achievements.
  - e. Challenges encountered.
  - f. Recommendations for the following year.

**Offeror Response**

**I-10. Performance Standards.** The Commonwealth has developed a set of minimum Performance Standards, defined below, that the selected Offeror must meet or exceed in order to be in good standing. The Department may, at its discretion, assess liquidated damages. Where an assessment is defined as an “up to” amount, the dollar value will be set at the discretion of DHS.

The selected Offeror’s performance will be reviewed and assessed on a monthly basis. The DHS Contract Administrator (or designee) will give written notice of each failure to meet a performance standard to the selected Offeror. If DHS does not assess liquidated damages in an instance, DHS is not precluded from pursuing other or future assessments relating to those performance metrics and their associated damages.

Describe your ability to meet or exceed these minimum performance standards.

PERFORMANCE STANDARD	MINIMUM ACCEPTABLE	NON-COMPLIANT REMEDIAL ACTION
System Availability	Access to all production activities available for all R&RT users at all times except during scheduled maintenance.	<p>Any unscheduled downtime, whether consecutive or intermittent, cannot exceed one (1) hour per calendar month in total.</p> <ul style="list-style-type: none"> <li>• Unscheduled downtime more than one (1) hour but fewer than five (5) hours in one (1) month may result in the Department assessing liquidated damages of up to \$250 for each partial or full hour</li> <li>• Unscheduled downtime exceeding five (5) hours per month but fewer than twelve (12) hours may result in the Department</li> </ul>

<b>PERFORMANCE STANDARD</b>	<b>MINIMUM ACCEPTABLE</b>	<b>NON-COMPLIANT REMEDIAL ACTION</b>
		<p>assessing liquidated damages of up to \$500 for each partial or full hour.</p> <ul style="list-style-type: none"> <li>• Unscheduled downtime exceeding twelve (12) hours per month may result in the Department assessing liquidated damages of up to \$1,000 for each partial or full hour.</li> </ul>
System Availability	<p>Unscheduled downtime for non-production activities for R&amp;RT users cannot exceed five (5) hours per month.</p>	<p>Any unscheduled downtime for each environment whether consecutive or intermittent cannot exceed five (5) hours per calendar month in total.</p> <ul style="list-style-type: none"> <li>• Unscheduled downtime in excess of ten (10) hours in one month may result in the Department assessing up to \$500 in liquidated damages.</li> <li>• Unscheduled downtime exceeding ten (10) hours per month may result in assessing up to \$1,000 in liquidated damages.</li> </ul>
Response Time 1	<p>Responses time requirement threshold is less than or equal to five (5) seconds.</p>	<p>For each hourly average that exceeds the threshold response time in a calendar month, the Department may assess up to \$2,500 in liquidated damages.</p>
Security Incident Reporting	<p>All system security incidents must be reported to the DHS Contract Administrator within fifteen (15) minutes of incident identification regardless of the known scope of the incident. Misuse of IT resources, loss or theft of equipment (USB drives, laptops, smartphones etc.) that may contain Department data must be reported via email to the DHS Contract Administrator or designee within one (1) hour of the incident. All incidents will be required to follow incident handling procedures to include scope of incident, containment, eradication, and recovery as appropriate to the situation.</p>	<p>Failure to report incident or provide sufficient response to any security breach may result in the Department assessing liquidated damages in the amount of up to \$10,000 per security breach not reported.</p>
Onboarding	<p>Comply with number of</p>	<p>Failure to meet the onboarding requirements</p>

<b>PERFORMANCE STANDARD</b>	<b>MINIMUM ACCEPTABLE</b>	<b>NON-COMPLIANT REMEDIAL ACTION</b>
	onboarded organizations required for each implementation phase and the pilot.	for each phase may result in the Department assessing liquidated damages of up to \$1,000 per phase for each organization not onboarded.
Key Personnel	Executive Account Director Project Manager Technical Manager Operations Manager Testing Manager Training Manager	Failure to notify DHS Contract Administrator (or designee) of diversion thirty (30) calendar days prior to the diversion may result in the Department assessing liquidated damages of up to \$2,500.  Failure to Interim fill a Key Personnel vacancy within thirty (30) calendar days or permanently fill a vacancy within ninety (90) calendar days may result in the Department assessing liquidated damages of up to \$2,000 per day for each day vacancy.
Disaster Recovery 1	Updated annually and submitted to the Department for Approval.	Failure to provide will result in a penalty of up to \$1,000 annually.
Annual Security Assessment	The selected Offeror must perform an annual security assessment to evaluate the security measures being taken to protect the Agencies.	Failure to timely perform an annual security assessment may result in the HHSDC assessing liquidated damages of up to \$10,000 annually.
Compliance	Adhere to and remain current with applicable State and Federal laws, rules, regulations, guidelines, policies, and procedures relating to information systems, information systems security and privacy, physical security, PHI confidentiality and privacy, Americans with Disabilities Act, and Section 508 of the Rehabilitation Act.	The Department may assess liquidated damages of up to \$2,500 plus any incurred cost for remediation for each non-compliance condition identified during the course of normal day to day operations, as the result of a finding in an audit, or as reported in a monthly report.
Auditing/Archiving 1	Maintain audit trail data online for a minimum of 180 calendar days. This requirement is waived for the first 180 calendar days of M&O.	The Department may assess liquidated damages in the amount of up to \$1,000 per each month of noncompliance and for partial months of noncompliance.
Auditing/Archiving 2	Maintain system reports online for a minimum of	The Department may assess liquidated damages in the amount of up to \$1,000 per

PERFORMANCE STANDARD	MINIMUM ACCEPTABLE	NON-COMPLIANT REMEDIAL ACTION
	180 calendar days. This requirement is waived for the first 180 calendar days of M&O.	month for noncompliance and for partial months of noncompliance.

- A. For any deficiency, including ones relating to the performance standards, the selected Offeror shall prepare and submit a CAP for any observation or finding contained in a notice of deficiency. Unless another time period has been specified for submission, the selected Offeror must submit the CAP to DHS within ten (10) business days of notification of the deficiency or such longer time as may be agreed to by DHS.
- B. The selected Offeror must include in the CAP:
  - 1. Brief description of the findings;
  - 2. Specific steps the selected Offeror will take to correct the situation or reasons why it believes corrective action is not necessary;
  - 3. Name(s) and title(s) of responsible staff person(s);
  - 4. Timetable for performance of the corrective action steps;
  - 5. Monitoring that will be performed to implement corrective action;
  - 6. Signature of the selected Offeror’s Executive Account Director.
- C. The selected Offeror must implement the CAP within the timeframe agreed to by the parties for that CAP. Failure to implement a CAP, in the manner agreed to, may result in further action by DHS, including, but not limited to, a finding of default.
- D. In the event DHS determines a deficiency to be a serious non-compliance with the selected Offeror’s obligations under the contract, DHS may find the selected Offeror in default.

**Offeror Response**

**I-11. Objections and Additions to Standard Contract Terms and Conditions.** The Offeror will identify which, if any, of the terms and conditions contained in the **Standard Contract Terms and Conditions Attachment** it would like to negotiate and what additional terms and conditions the Offeror would like to add to the standard contract terms and conditions as part of its Technical Submittal, not via the Question and Answer process. The Offeror’s failure to make a submission under this paragraph will result in waiving its right to do so later, but DHS may consider late objections and requests for additions if to do so, in the DHS’s sole discretion, would be in the best interest of the Commonwealth. DHS may, in its sole discretion, accept or reject any requested changes to the standard contract terms and conditions. The Offeror shall not request changes to the other provisions of the RFP, nor shall the Offeror request to completely substitute its own terms and conditions for the **Standard Contract Terms and Conditions Attachment**. All terms and conditions must appear in one integrated contract. DHS will

not accept references to the Offeror's, or any other, online guides or online terms and conditions contained in any proposal.

Regardless of any objections set out in its proposal, the Offeror must submit its proposal, including the cost proposal, on the basis of the terms and conditions set out in the **Standard Contract Terms and Conditions Attachment**. DHS will reject any proposal that is conditioned on the negotiation of the terms and conditions set out in the **Standard Contract Terms and Conditions Attachment**, or to other provisions of the RFP as specifically identified above.

***Offeror Response***