



ALABAMA MEDICAID AGENCY REQUEST FOR PROPOSALS

RFP Number: 2024-PM-01	RFP Title: Alabama Medicaid Agency AMMP – Provider Management Services RFP
RFP Due Date and Time: May 22, 2024, by 5:00 p.m. Central Time	Number of Pages: 312
PROCUREMENT INFORMATION	
Project Director: Shannon Crane	Issue Date: January 04, 2024
E-mail Address: providermgtrfp@medicaid.alabama.gov Website: https://medicaid.alabama.gov/content/2.0_Newsroom/2.4_Procurement.aspx	Issuing Division: Medicaid Enterprise Systems
INSTRUCTIONS TO VENDORS	
Return Proposal to: Alabama Medicaid Agency Attn: Shannon Crane Lurleen B. Wallace Building 501 Dexter Avenue PO Box 5624 Montgomery, AL 36103-5624	Mark Face of Envelope/Package: Alabama Medicaid Agency AMMP – Provider Management Services RFP RFP Number: 2024-PM-01 RFP Due Date: May 22, 2024, by 5:00 p.m. CT Firm and Fixed Price: (List total for Year 1, Year 2, Year 3, Year 4, Year 5, Year 6, Year 7, Year 8, and the Grand Total)
VENDOR INFORMATION <i>(Vendor must complete the following and return with RFP response)</i>	
Vendor Name/Address:	Authorized Vendor Signatory: (Please print name and sign in ink)
Vendor Phone Number:	Vendor FAX Number:
Vendor Federal I.D. Number:	Vendor E-mail Address:

Section A. RFP Checklist

1. ____ **Read the entire document.** Note critical items such as: mandatory requirements; supplies/services required; submittal dates; number of copies required for submittal; licensing requirements; contract requirements (i.e., contract performance security, insurance requirements, performance and/or reporting requirements, etc.).
2. ____ **Note the project director’s name, address, phone numbers and e-mail address.** This is the only person you are allowed to communicate with regarding the RFP and is an excellent source of information for any questions you may have.
3. ____ **Take advantage of the “question and answer” period.** Submit your questions to the project director by the due date(s) listed in the Schedule of Events and view the answers as posted on the WEB. All addenda issued for an RFP are posted on the State’s website and will include all questions asked and answered concerning the RFP.
4. ____ **Use the forms provided,** i.e., cover page, disclosure statement, etc.
5. ____ **Check the State’s website for RFP addenda.** It is the Vendor’s responsibility to check the State’s website at https://medicaid.alabama.gov/content/2.0_Newsroom/2.4_Procurement.aspx for any addenda issued for this RFP; no further notification will be provided. Vendors must submit a signed cover sheet for each addendum issued along with your RFP response.
6. ____ **Review and read the RFP document again** to make sure that you have addressed all requirements. Your original response and the requested copies must be identical and be complete. The copies are provided to the evaluation committee members and will be used to score your response.
7. ____ **Submit your response on time.** Note all the dates and times listed in the Schedule of Events and within the document and be sure to submit all required items on time. Late proposal responses are *never* accepted.
8. ____ **Prepare to sign and return the Contract, Contract Review Report, Business Associate Agreement, and other documents** to expedite the contract approval process. The selected Vendor’s contract will have to be reviewed by the State’s Contract Review Committee, which has strict deadlines for document submission. Failure to submit the signed contract can delay the project start date but will not affect the deliverable date.

This checklist is provided for assistance only and should not be submitted with Vendor’s Response.

Section B. Schedule of Events

The following RFP Schedule of Events represents the Agency's best estimate of the schedule that shall be followed. Except for the deadlines associated with the Vendor question and answer periods and the proposal due date, the other dates provided in the schedule are estimates and will be impacted by the number of proposals received. The State reserves the right, at its sole discretion, to adjust this schedule as it deems necessary. Notification of any adjustment to the Schedule of Events shall be posted on the Alabama Medicaid Procurement website at https://medicaid.alabama.gov/content/2.0_Newsroom/2.4_Procurement.aspx

Table B-1: Schedule of Events

Event	Dates
RFP Issued	01/04/24
Questions Due by 5:00 PM Central Time (Round 1)	01/26/24
Posting of Questions and Answers (Round 1)	02/26/24
Intent to Attend Mandatory Pre-Proposal Vendor Conference Notification Form Due (PL17 in the Procurement Library)	03/01/24 by 5:00 PM Central Time
(Mandatory) Pre-Proposal Vendor Conference	03/07/24 at 1:00 PM Central Time
Questions Due by 5:00 PM Central Time (Round 2)	03/28/24
Posting of Questions and Answers (Round 2)	04/24/24
Proposals Due by 5:00 PM Central Time	05/22/24
Evaluation Period	05/23/24 through 07/29/24
Intent to Award Issued	08/23/24
Contract Award – Legislative Contract Review Oversight Committee*	01/02/25
Contractor Begins Work / Start Date*	02/01/25

*By State law, this contract must be reviewed by the Legislative Contract Review Oversight Committee. The Committee meets monthly and can, at its discretion, hold a contract for up to forty-five (45) calendar days.

**The “Contractor Begins Work” date above may be impacted by the timing of the contract submission to the Committee for review and/or by action of the Committee itself.

Section C. Mandatory Pre-Proposal Conference

A mandatory, in-person and virtual, Pre-Proposal Vendor Conference will be held to discuss the Scope of Work and proposal response requirements with all Vendors interested in submitting a proposal in response to this RFP. All Vendors are required to submit a Pre-Proposal Vendor Conference Notification form (PL17_PMS RFP Intent to Attend Mandatory Pre-Proposal Vendor Conference Notification Form), one per Vendor, not per individual, for the conference, by the day and time listed above (in Table B-1: Schedule of Events) via email to providermgtrfp@medicaid.alabama.gov. Once the form is received, the contact person listed will receive instructions to attend the Pre-Proposal Vendor Conference in-person (required) and will also receive the virtual meeting link and PIN number so that additional, optional attendees may virtually attend. The conference will be recorded both digitally and through stenographer services. Roll call will be taken during the conference to confirm the identities of the attendees. ***A proposal submitted by a Vendor that failed to both register for the conference and attend the mandatory conference, in person, as required by the Agency, will be deemed non-responsive, and the proposal will be rejected.***

The mandatory conference will be hosted onsite by the Alabama Medicaid Agency and hosted virtually (for additional, optional attendees) using Webex®. Information regarding the mandatory conference will be posted to the Procurement Library for all interested Vendors. Vendors are welcome to ask questions during the conference. The Agency may respond to questions asked during the conference, and will provide written responses to all questions formally submitted during the conference as part of Round 2 of questions and answers, which are to be posted on the Alabama Medicaid Procurement website at (https://medicaid.alabama.gov/content/2.0_Newsroom/2.4_Procurement.aspx).

THE VENDOR MUST COMPLETE THE MANDATORY PRE-PROPOSAL VENDOR CONFERENCE NOTIFICATION FORM (PL17), (LOCATED IN THE PROCUREMENT LIBRARY), AND SUBMIT TO providermgtrfp@medicaid.alabama.gov VIA EMAIL, BY THE DATE SPECIFIED IN TABLE B-1: SCHEDULE OF EVENTS.

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I. Background

The Alabama Medicaid Agency (AMA or Agency) is requesting proposals from vendors with Provider Management Solution expertise to assist the Agency with modernizing provider enrollment and provider management functionality currently provided by the Alabama Medicaid Management Information System (AMMIS) and integrating that new solution in their Medicaid Enterprise System (MES). Services required are outlined throughout this Request for Proposal (RFP). The Agency intends to procure a Provider Management (PM) Services solution. The PM Services solution will provide the technical and business services to enroll, revalidate and maintain provider management data, including providing the PM data to the other Alabama MES Modernization Program (AMMP) modules and the AMMIS, utilizing the System Integration Platform (SIP). In addition, the PM Services solution will provide necessary reporting, training, and support services for the Alabama provider community and the Agency's Medicaid program staff. The PM Services Contractor and current and future MES module contractors will follow the project management methodologies defined by AMMP. Software development methodologies will be defined by each MES module contractor. The PM Services Contractor will be required by the State to operate under all provisions of the Omnibus Budget Reconciliation Act (OBRA) 1990, the Social Security Act, and all applicable State and Federal laws. State regulatory authority is derived from Alabama Act No. 2003-297 and Alabama Medicaid Agency Administrative Code Chapter One. The projected contract execution date is February 1, 2025.

Alabama Medicaid relies on the current AMMIS Contractor to provide the functionality being requested by the PM Services module. Specific information can be found on the Alabama Medicaid Procurement website (https://medicaid.alabama.gov/content/2.0_Newsroom/2.4_Procurement.aspx).

The selected vendor to whom the contract is awarded shall be responsible for the performance of all duties contained within this RFP for the firm and fixed price quoted in the Vendor's proposal to this RFP. All proposals must state a firm and fixed price for the services described.

All information and amendments contained in this RFP reflect the best and most accurate information available to the Agency at the time of the RFP preparation. No inaccuracies in such data shall constitute a basis for change of the payments to the Vendor or a basis for legal recovery of damages, actual, consequential, or punitive.

II. Scope of Work

The purpose of this RFP is to solicit proposals from qualified respondents for the procurement of Provider Management Services for AMMP. The chosen PM Services Contractor will provide Provider Management business services and solution.

The Scope of Work includes the Design, Development, and Implementation (DDI) of the PM Services solution that includes the technical and business services for a PM Services Contractor to replace and modernize PM functionality. AMMIS currently provides these services as well as the existing Provider Web Portal. The PM Services solution will meet the Agency's vision for Provider Enrollment, Provider Maintenance and Provider Management Operations.

The PM Services solution shall:

- Meet applicable Medicaid Information Technology Architecture (MITA) business areas
- Meet or exceed Centers for Medicare & Medicaid Services (CMS) Certification and Federal Requirements, including CMS Conditions for Enhanced Funding (see expected Certification outcomes in [RFP Section II.L.2.d.1](#) CMS Outcomes for Provider Management)

As detailed in [RFP Section VIII, Subsection C](#) Term of Contract, the contract shall be let for a total of eight (8) years. The Agency requires solution DDI startup activities to commence on or shortly after the contract start date, which ends with all PM Services module environments being fully configured, tested, and implemented. The live operations for the PM Services solution, as defined in [RFP Section II.L.2](#) Enterprise and General Services DDI OPS and Maintenance, shall commence at the end of the Design, Development, and Implementation (DDI) period, as detailed in Figure II-1: AMMP Roadmap (Version 06.08.2023).

The PM Services solution shall meet all the requirements specified in [RFP Appendix E – Requirements Response Matrix](#). The PM Services Contractor must align their response to all [RFP Section II. Scope of Work](#) subsections. All proposal responses shall address any and all subsection Narrative Questions within the Scope of Work in full.

A. Business Goals

The Agency will achieve many business goals by procuring a PM Services solution. The PM Services solution will streamline the provider enrollment and revalidation processes by reducing redundant steps and manual processes, thereby improving the enrollment experience for providers. The new system will engage providers through automated system functionality to obtain feedback for improving business services with the goal of improving provider quality of services. It will provide business intelligence and analytics, positioning the Agency to achieve these future goals:

- Realize cost savings
- Establish additional program optimization
- Enable the Agency to serve a greater oversight role for PM-related functions

The scope of work includes operational services to maintain the core PM Services solution, creation of reports, as well as provide support and training to the provider user community.

The following business objectives have been identified to achieve the aforementioned PM Services solution business goals:

Table II-1: PM Services Solution Business Objectives

Objectives
Procure a solution to provide a web based, self-service portal that allows providers to more easily and efficiently enroll in Medicaid programs that provide service options for Alabama citizens.
Validate provider information using automated interfaces for screening and monitoring with, including, but not limited to, CMS, Excluded Parties List System (EPLS), Internal Revenue Service (IRS), List of Excluded Individuals/Entities (LEIE), National Plan and Provider Enumeration System (NPPES), and Social Security Administration (SSA).
Procure a solution that provides qualified staff to serve as Provider Enrollment Advocates conducting outreach at conferences, professional meetings, healthcare association meetings, etc. to: <ul style="list-style-type: none"> • Encourage enrollment in Alabama Medicaid • Demonstrate best practices • Provide information • Identify enrollment process improvements benefiting the Agency and the provider community
Develop and implement a Training and Knowledge Plan in alignment with the Organizational Change Management (OCM) strategy to provide training across all stakeholder groups in the use and operation of the PM Services solution.
Create operational and managerial dashboards with reports necessary for monitoring PM Services solution operations.

Objectives
Ensure the proposed solution meets or exceeds the CMS Certification and Federal Requirements, including the CMS Conditions for Enhanced Funding (see Section II.L.2.c.1 regarding expected Certification outcomes for Provider Management).
Improve metrics, measurements, and outcomes from the PM Services solution to enable informed decision making.
Improve provider quality of service through system functionality automation.

B. Alabama MES Modernization Program

The Agency has embarked on a multi-module, multi-contractor enterprise program that requires data to be transferred amongst these modules in a secure and accurate manner. The overarching goal of AMMP is to move away from a monolithic system approach and instead implement a modular MES with the information, infrastructure, tools, and services necessary to efficiently administer Alabama Medicaid programs. This will be accomplished using a combination of technology-based procurements, related services, and business process outsourcing.

1. Overview of Alabama’s Roadmap to AMMP

The Agency is moving forward with the modernization of the Alabama Medicaid program by modularizing the AMMIS. This modernization will be accomplished through the use of loosely coupled modules connected by System Integration (SI) Services (SIS) as required by CMS. The Agency has organized the project to achieve the end-state MES in a proposed project timeline (see Figure II-1: AMMP Roadmap (Version 06.08.2023)) that aligns with the existing AMMIS architecture, and the constraints imposed through the existing AMMIS contract term.

The Agency will use a modular approach that complies with CMS, promotes the use of industry standards for information exchange and interoperability, and provides a seamless business services environment for users.

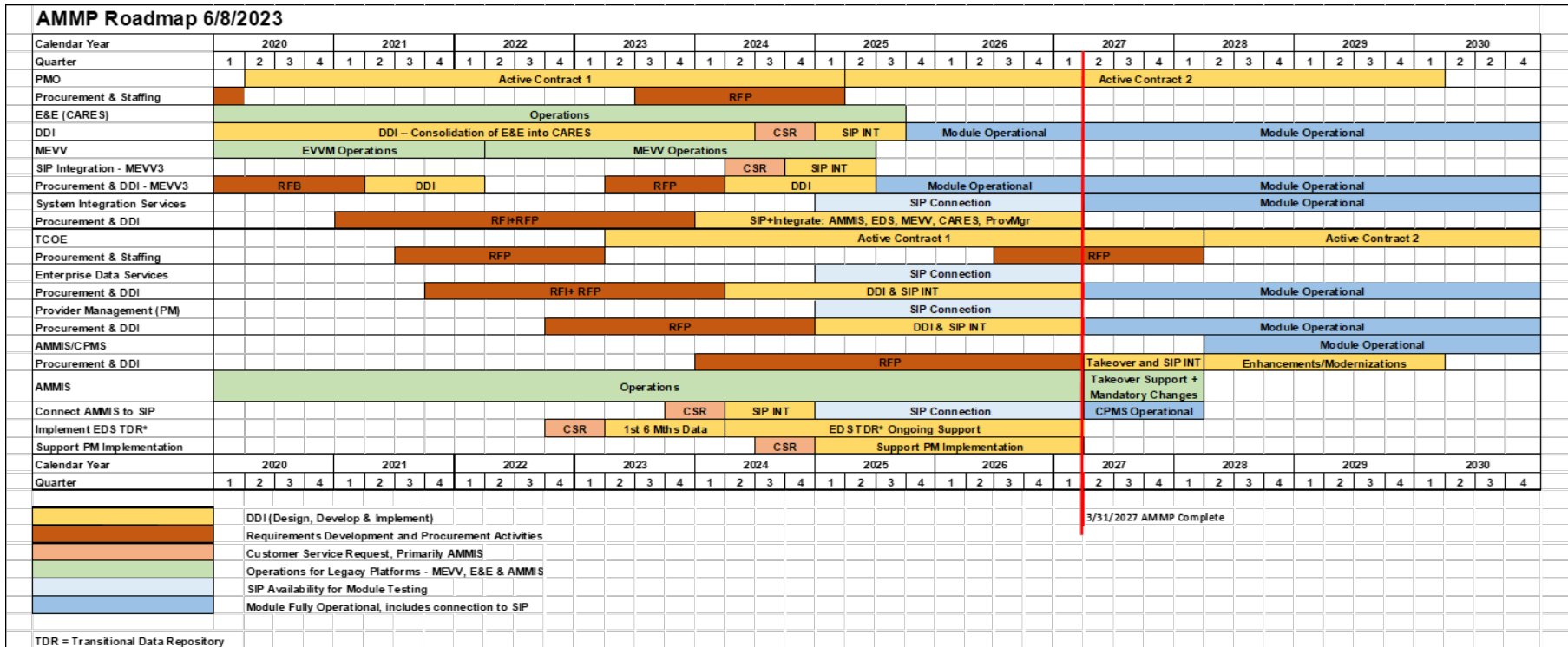
Each module contract within the AMMP will individually stand alone, and will not incorporate any other commercial, State, or Federal cooperative purchasing agreements such as through the General Services Administration (GSA) or the National Association of State Procurement Officials (NASPO). Furthermore, the PM Services Contractor and each module contractor will provide all of their own technical solution; the Agency or the State will not provide any data center hosting, software licenses, or other technology for the contractors to use.

AMMP is expected to be completed over the course of several years and multiple projects. Figure II-1: AMMP Roadmap (Version 06.08.2023) represents the current AMMP roadmap.

MES modules will be implemented in a timeline that most effectively meets the needs of the AMMP and poses the least amount of risk to current operations. This initial timeline presents the Agency’s expected schedule and sequencing of implementing MES modules. The Agency expects that this timeline and roadmap will evolve and change; therefore, actual start, and end dates will be subject to final Agency approval. **It is imperative the SIS, Enterprise Data Services (EDS), and PM Services systems are implemented by the end of Q1 2027 to allow for a seamless Takeover of the Claims Processing and Management Services (CPMS) from Q2 2027 through Q1 of 2028.**

This approach also takes into account the inclusion of the existing Centralized Alabama Recipient Eligibility System (CARES) and Modular Electronic Visit Verification (MEVV) systems being implemented and integrated with the System Integration Platform (SIP).

Figure II-1: AMMP Roadmap (Version 06.08.2023)



2. Envisioned Future State of Maturity

The move toward maturing Alabama’s Medicaid processes will be addressed through completing planned module procurements for new technology and services combined with leveraging both existing systems and ancillary applications. AMMIS and module contractors, including the PM Services Contractor, will work with the SI Contractor to ingest and exchange data from other systems to manage and report on MES data. A list of the planned and existing MES systems and services (including summary descriptions) the PM Services Contractor will engage with is provided below.

a. Alabama Medicaid Management Information System

The AMMIS is composed of different software components that support Medicaid business processes. The components are able to operate on different networked computers, and the data is organized to support the business processes in a Medicaid-specific relational data model. This arrangement of different architectural patterns allows for flexibility and scalability and enables ease of use, development, and maintainability. The AMMP Roadmap plans for data exchange between the MES modules through the system integration solution. Interfaces with systems to the MES, which are necessary for AMMIS, are expected to be maintained by each module contractor. The Agency will issue a Claims Processing and Management Services (CPMS) RFP to procure a takeover, combined with enhancements, of the current AMMIS.

Below is a high-level listing of the components and functionality currently provided by the AMMIS, although these are subject to change. A more complete description may be found in the MMIS Concept of Operations available in the Procurement Library (PL07_MMIS Concept of Operations v5.2.1).

- | | | |
|---|--|---|
| 1. Claims (Fee for Service & Encounter) | 2. Dental Management | 3. Decision Support System (DSS) |
| 4. Recipient Accounts Receivable (RA) | 5. Managed Care | 6. Management and Reporting Administrative System (MARS) |
| 7. Surveillance and Utilization Review System (SURS) and Program Integrity (PI) | 8. Pharmacy Management | 9. Transformed Medicaid Statistical Information System (T-MSIS) |
| 10. Financial Management | 11. Third Party Liability (TPL) | 12. Drug Rebate (DR) |
| 13. Recipient (Long Term Care, Early and Periodic Screening, Diagnosis and Treatment) | 14. Drug Utilization Review System (DUR) | 15. Provider Management |
| 16. Medical Services (MS) | 17. Prior Authorization (PA) | 18. Reference Data Management |
| 19. Document and Workflow Management | 20. Interactive Voice Control (IVR) | 21. Buy-In |

b. System Integration Platform

The SIP exchanges data among MES module contractor systems and integrates the various MES modules into a seamless, functional system. The SIS Contractor will be responsible to integrate the MES module contractor systems and provide technical integration assistance to the Agency and MES module contractors, including managing, upgrading, and supporting integration architecture, integration standards, interfaces, processes, and testing. Additionally, the SIS Contractor will work closely with all MES module contractors to host a range of centralized services across the enterprise that enables the user community to be identified uniquely across MES, supports contractor/system communication, and supports MES system change and incident management capabilities in this modular environment. Among the hallmarks of the integration platform are flexibility, reliability, scalability, and high availability. Therefore, the Agency requires that the SIP be highly configurable and include high fault tolerance, with rapid provisioning of computing, storage, and network capabilities.

The SIP is meant to be the single integration point between all MES modules. All MES contractor systems will exchange data with each other via the SIP and not directly between systems. The interfaces can be real-time, as in web services, or batch, as in Secure File Transfer Protocol (SFTP) services. Additionally, the SIP allows replacing a module with another external module providing similar functionality without affecting others. The Agency requires all Medicaid Enterprise systems to participate in the SIS Single Sign-On (SSO) solution. Each MES module contractor shall be responsible for making sure all their applications are accessible through the SSO ID. The Agency defines the user base as Agency Users, Contractors, Vendors, Providers, and Recipients.

The Agency requires the SIP to include the capability to capture and measure health and performance data across all modules. By working with the Agency and MES module contractors, the SIS Contractor will capture MES health and performance data and monitor against established standards.

c. Modular Electronic Visit Verification

The Modular Electronic Visit Verification (MEVV) is a module within the MES. The current contract for the MEVV solution is expiring soon and a new contract is expected to be awarded in early to mid-2024. The MEVV solution provides multiple methods, including mobile, telephone, and web application for capturing related EVV data. The MEVV solution aggregates EVV data from third-party systems. Providers are required to submit standardized visit-related data as defined by the Alabama Medicaid Agency and the MEVV Contractor to the MEVV solution. The Alabama Department of Mental Health, Alabama Department of Senior Services, and the Alabama Department of Rehabilitation Services also submit data via SFTP to the MEVV solution to allow for various users of the system to submit visit and verification data. The MEVV module must work closely with the SIS Contractor to successfully implement centralized services for the MES.

d. Centralized Alabama Recipient Eligibility System

The Centralized Alabama Recipient Eligibility System (CARES) is a statewide software solution supporting Eligibility and Enrollment (E&E) for Medicaid and the Children's Health Insurance Program (CHIP) and is a module within the MES. It provides case workers and citizens easy access to submit, analyze, and manage eligibility and enrollment information. CARES provides a modern customer and partner experience, as well as seamless coordination between Medicaid and CHIP programs. CARES also provides the same customer experience to all individuals seeking coverage, regardless of their qualifications or the 'door' through which they enter. CARES applies business rules to support real-time eligibility determination, routing and enrollment, and a timely and responsive resolution process. It provides an integrated system that avoids duplication of costs, processes, data, and effort on the part of the State and beneficiaries. CARES also leverages the federal approach provided by the Federal Hub for verification from federal agencies such as the

Internal Revenue Service, Department of Health and Human Services, Social Security Administration, and Department of Homeland Security to avoid the independent establishment of those interfaces and connections at the State level. The CARES module must work closely with the SIS Contractor to successfully implement centralized services for MES.

e. Enterprise Data Services

The Enterprise Data Services (EDS) is a module within the MES. The Agency will procure an EDS solution inclusive of application support and an analytics team that fully replaces existing AMMIS functionality and meets the specific CMS requirements for the DSS, MARS, SURS, PI, T-MSIS, and Payment Error Rate Measurement (PERM) Plus, as well as any additional State and Federal reporting. Furthermore, the EDS solution is equipped with essential functions, system capabilities, and user features to efficiently support the Agency in delivering and promoting improved data management and analytics. Interfaces with systems external to the MES, which are necessary for EDS to deliver services to the Agency, are expected to be maintained by the EDS Contractor. As a result, the EDS will provide insight into the data and allow Agency personnel to:

- Support higher quality of care
- Promote new models and modernization of care delivery
- Manage costs and costs saving provisions
- Support data verification programs and quality assurance initiatives
- Detect and reduce waste, fraud, and abuse

The EDS Contractor shall receive all data, including Provider data from the SIS solution.

f. Provider Management

The Provider Management is a module within the MES. The Agency will procure a PM Services solution that provide a modern, web-based self-service solution allowing healthcare providers (which includes, but is not limited to, physicians, hospitals, nursing homes, pharmacies, home health agencies, personal care workers, and durable medical equipment providers) to enroll with Alabama Healthcare Programs to provide healthcare services to Alabama recipients covered by Alabama Healthcare Programs. The solution will also allow providers to view and maintain their information on file (e.g., address, licensure, and group affiliations) and revalidate their enrollment details online. The Provider Management module must work closely with the SIS Contractor and AMMIS to successfully implement centralized services for MES.

g. Claims Processing and Management Services

The CPMS is a module within the MES. The Agency will issue a CPMS RFP to procure a takeover, combined with enhancements, of the current AMMIS. The AMMIS will be updated prior to the takeover to include all updates related to modularization. The CPMS will exchange data with EDS, CARES, MEVV, and PM Services through the SIP. Once the takeover of AMMIS is complete, remaining enhancements to CPMS will commence. The CPMS will support the receipt, adjudication, editing, pricing (using Alabama-approved reimbursement methodologies), and payment for healthcare claim types, including, but not limited to, physician, pharmacy, hospital, outpatient, nursing home, dental, vision, transportation, disability services, mental health, and waiver services. During claims adjudication, this system will also process service authorizations and third-party insurance liability, as well as calculate member liabilities, including cost share and cost share coordination between multiple payers. The CPMS will be configurable and flexible to support claims processing for multiple programs. Claims will be adjudicated with the payments and remittance advices processed at an interval determined by the Agency. The CPMS module must

work closely with the SIS Contractor and AMMIS to successfully implement centralized services for MES.

3. Project Roles and Responsibilities

Project Roles and Responsibilities will include the Agency, the Program Management Office (PMO) Services Contractor, AMMIS, and module contractors, as well as other Agency stakeholders, working collaboratively in support of the AMMP. The PM Services Contractor will work directly with and/or interact electronically with these entities. The module contractors, with the Agency's approval, shall have access to all documents and meetings related to the project. The information outlined below includes currently identified Alabama AMMP entities that may be involved in the project, including existing and future entities as identified by the Agency.

a. Provider Management Services Contractor

The PM Services Contractor will provide Provider Management business services and solution. The Agency is procuring a PM Services solution to streamline the provider enrollment and revalidation capabilities by reducing redundant steps and manual processes, thereby improving the enrollment experience for providers. The new system will engage providers through automated system functionality to obtain feedback for improving business services with a goal of improving the quality of services for all providers. It will provide business intelligence and analytics to position the Agency for the future, to achieve cost savings, additional program optimization, and for the Agency to serve in more of an oversight role for PM Services related functions. The scope of work includes operational services to maintain the core PM Services solution, creation of reports, as well as provide support and training to the provider user community. The PM Services solution must be implemented by 3/31/2027.

b. Agency Department of Information Systems and Technology

The Department of Information Systems and Technology is the primary sponsor of the AMMP. The Alabama Medicaid Agency, administered by the Department of Information Systems and Technology, provides the following services to assist and support the PM Services Contractor in meeting the requirements of this Contract:

- Provide the PM Services Contractor access to the appropriate enterprise systems; Agency network; Agency-hosted document repository; provider handbooks, policies, procedures, and other documentation; and AMMP project materials as deemed appropriate by the Agency to provide services under this Contract.
- Provide historical and current Medicaid Information Technology Architecture (MITA) State Self-Assessment (SS-A) documentation.
- Provide the Agency-hosted document repository libraries (the Agency currently uses Microsoft SharePoint) that shall be used for maintaining AMMP documentation.
- Provide user and technical training in the appropriate use of Medicaid Enterprise Systems, if needed.
- Provide clarification and interpretation of the terms and conditions of this Contract, as needed.
- Provide clarification and interpretation of Agency policies and procedures.
- Identify and facilitate access to Agency participants, stakeholders, business process owners, and any other Agency staff identified in this Contract, including the Agency's Information Security Manager and the Agency's Privacy Officer.
- Assign and dedicate an Agency Contract Owner to coordinate all contract management activities between the Agency and the PM Services Contractor.
- Perform monitoring of this Contract to enforce PM Services Contractor compliance with Contract requirements and completion of the Scope of Work.

- Perform timely review of deliverables, project management documents, and any other relevant documents submitted by the PM Services Contractor, by approving, denying, or requiring specified revisions.
- Facilitate access to other MES module contractors and relevant project stakeholders and the relevant project documents and deliverables.

The remaining text in this section provides both a graphical representation and summary overview of the Alabama AMMP entities that comprise the Agency team with which the PM Services Contractor will collaborate.

c. AMMP Entities

1) Project Portfolio Management Office (PPMO)

The Project Portfolio Management Office (PPMO) is a division of the Department of Information Systems and Technology, independent from the MES division. The PPMO is responsible for defining, monitoring, and enforcing the Agency’s project management policies, governance, standards, processes, and procedures.

The PM Services Contractor shall follow the AMMP-wide project management policies, governance, standards, processes, and procedures defined by the PPMO and include the PPMO in all project meetings. The PM Services Contractor shall provide the PPMO with any project-related information requested within the timeframes established in the Communication Management Plan (COM-11).

2) Project Quality Assurance (PQA)

The purpose for the Project Quality Assurance (PQA) group is to define, validate, and control quality assurance for programs and projects that have CMS 90/10 Federal Financial Participation (FFP) funding at the Agency. The PQA group focuses on project governance to align with Agency policies, procedures, and standards and ensures that programs and projects follow best practices, including the Project Management Life Cycle (PMLC). The PQA group performs both Project Governance and Project Quality Assurance activities (e.g., reviews templates, attends project meetings, and reviews project processes and documents for governance).

PQA uses a process of reviewing and assessing the programs and projects (that are in scope) to improve their quality. PQA and PPMO focus on the project-level – not contractor level. The PQA group reports on the quality assurance governance status of programs and projects to the Chief Information Officer (CIO) and Directors on a monthly basis and to the Executive Oversight Committee (EOC) quarterly.

3) Information Security Office (ISO)

The Information Security Office (ISO) administers Protection Requirements and the Alabama Medicaid Agency Information Security Privacy Program. It primarily:

- a) Establishes MES Security Policy, ensuring security and privacy requirements are integrated into the planning, budgeting, acquisition, and management of Medicaid information, information resources, supporting infrastructures, personnel, equipment, and services.
- b) Maintains the Security and Privacy Program Management Plan, which provides the structure that will consume, retain, distribute, and report security and privacy documentation to aid Medicaid in clearly understanding the risk provided to its mission by its information resources.

The PM Services Contractor shall work with the Agency to define the architecture, standards, processes, and procedures needed to implement the policies defined by the ISO. The PM Services Contractor shall also work with the ISO to define the methods that will be used to monitor and ensure Medicaid defined security policies are followed.

4) Data Governance Office (DGO)

The Data Governance Office (DGO) serves to enable and enhance Agency effectiveness by formalizing behavior around the definition, production, usage, storage, and destruction of data that safeguards the Agency's data as a valued asset. The DGO is responsible for the overall Medicaid strategic data governance plan and sponsoring collaborative relationships between program areas and the Information System and Technology division with six objectives:

- a) Provide Data Management
- b) Improve Data Quality
- c) Promote Data Access
- d) Enable Analytic Prioritization
- e) Improve Data Content
- f) Enhance Data Literacy

The PM Services Contractor will follow the standards set by DGO for:

- a) Data Governance Framework ([Introduction to the Data Governance Framework \(alabama.gov\)](http://alabama.gov))
- b) Policies and practices required to implement the Enterprise Data Governance Program
- c) Contractor Compliance Requirements within the Agency Data Governance Framework (Related to Data Architecture, Modeling/Design, Storage Operations, Security, Integration and Interoperability, Document/Content Management, Reference and Master Data, Metadata Management, and Data Quality)

5) Medicaid Enterprise Systems (MES) Division

The MES is a division of the Alabama Medicaid Agency's Department of Information Systems and Technology, responsible for managing the AMMP. The MES Division's primary mission is to modernize the Agency's Medicaid Management Information Systems, with the goal of improving its business processes and the services provided to Alabama's recipients and providers. Associate Directors or consultants reporting to the MES Director are individually responsible for the following teams:

- a) MES PMO: The MES AMMP Program Management consists of the PMO Services Contractor (PMO Contractor) and the MES Agency staff and provides direct oversight for all AMMP projects and MES module contractors. The primary points of contact will be the assigned PMO Contractor Project Manager and Agency Program Manager. The PMO Contractor is at the center of all steps toward modularity. The PMO Contractor is in the unique position to ensure cohesion, traceability, and accountability throughout the AMMP. The primary function of this PMO Contractor is to provide consistency and structure during the transition to modularity. The Agency expects the PMO Contractor to propose the best solutions available to meet the needs of the Agency. The PMO Contractor provides cooperation, support, and staffing through the term of the contract and focuses on creating a positive and collaborative work environment for all MES module contractors and the Agency.

- b) Provider Management Services Program Management: The Agency Program Manager for Provider Management Services reports directly to the MES Director. The PM Services Contractor must follow the guidance defined by the MES PM Program Manager and the PMO Services Contractor. The PM Services Contractor shall include the MES PM Program Manager in applicable project meetings. All written or verbal communications sent to or from the PM Services Contractor and any other AMMP or MES module Contractors or Agency unit shall include the MES PM Program Manager and the PMO Services Contractor.
- c) AMMP Enterprise Quality Program (EQP): The AMMP EQP provides a structure for assessment, monitoring, and continuous improvement of quality measurements. The PM Services Contractor shall work with EQP to ensure quality standards and good practices are incorporated in the Testing and Quality framework. The PM Services Contractor is tasked with developing and monitoring the processes used to measure quality components and use the results to streamline and improve these processes on an ongoing basis. The EQP collaborates with testers and subject matter experts (SMEs) from the legacy MMIS and CARES (operations and maintenance) to ensure enterprise quality.
- o Testing Center of Excellence (TCOE): Through the oversight of the EQP, the Agency has procured the services of a contractor to manage testing efforts across projects by creating a Testing Center of Excellence (TCOE). The PM Services Contractor shall collaborate with the TCOE Contractor. The TCOE Contractor’s responsibilities include:
 - Oversight of AMMP/MES contractor’s planned test activities
 - Monitoring of contractor actionized test activities
 - Coordination and support of test bed data and environments coupled with oversight and support of System Integration Testing (SIT), End-to-End testing (E2E), and User Acceptance Testing (UAT)
 - Creation and maintenance of program test plans and templates
 - Contractor shall coordinate with TCOE to provide a weekly extract/export of test related activities showing traceability to requirement from contractor's test management tool as specified in the Test Phase Acceptance (TPA) document
- o The PM Services Contractor shall work with both the TCOE Contractor and the EQP team. The PM Services Contractor shall provide test resources to:
 - Manage schedule, process, and tools
 - Design and execute testing
 - Provision test environments and test bed data for all stages and phases of testing

6) Fiscal Agent (FA) Policy and System Management

The Agency has a Fiscal Agent (FA) that supports all MMIS related tasks. The FA falls under another group identified as the Medicaid MMIS Operations Team. Any interaction between the FA and the PM Services Contractor must include the Medicaid MMIS Operations Team, Medicaid Enterprise Architecture (MEA) Team, and Agency Program Manager. Any FA support requested by the PM Services Contractor must be requested through the PMO Contractor. The FA time and availability is limited, and support must be requested well in advance of the actual need.

7) Centralized Alabama Recipient Eligibility System (CARES)

The Centralized Alabama Recipient Eligibility System (CARES) is a statewide software solution supporting Eligibility and Enrollment (E&E) for Medicaid and the Children’s Health Insurance Program(CHIP) and is a module within the MES. It provides case workers and citizens easy access to submit, analyze, and manage eligibility and enrollment information. CARES provides a modern customer and partner experience, as well as seamless coordination between Medicaid and CHIP

programs. CARES also provides the same customer experience to all individuals seeking coverage, regardless of their qualifications or the 'door' through which they enter. CARES applies business rules to support real-time eligibility determination, routing and enrollment, and a timely and responsive resolution process. It provides an integrated system that avoids duplication of costs, processes, data, and effort on the part of the State and beneficiaries. CARES also leverages the Federal approach provided by the Federal Hub for verification from Federal agencies such as the Internal Revenue Service, Department of Health and Human Services, and Department of Homeland Security to avoid the independent establishment of those interfaces and connections at the State level.

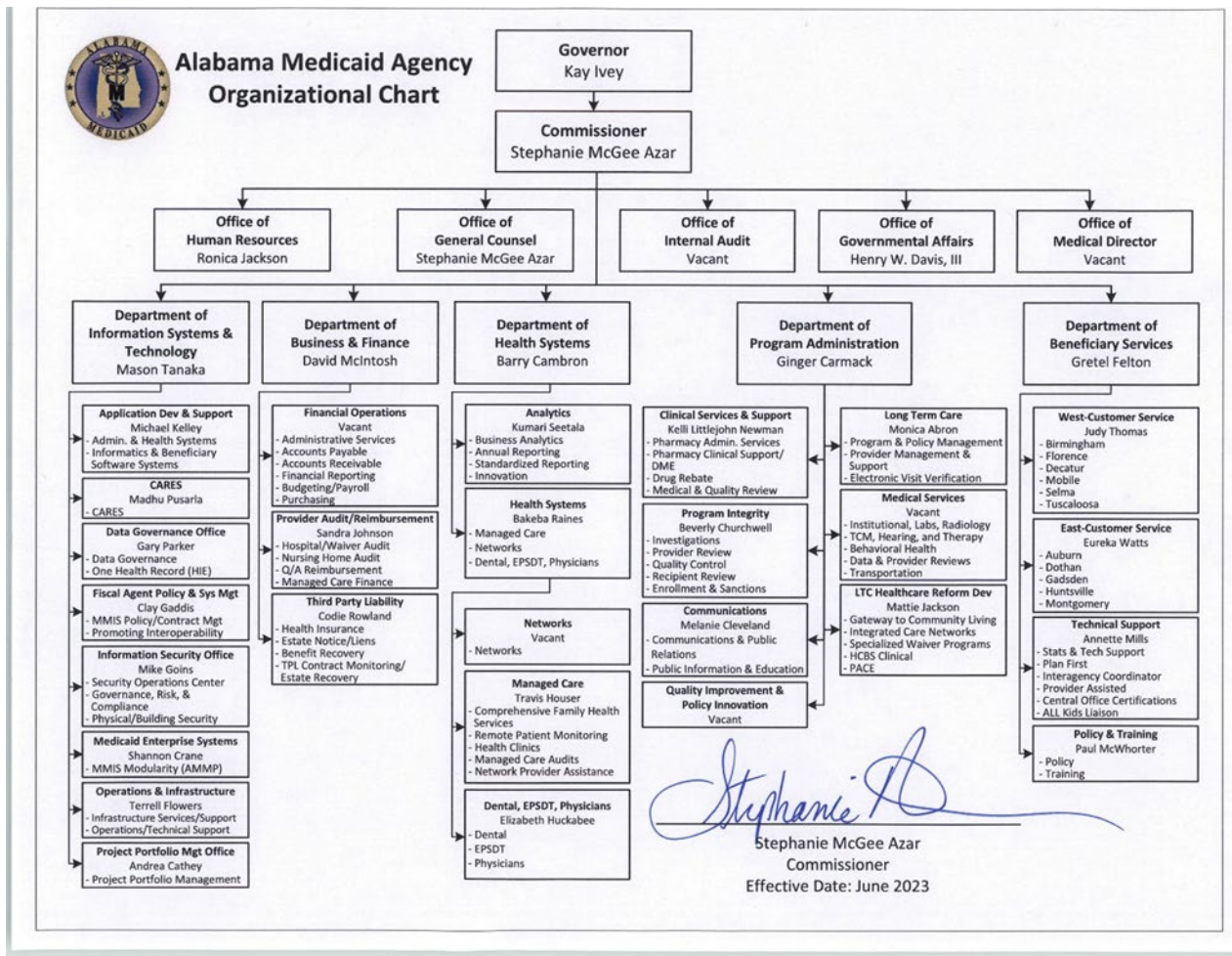
d. Centers for Medicare & Medicaid Services

CMS is the Federal Agency responsible for the review and approval of the Alabama's Medicaid planning and solicitation documents, release of enhanced Federal Financial Participation, and the Certification of new modules or components of the Medicaid Enterprise.

CMS is the government entity responsible for authorizing enhanced federal funding for the design, development, and installation or enhancement of a state's MMIS. The Mechanized Claims Processing and Information Retrieval Systems (90/10) Final Rule, effective January 1, 2016, expanded the definition of mechanized claims processing and information retrieval systems to include a "System of Systems." This "System of Systems" allows enhanced federal funding for installation or enhancement of open-source software, proprietary software, services, shared services, module, Commercial-off-the-Shelf (COTS) software, and Software as a Service (SaaS) that comprise a state's MMIS enterprise. The PM Services Contractor and Agency will work with CMS and comply with all regulations to ensure the combination of solutions are certified and meet all federal reporting requirements necessary to ensure CMS authorization of enhanced federal funding.

Figure II-2: AMA Organizational Chart provides a graphical representation of the Agency roles and responsibilities that the PM Services Contractor will work with throughout the length of the contract.

Figure II-2: AMA Organizational Chart



4. PM Representation on AMMP Governance

The AMMP Governance was established to support AMMP in being a nimble, fluid organization. Effective and efficient governance helps streamline program/project decisions by reducing bureaucracy or unnecessary scrutiny. The AMMP Governance Framework provides visibility and oversight so that the AMMP module contractors understand the governance structure and necessary roles, authority, communication, and decision-making processes. The PM Services Contractor shall have representation on the Governance boards, as well as the workgroups that support these boards. This will require the PM Services Contractor to review selected AMMP artifacts, including, but not limited to, requirements, architectural diagrams, project/system change requests (including requests from other contractors), and/or other contractor artifacts. This review will be all inclusive but focus on impacts or interfaces with the PM Services Contractor’s system or platform. The following subsections provide insight to the current AMMP Governance Committee and Boards.

a. Executive Oversight Committee

The implementation of AMMP and the DGO management and administration of data and information requires the Executive Oversight Committee (EOC) to serve as an executive authority providing strategic planning and decision making according to the mission, vision, and values of the Agency. The primary focus of the EOC is to provide strategic guidance concerning future realization of the Agency’s investment projects. It controls realization of projects at the strategic

level by monitoring long-term projects and verifying each projects' adherence with established goals, scope, costs, and deadlines. The EOC provides effective guidance by ensuring all business areas and stakeholders are engaged early in the program. The EOC monitors progress and status of projects in the MES and DGO Divisions and, where necessary, adjusts strategic direction and priorities to ensure program/project success and alignment with the Agency's mission. The EOC supports the MES Change Control Board (CCB) to ensure governance and oversight on all projects and work being done by MES and DGO. The EOC provides oversight and guidance to improve data accuracy, quality, usability, timeliness, and security and privacy as pertains to operational compliance with the applicable, established policies, standards, and processes.

b. Change Control Board

The CCB, chaired by the MES Director, provides the MES and DGO Divisions a standardized approach for identifying, documenting, analyzing, approving/rejecting, and effectively communicating, all substantial decisions and changes. The CCB also serves as management authority, providing senior management leadership for the successful and timely completion of applicable projects supporting the overall program and needs of the Agency. The MES CCB reports to the EOC, while the MES PMO, Enterprise Architecture Board (EAB), and the Business Review Board (BRB) report to the MES CCB.

c. Enterprise Architecture Board

The purpose of the EAB is to ensure that technology initiatives properly align with current and future business needs. This alignment must include, but is not limited to, impact to current business processes; cost effectiveness of a given course of action; consistency between sub-architectures; compliance with regulation; and propriety of any given change in technology, architecture, or interface. The EAB is not a change approval body; instead, it is a deliberative body charged with creating direction and standards for Alabama Medicaid Enterprise Systems.

d. Business Review Board

The purpose of the BRB is to provide oversight to ensure AMMP decisions are consistent with Agency's business strategy and to assist the project by confirming that the business requirements, functional design, and operational procedures meet departmental needs. Additionally, the BRB recommends approval of baselined requirements/deliverables and any changes to those baselines. The BRB is not a change approval body, but instead a workgroup of MES business area experts charged with creating direction and standards for Alabama Medicaid Enterprise Systems.

e. Change Advisory Board

The Agency is establishing a Change Advisory Board (CAB). The CAB will advise the other boards regarding changes to a module that will require changes to one or more other modules, and the CAB will manage the coordination of the enterprise changes across the MES. The Agency requires that enterprise change management be centralized within a Centralized Change Management System (CCMS) to be hosted and operated by the System Integration Contractor. All requests for changes will go into the CCMS for CAB review. The CCMS is to be used to coordinate and manage all changes to MES production. The CAB is the owner of the CCMS and will maintain the Centralized Change Management Process.

5. Narrative Questions

Vendors must answer each narrative question or statement clearly, completely, and in the format designated in [RFP section VI. Submission Requirements, subsection N.1.e Tab 6 – Scope of Work and Narrative Response](#) and in alignment with PL18_Response to Narrative Questions Template. Each narrative question response must address the applicable specification(s) and should include any Vendor-specific knowledge,

creativity, or innovation that shows how the topic will support the Agency’s goals and objectives. All questions must have a detailed response. An unclear or incomplete response to a question will result in a lower score. Any question that does not have a response will be regarded as non-responsive and may cause the submission to be rejected.

Q - 01 Describe your approach to ensuring that the PM Services solution will be implemented by the end of Q1 2027 to align with the timelines presented on the Figure II-1: AMMP Roadmap (Version 06.08.2023).

Q - 02 Describe your approach to working with both the Agency and all MES module contractors to achieve the following:

- Cohesive project team
- Collaborative relationships with stakeholders

Q - 03 Describe your experience and approach to working with state/governmental agencies embarking on modular solutions. What lessons have you learned with other engagements that will help your engagement with Alabama?

C. Contract Startup

1. Initiation and Onboarding

The Agency recognizes that the initiation and onboarding phase is crucial to the resulting success of the overall engagement. Through the facilitation of Kick-off Meetings and Contract Discovery sessions during this period, the PM Services Contractor and the Agency begin the activities to establish a common understanding between all stakeholders involved in the project, communicate the overarching business objectives and requirements of the project, and clarify initial roles and expectations of all. Additionally, the PM Services Contractor can establish project parameters; identify and deploy tools/templates to be used; and gain access to all approved Agency resources, tools, and templates in order to begin the work to develop and construct the first wave of contracted project deliverables as listed in [RFP Section L.1.a – Project Management](#). The full list of deliverables is located in [Appendix D – Contract Deliverables Table](#) and includes descriptions and key dates for development, delivery, approval, and updates.

The Agency will schedule a full-day project Kick-off Meeting within the first two (2) weeks after Contract start-up. This Kick-off meeting will introduce the PM Services Contractor to the AMMP oversight areas. The PM Services Contractor shall provide PowerPoint presentation slides that will be used to facilitate the project Kick-off Meeting. The oversight areas include but are not limited to:

- PMO Contractor
- Data Governance Office
- Information Security Office
- Project Portfolio Management Office
- Project Quality Assurance
- Enterprise Quality Program
- Testing Center of Excellence

a. Requirements – Initiation and Onboarding

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-2: Contract Startup – Initiation and Onboarding Requirements and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-2: Contract Startup – Initiation and Onboarding Requirements

Master ID	Requirement Description
6393	The Contractor shall work collaboratively with the Agency to explain and support all aspects of the Provider Management solution to external and internal MES stakeholders, auditors, or other parties, when necessary, as requested by the Agency.
6390	The Contractor shall take full responsibility for monitoring, adhering to, and remaining current with all applicable Federal and State standards and regulations. The Contractor shall work with the Agency to apply identified updates to files and reporting, within a timeframe agreed upon by the Agency.
6391	The Contractor shall take full responsibility for monitoring, informing, and providing actionable and timely recommendations to the Agency of potential Federal, State, or industry changes that may have an impact on the PM solution or business processes provided by the Contractor. Findings and recommendations shall be provided to the Agency within five (5) business days and included in the Monthly Operations Status Report.
4581	The Contractor shall work with the Agency to collaboratively review and execute the plans, guides and checklists contained within AMMP Plans Guides and Templates TOC.
4583	The Contractor shall possess all necessary technology, software, hardware, and equipment to facilitate project work, activities, and meetings via a remote/offsite location, as required by the Agency.

2. AMMP Wide Plans and PM Attestation

As AMMP will include multiple contractors, the Agency has obtained the services of a PMO Contractor to work collaboratively with the Agency to establish the PMO for AMMP. The Agency has developed several AMMP Program Management Plans and Guides that must be followed by all MES contractors. These plans and guides provide project structure without defining a specific software development methodology. PL08_AMMP Program Management Plans, Guides, and Templates Table of Contents (TOC), located in the Procurement Library, provides a summary expectation and the TOC for each of the AMMP-Program Plans, Guides, and Templates.

The following protocols Guides are also listed within the TOC:

- Meeting Protocols Reference Guide
- Action Items Protocol Reference Guide
- Decisions Protocol Reference Guide
- Invoice Protocol Reference Guide
- Lessons Learned Protocol Reference Guide

To facilitate a seamless MES module contractor on-boarding, the PMO Contractor created the PMO-2-o: Vendor Start Up Guide. This guide describes the Program Management Office processes and procedures required of all contractors brought on-board to the AMMP. This also includes the program structure, as well as descriptions and locations of various documents, templates, and any other information needed by a new contractor starting on the AMMP Program. The PMO Contractor will initiate and facilitate the onboarding activity once the new contractor is productive and fully engaged in the Program. Initial onboarding meetings with the Agency will begin about two (2) weeks after to Contract start with the overall process scheduled to end approximately one (1) month after Contract start.

The PMO Contractor reviews and updates all AMMP Program Management Plans, Templates, and/or Protocol Guides every six (6) months. These deliverables are approved by the Agency PPMO before use by the AMMP. During PM Services Contractor onboarding, the PM Services Contractor will be provided the

most current version of the AMMP Program Management Plans and Protocol Guides listed within this Contract. At that time, the PM Services Contractor shall review, understand, and adhere to the latest version of Plans and/or Protocol Guides. The PM Services Contractor must document and address any concerns during Contractor onboarding. During the term of contract, the PM Services Contractor will be given the opportunity to review and comment on any changes to the plans as they occur. As plans are updated and approved by the Agency, they become the expectations and guidelines for each project moving forward.

a. Requirements – Contract Startup, PM Attestations

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-3: Contract Startup – PM Attestation Requirements, all deliverables listed in Table II-4: Contract Startup – PM Attestation Deliverable, and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-3: Contract Startup – PM Attestation Requirements

Master ID	Requirement Description
4970	The Contractor shall, within the four (4) weeks from contract start date, sign and submit the AMA Attestation and Agreement Document that states they understand the AMMP plans, guides and templates and they agree to follow them.

b. Deliverables – Contract Startup, PM Attestation

Table II-4: Contract Startup – PM Attestation Deliverable

Deliverable Master ID	Requirement ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
AMA_01	4970	AMA Attestation and Agreement Document	The Contractor shall, within the four (4) weeks from contract start date, sign, and submit the AMA Attestation and Agreement Document that states they understand the AMMP plans, guides and templates and agree to follow them.	Four (4) weeks from Contract Start	One Time submission

3. Status and Touchpoint Meetings

Within the first month of the contract start date, the PM Services Contractor will be responsible for establishing the Monthly Status Report Meeting, as well as bi-weekly [every two (2) weeks] PM, EQP, and PMO touchpoint meetings. The Monthly Status Meeting will use the AMMP Status Report template as its agenda, while the touchpoint meetings are more informal but are a forum for the PM Services Contractor to provide brief status, reporting on recent successes, upcoming activities, and/or communicate known problems or concerns. When requested, the PM Services Contractor shall meet with the EQP team weekly.

The PM Services Contractor will also provide status information as requested by the AMMP PMO and any information needed to support the project's success. The PM Services Contractor shall create meeting minutes following the processes defined within the AMMP COM-8: Meeting Protocols Reference Guide.

The PM Services Contractor may be included in meetings with the State/Federal government or Agency. State/Federal governments and the Agency may request data or information before or resulting from such meetings. When this occurs, the PM Services Contractor shall, within three (3) business days of receipt of a request from the State/Federal government or Agency, make all requested data available to the requestor in the format, media type, and quantities designated, at no additional charge.

4. Deliverable Management

The PM Services Contractor is to maintain deliverable/artifacts, on a recurring basis, that are to be submitted for review and approval by the Agency. The specific timing of each deliverable submission is defined within this RFP. A Payment schedule will be established for each iteration of a deliverable.

The PM Services Contractor shall account for the deliverables and review artifacts identified in this RFP within its project schedule. The PM Services Contractor is responsible for managing the schedule for deliverables/artifacts under the scope of work, including the schedule for submission, review, updates, and final approval.

All PM Services Contractor deliverables/artifacts are required to be reviewed by the Agency and PMO Contractor and feedback submitted in accordance with the 10-5-5 review process. The Agency will have ten (10) business days to review and return comments on the deliverable/artifact to the PM Services Contractor. The PM Services Contractor, in return, will have five (5) business days to respond to comments. The Agency will then have five (5) business days to review changes and provide any additional comment responses. Any artifact that is not approved by the Agency after the first round of comments and responses will be part of a group review. The Agency retains final approval authority over all deliverables.

Each deliverable must be oriented, branded, and presented as the property of the Agency. Each deliverable, upon submittal into the 10-5-5 review process, becomes the permanent organizational asset of the Agency. Each deliverable will be reviewed and approved by the stakeholders identified in the deliverables Responsible, Accountable, Support, Consulted and Informed (RASCI) Chart with approval authority.

For deliverable/artifact management, the PM Services Contractor shall follow the guidelines defined within the AMMP Configuration Management and Document Validation (PMO-2-r) document. PMO-2-r defines the Deliverable/Artifact workflow, storage expectation, iteration updates, retention policy, etc.

The Vendor's proposal response must describe a clear, comprehensive, approach to deliverable management, including the acceptance criteria for the final deliverables. The Vendor's proposed approach must include the following:

- Objective/purpose
- Required scope/definition of the deliverable
- Roles and responsibilities
- Timeframe expectations
- Delivery dependencies
- Quality Management requirement
- Acceptance criteria
- Formatting or other special delivery needs
- Sample Table of Contents

All deliverable reviews performed by the Agency will be completed within ten (10) business days to determine compliance with the acceptance criteria for the specific deliverable. The Agency will maintain responsibility for coordinating the comments and input from its reviewers and provide this consolidated feedback from the different teams to the PM Services Contractor.

Deliverables requiring revisions by the PM Services Contractor shall be completed within five (5) business days of receiving the Agency’s comments. The Agency will provide an acceptance or rejection notice per deliverable with one of the following explanations on its return. Either:

- Accepted and signed as accepted by the Agency; or,
- In the event the Agency rejects a deliverable, it will communicate the rejection in writing to the PM Services Contractor regarding the deliverable deficiencies. The PM Services Contractor must correct deficiencies prior to the formal acceptance of the deliverable.

a. Requirements – Deliverable Management

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-5: Contract Startup – Deliverable Management Requirements and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-5: Contract Startup – Deliverable Management Requirements

Master ID	Requirement Description
4520	The Contractor shall follow established program deliverable management process as stated in the Configuration Management and Document Validation (PMO-2-r) for document development, review and formal submission to the Agency for approval.
4522	The Contractor shall prepare, update, revise, and submit to the Agency for approval all new and/or existing operational, systems, or reporting based documentation as listed in the Contract Deliverables Table in Appendix D and in accordance with Agency approved timeframes, as related to system changes, maintenance, or modification work requests.
4789	The Contractor shall follow the Agency defined deliverable and artifact review process, which includes, but is not limited to: <ol style="list-style-type: none"> 1. Agency initial review of deliverable- ten (10) business days 2. Contractor revisions based on comment log- five (5) business days 3. Agency review of revisions and approval of comment log- five (5) business days 4. Informal reviews and walkthroughs of draft and final deliverables are encouraged
4773	The Contractor shall maintain a master version of all deliverables, artifacts and work products on the Agency SharePoint site.
4607	The Contractor shall adhere to AMMP deliverable/artifact submission and review process and timelines, as agreed to and approved by the Agency. Any AMMP (Module) Contractors' deliverables/artifacts which require review and feedback are expected to be reviewed, with feedback submitted, in accordance with the 10-5-5 review process.
4609	The Contractor shall utilize the Agency approved deliverable management tool on the Agency SharePoint site. The Contractor shall schedule a meeting for all applicable reviewers within three (3) business days to review deliverables not approved at the end of the defined review cycle.
4608	The Contractor shall update and maintain all Project Deliverables as outlined within the Deliverable-specific requirements in this and all RFP sections. As Modules are added to the Medicaid Enterprise, the Agency will require the Contractor to integrate Project Deliverables with other MES module contractors as requested by the Agency.

Master ID	Requirement Description
4606	The Contractor shall develop and embed its deliverable/artifact schedule within their overall project schedule to be submitted and approved by the Agency in accordance with Agency required timeframes.
4772	The Contractor shall create a Delivery Expectation Document (DED) for any deliverable which does not use an Agency approved format. The Contractor shall submit the DED to the Agency and obtain Agency approval a minimum of ten (10) days prior to the Contractor starting work on a deliverable.
4635	The Contractor shall follow the Agency approved styles and standards as defined in PMO-2-k-03: AMMP Style Guide for all deliverables.

5. Narrative Questions

Vendors must answer each narrative question or statement clearly, completely and in the format designated in [RFP section VI. Submission Requirements, subsection N.1.e, Tab 6 – Scope of Work and Narrative Response](#) and in alignment with PL18_Response to Narrative Questions Template. Each narrative question response must address the applicable specification(s) and should include any Vendor-specific knowledge, creativity, or innovation that shows how the topic will support the Agency’s goals and objectives. All questions must have a detailed response. An unclear or incomplete response to a question will result in a lower score. Any question that does not have a response will be regarded as non-responsive and may cause the submission to be rejected.

Q - 04 Describe how you will incorporate AMMP’s standards into your project management methodology.

Q - 05 Provide a high-level schedule that the PM Services Contractor shall follow until the final schedule is approved.

Q - 06 Describe your approach in handling deliverable delays or non-compliance.

Q - 07 Describe your approach in handling urgent requests to satisfy requirements from State/Federal government or the Agency.

Q - 08 Describe your approach to Deliverable Management.

D. Technical Architecture and Environments

The Agency requires the latest in technical architecture and environments for the Provider Management Services module. The Contractor shall ensure that the architecture and environments of the PM Services solution:

- Provide services that enhance and support the mission of the Agency
- Satisfy, measure, and continuously improve the required outcomes related to PM
- Provide accurate, timely, consistent, and high-quality data and information needed for operational and decision-making activities
- Prioritize user experience and usability to promote satisfaction and productivity

PM architecture encompasses the overall architecture including, but not limited to, technical architecture, environments, and data models for the Provider Management module.

1. Technical Architecture and Environments

The architecture proposed will include the physical and virtual environments for the PM Services module, including all hardware, firmware, middleware, connectivity, security, and software to securely host and

maintain the solution. Multiple environments will be established for the PM Services module to allow the following activities including, but not limited to:

Development:

- Environment for developers to design, develop, and implement the solution including, but not limited to, system functionality, enhancements, and bug fixes, without impacting the production environment and using de-identified data where Personal Health Information (PHI)/Personal Identifiable Information (PII) is obscured

Testing:

- Environment to validate System Integration Testing (SIT) to ensure all new functionality successfully integrates with existing functionality before moving to User Acceptance Testing (UAT) Environment for software and hardware testing teams to execute test cases and validate changes to the solution including, but not limited to, system functionality, enhancements, and bug fixes using de-identified data prior to moving to UAT and production
- Environment for End-to-End (E2E) testing
- Environment using de-identified data where PHI/PII is obscured

Training:

- Environment used for all contractor-led training
- Environment using de-identified data where PHI/PII is obscured

User Acceptance Testing:

- Environment, nearly identical of Production, to allow users to provide feedback on the system's functionality in a real-world situation
- Environment for UAT using identifiable data containing PHI/PII for the Agency and TCOE Contractor to verify and validate test cases and test execution
- Environment where a small group of end-users test the application to ensure it meets expectations
- Environment using de-identified data where PHI/PII is obscured

Production:

- The main PM environment set up for potential and new providers including, but not limited to, Provider Enrollment, Provider Maintenance, a Provider Management Call Center, a Provider Management Portal, a Provider Directory, a Business Rules Solution, a Content Management Solution, and a Workflow Management Solution.

The PM Services Contractor shall establish the necessary environments to address all requirements of this RFP. The environment configuration to accommodate these activities and requirements shall be proposed by the PM Services Contractor and approved by the Agency.

The PM Services module will include the processes and tools to ensure the overall PM Services solution is available to users a minimum of 99.5% of the time, as measured over a 30-day continuous time span. The PM Services solution will include the ongoing oversight of all aspects of the PM Services module performance, system health, and solutions to verify normal processing, identify improvements and optimizations, and to handle unexpected processing and other system errors.

a. Detailed Technical Architecture Package (DTAP)

The PM Services Contractor shall submit a Detailed Technical Architecture Package (DTAP – DDI_01) that documents the technical and information architecture of the PM Services. The DTAP shows how the PM is designed and built to support the technical requirements of the Agency, defines the minimum set of technical capabilities of its components, and complies with related standards (State-adopted standards, MITA, CMS Seven Conditions and Standards, etc.). The DTAP must be maintained and updated as needed to accurately reflect all the information necessary to support communication and operation of the PM Services solution.

The PM Services Contractor must accurately define, document, and maintain the technical and information architecture, including interfaces connected to the PM Services Solution. To support this, the Agency will work with the PM Services Contractor to finalize the contents of a DTAP deliverable comprised of the following artifacts, including, but not limited to:

- 1) Complete inventory of all components of the Contractor’s Solution
 - a) Virtual Machines
 - 1) Application servers and their usage
 - 2) Web servers and their usage
 - b) Hardware components
 - c) Software
- 2) Service Providers (hosting, circuits, redundancy, etc.)
- 3) Network Design and Monitoring
 - a) Network IP Addresses and port details
 - b) Monitoring tools and services
 - c) Performance/Availability reporting
- 4) Logical and Physical Architecture models
- 5) Application Architecture and Configuration
 - a) Application configuration and purpose
 - b) Utilities configuration and purpose
 - c) Environment Mapping – Development, Testing, Production, etc.
- 6) Interface Control Documents (See RFP [Section II.G.2.a – Scope of Work – Data Integration and Management Services, Data Integration, Interface Control Document \(ICD\)](#))
- 7) System Security Plan (See RFP [Section II.E.2 – Scope of Work – Security and Compliance](#))
- 8) Data Management Plan (See RFP [Section II.G.1 – Scope of Work – Data Integration and Management Services](#))
- 9) Configuration Management (See RFP [Section II.L.2.a.3\) Scope of Work – Enterprise and General Services, DDI OPS and Maintenance - Configuration Management Plan](#))
- 10) Operations Management (See RFP [Section II.L.2.c.4\) – Scope of Work – Enterprise and General Services, DDI OPS and Maintenance, Operations - Operations and Maintenance Management Plan](#))
- 11) Hosting

The Agency requires solutions that leverage cloud-based hosting technologies for the PM to provide a highly reliable, scalable, and cost-effective infrastructure. Cloud-based solutions enable the PM Services Contractor to provision computing and data storage resources as needed to meet availability requirements. Vendors may propose solutions hosted and operated in public or private

cloud environments or use an “as-a-service” approach. The Agency requires the production environment to be complete, stand-alone, and under full control of the PM Services Contractor and must not rely on other non-production environments to fulfill the Contract’s requirements.

The design and implementation of the hosting solution must meet the Agency’s expectations for uptime, Continuity of Operations, and Disaster Recovery. A highly available solution will meet the Agency’s Service Level Agreements (SLAs) while minimizing scheduled downtime. The hosting solution will remain flexible to incorporate new data sources and accommodate new requirements and regulatory changes as the system matures over time. Additionally, the hosting solution will support the activities necessary to ensure the continuity and recovery of MES business operations under events of disaster. The PM Services Contractor shall:

- Establish a plan describing the activities needed to meet the Disaster Recovery and Continuity of Operations requirements discussed and outlined in the [RFP Sections II.E.3. Continuity of Operations/Disaster Recovery](#), and [II.E.3.d. Deliverables - COOP/DR](#), as well as all related requirements located in [Appendix E – Requirements Response Matrix](#). The PM Services Contractor must test this plan per agreed-upon SLAs.
- Meet the performance requirements for availability per agreed upon SLAs with the Agency as outlined in [RFP Section II.F.4. SLAs and KPIs – Performance](#)
- Ensure the hosting solution can adapt over time to changing regulatory and business requirements

The PM Services Contractor hosting solution shall support the Agency’s vision of security requirements. At a minimum, the PM Services Contractor must ensure all solution components and necessary environments comply with the security specifications as described in the Medicaid Enterprise Security Policy (PL02_Medicaid Enterprise Security Policy – Full Set – Moderate v1.4), which is based upon the Federal Office of Management and Budget (OMB) Circular A-130, National Institute for Standards and Technology (NIST) Federal Information Processing Standard (FIPS) 200, NIST Special Publication 800-153: Security and Privacy Controls for Federal Information Systems and Organizations, and other applicable NIST publications. Temporary access to the Medicaid Enterprise Security Policy will be granted to qualified Vendors for preparation of their response to this RFP.

b. Software

The software proposed for the PM Services solution must satisfy all the business, technical, and performance requirements described in this RFP. The Agency intends to use COTS products and Software-as-a-Service (SaaS) to the extent possible. Any software proposed must be easily configurable and require minimal customization to align with the CMS vision of modularity and qualify for enhanced funding. The Agency also requires the software to be flexible and adaptable enough to support the MES well into the future.

The PM Services Contractor must provide industry-standard software or application programming language to enhance/support the PM Services solution. All proposed software must be supported and remain in support for the term of the Contract and be transferable or licensable; if any portion of this solution is proprietary, it must be approved by the Agency. As part of the DTAP, the Agency requires thorough documentation of the PM software, including:

- Producer/Manufacturer
- Versioning – within current release and -1
- Purpose/Use/Description of the Software
- License Boundaries (how is it licensed)

- Currently Supported / Standard Support Available (not an end-of-life product, a contingency plan for anything end-of-life or discontinued, etc.)

The Agency requires that the PM software be scalable (e.g., it will not require re-architecture, re-design, or new development) to meet the Agency’s performance requirements. The PM Services Contractor must provide a solution that will:

- Scale capacity quickly, both up and down, as the computing requirements change
- Provide high availability
- Distribute application traffic to achieve greater levels of fault tolerance
- Have no single point of failure

c. Requirements – Technical Architecture and Environments

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-6: Provider Management Architecture and Environments Requirements and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-6: Provider Management Architecture and Environments Requirements

Master ID	Requirement Description
6020	The Contractor shall implement a solution that provides industry standard security, scalability, performance, backup, restoration, and ongoing maintenance applied to the infrastructure of all PM Services module environments.
6028	The Contractor shall adhere to the guidelines specified in the Technical Reference Architecture (EA-k-1) to build the architecture to support the PM Services module.
6030	The Contractor shall utilize architecture with no single point of failure, supporting fault tolerance and failover of web, application, database, storage, and secondary devices.
6075	The Contractor shall maintain a complete and separate Testing environment. This environment shall contain all data required to perform "testing" of scenarios that cross all or multiple components of the PM solution.
6358	The Contractor shall maintain a complete and separate Training environment. This environment shall be available during Agency business hours for training in the solution including, but not limited to, system functionality, enhancements, and bug fixes.
6022	The Contractor shall maintain a complete and separate UAT environment. This environment shall be available 24/7/365 for user acceptance testing of the solution including, but not limited to, system functionality, enhancements, and bug fixes.
6021	The Contractor shall maintain a complete and separate Production environment. This environment shall be available 24/7/365 for business operations.
6368	The Contractor shall provide a solution that is available to end users twenty-four hours a day, seven days a week, with the exception of agreed upon system maintenance downtime. Services shall be operationally available a minimum 99.5% of the time, as measured over a 30-day continuous time span. Scheduled system maintenance downtime shall not be factored into the availability of the system.
6029	The Contractor shall use, display, and record all transactions in Central Time across its solution.
4824	The Contractor shall provide a system that can be configured with automation to accommodate leap year and other date anomalies.

Master ID	Requirement Description
5540	The Contractor shall provide a solution that shall be browser agnostic and shall be compatible with multiple standard browsers without requiring specialized or proprietary plug-ins to function.
5694	The Contractor shall provide a solution that remains compliant with all Agency, State, and Federal policies, regulations, and standards. All necessary changes to the solution to remain compliant must be in place ninety (90) calendar days prior to the effective date of the policy, regulation, or standard.
6027	The Contractor shall provide and maintain a solution that adheres to the Agency, State, and Federal policies and procedures that include, but are not limited to, control and monitoring data access, authentication of user rights, system lockout and timeout, and audit logs.
6023	The Contractor shall provide a solution that is fully compliant with the Health Insurance Portability and Accountability Act (HIPAA), as amended and/or re-authorized.
6035	The Contractor shall provide the capability to de-identify data for reports that contain sensitive data to ensure compliance with all applicable HIPAA privacy rules.
6369	The Contractor shall provide a solution that is fully compliant with the 21st Century Cures Act as applicable and the Health Information Technology for Economic and Clinical Health Act (HITECH), as amended and/or reauthorized.
5542	The Contractor shall provide a web-based, self-service solution that includes embedded tools (i.e., a wizard, hover-over prompts, etc.) that provide real time assistance for providers to complete the enrollment process as efficiently as possible.
6510	The Contractor shall ensure that equipment in use for the PM Services module is refreshed as recommended by the manufacturer and not past the manufacturer's stated end of life.
6511	The Contractor shall report equipment life and manufacturer's end of life guidelines as part of the Environmental Monitoring Plan and within three (3) business days of a request from the Agency.
6614	The Contractor shall attest that the solution is fully 42 CFR 433.112 compliant with Federal Financial Participation for design, development, installation or enhancement of mechanized processing and information retrieval systems.

2. SLAs and KPIs – Technical Architecture and Environments

The PM Services Contractor shall provide in the Service Level Agreement (SLA) Plan how they will follow their best practices and tools for providing the PM solution. Unless otherwise noted, a threshold of 100% to SLAs and Key Performance Indicators (KPI)s is expected. Technical Architecture and Environments SLAs and KPIs apply only to the solution's production environments.

The PM Services Contractor shall coordinate with the Agency to schedule all required system downtime that must occur during business hours and that would cause the PM Services solution to be unavailable for normal use. Routine maintenance must be scheduled during non-business hours. Scheduled downtime windows will be documented in the Concept of Operations (CONOPS).

Discount Calculations: If for any one month, any one or more of the SLAs measurements do not meet the SLA standards, the Contractor shall discount by 3% (three percent) against the amount invoiced for monthly PM Operations Fee the same month in which the SLA standards were not met. If the Contractor consistently fails to meet the SLA standards, the Agency may request a Corrective Action Plan (CAP). If the Contractor is still unable to meet SLA standards after the CAP has been executed, then the Agency may notify the Contractor of failure to meet contract requirements, and the Contractor may be subject to liquidated damages as described in RFP [Section VIII.MM Breach of Contract / Liquidated Damages](#). KPI's are excluded from discount calculations.

a. Service Level Agreement – System Availability

The PM Services Contractor shall submit the System Availability metrics for each month as part of the Monthly Operations Status Report.

1) **Measurement Description.** Measurement of system availability to indicate a minimum of 99.5% system availability threshold is met. System availability measurement excludes agreed upon routine maintenance and scheduled downtime. Measurements are based on clock and calendar: twenty-four (24) hours per day, seven (7) days per week, and 365 days per year (or 366 days in those years that are leap years). The system is considered available when the system and all components are available for normal operations.

2) **Method of Measurement.**

a) System Availability – The PM Services Contractor shall record the time in minutes that the PM solution is running and available to perform all their required service outside of Agency-approved scheduled maintenance time (Uptime). The Uptime calculation for A_S is:

$$A_S = \frac{(Uptime\ Minutes)}{(Minutes\ in\ the\ Month - Scheduled\ Maintenance\ Minutes)}$$

b) Minutes in the Month = thirty (30) day continuous time span x twenty-four (24) hours x sixty (60) minutes

c) Maintenance Minutes = Approved Scheduled Maintenance Hours x sixty (60) minutes

d) Available Minutes = Minutes in the Month – Maintenance Minutes

e) Uptime Minutes = Available Minutes – Unscheduled/Unavailable Minutes

Example: For one thirty (30) day continuous time span, there was one eight-hour scheduled maintenance window. The PM system was unavailable for 55 minutes outside of this window.

- Minutes in the month = thirty (30) day continuous time span x twenty-four (24) hours/day x sixty (60) minutes/hour = 43,200 minutes
- Minutes of scheduled maintenance = eight (8) hours x sixty (60) minutes/hour = 480 minutes
- Minutes in month not including scheduled maintenance (time the PM should have been up) = 43,200 - 480 = 42,720 minutes
- Uptime = 42,720 - 55 = 42,665 minutes

$$A_S = \frac{42665}{42720} = 99.9\%$$

3) **Measurement Interval.** The measurement interval shall be over a thirty (30) day continuous time span, corresponding to the month of the Project Management Status Report.

4) **Measurement Period.** System Availability: The Measurement Period system availability is measured over a thirty (30) day continuous time span.

5) **Source of Measurement Data.** The source of the measurement data shall be the capability that captures and reports metrics as described in [RFP Section II.F Performance](#) and Performance Requirements (see [RFP Section II.F.2 Requirements – Performance](#)).

- 6) **Agency Audits.** The PM Services Contractor shall make available the uptime records and the metrics reported in the Project Management Status Report for audits by the Agency or its third-party designee.
- 7) **Assumptions and Conditions.** The PM Services Contractor shall have a process and/or tool for recording the availability of the solution.
- 8) **Exceptions.** In the event of a disaster outside of the control of the PM Services Contractor, the PM Services Contractor will not be subject to discounted payments during any month in which services operate from the Disaster Recovery environment. The PM Services Contractor shall be subject to discounted payments if the disaster was caused by the PM Services Contractor, its subcontractors, or partners.

3. Narrative Questions

Vendors must answer each narrative question or statement clearly, completely and in the format designated in [RFP section VI. Submission Requirements, subsection N.1.e, Tab 6 – Scope of Work and Narrative Response](#) and in alignment with PL18_Response to Narrative Questions Template. Each narrative question response must address the applicable specification(s) and should include any Vendor-specific knowledge, creativity, or innovation that shows how the topic will support the Agency’s goals and objectives. All questions must have a detailed response. An unclear or incomplete response to a question will result in a lower score. Any question that does not have a response will be regarded as non-responsive and may cause the submission to be rejected.

- Q - 09 Describe your approach to providing de-identified data to Agency-specified environments.
- Q - 10 Provide a high-level description and diagram of the proposed PM Platform and Service solution, including the configuration and components. The diagram must include the entire solution being proposed, including parts of the solution being provided by subcontractors or vendors.
- Q - 11 Describe your recommended approach for development and delivery of the Design and Technical Architecture Package (DTAP). As part of your answer, provide a detailed list and description of proposal artifacts/documents to be included in the DTAP.
- Q - 12 Provide and describe how your proposed PM Services solution (including your approach to Hosting) will meet Alabama’s business needs, expectations and requirements regarding:
 - Scaling capacity (both up and down) of compute, storage, and communication traffic
 - High availability
 - Fault tolerance
 - Single point of failure
 - Security
- Q - 13 Describe how you will integrate with the SI Platform’s Single Sign-On solution.

E. Security

1. Security and Access

The Agency’s data contains Personally Identifiable Information (PII) and Protected Health Information (PHI) and is considered sensitive. As such, the security of the data is critical to the success of the project, and the solution must include physical and virtual security methods, as well as role-based access to all environments, tools, and data at the proper levels. The PM Services solution will include the protection of all data including, but not limited to:

- Provision of access
- Storage of all user access accounts

- Audit trails of all events performed by PM users and the PM itself
- Backup of all data
- Protection against viruses and threats, including, but not limited to, ransomware, rogue security software, Trojan horses, worms, denial of service, and SQL injection

The Agency envisions the PM Services module to integrate into a centralized role-based account store controlled by the Agency for Single Sign-On access across the MES. The role-based Single Sign-On solution will be built and managed by the SIS. The PM Services Contractor will work with the SIS Contractor to implement Single Sign-On for PM and other modules as required. The solution must provide the flexibility to adapt to changing security and access approaches during the evolution of the MES, as well as State and/or Federal rules/regulations, and must account for both direct user access and access through the tools and capabilities outlined in [RFP Section II.H. Tools and Capabilities](#).

a. Requirements – Security and Access

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-7: Provider Management Security and Access Requirements and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-7: Provider Management Security and Access Requirements

Master ID	Requirement Description
6025	The Contractor shall provide a solution that utilizes the Agency’s single sign-on to provide role-based access across all environments and components within the PM Services module.
6514	The Contractor shall provide a solution that enforces unique user access for all users.
6041	The Contractor shall provide a solution that is able to support multiple user roles as defined and approved by the Agency.
6042	The Contractor shall provide the capability to configure user groups (data and report access) and user roles (solution functionality) as defined and approved by the Agency.
6019	The Contractor shall collaborate with the Agency to develop program area user groups inside the PM Services module.
6038	The Contractor shall provide a report within the PM Services module that includes, but is not limited to: <ol style="list-style-type: none"> 1. User Information 2. User Groups 3. User Role 4. Audit Records This report shall be able to be exported on-demand from the PM solution.
6031	The Contractor shall capture security audit records for specific users by each environment and their access controls within the environment, including but not limited to: <ol style="list-style-type: none"> 1. Timestamp 2. Content access 3. Person accessing 4. Physical location of access (IP address) 5. Method of access
6039	The Contractor shall capture security audit records for specific users who have not accessed content that has been assigned to them for at least six (6) months. This information should be provided to the Agency on an Agency-defined schedule. The Contractor shall remove user access to the content as requested by the Agency.

Master ID	Requirement Description
5758	The Contractor shall provide a solution that is able to capture the audit trail on any changes made manually or systematically which includes but not limited to username, first name, last name, date, time, data entered.
5757	The Contractor shall provide a solution that is able to capture and record all decisions and associated dates as required by the Agency.
4797	The Contractor shall be financially responsible for providing licenses and user access to all contractor or sub-contractors systems for authorized Agency personnel, its Contractors, and stakeholders, throughout the term of the Contract.

2. Security and Compliance

Adherence to the Medicaid Enterprise Security Policy is maintained in the Medicaid Governance, Risk, and Compliance (GRC) management platform. The GRC management platform will be made available to the PM Services Contractor through VPN access upon contract start. The current policy for proposal purposes will also be available in an access-controlled SharePoint site, as discussed in [RFP Section VI.C.2 Access Controlled SharePoint](#).

The Agency’s GRC management platform is the Enterprise repository for all security documentation. The PM Services Contractor’s Information System Security Officer (ISSO) and/or Information System Security Manager (ISSM) will be given access to the GRC management platform and shall be responsible for entering security documentation in the GRC tool. The PM Services Contractor shall review and update the security documentation according to the continuous monitoring strategy defined by the Agency ISO, as well as any time the PM Services Contractor’s system is modified. The initial entry of this information can be a time-consuming effort and the PM Services Contractor must plan accordingly.

b. System Security Plan

The PM Services Contractor is required to provide a System Security Plan that meets the Security Specifications as described in the Medicaid Enterprise Security Policy, which is based on Federal OMB Circular A-130, NIST FIPS 200, NIST Special Publication 800-53: Security and Privacy Controls for Federal Information Systems and Organizations, and other applicable NIST Special Publications.

The PM Services Contractor shall submit the PM Services Solution System Security Plan (SSP) through the Agency GRC Management Tool within twelve (12) weeks of Contract start. The PM Services Contractor shall maintain and update the SSP (as submitted and approved) through the Agency GRC Management Tool, updating the PM SSP no more than twelve (12) months after prior submittal (as per NIST SP 800-18 Rev 1 Guide for Developing Security Plans for Federal Information Systems).

c. Authorization Package

The PM Services Contractor should understand there is an Authorization Process (PM-10) for all Medicaid Systems and services, as part of the Information Security Program Management Policy. This process incorporates all applicable laws, Executive Orders, directives, regulations, policies, standards, and guidelines of the requirements specified by the following sources:

- Internal Revenue Service (IRS) Publication 1075
- Social Security Administration (SSA) Technical Systems Security Requirements (TSSR)
- Center for Medicare & Medicaid Services (CMS) Acceptable Risk Safeguards (ARS)
- Health Insurance Portability and Accountability Act (HIPAA) Security Rule

The PM Services Contractor shall, in collaboration with the Agency Information Security Office as the third-party security control assessor, develop and complete an Authorization Package for submission to the Medicaid Authorizing Official that contains the following:

- PL-2: System Security Plan – Managed as a project package within the Information Security Office GRC management tool
- CA-2: Assessment’s security assessment results
- CA-5: Plan of Action & Milestones (POAM) inclusive of a Risk Register specific to system in scope for Authorization step
- Other supporting assessment evidence and documentation as needed
- Authorization to Operate certificate (prior to Authorization To Operate (ATO) signature)

This Authorization Package is considered accepted once the Medicaid Authorizing Official approves the Authorization to Operate, which means the system is authorized to operate with current SSP and POAM. The PM Services Contractor shall maintain and update all Security Documentation per Agency Continuous Monitoring Strategy.

d. Requirements – Security and Compliance

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-8: Security and Compliance – Security and Compliance Requirements, Table II-9: Security and Compliance – Security and Compliance Deliverables, and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-8: Security and Compliance – Security and Compliance Requirements

Master ID	Requirement Description
6478	The Contractor shall maintain a comprehensive Information Security and Privacy Continuous Monitoring (ISCM) program (in line with the Continuous Monitoring requirements specified in the Medicaid Enterprise Security Policy and based on the continuous monitoring process described in National Institute of Standards and Technology (NIST) Special Publication (SP) 800-137, Information Security Continuous Monitoring for Federal Information Systems and Organization) to demonstrate its effectiveness of the security and privacy controls implementation and meet the CMS and State’s quarterly risks reporting requirements.
6479	The Contractor shall provide a solution that maintains compliance with the Medicaid Enterprise Security Policy, based on federal standards such as NIST Special Publication 800-53 and subject to changes and updates as the Agency Information Security Program matures, or as legislation, regulations, policies, publications, or practices change. Medicaid shall reserve the right to revoke the Contractor’s access to information that it shares with the Contractor in the event an audit finds the Contractor has not met the security requirements specified in the Medicaid Enterprise Security Policy.
4646	The Contractor shall ensure that solution meets the Security Specifications as described in the Medicaid Enterprise Security Policy, which is based on Federal Office of Management and Budget (OMB) Circular A-130, National Institute for Standards and Technology (NIST) Federal Information Processing Standard (FIPS) 200, NIST Special Publication 800-53: Security and Privacy Controls for Federal Information Systems and Organizations, and other applicable NIST Special Publications.

Master ID	Requirement Description
4643	The Contractor shall comply and report on how the solution is ADA 508 compliant, following compliance standards defined by Section 508 of the Americans with Disabilities Act of 1990, Section 504 of the Rehabilitation Act of 1973, 36 CFR Part 1194, 42 CFR 431.206, and 45 CFR Part 80, which requires agencies to provide software and website accessibility to people with disabilities.
4636	The Contractor shall retain full responsibility for all maintenance and configuration changes to the solution(s) necessary to maintain Federal security and regulatory compliance.
4644	The Contractor shall retain and make accessible, according to 42 CFR 431.17 and State requirements, data entered into, maintained, or generated by the modified system, as directed by the Agency.
4637	The Contractor shall provide a solution that ensures all data exchanges are restricted to the continental United States (CONUS).
6458	The Contractor shall submit a System Security Plan (SSP) through the Agency GRC Management Tool twelve (12) weeks after Contract Start. The Contractor shall maintain and update the SSP (as submitted and approved) through the Agency GRC Management Tool, updating the PM SSP no more than twelve (12) months after prior submittal (as per NIST SP 800-18 Rev 1 Guide for Developing Security Plans for Federal Information Systems).
6453	The Contractor shall develop and submit an Authorization Package to the Agency for review and approval. The Authorization Package shall be kept current with a formal review every twelve (12) months. The Contractor shall develop the Authorization Package using Authorization Process (PM-10) as a template.
4649	The Contractor shall have the Medicaid Authorizing Official approve the contractor system, its security implementation and Plans of Action and Milestones prior to the system's "go-live."
4648	<p>The Contractor shall participate in the Medicaid Risk Management Strategy (through coordination with the Medicaid ISO) by:</p> <ol style="list-style-type: none"> 1. Providing sufficient resources to perform the roles of Information System Security Officer (ISSO) and Information System Security Manager (ISSM) to implement all applicable security controls, to document those implementations, and to maintain security documentation (as policy, procedural, or system changes are made) for the Module using the Medicaid GRC management platform 2. Maintaining up to date security documentation 3. Facilitate internal and external Security Control Assessments and Audits 4. Allow Medicaid reviewers to assess the contractor's implementation of all applicable security controls in the Medicaid Enterprise Security Policy <ol style="list-style-type: none"> a. continuously as part of the contractor's change management processes; and b. as part of annual assessments 5. Providing other system security documentation to the Agency Information Security Office as necessary, including but not limited to System Security Plans, Incident Response Plan, Plans of Action and Milestones, and Authorizations to operate as defined in the Medicaid Enterprise Security Policy.

Master ID	Requirement Description
4651	The Contractor shall actively participate in the Agency Vulnerability Management Program which includes but is not limited to: <ol style="list-style-type: none"> 1. Authenticated System Component vulnerability and configuration scans 2. Dynamic Application scans 3. Static code scans 4. Database configuration and vulnerability scans 5. Penetration Testing Exercises
4652	The Contractor shall actively participate in the Agency Incident Response Capability which includes but is not limited to: <ol style="list-style-type: none"> 1. Forwarding all system logs to the Agency Security Information and Event Management (SIEM) platform, as requested by Medicaid 2. Responding to Agency Security Operations Center (SOC) notifications according to the contractor's Incident Response Plan 3. Providing feedback to the Agency SOC regarding all incidents, their root cause, mitigation efforts and effectiveness
4611	The Contractor shall utilize Agency approved software, applications, and tools as listed in the Enterprise Software List, to fulfill the requirements of this contract.
5030	The Contractor shall be in compliance with all Agency configuration and security policies, which may include periodic scanning by the Agency of the individual notebook/laptop computers that are connected to the onsite Medicaid network.

e. Deliverables- Security and Compliance

Table II-9: Security and Compliance – Security and Compliance Deliverables

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
SEC_01	6458	System Security Plan	The Contractor shall submit a System Security Plan (SSP) through the Agency GRC Management Tool twelve (12) weeks after Contract Start. The Contractor shall maintain and update the SSP (as submitted and approved) through the Agency GRC Management Tool, updating the PM SSP no more than twelve (12) months after prior submittal (as per NIST SP 800-18 Rev 1 Guide for Developing Security Plans for Federal Information Systems).	Twelve (12) weeks after contract start	Every twelve (12) months
SEC_02	6453	Authorization Package	The Contractor shall develop and submit and Authorization Package to the Agency for review and approval. The	Ninety (90) calendar days prior to the start of the	Every twelve (12) months

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
			Authorization Package shall be kept current with a formal review every twelve (12) months. The Contractor shall develop the Authorization Package using Authorization Process (PM-10) as a template.	Implementation Phase	

3. Continuity of Operations/Disaster Recovery (DR)

a. Continuity of Operations

The Continuity of Operations is critical to the success of the Agency to be able to keep the PM Services module running while the Agency and MES module contractors are responding to a disaster. “Disaster” means an occurrence(s) of any kind whatsoever that adversely affects, in whole or in part, the error-free and continuous operation of the module, and/or affects the performance, functionality, efficiency, accessibility, reliability, and security of the system. Disaster also refers to any event that jeopardizes human safety and welfare. Disaster events may include, but not be limited to, natural disasters, human error, security breach, terrorist activity, computer virus, network disruptions, or a malfunctioning of the hardware or electrical supply.

The Agency views incident training and staged exercises as vital to providing comprehensive support for the continuity of operations across the Enterprise. These preparedness activities work to establish the effectiveness of the Continuity of Operations Plan (COOP), as well as the performance and level of understanding demonstrated by staff in the event of an actual disaster. Therefore, the Contractor must play a key role in coordinating the COOP planning and testing with the Agency and MES to ensure alignment. A COOP describes the planning efforts taken by the Contractor, in collaboration with the Agency, to ensure the capability exists to continue essential functions and services in response to and during a disaster scenario. The COOP lays the framework for how the PM Services Contractor maintains critical business functions at an alternate location and/or under adverse conditions. Continuity of operational activities shall include coordination with the Agency and its designees to ensure continuous delivery of services.

1) Continuity of Operations Plan (COOP)

The PM Services Contractor shall develop a Continuity of Operations Plan (COOP) providing guidance in the event of a natural, man-made or technological emergency, as defined above. The COOP shall define and lay out the processes and procedures the PM Services Contractor shall follow to ensure essential functions and services continue without disruption. In the event of disruption, the Plan shall define processes aligned with the Disaster Recovery Plan (DRP).

The COOP must include planning associated with the four phases of continuity of operations: readiness and preparedness, activation, continuity of operations, and reconstitution. Additionally, the COOP must address essential aspects of continuity of operations, people, processes, technology, and infrastructure, as well as align with and address all applicable State and Federal (e.g., CMS, Health and Human Services (HHS), Office of Information Technology (OIT)) Government standards, essential functions, and services. It is critical that the PM Services Contractor use the program-approved Master COOP template. This plan shall include, at a minimum, but not be limited to, the following:

- COOP Quick Reference Guide

- COOP Communication Plan
- Communication Methods and Protocols
- COOP contingency roles, responsibilities, assigned individuals with contact information.
- Emergency mode of operation plans
- Identification of essential organizational missions and business functions and associated contingency requirements
- Documentation of a clear continuity strategy and process impact analysis with a recovery priority by business area, a level of service required by each area, and an estimated recovery time
- Documented continuity objectives, restoration priorities, and metrics
- Documented approach to maintaining essential organizational missions and business functions despite an information system disruption, compromise, or failure
- Identification of alternate processes to maintain business functions
- Correlation of alternate processes to Disaster Scenarios described in the Disaster Recovery Plan
- Development of a training plan and material specific to COOP
- Return to Operations (RtOP) Transition Plan

The PM Services Contractor shall develop and submit a Continuity of Operations Plan (COOP) to the Agency for review and approval sixty (60) calendar days after contract start. The COOP shall be kept current with a formal review every six (6) months and at the start of the Implementation Phase.

2) COOP Activities and Reporting

The PM Services Contractor shall conduct ongoing COOP activities, as well as conduct continuity of operations activities as a result of any event leading to the activation of the COOP. The PM Services Contractor must ensure all on-boarding staff receive training on the DRP for awareness.

The PM Services Contractor will prepare and conduct planned full mock exercises of the COOP, annually (as defined by the PM Services Contractor program manager) at a minimum, in coordination with DRP testing activities. These activities must work to establish the effectiveness of the COOP, as well as the performance and level of understanding demonstrated by staff as a result of COOP activation. The PM Services Contractor is also required to develop and submit for approval a method for ensuring the results of COOP activities are captured during the exercise. The PM Services Contractor will work to ensure all COOP activities and reporting-related artifacts are kept current and relevant throughout the term of the Contract. Finally, at a minimum, the PM Services Contractor shall provide COOP updates, especially updates as a result of COOP activities and subsequent findings.

The PM Services Contractor shall develop a template for a report that will be produced within ten (10) business days after the completion of each full mock test or actual disaster recovery exercise and the desk review. The report must, at a minimum, provide details on the following:

- Analysis of activity
- Issues identified during the activity
- Defects identified during the activity
- Lessons learned
 - Issues or problems that resulted from the Disaster Recovery Plan or the execution of the plan
 - Updates and improvements, including:
 - High-level plan to complete and implement changes
 - Updates necessary to better prepare for the next exercise or DR activation
 - Retest plan

b. Disaster Recovery

Disaster recovery is a cornerstone of a successful business continuity strategy. The PM Services Contractor is mandated to develop a Disaster Recovery Plan (DRP) that defines in detail the approach they shall follow when responding to a disaster. The Agency requires the PM Services Contractor to review and update its DRP deliverables to address potential changes, accuracy, viability, and improvements to address projected MES evolution, on a frequency required by the Agency.

The Agency views incident training and staged exercises as vital to providing comprehensive support for the continuity of operations across the Enterprise. These preparedness activities work to establish the effectiveness of the DRP, as well as the performance and level of understanding demonstrated by staff in the event of an actual disaster. Therefore, the PM Services Contractor must play a key role in coordinating the DRP planning and exercising with the Agency and MES to ensure alignment.

1) Disaster Recovery Plan

The PM Services Contractor shall develop a Disaster Recovery Plan (DRP) sixty (60) calendar days after Contract start that defines the plan the PM Services Contractor must follow in response to a declared disaster, as defined in RFP [Section II.E.3.a](#) above. The DRP must address the five primary areas of Disaster Recovery (DR): Prevention, Protection, Mitigation, Response and Recovery.

Additionally, the DRP must address essential aspects of disaster response and recovery, people, processes, technology, and infrastructure, as well as align with and address all applicable State and Federal (e.g., CMS, SSA, HHS, OIT) Government standards, essential functions, and services. The PM Services Contractor must use the program-approved Master DRP Template. This plan includes the following, as applicable to the proposed environment, but may not be limited to:

- Immediate Response Quick Reference Guide
- DR Communication Plan
 - Roles and Responsibilities
- DR Plans
 - Data back-up and storage plans
 - Source code and compiled executable version back-up and storage
 - Cloud environment back-up and storage
 - Back-up plans for impacted hardware, software, network, and telecommunications links
- Disaster Scenarios
- System Security
- Plan to address the safety and welfare of project support staff
- Emergency mode of operation plans
- Identification of essential organizational missions and business functions and associated contingency requirements
- A systems impact analysis with a recovery priority by area, a level of service required by each area, and an estimated recovery time
- A business process impact analysis with a recovery priority by business area, a level of service required by each area, and an estimated recovery time
- Documented Recovery Point Objectives (RPO), restoration priorities, and metrics
- Documented Recovery Time Objective (RTO), restoration priorities, and metrics
- Documented contingency roles, responsibilities, and assigned individuals with contact information
- Documented essential organizational missions and business functions despite an information

- system disruption, compromise, or failure
- Return to Operations (RtOP)
- On-site and off-site emergency and evacuation procedures
- DR/COOP Test Plan (determine frequency of updates and testing requirements)

The PM Services Contractor shall develop and submit a Disaster Recovery Plan (DRP) to the Agency for review and approval sixty (60) calendar days after contract start. The DRP shall be kept current with a formal review every six (6) months and at the start of the Implementation Phase.

2) DRP Activities and Reporting

The PM Services Contractor shall conduct ongoing DRP activities, as well as conduct DRP activities in the event of an actual disaster or other scenario leading to the activation of the DRP. The PM Services Contractor must ensure all on-boarding staff receive training on the DRP for awareness.

The PM Services Contractor will conduct planned full mock exercises of the DRP annually (as defined by the system program managers) at a minimum. These activities must establish the effectiveness of the DRP, as well as the performance and level of understanding demonstrated by staff in the event of an actual disaster. The PM Services Contractor shall develop and submit for Agency approval a method for ensuring all areas of DR activities are captured during the exercise. This information must be reported to the Agency following DR activation or after mock exercise activities are thoroughly tested, and results captured during the event. The PM Services Contractor will ensure all DRP activities and reporting-related artifacts are kept current and relevant throughout the term of the Contract. Finally, at a minimum, the PM Services Contractor shall provide updates, especially updates as a result of DRP activation activities and subsequent findings.

The PM Services Contractor shall develop a template for a report that will be produced within five (5) business days after the completion of each full mock test or actual disaster recovery exercise and the desk review. The report is required to provide details on the following but may not be limited to:

- Analysis of activity
- Issues identified during the activity
- Defects identified during the activity
- Lessons learned
 - Issues or problems that resulted from the Disaster Recovery Plan or the execution of the plan
 - Updates and improvements, including:
 - High-level plan to complete and implement changes
 - Updates necessary to better prepare for the next exercise or DR activation
 - Retest plan

c. Requirements – COOP/DR

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-10: Continuity of Operations/Disaster Recovery – COOP/DR Requirements, deliverables listed in Table II-11: Continuity of Operations/Disaster Recovery – Deliverables, and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-10: Continuity of Operations/Disaster Recovery – COOP/DR Requirements

Master ID	Requirement Description
4507	The Contractor shall provide alternate processing capability to ensure Agency services deemed necessary by the Agency, can continue in the event of a disaster or major hardware problem at the primary location.
6434	The Contractor shall develop and submit a Continuity of Operations Plan (COOP) to the Agency for review and approval sixty (60) calendar days after contract start. The COOP shall be kept current with a formal review every six (6) months and at the start of the Implementation Phase.
6438	The Contractor shall develop and submit a Disaster Recovery Plan to the Agency within sixty (60) calendar days of contract start for review and approval. The DRP shall be kept current with a formal review every six (6) months.
4503	The Contractor shall ensure collaboration with AMMP to develop tiers of criticality, order of priority, and KPIs during DRP/COOP execution and include these elements within their DRP and COOP.
4508	The Contractor shall provide up-to-date hard and electronic copies of the DRP/COOP stored in a secure, centralized online location and at an offsite location approved by the Agency.
4509	The Contractor shall provide training to Contractor staff and identified Stakeholders on the execution of the DRP/COOP a minimum of twenty (20) business days prior to implementation of the Contractor’s module components, and annually thereafter or as directed by the Agency.
4960	The Contractor shall provide awareness training of the COOP to all staff within four (4) weeks of onboarding.
4515	The Contractor shall review any change to the Contractor system or solution for impact to DRP/COOP and update the DRP/COOP accordingly prior to implementation of the change.
4504	The Contractor shall provide a back-up and recovery solution system in compliance with State of Alabama Information Technology Policy 673-00 and CFR 164.308 (7)(ii)(A) rules and regulations to ensure full back-up.
4513	The Contractor shall perform and manage all system backup activities in accordance with the Agency's policies and requirements, including regular testing of restore procedures and perform capacity management related to backup files.
4510	The Contractor shall perform annual disaster recovery and business continuity exercises. These exercises will include activities selected from the DRP/COOP to verify the viability of each singular DRP/COOP in accordance with NIST CP-4 standards. The Contractor shall document all testing activities and report the results to the Agency within ten (10) business days from the time of the event. In instances where recovery procedures were unable to be completed, the Contractor shall adjust contingency and training plans to correct the identified plan deficiencies and present updates to the Agency for approval.
4959	The Contractor shall keep all COOP Activities and Reporting-related artifacts current and relevant throughout the term of the contract. The COOP must be kept current with a formal review every six (6) months.
6489	The Contractor shall develop and submit for Agency approval a method for ensuring the results of COOP activities are captured during the mock COOP exercise.
4964	The Contractor shall keep all DRP Activities and Reporting-related artifacts current and relevant throughout the term of the contract. The DRP must be kept current with a formal review every six (6) months.
4963	The Contractor shall develop and submit for approval a method for ensuring the results of DRP activities are captured during the exercise.

Master ID	Requirement Description
4945	The Contractor shall provide annual test reports to the Agency within five (5) business days of DRP/COOP exercise.
4946	The Contractor shall provide a report to the Agency within one (1) business day of a DRP/COOP incidence.
4947	The Contractor shall provide a report to the Agency within one (1) business day a deficiency to the DR or COOP plans are identified.
4506	The Contractor shall maintain full and complete replication of all data and software, for restoration from an alternate location as defined in the DRP/COOP.
4514	The Contractor shall work with the Agency, other Agency contractors and modules to resolve any disaster recovery test failures or issues. Additional disaster recovery testing will be performed to confirm successful resolution of test failures or until testing results are accepted by the Agency.
4512	The Contractor shall, in the event of a disaster, resume normal operational business functions in accordance with specified SLAs and according to the Agency-approved disaster recovery plan.
6377	The Contractor shall provide for back up capabilities at a geographically separate remote site(s) within the Continental United States (CONUS) from the Contractor's primary site in accordance with the standards set forth in the DRP/COOP.
6509	The Contractor shall ensure their solution allows for a maximum Recovery Point Objective (RPO) of one (1) hour for the module's solutions and services.
4517	The Contractor shall ensure their solution allows for a maximum Recovery Time Objective (RTO) of six (6) hours for the module's solutions and services.
5025	The Contractor shall have a role in the disaster response and recovery of MES and will collaborate with the Agency and MES module contractors on all DR planning, testing, exercising, and recovery activities.
4519	The Contractor shall gain Agency approval prior to returning service to the primary service host or site(s) in the event a disaster is declared during the course of the contract period.
4516	The Contractor shall keep current key personnel contact information as it relates to Disaster Recovery and Continuity of Operations in the DRP and/or COOP, respectively, with an update every six (6) months.

d. Deliverables – COOP/DR

Table II-11: Continuity of Operations/Disaster Recovery – Deliverables

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
COOP_01	6434	Continuity of Operations Plan	The Contractor shall develop and submit a Continuity of Operations Plan (COOP) to the Agency for review and approval sixty (60) calendar days after contract start. The COOP shall be kept current with a formal review every six (6) months and at the start of the Implementation Phase.	Sixty (60) calendar days after contract start	Every six (6) months and at the start of the Implementation Phase

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
DRP_01	6438	Disaster Recovery Plan	The Contractor shall develop and submit a Disaster Recovery Plan to the Agency within sixty (60) calendar days of contract start for review and approval. The DRP shall be kept current with an update every six (6) months and at the start of the Implementation Phase.	Sixty (60) calendar days after contract start	Every six (6) months and at the start of the Implementation Phase

4. SLAs and KPIs – Security

The PM Services Contractor shall provide in the Service Level Agreement (SLA) Plan how they will follow their best practices and tools for providing the PM solution. Unless otherwise noted, a threshold of 100% to SLAs and Key Performance Indicators (KPI)s is expected.

Discount Calculations: If for any one month, any one or more of the SLAs measurements do not meet the SLA standards, the Contractor shall discount by 3% (three percent) against the amount invoiced for monthly PM Operations Fee the same month in which the SLA standards were not met. If the Contractor consistently fails to meet the SLA standards, the Agency may request a Corrective Action Plan (CAP). If the Contractor is still unable to meet SLA standards after the CAP has been executed, then the Agency may notify the Contractor of failure to meet contract requirements, and the Contractor may be subject to liquidated damages as described in RFP [Section VIII.MM Contract Liquidated Damages](#). KPI’s are excluded from discount calculations.

a. Service Level Agreement – Escalation

- 1) Monitoring. The PM Services Contractor shall provide a 24/7 security and event management or equivalent solution to aggregate logs, monitor system activity, identify suspect behavior/anomalies, security events, file integrity, evaluate logs, and provide an alerting capability. The PM Services Solution shall provide the ability to audit/track all activity specific to each user and process, including at minimum, date and time of last login, invalid login attempts, system errors, and all transaction activities, including inquiries. The PM Services Solution shall also provide a user interface for the Agency to review activity and alerts. Access and authentication reports shall be provided daily to the Agency, and the Agency shall have the ability to view access logs in real-time. Logs shall be kept and archived on a schedule as approved by the Agency.
 - 2) Security Operations Center / Managed Detection and Response (MDR). Alerts and events shall be actively monitored on a 24/7 basis by a Security Operations Center/MDR or equivalent team.
 - 3) Alerts/Escalation. Alerts must include ability to alert appropriate staff of potential violations of privacy safeguards, such as inappropriate access or attempted access to confidential information and preserve and report specified audit data when a potential security violation is detected.
 - a) **Measurement Item.** 24/7 security and event management
 - b) **Measurement Description.** Continuous auditing and tracking of all activity
 - c) **Measurement Logic.** Requires Agency approval
 - d) **Measurement Period.** Episodic
- a) **Measurement Item.** 24/7 security and event management log retention

- b) **Measurement Description.** Logs kept and archived on schedule
- c) **Measurement Logic.** Requires Agency approval
- d) **Measurement Period.** Episodic

b. Key Performance Indicator – Security Incident Response

- 1) **Security Incident Response.** When reporting a security issue to the Contractor, the Agency shall identify the issue by its Security Level as described below. If the Contractor identifies a security issue, the Contractor shall immediately notify the Agency and identify the issue security level based on Contractor’s initial evaluation.
 - a) Security Level 1 (S1) – Incident affecting critical systems, information, or data (e.g., Distributed Denial of Service (DDoS), active hacking, virus outbreak, breach)
 - b) Security Level 2 (S2) – Incident affecting non-critical systems, information, or data. Employee investigations should typically be classified at this level (e.g., improper access, non-active hacking, policy violations)
- 2) **Time to Response and Resolution.** Immediately upon identifying a security issue or receiving notice from system users of a security issue, the Contractor shall respond and resolve the issue in alignment with the guidelines outlined below, as applicable. If the Contractor cannot meet any of these guidelines, the Contractor shall describe in writing to the Agency to explain why and propose new Response and Resolution Times for Agency approval.
 - a) Initial Response (Stopgap Measure):
 - Security Level 1 (S1) – Response Time/Target: thirty (30) clock minutes / 100%
 - Security Level 2 (S2) – Response Time/Target: one (1) business hour / 100%
 - b) Investigation
 - Security Level 1 (S1) – Response Time/Target: once per clock hour / 100%
 - Security Level 2 (S2) – Response Time/Target: once per business day / 100%
 - c) Full Resolution:
 - Security Level 1 (S1) – Resolution Time/Target: four (4) clock hours / 100%
 - Security Level 2 (S2) – Resolution Time/Target: two (2) business days / 100%
- 3) **Updates.** For Security Level 1 (S1) incidents, the Contractor shall provide status updates every one (1) hour to the Agency until the security issue is resolved. For Security Level 2 (S2) incidents, Contractor shall provide status updates daily to the Agency in writing until the security issue is resolved.
 - a) **Measurement Item.** Security incident initial response (Security Level 1)
 - b) **Measurement Logic.** The measurement logic is Time <= thirty (30) clock minutes
 - c) **Measurement Period.** Episodic
 - a) **Measurement Item.** Security incident initial response (Security Level 2)
 - b) **Measurement Logic.** The measurement logic is Time <= one (1) business hour
 - c) **Measurement Period.** Episodic
 - a) **Measurement Item.** Security incident investigation response (Security Level 1)
 - b) **Measurement Logic.** The measurement logic is Time <= once per clock hour
 - c) **Measurement Period.** Episodic
 - a) **Measurement Item.** Security incident investigation response (Security Level 2)
 - b) **Measurement Logic.** The measurement logic is Time <= once per business day
 - c) **Measurement Period.** Episodic

- a) **Measurement Item.** Security incident full resolution (Security Level 1)
- b) **Measurement Logic.** The measurement logic is Time <= four (4) clock hours
- c) **Measurement Period.** Episodic

- a) **Measurement Item.** Security incident full resolution (Security Level 1)
- b) **Measurement Logic.** The measurement logic is Time <= two (2) business days
- c) **Measurement Period.** Episodic

c. Key Performance Indicator – Breach

- 1) **Privacy and Security Breach Notification.** The PM Services Contractor must adhere to all applicable Federal, State, and local laws and regulations regarding privacy and information security. The PM Services Contractor must notify the Agency immediately, but in no case more than twenty-four (24) clock hours, upon becoming aware of any actual or reasonably suspected unauthorized access to or disclosure of Agency data or security incident affecting any State component or supporting infrastructure. The PM Services Contractor must support investigation, take prompt corrective action and remediation steps, and provide notification as required per the Business Associate Agreement (BAA). The PM Services Contractor must provide a written report to the Agency within thirty (30) calendar days of discovery of the breach.
 - a) **Measurement Item.** Privacy and Security Breach
 - b) **Measurement Description.** Requires initial notification to the Agency
 - c) **Measurement Logic.** The measurement logic is Time <= twenty-four (24) hours of the breach
 - d) **Measurement Period.** Episodic

 - a) **Measurement Item.** Privacy and Security Breach
 - b) **Measurement Description.** Requires written breach report to the Agency
 - c) **Measurement Logic.** The measurement logic is Time <= thirty (30) calendar days of the breach
 - d) **Measurement Period.** Episodic

d. Key Performance Indicator – Disaster Recovery

The PM Services Contractor shall meet the Recovery Time Objective (RTO) and Recovery Point Objective (RPO) requirements listed below in the case of disaster recovery. The PM Services Contractor shall test and document the disaster recovery process at least annually (once a year) to ensure compliance with the RTO and RPO.

- Recovery Time Objective (RTO): < 6.0 clock hours
- Recovery Point Objective (RPO): < 1.0 clock hours

- 1) **Measurement Item.** Recovery time objective testing
- 2) **Measurement Description.** Disaster recovery completed
- 3) **Measurement Logic.** The measurement logic is Time < six (6) hours
- 4) **Measurement Period.** Annually

- 1) **Measurement Item.** Recovery point objective testing
- 2) **Measurement Description.** Disaster recovery completed
- 3) **Measurement Logic.** The measurement logic is Time < one (1) hour
- 4) **Measurement Period.** Annually

5. Narrative Questions

Vendors must answer each narrative question or statement clearly, completely, and in the format designated in [RFP section VI. Submission Requirements, subsection N.1.e, Tab 6 – Scope of Work and Narrative Response](#) and in alignment with PL18 Response to Narrative Questions Template. Each narrative question response must address the applicable specification(s) and should include any Vendor-specific knowledge, creativity, or innovation that shows how the topic will support the Agency’s goals and objectives. All questions must have a detailed response. An unclear or incomplete response to a question will result in a lower score. Any question that does not have a response will be regarded as non-responsive and may cause the submission to be rejected.

- Q - 14 Describe your approach to collaborating with the Agency to document the PM Security Plan in the Agency GRC management platform.
- Q - 15 Describe your approach to business continuity and disaster recovery.
- Q - 16 Describe your experience with adherence to NIST and other State and Federal security requirements.
- Q - 17 Provide and describe how your proposed PM Services Solution (including your approach to Hosting) will meet Alabama’s security and compliance expectations and requirements.
- Q - 18 Provide and describe a detailed explanation in ensuring that all data exchanges and storage related to your solution will be strictly restricted to servers and facilities located within the Continental United States.

F. Performance

The PM Services Contractor will be responsible for providing and operating a foundational PM Services module that exceeds the current solution performance and scale. This foundation must be scalable for future growth. The PM Services Contractor will ensure performance is met through specifications of uptimes and response times, as well as requirements to maintain and monitor the system.

The PM Services module will include the planning of a responsive backup strategy to adequately address the AMMP needs and schedules, while incorporating routine frequencies to make sure adequate restore points are available. Additionally, recovery capabilities should extend to all aspects of the PM functional areas.

1. System Health Dashboard

The PM Services Contractor shall provide a System Health Dashboard at the start of the Implementation Phase that presents a near real-time, consolidated display of health and performance of the PM Services module. The System Health Dashboard will be used to inform the Agency’s Business Operations staff of current PM Services module conditions, allowing the Agency to utilize this information to quickly respond to issues within the PM Services module.

2. Requirements – Performance

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-12: PM Performance Requirements, deliverables in Table II-13: Performance – Performance Deliverables, all Performance expectations in [RFP Section II.F.4. SLAs and KPIs – Performance](#), and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-12: PM Performance Requirements

Master ID	Requirement Description
6367	The Contractor shall provide a solution that includes the capability to recover and reinitiate transactions that are interrupted during transfer.
6463	The Contractor shall provide a System Health Dashboard at the start of the Implementation Phase that presents a near real-time, consolidated display of health and performance of the PM Services module.
6366	The Contractor shall provide a solution with the capability to capture and report metrics on system availability, response time, scalability, resource allocation, and data query performance.
6362	The Contractor shall provide a configurable and interactive dashboard that provides real-time information that is used to track CMS-required metrics, Service Level Agreements (SLAs) and Key Performance Indicators (KPIs) that are agreed upon by the Agency.
6512	The Contractor shall provide a solution that has the ability to complete backup restorations from short-term storage, including transaction logs and testing, within eight (8) hours.
6513	The Contractor shall provide a solution that has the ability to complete backup restorations from long-term storage, for the purpose of point-in-time investigation, within five (5) calendar days.

3. Deliverables – Performance

Table II-13: Performance – Performance Deliverables

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
PFM_01	6463	System Health Dashboard	The Contractor shall provide a System Health Dashboard at the start of the Implementation Phase that presents a near real-time, consolidated display of health and performance of the PM module.	Start of the Implementation Phase	Near real-time
PFM_02	6362	CMS Metrics, SLAs, and KPIs Dashboard	The Contractor shall provide a configurable and interactive dashboard that provides real-time information that is used to track CMS-required metrics, Service Level Agreements (SLAs) and Key Performance Indicators (KPIs) that are agreed upon by the Agency.	Ninety (90) calendar days prior to the start of the Implementation Phase	Monthly

4. SLAs and KPIs – Performance

The PM Services Contractor shall provide in the Service Level Agreement Plan how they will follow their best practices and tools for providing the PM solution. Unless otherwise noted, a threshold of 100% to SLAs and KPIs is expected.

Discount Calculations: If for any one month, any one or more of the SLAs measurements do not meet the SLA standards, the Contractor shall discount by 3% (three percent) against the amount invoiced for monthly PM Operations Fee the same month in which the SLA standards were not met. If the Contractor consistently fails to meet the SLA standards, the Agency may request a Corrective Action Plan (CAP). If the Contractor is still unable to meet SLA standards after the CAP has been executed, then the Agency may notify the Contractor of failure to meet contract requirements, and the Contractor may be subject to liquidated damages as described in RFP [Section VIII.MM Contract Liquidated Damages](#). KPIs are excluded from discount calculations.

a. Service Level Agreement - Maintenance/Updates/Upgrades

- 1) **Maintenance/Updates.** All recurring planned maintenance must be scheduled and performed outside of working hours (M-F, 6:00 a.m. - 7:00 p.m. Central Time, non-holidays) with advance Agency approval. Urgent planned maintenance may be scheduled and performed during working hours with advance Agency approval if non-working hours are nonviable. Planned downtime should occur between 11:00 p.m. - 5:00 a.m. Central Time.
- 2) **Upgrades.** When there is a major release of operating system, database, or applications, the Contractor will upgrade to the new release on a schedule approved by the Agency. The PM Services Contractor is responsible to maintain functionality, backwards compatibility, and interoperability. The PM Services Contractor is responsible to ensure that there will be no data loss.
 - a) **Measurement Item.** Recurring maintenance
 - b) **Measurement Description.** To maintain functionality, backwards compatibility, and interoperability and to ensure that there will be no data loss
 - c) **Measurement Logic.** The measurement logic is Time > 7:00 p.m. CT, < 6:00 a.m. CT
 - d) **Measurement Period.** Ongoing through the end of the contract
 - a) **Measurement Item.** Urgent maintenance
 - b) **Measurement Description.** To maintain functionality, backwards compatibility, and interoperability and to ensure that there will be no data loss
 - c) **Measurement Logic.** Requires Agency approval
 - d) **Measurement Period.** Ongoing through the end of the contract
 - a) **Measurement Item.** Planned downtime
 - b) **Measurement Description.** To maintain functionality, backwards compatibility, and interoperability and to ensure that there will be no data loss
 - c) **Measurement Logic.** The measurement logic is Time > 11:00 p.m. CT, < 5:00 a.m. CT
 - d) **Measurement Period.** Ongoing through the end of the contract
 - a) **Measurement Item.** Upgrades
 - b) **Measurement Description.** To maintain functionality, backwards compatibility, and interoperability and to ensure that there will be no data loss
 - c) **Measurement Logic.** Requires Agency approval
 - d) **Measurement Period.** Ongoing through the end of the contract
 - a) **Measurement Item.** Data loss during upgrades

- b) **Measurement Description.** To maintain functionality, backwards compatibility, and interoperability and to ensure that there will be no data loss
- c) **Measurement Logic.** No data loss.
- d) **Measurement Period.** Ongoing through the end of the contract

b. Service Level Agreement – System Response Time

The PM Services solution provides capability for system response time to be consistent for all users directly interacting with the production environment, based on a common PM Services Solution access for network access point, processed and returned to the network access point. During DDI, the contractor shall work with the Agency to establish a baseline set of system response times. Adjustments to the baseline system response times must be agreed upon by the Agency. Ninety-five percent (95%) of responses occur within the baseline system response time. Ninety-nine percent (99%) of response occur within the baseline system response time + 50%

Response time shall be measured both at the Agency and PM Business Office. The PM Services Contractor shall report on this monthly by the 5th business day of the month following month end. Variances of more than twenty percent (20%) in response time between the two (2) locations shall be researched and documented by the PM Services Contractor and Agency staff for improvement. The documentation shall be in a format determined by the Agency.

- 1) **Measurement Item.** PM Services solution system response time
- 2) **Measurement Description.** 95% of system response
- 3) **Measurement Logic.** The measurement logic is Time <= baseline system response time
- 4) **Measurement Period.** Monthly, previous Month

- 1) **Measurement Item.** PM Services solution system response time
- 2) **Measurement Description.** 99% of system response
- 3) **Measurement Logic.** The measurement logic is Time <= baseline system response time + 50%
- 4) **Measurement Period.** Monthly, previous Month

- 1) **Measurement Item.** PM Services solution system response time reporting
- 2) **Measurement Description.** Requires Contractor reporting on web portal system response time
- 3) **Measurement Logic.** The measurement logic is Time <= 5th of month following quarter end
- 4) **Measurement Period.** Monthly, previous Month

- 1) **Measurement Item.** PM Services solution system response time research
- 2) **Measurement Description.** Requires research for variances in web portal system response times
- 3) **Measurement Logic.** The measurement logic is Time > 20%
- 4) **Measurement Period.** Monthly, previous Month

c. Key Performance Indicator – Downtime Notifications

- 1) **Scheduled Downtimes.** Obtain Agency approval before scheduling planned downtimes, keeping Central Time in mind, and maximizing uptime during normal business hours in Alabama. Notify users of status of planned downtimes with Agency approval of channels, messaging, and timing (e.g., publication in portal; email notification in advance, at start, and upon completion).
 - a) **Measurement Item.** Scheduled downtime
 - b) **Measurement Description.** Requires Agency approval

- c) **Measurement Period.** Ongoing
 - 2) **Unplanned Downtimes.** Upon the occurrence of any unplanned downtime, the Contractor shall immediately notify the Agency and follow-up within one (1) business day with a written explanation and documentation. Documentation shall include, but not be limited to, dates, times, and duration of system non-availability and dates and times of downtime events.
 - a) **Measurement Item.** Unplanned downtime
 - b) **Measurement Description.** Requires immediate Agency notification
 - c) **Measurement Logic.** The measurement logic is Time immediate
 - d) **Measurement Period.** Ongoing
 - a) **Measurement Item.** Unplanned downtime
 - b) **Measurement Description.** Requires contractor follow-up with written explanation and documentation
 - c) **Measurement Logic.** The measurement logic is Time <= one (1) business day
 - d) **Measurement Period.** Ongoing
- d. Key Performance Indicator – Backup Restoration**
- 1) **Short-Term Storage.** Backup restorations from short-term storage, including transaction logs and testing, shall complete within eight (8) hours.
 - a) **Measurement Item.** Short-term backup restoration
 - b) **Measurement Description.** Completed backup restoration
 - c) **Measurement Logic.** The measurement logic is Time <= eight (8) hours
 - d) **Measurement Period.** Episodic; backup restoration
 - 2) **Long-Term Storage** Backup restorations from long-term storage shall complete within five (5) calendar days. This would be used for finding something in a point in time; this would not occur within the Production environment.
 - a) **Measurement Item.** Long-term backup restoration
 - b) **Measurement Description.** Completed backup restoration
 - c) **Measurement Logic.** The measurement logic is Time <= five (5) calendar days
 - d) **Measurement Period.** Episodic; backup restoration

5. Narrative Questions

Vendors must answer each narrative question or statement clearly, completely and in the format designated in [RFP section VI. Submission Requirements, subsection N.1.e, Tab 6 – Scope of Work and Narrative Response](#) and in alignment with PL18_Response to Narrative Questions Template. Each narrative question response must address the applicable specification(s) and should include any Vendor-specific knowledge, creativity, or innovation that shows how the topic will support the Agency’s goals and objectives. All questions must have a detailed response. An unclear or incomplete response to a question will result in a lower score. Any question that does not have a response will be regarded as non-responsive and may cause the submission to be rejected.

- Q - 19 Provide your experience and an example of a customizable dashboard that can track SLAs and KPIs to meet our requirements.
- Q - 20 Describe your approach to ongoing measurement of CMS Outcomes.
- Q - 21 Provide baseline system response times for your solution. Describe your approach in measuring system performance.

G. Data Integration and Management Services

1. Data Management

The PM Services Contractor will establish and maintain a comprehensive data governance program that enforces the Agency's Data Governance policies. The PM Services Contractor shall provide a solution that maintains provider data as the Agency's system of record for provider management information and supports the Agency's master and reference data management capabilities.

The PM Services Contractor will demonstrate proficiency and compliance with operational requirements complying and enforcing the Agency's Data Governance policies, processes, and procedures. The PM Services module will meet the data governance standards as described in the Agency's Data Governance Policy (PL04_Data Governance Memo 918) and all requisite Federal and State regulations and external mandates in collaboration with the Data Governance Office (DGO).

a. Data Management Plan

The PM Services Contractor shall provide a Data Management Plan (DMP) that aligns with the Medicaid Enterprise Security Policy and the DGO Data Management Plan. The DMP must describe how the PM Services Contractor handles data, ensures data quality and consistency, increases accountability, improves data security, and optimizes data usage. The DMP must document the PM Services Contractor's approach to supporting and collaborating with the Agency and AMMP/MES module contractors regarding the Agency's overall data management and governance policies and principles. As the Agency continues to document and develop its organizational approach to data management, the PM Services Contractor shall support and collaborate with the Agency to mature the strategy to effectively maintain and operate the AMMP and future data integrations. The DMP must include, but not be limited to, the following:

- Data Architecture
- Data Modeling and Design
- Data Storage and Operations
- Data Security
- Data Integration and Interoperability
- Data Quality
- Data Retention
- Data Dictionary

b. Data Transfer and Conversion Management Plan

The PM Services Contractor shall develop and submit a Data Transfer and Conversion Management Plan to the Agency for review and approval six (6) months after contract start. The Data Transfer and Conversion Management Plan shall use the Cleanup and Conversion Management Template (COM-15-02). The Data Transfer and Conversion Management Plan shall be updated every ninety (90) calendar days until the end of the Post Implementation Phase. The Data Transfer and Conversion Management Plan shall define how the Contractor will be actively involved in managing and providing guidance for all data transfer and conversion activities. The Data Transfer and Conversion Management Plan shall include, but not be limited to, the objectives, strategy, standards, methods, procedures, roles, responsibilities, data requirements, data mapping and designs, exception handling, risks and mitigation strategies, data conversion procedures and controls, data cleansing, conversion rollout, reports for conversion results, accuracy rates, statistics, and data conversion schedule. The PM Services Contractor shall be responsible for defining the requirements needed for data transfer and conversion from the AMMIS and all ancillary systems.

The PM Services Contractor shall develop and submit Data Transfer and Conversion Management Reporting using the Cleanup and Conversion Management Reporting Template (COM-15-01) to document the results from each data transfer and conversion process execution. The Data Transfer and Conversion Management Reporting shall monitor, track, confirm, and report on all results from test and production conversion runs and validate those results are accurately reported including full and interim conversion runs. The format, content, and delivery schedule of the Data Transfer and Conversion Management Reporting will be defined after the start of the contract and must be approved by the Agency.

c. Data Models

The PM Services Contractor will provide an enterprise data model for the Provider Management module.

d. Requirements – Data Management Services

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-14: Data Integration and Management – Data Management Requirements, all deliverables listed in Table II-17: Data Management – Data Integration and Management Deliverables and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-14: Data Integration and Management – Data Management Requirements

Master ID	Requirement Description
6051	The Contractor shall ensure that the PM Services module meets the data standards as described in the Agency’s Data Governance Policy.
6063	The Contractor shall develop and submit a Data Management Plan (DMP) to the Agency for review and approval two (2) months after Contract Start. The DMP shall align with the DGO Data Management Plan and describe how the Contractor handles data, ensures data quality and consistency, increases accountability, improves data security, and optimizes data usage. The Contractor shall keep current the DMP with a formal review every six (6) months.
6049	The Contractor shall develop and submit a Data Transfer and Conversion Management Plan to the Agency for review and approval six (6) months after contract start. The Data Transfer and Conversion Management Plan shall use the Cleanup and Conversion Management Template (COM-15-02). The Data Transfer and Conversion Management Plan shall be updated every ninety (90) calendar days until the end of the Post Implementation Phase.
6462	The Contractor shall develop and submit Data Transfer and Conversion Management Reporting using the Cleanup and Conversion Management Reporting Template (COM-15-01) to document the results from each data transfer and conversion process execution.
6052	The Contractor shall maintain a comprehensive set of data governance and quality processes (monitor, correct, and report) for the Provider Management module, as outlined in the Data Management Plan.
6067	The Contractor shall provide a solution that supports the Agency’s data quality processes and capabilities. The Agency will define and approve critical data quality rules and provide those rules to the Contractor.
6064	The Contractor shall work collaboratively with the Agency to develop and enforce data standards according to the business needs of the Agency.
6043	The Contractor shall provide, implement, maintain, and support comprehensive metadata management for all metadata defined within the Contractor’s environments including, but not limited to, a data dictionary, history of changes, all ETL/ELT mappings, and all interface, file, and dataset definitions for their solution to align with the Enterprise Data Management Plan.

Master ID	Requirement Description
6069	The Contractor shall provide a solution with the capability to validate data and apply data quality rules within all data processes, data movement, and data storage.
6066	The Contractor shall provide a solution that supports metadata management program that encompasses metadata, master data, data dictionaries, reference data, and business rules with established Agency policies, processes, and procedures.
6044	The Contractor shall provide and maintain a solution that includes an online metadata dictionary, featuring customizable search and reporting capabilities, that is accessible by Agency authorized users.
6383	The Contractor shall provide the capability to store and check all applicable data from internal and external sources for data quality prior to the loading of the data into the PM Services module.
6036	The Contractor shall use the Extract, Transform and Load/ Extract, Load, and Transform (ETL/ELT) process approved by the Agency in the Environmental Monitoring Plan.
6034	The Contractor shall provide an ETL/ELT solution that includes exception handling mechanisms to facilitate error correction and auditing without impacting concurrent, overall operations.
6024	The Contractor shall provide a solution that provides a queue listing of ETL/ELT jobs, statuses, errors, and descriptions.
6046	The Contractor shall provide a solution with the capability to flag and retain all provider management data related to lifetime procedures as requested by the Agency in a non-archived state until such time as the Agency gives approval to archive or purge the specified data.
6047	The Contractor shall provide a solution with the capability to flag and retain all provider management data related to legal matters and lawsuits as requested by the Agency in a non-archived state until such time as the Agency gives approval to archive or purge the specified data.
6048	The Contractor shall develop and maintain a process to archive and access archived data as defined in the Environmental Monitoring Plan. The Contractor shall work with the Agency to establish archive and retrieval processes. The Contractor shall obtain Agency approval prior to archiving any data.
6071	The Contractor shall review the data stored within the PM Services module associated with lifetime procedures, legal matters, and lawsuits annually with the Agency.
5993	The Contractor shall index provider information so that the provider information is accessible by the following criteria, including but not limited to: <ol style="list-style-type: none"> 1. Medicaid ID 2. NPI 3. NPI with Taxonomy 4. FEIN 5. UPIN 6. Name 7. Business Name 8. Application ID
6078	The Contractor shall establish translation/crosswalk references for data elements that are equivalent but not an exact match (e.g., field size is larger in the PM solution to allow for future growth).
6349	The Contractor shall acquire and maintain all necessary data licensing agreements to implement and operate a federally certified and compliant solution.

Master ID	Requirement Description
6360	The Contractor shall produce an output file/report with the results/metrics of all quality checks performed for each data file received in accordance with the format, frequency, and standards established by the Agency DGO.
5535	The Contractor shall provide a solution that uses a standard format, approved by the Agency's Data Governance Office (DGO), for provider names that, at a minimum, differentiates between the first name, middle name/initial, last name, suffix, Doing Business As ("DBA"), and corporate names.
5533	The Contractor shall provide a solution that captures zip codes in zip + 4 format.
6497	The Contractor shall provide the data models for the Provider Management solution to the Agency for review and approval six (6) months after Contract Start. The data models shall be kept current with a formal review every six (6) months.
6498	The Contractor shall provide the design, configuration, build, maintenance, and operation of data models for the Provider Management solution.

2. Data Integration

The PM Services Contractor shall follow the AMMP Partner Integration Guide developed by the SIS Contractor that instructs MES module contractors on the processes and procedures for integrating with the SIP, MES modules, components, and interfaces to meet the business needs of the Agency. The PM Services solution shall exchange data with other MES modules through the SIP. The PM Services Contractor shall work closely with the SIS Contractor to establish connections, develop interface control documents (ICDs) and implement data exchanges to and from other MES modules. The PM Services Contractor shall closely coordinate with the AMMIS Contractor and CPMS Contractor to fully understand the data that will be required by AMMIS and CPMS for operational and reporting purposes and the data that will be received from the AMMIS and CPMS. The PM Services Contractor shall establish translation or crosswalk tables to exchange data with other MES modules that is not an exact match due to field size, etc. to avoid the need to change existing data in other MES modules. The PM Services Contractor shall have policies, procedures, and staff available to promptly resolve issues occurring during the exchange of data with the SIP and other MES modules. The PM Services Contractor will also be required to share health and performance information for the PM Services module with the SIS Contractor for use in the System Health Dashboard, provided by the SIS Contractor.

The PM Services module will be capable of continuously adapting as integration standards evolve. As modularization within the AMMP continues, the Agency expects the integration model to evolve and mature. Integration of internal data sources will take place in coordination with the AMMP System Integration Contractor. The PM Services Contractor will be responsible for working with external data source entities to establish and maintain all external data integrations. A list of the current Provider Management related interfaces is available in the Procurement Library within PL20_Provider Management Interfaces.

The PM Services solution may have the need to utilize industry-standard proprietary health and drug data. The contractor will include such licensing as part of the solution.

a. Interface Control Document

The PM Services Contractor shall develop Interface Control Document(s) (ICDs), for each interface, that reflect production configuration using the Interface Control Document Template (EA-k-7). The ICD describes the interfaces between the PM Services module and existing or new systems or services. The PM Services Contractor shall create and maintain a set of ICDs for all interfaces for the PM Services module, MES modules, and Data Governance Tool using Agency

templates. The PM Services Contractor shall facilitate sessions with each MES module contractor and DGO to create the ICD for each interface outlined in PL_09 during the Planning and Design phases for each MES module. All ICDs will be submitted to the Agency for review and approval six (6) months after contract start. The ICDs shall be kept current with a formal review every six (6) months.

b. Data Delivery

The PM Services module will include the mechanisms and support to allow Agency-approved users to export and deliver data out of the PM Services solution via export and reporting functionality.

c. Requirements – Data Integration Services

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-15: Data Integration and Management – Data Integration Requirements, Table II-16: Data Integration and Management – Provider Management Database Requirements, all deliverables listed in Table II-17: Data Management – Data Integration and Management Deliverables, and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-15: Data Integration and Management – Data Integration Requirements

Master ID	Requirement Description
6363	The Contractor shall provide a solution that allows for the ingestion, retention, and access to data for a minimum of seven (7) years and in compliance with State and Federal data retention policies and standards.
6055	The Contractor shall work with the AMMIS contractor to receive data from the AMMIS.
6037	The Contractor shall integrate with the SI Contractor for the ingestion of data into the PM Services module, as defined by the Agency.
6054	The Contractor shall work with the SI Contractor to establish data exchanges from the AMMIS to the PM Services module.
5439	The Contractor shall provide a solution that makes real time updates to provider management information to the SIP for use by other MES modules.
6079	The Contractor shall provide performance data to the SI Contractor for the SI Platform’s System Health Dashboard as required by the SI Contractor. The Contractor shall provide data for all SLA’s, including, but not limited to: <ol style="list-style-type: none"> 1. Query/Report Performance 2. System Availability 3. Incident Management
6074	The Contractor shall work with the SI Contractor to establish data exchanges from the PM Services module to the EDS module.
6053	The Contractor shall work with the SI Contractor to establish data exchanges between the MEVV module and the PM Services module.
6073	The Contractor shall work with the SI Contractor to establish data exchanges between the CPMS module and the PM Services module.
5897	The Contractor shall provide a solution that receives and maintains the last activity status date for all providers from CPMS.
6072	The Contractor shall work with the SI Contractor to establish data exchanges between the CARES module and the PM Services module.
6087	The Contractor shall work with the Agency and the ACHNs to establish connections, develop interface control documents (ICDs), and to implement data exchanges.

Master ID	Requirement Description
5574	The Contractor shall update the provider management system with screened, validated, and approved provider enrollment information and will send this data to the SI module in real-time for use by the other MES modules.
5890	The Contractor shall receive and store the Adverse Action List from the Agency.
6062	The Contractor shall develop and submit Interface Control Documents (ICDs) for all interfaces between modules and outside entities to the Agency for review and approval six (6) months after contract start. The Contractor shall develop the ICDs using the Interface Control Document Template (EA-k-7). The Contractor shall keep current the ICDs with a formal review every six (6) months.
6045	The Contractor shall provide a solution that includes the ability to apply corrections to previously loaded records in alignment with the Interface Control Document for the source system.
6057	The Contractor shall provide a solution that includes a real-time Application Programming Interface (API) that supports data ingestion, data updates, and data retrieval.
6032	The Contractor shall perform root cause analysis and present the results to the Agency, along with a remediation plan, for any anomalies related to data ingestion and load processes. During business hours, an initial notification of the anomaly shall be provided to the Agency within one (1) hour. Outside of business hours, an initial notification shall be provided via email, with a follow-up call scheduled the first business day after the anomaly. The root cause analysis shall be provided to the Agency within three (3) business days, or a timeframe agreed upon by the Agency.
6033	The Contractor shall provide a solution that includes standardized data models based on industry best practices to align with the Agency's Data Governance Standards.
6080	The Contractor shall integrate with the SI Contractor for the delivery of data from the PM Services module to other MES modules, as defined by the Agency.

3. Provider Management Database

The solution provided by the PM Services Contractor will be the single source of provider management information across the Agency. The PM Services solution must provide highly configurable interfaces that can receive and that can securely store, manage, and exchange this information with other MES modules requiring provider information for operational and reporting purposes.

The PM Services solution shall provide a provider management database that includes the data elements to support, and provider management activities defined in this RFP, including but not limited to, the critical data elements identified by the Agency in the publication Provider Management Critical Data Elements (see PL33_Provider Management Master Data Elements Reference Guide). The PM Services Contractor shall obtain approval from the Agency prior to implementing any programs or edits that populate, correct, or normalize a data element identified by the Agency as a provider management critical data element. In addition, the Contractor shall provide a solution that can be modified to add or update data elements in the provider management database resulting from operational or policy changes mandated by CMS and/or the Agency.

The solution must also be able to maintain both current and historical provider information including the beginning and ending dates for data elements such as enrollment status, affiliations, and contracts. The solution must include logic and edits that consistently enforce agreed upon provider management naming and content conventions to promote the accuracy and reliability of provider data. The PM Services Contractor shall provide a solution that allows a mass update to provider data when a mandated change impacts a significant group of providers or an entire provider category or type.

a. Requirements – Provider Management Database

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-16: Data Integration and Management – Provider Management Database Requirements, all deliverables in Table II-17: Data Management – Data Integration and Management Deliverables, and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-16: Data Integration and Management – Provider Management Database Requirements

Master ID	Requirement Description
6085	The Contractor shall provide a Provider Management Database that includes, but is not limited to, the critical data elements identified by the Agency in the publication Provider Management Critical Data Elements.
6086	The Contractor shall provide a Provider Management Database that includes all data elements to support the provider management activities defined in this RFP.
6081	The Contractor shall modify the solution to add or update data elements to the Provider Management Database resulting from operational or policy changes mandated by CMS and/or the State of Alabama.
6076	The Contractor shall be responsible for the management, security, and continuity of operations of all technologies necessary to support the Provider Management Database.
6082	The Contractor shall obtain approval from the Agency prior to implementing any programs or edits that impact any critical data elements identified by the Agency.
5912	The Contractor shall provide a solution that will receive provider contract information from the Agency electronically and shall store and manage this information in the Contractor’s system. This shall include, but is not limited to, the following information for each contract: <ol style="list-style-type: none"> 1. Contract Name 2. Contract Description 3. Contract Number 4. Contract Start Date 5. Contract End Date 6. Provider Type 7. Speciality
6083	The Contractor shall provide a solution that allows a mass change to provider data when a mandated change impacts a significant group of providers or an entire provider classification or type.

4. Deliverables – Data Integration and Management Services

Table II-17: Data Management – Data Integration and Management Deliverables

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
DAT_01	6063	Data Management Plan	The Contractor shall develop and submit a Data Management Plan (DMP) to the Agency for review and approval two (2) months after Contract Start. The DMP shall align with the DGO Data Management Plan and describe how the Contractor handles data,	Two (2) months after contract start	Every six (6) months

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
			ensures data quality and consistency, increases accountability, improves data security, and optimizes data usage. The Contractor shall keep current the DMP with a formal review every six (6) months.		
DAT_02	6049	Data Transfer and Conversion Management Plan	The Contractor shall develop and submit a Data Transfer and Conversion Management Plan to the Agency for review and approval six (6) months after contract start. The Data Transfer and Conversion Management Plan shall use the Cleanup and Conversion Management Template (COM-15-02). The Data Transfer and Conversion Management Plan shall be updated every ninety (90) calendar days until the end of the Post Implementation Phase.	Six (6) months after Contract Start	Every ninety (90) calendar days until the end of the Post Implementation Phase
DAT_03	6497	Data Models	The Contractor shall provide the data models for the Provider Management solution to the Agency for review and approval six (6) months after Contract Start. The data models shall be kept current with a formal review every six (6) months.	Six (6) months after Contract start	Every six (6) months
DAT_04	6062	Interface Control Document	The Contractor shall develop and submit Interface Control Documents (ICDs) for all interfaces between modules and outside entities to the Agency for review and approval six (6) months after contract start. The Contractor shall develop the ICDs using the Interface Control Document	Six (6) months after contract start	Every six (6) months

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
			Template (EA-k-7). The Contractor shall keep current the ICDs with a formal review every six (6) months.		

5. SLAs and KPIs – Data Integration and Management Services

The PM Services Contractor shall provide in the Service Level Agreement Plan how they will follow their best practices and tools for providing the PM solution. Unless otherwise noted, a threshold of 100% to SLAs and KPIs is expected.

Discount Calculations: If for any one month, any one or more of the SLAs measurements do not meet the SLA standards, the Contractor shall discount by 3% (three percent) against the amount invoiced for monthly PM Operations Fee the same month in which the SLA standards were not met. If the Contractor consistently fails to meet the SLA standards, the Agency may request a Corrective Action Plan (CAP). If the Contractor is still unable to meet SLA standards after the CAP has been executed, then the Agency may notify the Contractor of failure to meet contract requirements, and the Contractor may be subject to liquidated damages as described in RFP [Section VIII.MM Contract Liquidated Damages](#). KPIs are excluded from discount calculations.

a. Service Level Agreement – Data Availability

The PM Services Contractor shall meet the agreed upon specifications in the Interface Control Document for each interface.

- 1) **Measurement Item.** Data availability
- 2) **Measurement Description.** Average data availability timeframes missed
- 3) **Measurement Logic.** The measurement logic is Time < agreed upon time from ICD
- 4) **Measurement Period.** Monthly

- 1) **Measurement Item.** Master data management (MDM) file failures
- 2) **Measurement Description.** Average of failed data file occurrences resulting from errors in master data elements data quality checks on data in motion between PM and the SIP that result in a failed file delivery
- 3) **Measurement Logic.** The measurement logic: The ratio of MDM file failures to the total number data files submitted to the SIP from PM
- 4) **Measurement Period.** Monthly

6. Narrative Questions

Vendors must answer each narrative question or statement clearly, completely and in the format designated in [RFP section VI. Submission Requirements, subsection N, Tab 6 – Scope of Work and Narrative Response](#) and in alignment with PL18_Response to Narrative Questions Template. Each narrative question response must address the applicable specification(s) and should include any Vendor-specific knowledge, creativity, or innovation that shows how the topic will support the Agency’s goals and objectives. All questions must have a detailed response. An unclear or incomplete response to a question will result in a lower score. Any question that does not have a response will be regarded as non-responsive and may cause the submission to be rejected.

Q - 22 Describe your approach and all tools your solution will utilize to create and maintain

Interface Control Documents (ICDs) for each integration. Provide details related to standards and approach you will use to keep ICDs coordinated and up to date.

- Q - 23 Describe your high-level approach and experience to integrating external interfaces.
- Q - 24 Describe your approach to integrating with data governance tools to enforce data governance rules and provide data quality metrics.
- Q - 25 Describe your approach to maintaining historical data, archival, and retrieval of archived data.
- Q - 26 Describe your data migration process and procedures transitioning from existing provider management system to your proposed solution.
- Q - 27 Describe how your solution will address the need for a mass update to provider data when changes are mandated by the Agency.
- Q - 28 Describe your process of obtaining approval from the agency before implementing any changes to a data element identified as provider management critical data element.
- Q - 29 Elaborate your experience in implementing data element updates to meet operational or policy changes mandated by the agency or CMS.

H. Tools and Capabilities

The PM Services Contractor shall be responsible for providing, managing, operating, and configuring all technologies required to operate the Provider Management module as described in this section. The tools must be embedded within the PM Services solution and must also be highly configurable to support the current and future business needs of the Agency to efficiently enroll, update, revalidate and disenroll providers.

1. Requirements – Tools and Capabilities

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-18 and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-18: Provider Management – Tools and Capabilities Requirements

Master ID	Requirement Description
6493	The Contractor shall be responsible for providing, managing, operating, and configuring all tools, technologies, and capabilities required to operate the Provider Management module, as described in this section. The tools, technologies, and capabilities shall be embedded within the PM solution and be highly configurable to support the current and future business needs of the Agency to efficiently perform provider enrollment, maintenance, revalidation, and disenrollment activities.
5906	The Contractor shall provide tools, technologies, and capabilities that allow Agency-approved users to make updates to provider records and upload supporting documentation in the Contractor’s solution.

2. Provider Portal

The PM Services Contractor shall provide a configurable web-based, self-service Provider Portal (portal) that facilitates Provider Enrollment and Provider Maintenance activities including, but not limited to, enrollment, revalidation, change of ownership, and provider maintenance. The portal shall be compatible with multiple standard browsers without requiring specialized or proprietary plug-ins to function. The portal shall be intuitive and allow presentation of Alabama-specific information, links, and resources.

The Agency requires all Medicaid Enterprise systems to participate in the SIS Single Sign-On (SSO) solution. The Provider Management Services Contractor shall be responsible for making sure all their applications are accessible through the SSO ID.

The portal shall allow providers to establish temporary credentials to begin the enrollment process. The portal shall allow providers to easily navigate through a series of well-organized screens and fields to enter all information required to meet State and Federal requirements for enrollment as a provider with Alabama Medicaid. The portal shall accept and process hardship applications and record the payment of enrollment fees in the portal manually or electronically. The portal shall allow providers to easily revalidate as a provider with Alabama Medicaid by pre-populating information from the provider’s profile to the new enrollment application during the revalidation process. The portal shall have configurable predefined templates to set the screen layout and features. The portal shall have the ability to allow customization of menus that will supply providers with the ability to navigate the portal with ease. The portal shall provide on-screen contextual help where applicable to assist providers in completing tasks more efficiently and effectively.

The PM Services Contractor shall provide a solution that allows a provider, once enrolled in Alabama Medicaid, to establish user roles for the administration of the provider’s account, including but not limited to, administrator, financial, and other applicable roles. The PM Services Contractor shall allow providers to delegate access to staff and employees to the Provider Management Portal based upon location and National Provider Identifier (NPI). The PM Services Contractor shall provide a solution that allows provider records to be associated and linked by tax identification number (TIN). The PM Services Contractor shall provide a solution that allows the administrator to suspend access to the portal of staff and employees who are no longer employed by, no longer employed in the same position, or no longer affiliated with the group or organization.

The portal shall include a secure Message Center that allows streamlined communication with providers and their assigned delegates. The Message Center shall alert providers and their assigned delegates via their designated email address to review the new communications available in the Message Center on the portal.

a. Requirements – Provider Portal

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-19: Provider Management – Provider Portal Requirements and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-19: Provider Management – Provider Portal Requirements

Master ID	Requirement Description
5505	The Contractor shall provide a secure and configurable web-based, self-service portal that allows providers to electronically enroll in Alabama Medicaid.
5541	The Contractor shall provide a portal solution that is configured so that all content of the portal will contain Agency specific names, programs, acronyms, information, links, and images approved by the Agency.
5421	The Contractor shall provide a solution that includes a secure Message Center for exchanging messages and notices in the provider management portal. This will allow for providers to receive and respond to the message, notices, requests for information, etc. prior to and after enrollment.

Master ID	Requirement Description
5975	The Contractor shall alert providers via the provider’s administrative email address to access the Message Center in the Provider Management Portal to review communications from the Agency.
5518	The Contractor shall provide a solution that allows the provider to enter staff names, email addresses for business offices within the provider's organization (i.e., administration, credentials, etc.) for the purpose of notifications and alerts.
5509	The Contractor shall provide a solution that allows a provider, once enrolled in Alabama Medicaid, to delegate access to the Provider Management Portal for staff and employees to manage and update provider information.
5371	The Contractor shall have a configurable solution that allows providers to delegate access to staff and employees to the Provider Management Portal based upon location and NPI.
5501	The Contractor shall provide a configurable solution that allows the provider to suspend access to the Provider Management Portal of staff and employees who are no longer employed by, employed in the same position, or affiliated with the group or organization.
5513	The Contractor shall provide a solution with the ability to link provider records by the group/organization tax identification number (TIN).
5458	The Contractor shall report monthly statistics from the provider enrollment portal to the Agency. The process and statistics reported must be approved by the Agency. The statistics shall include but shall not be limited to the following: 1. Performance measures 2. Provider usage by access point 3. Average time to complete application sections 4. Application errors and top application sections with errors
5432	The Contractor shall provide a solution that includes web-based self-service intuitive help functionality, interactive guides and user manual which includes but not limited Alabama specific program names, FAQ, acronyms, and links.
5435	The Contractor shall provide a solution that includes interactive self-service help and training guides for enrollment and revalidation process.
6373	The Contractor shall provide a solution with consistent, integrated, on-line help capability for all features of the solution.

3. Provider Directory

The PM Services Contractor shall be responsible for implementing and managing the Provider Directory for use by providers, prospective providers, recipients, and caregivers to lookup information about providers enrolled in Alabama Medicaid. The Agency considers the Provider Directory an important resource for users to identify and compare providers based upon health care needs, preferences, and location. The PM Services Contractor shall implement a Provider Directory that is compliant with CMS, including the requirements set forth in the 21st Century Cures Act. The PM Services Contractor shall be responsible for updating the Provider Directory as changes in requirements are mandated by CMS. The PM Services Contractor shall implement the directory using modern technologies that promote ease of use and has a robust search functionality that includes geocoding.

The PM Services Contractor shall provide a solution that uses provider information from the Contractor’s Provider Management system for the Provider Directory. Users must be able to search the information in the directory using multiple criteria including, but not limited to, provider name, provider location, provider specialty, distance from recipient, and secondary language. Users must be able to download or print search results. The Provider Directory shall include, but not be limited to, the following information for Alabama Medicaid providers:

- Provider name
- Service location
- County in which located
- Office phone
- Email address
- 24-hour phone
- Specialty
- Secondary language
- Accepting new patients (y/n)
- Gender
- Delivering Healthcare Professional (DHCP) indicator
- Primary Care Provider (PCP) indicator
- Provider’s website information
- Date last validated

The PM Services Contractor shall coordinate with the Agency to ensure that published hyperlinks to the legacy Provider Directory are updated with the hyperlink to the Contractor’s Provider Directory.

The PM Services Contractor shall provide a configurable solution that suppresses providers from appearing in Provider Directory search results due to lack of Provider Directory information validation or update. The PM Services Contractor shall identify the providers who have not validated or updated their information for nine (9) or more months and send a notification to the Message Center advising these providers that they will be suppressed from appearing in search results if they do not validate or update their information for a total of twelve (12) or more months. Once a provider has not validated or updated their information for a total of twelve (12) months, the Contractor shall suppress the provider from appearing in search results. Once providers validate or update their information, they shall be unsuppressed. The PM Services Contractor shall provide a solution that allows for providers approved by the Agency to be excluded from suppression. The PM Services Contractor shall provide a solution that allows for the Agency to define other reasons for suppression.

The PM Services Contractor shall create and submit a report to the Agency monthly that indicates the providers who have not validated or updated their information in the last nine (9) months. The PM Services Contractor shall provide the Agency with a monthly report of providers who were suppressed after twelve (12) months due to lack of Provider Directory information validation or update.

a. Requirements – Provider Directory

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-20: Provider Management – Provider Directory Requirements and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-20: Provider Management – Provider Directory Requirements

Master ID	Requirement Description
5771	The Contractor shall be responsible for implementing and managing a public-facing Provider Directory to lookup information about providers enrolled in Alabama Medicaid.
5957	The Contractor shall implement a Provider Directory using modern technologies that promotes ease of use, a robust search functionality, and the collection and display of accurate, up-to-date, and validated provider information.

Master ID	Requirement Description
5956	The Contractor shall implement a Provider Directory that is compliant with CMS, including the requirements set forth in the 21st Century Cures Act.
5511	<p>The Contractor shall provide a Provider Directory that includes, but is not limited to, the following information for Alabama Medicaid providers:</p> <ol style="list-style-type: none"> 1. Provider name 2. Service location 3. County in which located 4. Office phone 5. Email address 6. 24-hour phone 7. Specialty 8. Secondary language 9. Accepting new patients (y/n) 10. Gender 11. Delivering Healthcare Professional (DHCP) indicator 12. Primary Care Provider (PCP) indicator 13. Provider's website information 14. Date last validated
5958	The Contractor shall provide a solution that uses provider information from the Contractor's Provider Management system for the Provider Directory to ensure the same information is displayed in both.
5778	The Contractor shall coordinate with the Agency to ensure that any links to the legacy Provider Directory on Alabama Medicaid public-facing websites are updated with the link to the Contractor's Provider Directory.
5962	<p>The Contractor shall provide a solution that allows users to search the Provider Directory using multiple criteria including, but not limited to:</p> <ol style="list-style-type: none"> 1. Provider name 2. Service location zip code 3. Specialty
5963	<p>The Contractor shall provide a solution that optimizes search results using multiple criteria including, but not limited to:</p> <ol style="list-style-type: none"> 1. Proximity to zip code entered 2. Providers accepting new patients prioritized over providers not accepting new patients 3. Date last validated
5577	The Contractor shall provide a solution that allows users to search the Provider Directory by provider's first name, provider's last name, or a combination of the parts of the provider's name.
6501	The Contractor shall identify providers who have not validated or updated their information for nine (9) or more months.
6402	The Contractor shall create and submit a report to the Agency monthly that indicates the providers who have not validated or updated their information in the last nine (9) months.
6401	The Contractor shall send a notification in the Message Center to providers who have not validated or updated their information for nine (9) or more months advising these providers that they will be suppressed from search results if they do not validate or update their information for a total of twelve (12) or more months.
5961	The Contractor shall provide a solution that allows users to filter and sort search results by all available fields within the Provider Directory.

Master ID	Requirement Description
5959	The Contractor shall provide a solution that suppresses providers from Provider Directory search results due to lack of Provider Directory information validation or update for twelve (12) or more months.
6404	The Contractor shall provide the Agency with a monthly report of providers who were suppressed after twelve (12) months due to lack of Provider Directory information validation or update.
6403	The Contractor shall provide a solution that allows for providers approved by the Agency to be excluded from suppression.
6507	The Contractor shall provide a monthly report to the Agency of the providers that the Agency has requested to be excluded from suppression.
6505	The Contractor shall provide a solution that captures the reason(s) for a denied application.
6506	The Contractor shall provide a report, as part of the Monthly Operations Status Report, that provides the percentage of applications denied, the volume of denied applications, and the reason(s) for denied applications.
6405	The Contractor shall provide a solution that allows providers to be unsuppressed from search results once they validate or update their information.
5960	The Contractor shall provide a solution that allows users to download or print Provider Directory search results.
5894	The Contractor shall update the Provider Directory as changes in requirements are mandated by CMS.

4. Workflow Management Solution

The PM Services Contractor shall provide and manage a configurable, automated workflow management solution to support all provider processes such as enrollment, revalidation, maintenance, and disenrollment based on business rules and checklists defined during configuration. The PM Services Contractor shall provide and maintain a workflow management solution that has configurable templates and steps that can be customized. The PM Services Contractor shall work with the Agency during implementation to configure the workflow solution. These activities of the workflow management solution shall efficiently route, review, and validate tasks while limiting the need for manual intervention.

The workflow management solution shall be user-friendly and include a user interface that provides step-by-step guidance for configuring the flow of work associated with each business process and subprocess. All steps needed to review and validate tasks shall be performed, documented, and approved in the appropriate sequence as defined by the Agency.

The workflow management solution shall manage the flow of work by providing work queues for the enrollment specialists and Agency staff identified during configuration. This will allow information and documents to be routed as configured from one queue to another queue within the PM Services module for further action. The workflow management solution shall automatically track the status of work during each step of a business process and provide an alert when additional action is needed to expedite the completion of a step. The workflow management solution shall provide configurable queue management capabilities that support all outstanding tasks. The PM Services Contractor's queue management capabilities shall include, but not be limited to, assignment of tasks, reassignment of tasks, and sorting by due date and assignee. The queue management capabilities shall also provide supervisors with the ability to monitor progress by type of work and/or staff member. All data entered in the solution must be associated to the provider and stored as part of the provider's information in the Provider Management solution.

The workflow management solution shall have capabilities for setting up triggered alerts based on Agency defined criteria and events. These alerts shall notify the enrollment specialists and/or Agency staff that an action or review is needed. The PM Services Contractor shall work with the Agency to identify the enrollment specialists and the Agency staff who need to be included in each alert. The workflow management solution will also notify the enrollment specialists and/or Agency staff that the review and validation process will be monitored, and they are required to be completed within a specific timeframe, established during the configuration.

The workflow management solution will allow for the reassignment of tasks based upon Agency specified roles. The workflow management solution must have the capabilities to allow assignments to be paused or rerouted, as required by the Agency.

a. Requirements – Workflow Management Solution

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-21: Provider Management – Workflow Management Solution Requirements and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-21: Provider Management – Workflow Management Solution Requirements

Master ID	Requirement Description
5556	The Contractor shall provide an automated Workflow Management Solution that supports provider management activities including, but not limited to, provider enrollment, maintenance, revalidation, and disenrollment.
5569	The Contractor shall provide a workflow solution that manages the flow of tasks by providing work queues for the enrollment specialists and Agency staff identified during configuration.
5554	The Contractor shall work with the Agency during DDI to configure the Workflow Management Solution to meet the business needs of the Agency and maintain the Workflow Management Solution for the term of the contract.
5770	The Contractor shall provide a Workflow Management Solution that uses configurable templates and customizable steps to efficiently route, review, and validate tasks while limiting the need for manual intervention.
5570	The Contractor shall provide a Workflow Management Solution with a user interface that provides step-by-step guidance for the flow of work associated with each business process and subprocess with all tasks performed, documented, and approved in the appropriate sequence.
5564	The Contractor shall provide a Workflow Management Solution that allows for the entry and capture of comments and notes on tasks and documents.
5783	The Contractor shall provide a Workflow Management Solution that utilizes work queues to route tasks, information, and documents to users. The work queues shall allow for the assignment of tasks, reassignment of tasks, sorting by due date and assignee, and the ability for supervisors to monitor progress by type of work and/or staff member.
5565	The Contractor shall provide a Workflow Management Solution that tracks the status of work during each step of a business process and provides alerts when additional action is needed to expedite the completion of a step.
5568	The Contractor shall provide a Workflow Management Solution with the capability to configure and send customized alerts to notify users that an action or review is needed, that the review and validation will be monitored, and the timeframe in which the action or review should be completed.

Master ID	Requirement Description
5571	The Contractor shall provide a Workflow Management Solution with the capability to send reminder alerts.
5446	The Contractor shall work with the Agency to identify the users and user groups to be included in each alert.

5. Business Rules Solution

The PM Services Contractor shall provide, support, and maintain a configurable Business Rules Solution that is fully integrated with the other components of the PM Services solution, including, but not limited to, the Provider Portal ([See RFP Section II.H.2 Provider Portal](#)), the Workflow Management Solution ([See RFP Section II.H.4 Workflow Management Solution](#)), and the Content Management Solution ([See RFP Section II.H.6 Content Management Solution](#)). The PM Services Contractor shall be responsible for working with the Agency and AMMIS Contractor during design and development to define, configure, and develop the business rules for the PM Services module.

The PM Services Contractor shall create, maintain, and update a business rules catalog with all business rule logic being used in the PM Services module. The PM Services Contractor shall keep the business rules catalog current and provide electronic access to the business rules catalog for authorized Agency staff and designated project resources. The catalog shall maintain metadata for each business rule including, but not limited to, the origin, source, targets, and the anticipated results of the business rule. All additions and updates to business rules in the Business Rules solution will follow the Change Order Request and Change Management processes ([See RFP Section II.L.2.e – Change Management](#)) and will be considered maintenance activities ([See RFP Section II.L.2.f – Maintenance and Modification](#)). The catalog shall include an audit trail of all business rule changes and will have a check-out and check-in process with dates and user IDs when rules are being modified. The Business Rules Solution provided by the Contractor will also provide a graphical representation of business rule flow(s) across the PM Services module.

The PM Services Contractor shall use standardized business rules definitions and configurable templates in development of the logic for the PM Services module. The PM Services Contractor’s Business Rules Solution shall provide the ability to prioritize and sequence multiple decisions within a business rule, and must also allow manual intervention to complete processing, if necessary. If issues are encountered during production, the business rules solution must include criteria to identify and prevent failure and provide the ability to roll back to the previous version of business rules without impacting operations.

The Business Rules solution shall include mechanisms to monitor and identify which rules executed for each specific business process and produce a report on rules that passed or failed during a transaction. The Provider Management system must issue alerts to the Contractor and Agency staff when unexpected issues are encountered. The PM Services Contractor will be responsible for taking appropriate action to address alerts or rule failures.

The PM Services Contractor shall conduct testing in the Testing Environment for business rules that involve multiple components of the PM Services module (see [RFP Section II.D. Technical Architecture and Environments](#)). The PM Services Contractor must provide Agency staff and designated project resources with access to reports and reporting tools to conduct a detailed evaluation of the performance of the business rules solution.

a. Requirements – Business Rules Solution

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-22: Provider Management – Business Rules Solution Requirements and all

related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-22: Provider Management – Business Rules Solution Requirements

Master ID	Requirement Description
5468	The Contractor shall provide a Business Rules Solution that uses business rules defined by the Agency, State of Alabama, and CMS regulations that support the automated classification of a provider's risk level based upon the information provided in the application for enrollment.
5998	The Contractor shall provide, support, and maintain a highly configurable business rules solution that is fully integrated with all other components of the PM Services module.
6003	The Contractor shall be responsible for working with the Agency and the Fiscal Agent to define, configure, and develop the business rules for the PM Services module.
5996	The Contractor shall capture audit trail information when business rules are created and modified.
5997	The Contractor shall ensure there is version control for all changes made in the Business Rules Solution.
6008	The Contractor shall use standardized business rule definitions and configurable templates in development of the logic for the business rules used for the PM Services module.
6004	The Contractor shall provide a Business Rules Solution that monitors and identifies which rules executed during each specific task, workflow, or business process.
5999	The Contractor shall be responsible for addressing alerts and resolving rule failures with the Business Rules Solution in a timeframe agreed upon by the Agency.
6001	The Contractor shall produce a report that identifies which rules executed during each specific task, workflow, or business process.
6002	The Contractor shall be responsible for creating, maintaining, and updating a business rules catalog with all business rule logic being used in the PM Services module.
6000	The Contractor shall update the business rules catalog within two (2) business days of identifying an update or the Agency requesting an update, with additions and changes to rules approved by the Agency.
6007	The Contractor shall provide a solution that allows the business rules catalog and associated metadata to be exported electronically.
6009	The Contractor shall provide real-time, electronic, read-only access to the business rules for authorized Agency staff and designated project resources.
6005	The Contractor shall provide a Business Rules Solution that provides a graphical representation of business rule flow(s) across the PM Services module.
6010	The Contractor shall provide role-based access to reports and reporting tools necessary to conduct a detailed evaluation of the performance of the Business Rules Solution.
6006	The Contractor shall provide a solution that allows the business rules and associated metadata to be exported electronically in a human readable format.
6508	The Contractor shall work with the Agency to define business rules for determination of the revalidation timeframes based on defined provider risk levels.

6. Content Management Solution

The PM Services Contractor shall provide, support, and maintain a configurable Content Management Solution that uses role-based access and is fully integrated with all other components of the PM Services module. The Content Management Solution shall support the storage and retrieval of content, documents, reports and images associated with the enrollment and the ongoing maintenance and management of provider information. This includes, but is not limited to, portal content, images related to screening and

revalidation, enrollment/termination letters, site visits, requests for maintenance/service, and any other formal communications received from and sent to a provider.

The PM Services Contractor shall provide a Content Management Solution that uses products or tools that are compatible with Microsoft Windows 10, Microsoft Office 365, and Microsoft Project 2016 that is still supported by Microsoft, unless otherwise approved by the Agency. The Content Management Solution must allow users to access documents and images via multiple platforms (i.e., desktop, laptop, web, and mobile) without any degradation of the solution. The Content Management Solution must integrate with the Workflow Management Solution to support document workflows with review/approval and the ability to capture digital signatures and timestamps.

The Content Management Solution must also support role-based access to documents and images, and with the ability to limit access, preview, editing, and sharing of documents and images in accordance with Agency security, data governance, and retention policies as further defined in the General Systemwide Requirements (see [RFP Section II.E.2 Enterprise and General Services, Security and Compliance](#)).

The PM Services Contractor shall provide a Content Management Solution that supports operational features and functionality including, but not limited to:

- Flexible search solution with the ability to search documents, images, and content
- Simple integration with common scanning solutions including those necessary for bulk-scanning
- Policies that support the retention of documents as defined and approved by the Agency and federal regulations

The PM Services Contractor shall coordinate with other MES module contractors to share indexing rules and protocols to exchange content, documentation, and images when monitoring and reporting are requested by the Agency.

a. Requirements – Content Management Solution

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-23: Provider Management – Content Management Solution Requirements and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-23: Provider Management – Content Management Solution Requirements

Master ID	Requirement Description
5490	The Contractor shall provide a Content Management Solution that supports document workflows, including but not limited to, review, approval, and the ability to capture digital signatures with timestamps.
6012	The Contractor shall provide a Content Management Solution that is fully integrated with all other components of the PM Services module.
6014	The Contractor shall provide a Content Management Solution with robust search capabilities to search for content related to providers.
6015	The Contractor shall provide a Content Management Solution that uses role-based access.
5699	The Contractor shall provide a Content Management Solution that supports the storage and access of content, documents, and images associated with providers.
6013	The Contractor shall provide a Content Management Solution that allows the Agency and the Contractor to upload content, documents, and images and attach to a provider’s records.

Master ID	Requirement Description
5702	The Contractor shall provide a Content Management Solution that uses products or tools that are compatible with Microsoft Windows 10, Microsoft Office 365, and Microsoft Project 2016 or later that is still supported by Microsoft, unless otherwise approved by the Agency.
5713	The Contractor shall provide a Content Management Solution that allows users to access documents and images via multiple platforms (i.e., desktop, laptop, and web) without degradation of the solution.
5545	The Contractor shall provide a Content Management Solution that stores new and updated provider information, including but not limited to, all content, documents, and images uploaded through the Provider Portal.
5710	The Contractor shall provide a Content Management Solution with the ability to upload, view, and download industry standard file types.
6011	The Contractor shall provide a Content Management Solution that integrates with common scanning solutions, including those necessary for bulk-scanning.
5698	The Contractor shall provide a Content Management Solution that names and indexes provider content, documents, and images to promote a common method of viewing, reporting, and sharing provider information.

7. Customer Relationship Management Solution

The PM Services Contractor shall provide a configurable Customer Relationship Management (CRM) solution to track, monitor, document responses, and record calls received in the Provider Management Call Center (See [RFP Section II.K.2 Provider Management Call Center](#)). The PM Services Contractor shall operate and use the CRM solution to meet the operational requirements of this RFP. The CRM solution shall utilize Computer Telephony Integration (CTI) to auto-populate CRM screens with the caller's information and contact history. The CRM solution shall log and track information for each call including, but not limited to:

- Time of call
- Date of call
- Identifying information of the caller (e.g., provider number, name of caller)
- Enrollment specialist ID
- Call type
- Call category
- Inquiry description
- Ticket number assigned and status
- Response description
- Return call contact phone number

The CRM solution shall have the ability to create and link a CRM record to the appropriate queue in the Contractor's Workflow Management Solution to automatically route tickets to Agency staff for review. The CRM solution shall allow enrollment specialists to view all calls and correspondence with the provider during a single inquiry, record all calls for later review by Agency staff, and store a caller's preferred method of communication.

The CRM solution shall have the ability to include a free form text field for each CRM ticket for comments, investigations, and resolution. The CRM solution shall allow enrollment specialists to navigate from or between CRM screens to other relevant information within the Provider Management solution module allowing multiple screens to display at one time.

The CRM solution shall have the ability to accommodate searches on the Provider Management Call Center records by characteristics such as call type, call category, ticket number, identifying information for provider, provider number, Call Center representative ID, and any combinations thereof.

The CRM solution provided by the Contractor shall have the ability to survey callers to rate the quality, timeliness, and other service delivery elements carried out by Provider Management Call Center staff.

a. Requirements – Customer Relationship Management Solution

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-24: Provider Management – Customer Relationship Management Solution Requirements and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-24: Provider Management – Customer Relationship Management Solution Requirements

Master ID	Requirement Description
5455	The Contractor shall provide a solution with a Customer Relationship Management (CRM) tool to track all calls and correspondence received from providers, as well as calls and correspondence to providers.
5934	The Contractor shall provide a CRM tool that is auditable and shall log and track information for each call including but not limited to the following reporting elements: <ol style="list-style-type: none"> 1. Time of call 2. Date of call 3. Identifying information of the caller (e.g., provider number, name of caller) 4. Enrollment specialist ID 5. Call type 6. Call category 7. Inquiry description 8. Ticket number assigned and status 9. Response description 10. Return call contact phone number
5935	The Contractor shall provide a CRM tool that logs all inquiry activity including but not limited to the following reporting elements: <ol style="list-style-type: none"> 1. Time of inquiry 2. Date of inquiry 3. Identifying information of the user ID 4. Inquiry type 5. Description of all records accessed
5334	The Contractor shall provide a CRM tool with ability to store a caller’s preferred method of communication.
5475	The Contractor shall provide a solution that uses Computer Telephony Integration (CTI) to capture the caller’s NPI or application ID to auto-populate the caller’s information and record history.
5938	The Contractor shall authenticate the caller to the received information based on Agency approved authentication criteria.
5394	The Contractor shall link related CRM tickets to allow an enrollment specialist to view related calls and correspondence during a single inquiry.
5389	The Contractor shall include a free form text field for each CRM ticket for comments and/or resolution.

Master ID	Requirement Description
5390	The Contractor shall have the ability to route CRM tickets to Agency staff for review based on Agency defined criteria.
5392	The Contractor shall provide a CRM tool that has the ability to survey callers to rate the quality, timeliness, and other service delivery elements carried out by the Provider Management Call Center.
6502	The Contractor shall provide a CRM tool with configurable survey sampling and the ability to report on survey results.
5954	The Contractor shall provide a CRM solution that allows the user to define search criteria to locate call recordings. The search criteria shall include, but not be limited to, call date, time, phone number the call originated from, Provider name, Provider ID, call identifier, and the Call Center worker.
5440	The Contractor shall provide a CRM solution that records and retains all calls for 12 months for review by the Agency.
5953	The Contractor shall provide a CRM solution that allows Agency-authorized users the ability to access and download recordings, within one hour of calls ending.

8. Interactive Voice Response/Live Chat/Chatbot

The PM Services Contractor shall provide Interactive Voice Response (IVR) capability to answer and direct calls, received by the Provider Management Call Center via a toll-free telephone number, to the appropriate enrollment specialist based on the options selected by the caller from the IVR menu. The PM Services Contractor's IVR shall prompt providers to enter identifying information on their phone which will auto populate screens in the CRM. If an enrollment specialist is not available, or if the caller does not wish to hold, the IVR shall include an option for the caller to request a call back at a specific time and to a specific telephone number. The PM Services Contractor's IVR shall provide voice messaging capability for after-hours callers providing the hours of operation of the Provider Management Call Center, access to recorded messages approved by the Agency, and the option to leave a message. The Agency has established service levels for response times, abandoned calls, call backs, and hold times.

The PM Services Contractor shall provide a live chat functionality for use by the Provider Management Call Center during Provider Management Call Center business hours (See [RFP Section II.K.2. Provider Management Call Center](#)). The live chat functionality requires human interaction, with dedicated focus. Chat sessions shall be recorded, stored, and accessible to Agency staff.

The PM Services Contractor shall provide self-service chatbot functionality as part of the Provider Portal. The chatbot functionality shall provide users access to self-service functionality and immediate help utilizing Agency-approved Frequently Asked Questions (FAQ) responses.

a. Requirements – Interactive Voice Response/Live Chat/Chatbot Solution

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-25: Provider Management – Interactive Voice Response/Live Chat/Chatbot Solution Requirements and all related requirements located in [Appendix E –Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-25: Provider Management – Interactive Voice Response/Live Chat/Chatbot Solution Requirements

Master ID	Requirement Description
5433	The Contractor shall provide Interactive Voice Response (IVR) that has the functionality to receive, route queue phone calls for providers to interact with appropriate Call Center staff based upon the option selected in the IVR.
5424	The Contractor shall provide IVR with a voice messaging system for after-hours callers indicating the hours of operation, messages from the Agency and provide the option to leave a message. Responses to voice messages shall be completed within one (1) business day.
5368	The Contractor shall provide IVR that includes an option to request a call back at a specific time and to a specific number.
6503	The Contractor shall provide a live chat functionality for use by the Provider Management Call Center.
6504	The Contractor shall provide self-service chatbot functionality as part of the Provider Portal.

9. SLAs and KPIs – Tools and Capabilities

The PM Services Contractor shall provide in the Service Level Agreement (SLA) Plan how they will follow their best practices and tools for providing the PM solution. Unless otherwise noted, a threshold of 100% to SLAs and Key Performance Indicators (KPI)s is expected.

a. Key Performance Indicator – Validation of Provider Directory Information by Providers

The PM Services Contractor shall provide a report to the Agency that provides insight into the percentage of providers who validate their Provider Directory information via the Provider Portal. The baseline percentage, including a yearly increase in that percentage, of providers who validated their information shall be agreed upon with the Agency.

- 1) **Measurement Item.** Providers who updated their Provider Directory Information
- 1) **Measurement Description.** Percentage with yearly increase of providers who validated their information
- 2) **Measurement Logic.** The measurement logic is Percentage >= baseline percentage agreed upon by the Agency
- 3) **Measurement Period.** Monthly

10. Narrative Questions

Vendors must answer each narrative question or statement clearly, completely and in the format designated in [RFP section VI. Submission Requirements, subsection N.1.e, Tab 6 – Scope of Work and Narrative Response](#) and in alignment with PL18_Response to Narrative Questions Template. Each narrative question response must address the applicable specification(s) and should include any Vendor-specific knowledge, creativity, or innovation that shows how the topic will support the Agency’s goals and objectives. All questions must have a detailed response. An unclear or incomplete response to a question will result in a lower score. Any question that does not have a response will be regarded as non-responsive and may cause the submission to be rejected.

- Q - 30 Describe your experience with outcomes or delivering Provider Enrollment Portals in other state’s projects.
- Q - 31 What technologies will your solution use to enhance the search functionality and geocode capabilities in the Provider Directory?
- Q - 32 Describe the user interface features available in your workflow management solution to

guide user through each step of business processes and subprocesses.

- Q - 33 Describe your approach in integrating the Business Rules Solution with other components of the PM services.
- Q - 34 How will your solution maintain and update business rules, and how will authorized agency staff and designated project resources access it electronically?
- Q - 35 Describe the search functionalities within your Content Management Solution for flexibility in searching various file formats, such as images, documents, and content.
- Q - 36 Describe your experience in establishing Customer Relationship Management solution to track, monitor, document, and report responses received from Provider Management Call Center.
- Q - 37 Explain your experience and approach in handling caller authentication and verification via IVR, live chat and chatbot to ensure secure access to sensitive information.

I. Provider Enrollment

Provider enrollment is the process of enrolling new providers with Alabama Medicaid. Potential providers will use the Provider Portal to apply for enrollment with Alabama Medicaid and upload all required documentation. The Provider Portal will verify that all the required information is complete, and all the required documentation is uploaded prior to submission. Once submitted, the enrollment system will automatically take the application information through a series of verifications such as duplicate submission, background checks, National Provider Identification (NPI), social security number or tax ID, postal address, and licensing/certification. An enrollment specialist will review and handle all special situations on a provider application or revalidation. Throughout the process, providers will be able to submit their application and check the status of their application in the Provider Portal.

1. Process Provider Application

To enroll as a provider with Alabama Medicaid, the provider must submit an application via the PM Services Contractor's Provider Portal. At the start of the application process, the PM Services solution will notify providers what documents are required to be submitted based upon the provider type and specialty. Providers will be prompted when documents are to be uploaded. The PM Services solution shall provide clear instructions for uploading documents in the Contractor's solution. The Provider Portal will require that providers enter data, respond to questions, select from dropdown menus, and provide supporting documentation, including, but not limited to, questions requiring disclosure of licensure, affiliations, and education information.

Providers will be able to save their application progress and use their temporary credentials to return to the portal to complete their application and upload documents. Providers will have the ability to download and/or print their application during the enrollment process.

The PM Services Contractor's Provider Portal shall use the Contractor's Business Rules Solution (see [RFP Section II.H.5. Tools and Capabilities](#)) to:

- Identify 'required' information needed as part of the enrollment process
- Identify providers who are subject to site visits, fingerprinting and/or criminal background checks before enrollment can be approved
- Determine if the provider is subject to enrollment fees or if they are exempt based upon provider type and specialty

The PM Services solution shall support all provider and specialty combinations for the Medicaid Program. The PM Services Contractor shall provide and maintain an on-line, real-time provider master file that

includes all necessary data on providers, as approved by the Agency. The PM Services Contractor shall maintain the capability to accommodate non-medical providers on the provider master file (e.g., Vendors, State Agencies).

The PM Services Contractor’s Provider Portal shall use the Contractor’s Workflow Management solution (see [RFP Section II.H.4. Tools and Capabilities](#)) to generate notifications to enrollment specialists and/or Agency staff to schedule these activities and to coordinate with the appropriate third parties, if needed.

The PM Services solution shall notify the provider via the Message Center when the status of their application has been updated.

If the provider has not completed all requirements to submit an application, a message will be displayed that indicates the required information that is missing. If submission of an application, information or documents are determined to be incomplete, the enrollment specialist or Agency staff will notify the applicant that the information is incomplete and request correction and resubmission of the information in the Provider Portal. The Contractor’s solution must allow thirty (30) calendar days from the date of notification for the applicant to correct the application. The PM Services Contractor shall archive any incomplete applications after sixty (60) calendar days of inactivity.

a. Requirements – Process Provider Application

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-26: Provider Enrollment – Process Provider Application Requirements and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-26: Provider Enrollment – Process Provider Application Requirements

Master ID	Requirement Description
5512	The Contractor shall provide a solution that allows or prevents provider enrollment based on criteria defined by the Agency.
5528	The Contractor shall provide a solution that only allows submission of the application for approval once in compliance with all Agency, State and Federal policies and regulations.
5345	The Contractor shall collect and maintain all information needed to complete provider enrollment in compliance with all State and Federal policies and regulations. Any gaps or issues identified must be reported to AMA within one (1) business day of identification.
5527	The Contractor shall provide a solution that includes a welcome/instructions page that provides information and links for completing enrollment in Alabama Medicaid.
5502	The Contractor shall provide a solution that includes an interactive Provider Enrollment Manual and shall incorporate links to that Manual from the welcome/instructions page and from other pages in the portal where appropriate.
5695	The Contractor shall provide an application ID for all new enrollments.
5980	The Contractor shall provide a solution that captures multiple email addresses during the enrollment process including, but not limited to, provider’s direct secure email, provider’s administrative email, and the provider’s email for the purpose of communications.
5516	The Contractor shall provide a solution that allows Agency identified provider enrollment documents to be completed and signed electronically.
5525	The Contractor shall provide a solution that has the ability to upload electronic documents and images in a variety of industry standard formats.
5379	The Contractor shall provide a solution that allows a provider to enroll multiple service locations for the same NPI and taxonomy during a single enrollment event.
5508	The Contractor shall provide a solution that allow providers to view the status of enrollment application online and percent of the application that has been completed.

Master ID	Requirement Description
5332	The Contractor shall allow providers to submit corrections to applications through real-time edits as applications are entered as approved by the Agency.
5531	The Contractor shall provide a solution that provides real-time notification to the provider of the entry and completion of each section (i.e., service location, licenses, provider type, etc.) of the enrollment application.
5366	The Contractor shall provide a solution that ensures email addresses entered by the provider are valid by using an email verification process prior to sending correspondence.
5374	The Contractor shall have a workflow that will automatically notify Agency Program Integrity Enrollment and Sanctions Unit of any provider enrollment application received with any type of disclosure information.
5792	The Contractor shall provide a solution that requires providers to answer questions concerning licensure, affiliations, ownership, education and, for affirmative answers, to provide/upload additional documentation.
6355	The Contractor shall forward to the Alabama Medicaid Program Integrity Division any application received with any type of disclosure information, whether it is on the Disclosure Page or a separate sheet contained within the application. If this information has been previously submitted on prior applications and the application was approved for enrollment by the Program Integrity Division, any subsequent applications submitted for the same provider and containing the same and/or additional disclosure information shall still be forwarded to the Program Integrity Division. This information shall be forwarded to the Agency within two (2) business days of receipt for approval.
6386	The Contractor shall require a Provider Disclosure Form for each person with an ownership or controlling interest as well as any Officer, Director, Managing Employee, Agent or Shareholder with 5% or more controlling interest in the Provider's business. The Contractor shall also require the Provider to provide the name, address, date of birth and social security number of any of the above-mentioned individuals and or entities. The Contractor shall require disclosure forms to be updated at the time of revalidation or within 30 days of any change.
5338	The Contractor shall provide a solution that auto-populates fields with applicable data as identified by the Agency during the enrollment process.
5448	The Contractor shall provide the capability for users to review enrollment information entered in the Provider Portal prior to final submission.
5524	The Contractor shall provide a solution that creates and presents a unique tracking or confirmation number when provider information is submitted via the portal.
5696	The Contractor shall provide a solution that has the capability to save an incomplete application.
5530	The Contractor shall provide a solution that has capabilities to allow providers to resume an incomplete application.
5977	The Contractor shall notify the provider via the Message Center when the status of their application has updated.
5992	The Contractor shall securely mail enrollment fees that are received to the Agency at the approved address.
5514	The Contractor shall provide a solution that allows providers to be enrolled retroactively in compliance with all applicable policies, regulations, and standards.
5791	The Contractor shall provide a solution that requires Durable Medical Equipment (DME) providers to upload surety bonds.
5697	The Contractor shall archive any incomplete applications after sixty (60) calendar days of inactivity.

Master ID	Requirement Description
6518	The Contractor shall provide a solution that allows providers to enroll multiple service locations. The Contractor shall provide a unique Medicaid ID assigned for each service location. Access to the Provider Portal shall be provided by the Medicaid ID, even if multiple locations are enrolled under a single NPI/Taxonomy.

2. Perform Provider Screening

The PM Services Contractor shall provide a solution to conduct automated screening and monitoring processes to verify the following, but not limited to, provider’s name, address, NPI, and taxonomy. The solution provided by the Contractor shall use the Contractor’s Business Rules solution (see [RFP Section II.H Tools and Capabilities](#)) to provide electronic interfaces including, but not limited to, the external entities required to perform screening and validation and those identified by the Alabama Medicaid Participation Requirements document located on the Agency’s website (https://medicaid.alabama.gov/content/9.0_Resources/9.4_Forms_Library/9.4.16_Provider_Enrollment_Forms.aspx).

The purpose of these interfaces is to automate the screening and validation of provider information and credentials thereby expediting the provider enrollment and management processes within the Agency. The automated screening and validation of provider information and credentials will be utilized during initial enrollment, revalidation, reactivation and for certain types of updates and changes initiated by the provider, the Contractor, and Agency staff. The screening and validation process will start as events trigger provider enrollment and provider management activities (i.e., initial enrollment application status changes to ‘Submitted’, a provider initiates a change in ownership, a provider opens a new service location, etc.). The Agency will establish service levels and monitor progress toward completion of the screening and validation processes. During these processes, the Contractor must collect, store, secure and utilize this information in compliance with State and Federal policies and regulations.

The solution must collect and store the results and the dates of the screening and validation in a credentialing repository managed and maintained within the Contractor’s Content Management Solution. The solution must have the ability to upload electronic documents and images in a variety of common formats and sizes. This information, once validated and approved, must be linked to the provider information and, upon enrollment of the provider, integrated into the provider management system (see [RFP Section II.J.1. Maintain Provider](#)). Where applicable, licenses and certifications must be uploaded and captured into the credentialing repository in the Contractor’s Content Management Solution. If inconsistencies are identified during the screening and validation processes, these documents must be directed by the Workflow Management solution to an enrollment specialist or Agency staff, as determined by the Agency for further review and resolution.

The solution provided by the Contractor must also include business rules within the solution to allow the Agency to use information (e.g., site visits) previously collected/performed and validated during a similar screening process by Medicare or another Medicaid agency. The Agency must be able to utilize this information when the information in the provider’s application matches the information on file with the other entity and has been validated with that entity in accordance with the period specified in CMS Rules.

Applications submitted as part of the revalidation process shall be screened using the same workflow processes used to screen the provider’s initial application. All screening and validation, automated and manual, must be successfully completed before a provider can be enrolled, revalidated, or reactivated in Alabama Medicaid. Screening and validation during revalidation must be completed in accordance with the timeline defined by the Agency.

a. Requirements – Perform Provider Screening

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-27: Provider Enrollment – Perform Provider Screening, and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-27: Provider Enrollment – Perform Provider Screening

Master ID	Requirement Description
5576	The Contractor shall provide automated screening and monitoring processes to verify provider name, address, NPI, taxonomy, etc. with the solution as required by CMS.
5539	The Contractor shall provide a solution that validates licenses and certifications via interfaces, with all required licensing boards and authorities, including those in other states.
5523	The Contractor shall provide a solution that collects, stores, secures and utilizes provider information and documents in compliance with State and Federal policies and regulations (e.g., the Affordable Care Act, 42 CFR 455, state licensing regulations, etc.).
5474	The Contractor shall use automated screening and monitoring processes and tools to verify provider enrollment eligibility based on State regulations and policies such as State licensing agencies, Alabama Medicaid Agency and Medicare (HHS/OIG) exclusion listings, Medicare Exclusions Database (MED) file, Provider Enrollment Chain and Ownership System (PECOS). If a potential provider is identified as being on any exclusion list, the Agency must be notified within two (2) business days.
5549	The Contractor shall provide notification to CMS when the Agency uses an exclusion list to reject enrollment or to terminate a provider.
5522	The Contractor shall provide a solution that collects and securely stores the results and the dates of the screening and validation maintained within the Contractor’s solution.
5500	The Contractor shall monitor State licensure, certification, and exclusion data every business day and notify CPMS of any exclusions within one (1) business day. If there are no exclusions of which to notify CPMS, the notification should state there are no exclusions for that business day.
5536	The Contractor shall provide a solution that screens and monitors Medicare provider enrollment eligibility with the Provider Enrollment Chain and Ownership System (PECOS) and Data Exchange (DEX) within the time frame defined by the Agency.
5504	The Contractor shall provide a real-time interface with the Social Security Administration’s Death Master File (DMF) to verify social security numbers and dates of death for the individual provider, owners, authorized officials, delegated officials, and supervising physicians.
5507	The Contractor shall provide a solution that allows the Agency to use, as part of the screening and validation process, data previously collected and validated by Medicare or another Medicaid agency.
5521	The Contractor shall provide a solution that collects and maintains licensure and certification information to include, at a minimum, licensing state, license number, licensure begin and end dates.
5503	The Contractor shall provide automated screening and monitoring processes to verify provider name, address, NPI, taxonomy, etc. with the National Plan and Provider Enumeration System (NPPES).
5538	The Contractor shall provide a solution that validates a provider's address with the United States Postal Service (USPS) for geocoding, providing directions and for the purposes of identifying out-of-state providers within 50 miles of the State border.
5543	The Contractor shall provide an automated interface to verify provider Drug Enforcement Agency (DEA) and/or Controlled Dangerous Substance (CDS) certifications.

Master ID	Requirement Description
6617	The Contractor shall provide an automated interface to verify and update valid DEA license information for providers and upload DEA license information to the provider's profile in the Contractor's system
5544	The Contractor shall provide an automated interface to verify taxpayer names, addresses, and FEIN/SSN numbers via the IRS database as defined in IRS Regulation 175.
5547	The Contractor shall provide automated screening and monitoring to compare/verify provider eligibility with the Excluded Parties List System (EPLS).
5548	The Contractor shall provide automated screening and monitoring to compare/verify provider eligibility with the List of Excluded Individuals/Entities (LEIE).
5788	The Contractor shall provide a solution that collects, validates and maintains Clinical Laboratory Improvement Amendments (CLIA) certification information including the level of certification, the specific procedures each laboratory is authorized to perform, effective and end dates, and location.
5793	The Contractor shall provide a solution that automates the exchange of data with the US DHHS Office of the Inspector General (OIG).
5794	The Contractor shall provide a real-time interface with Electronic Verification of Vital Events (EVVE) from the National Association for Public Health Statistics and Information Systems (NAPHSIS).

3. Perform Provider Site Visit

As part of provider enrollment, provider revalidation, and provider maintenance functions, the PM Services solution shall verify through site visits, that all moderate and high-risk provider applicants have fully functional locations. Site visit verification for moderate and high-risk providers is also required for address changes, tax identification number changes, and providers that cannot be verified in the Provider Enrollment, Chain, and Ownership System (PECOS). Additional screening may also be requested by the Agency.

The PM Services Contractor shall use the business rules (see [RFP Section II.H.5. Business Rules Solution](#)) to support the automated classification of a provider's risk level based upon information entered by the provider. Business rules will be configured to support the Agency, state of Alabama, and CMS regulations to identify when providers require additional screening. This additional screening will include site visits and may include fingerprinting and background checks. The PM Services Business Rules Solution will trigger the Workflow Management Solution (see [RFP Section II.H.4. Workflow Management Solution](#)) to generate notifications to an enrollment specialist to schedule and conduct the site visit. The PM Services Business Rules Solution will also trigger the workflow solution to generate notifications to the Agency to coordinate fingerprinting and a background check with the provider, in coordination with the Alabama Law Enforcement Agency (ALEA).

The PM Services Contractor shall be responsible for conducting all site visits (see [RFP Section II.K. Provider Management Operations and Support Services](#)) for the Agency in accordance with standards and timelines agreed upon in SLAs (see [RFP Section II.F.4. SLAs and KPIs – Performance](#)) and CMS Outcomes for Provider Management.

The PM Services Contractor will provide a solution that automates site visit checklist criteria and assigns the appropriate site visit criteria for the provider at the time the site visit is scheduled. See Procurement Library, PL28_Alabama Site Visit Checklists & Reports.

If there are concerns identified that prevent the completion of the site visit, the enrollment specialist will notify Agency staff via the PM Services Workflow Management System solution and take additional action as directed by the Agency.

The PM Services Contractor shall complete 100% of all on-site visits within fifteen (15) business days from the date an application is received. The Contractor shall streamline the collection and input of information gathered during the site visit. Once the site visit has been completed, all information collected during the site visit (i.e., screening criteria, substantiating pictures, etc.) shall be uploaded to the Contractor’s system and linked to the provider’s application within five (5) business days. The PM Services Contractor will automate all reports necessary to measure site visits and background checks as required by CMS (see [RFP Section II.L.2.d. CMS Outcomes](#)). See Procurement Library, PL28_Alabama Site Visit Checklists & Reports for a report containing the number and types of site visits conducted.

If the provider’s enrollment in Alabama Medicaid is approved, the information will be linked to the provider’s information in the Provider Management System solution and will be updated with the date and results of the site visit.

a. Requirements – Perform Provider Site Visit

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-28: Provider Enrollment – Perform Provider Site Visit Requirements and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-28: Provider Enrollment – Perform Provider Site Visit Requirements

Master ID	Requirement Description
5786	The Contractor shall verify through on-site visits that all moderate and high-risk provider applicants have fully functional locations. The on-site visit verification is also required for address changes, tax identification number changes and providers that cannot be verified in the Provider Enrollment, Chain and Ownership System (PECOS).
5355	The Contractor shall conduct all site visits of providers according to Agency site visit screening protocols and federal onsite screening regulations. Site visits shall include, but not be limited to: <ol style="list-style-type: none"> 1. Verification of the facility/service location, hours of operation, phone numbers 2. Verification that business personnel are present 3. Verification of operational status 4. Verification that the types of services offered are consistent with the enrollment application 5. Pictures of signage including office hours and business name
5328	The Contractor shall be responsible for collection and maintenance of site visit information including the checklist, type of site visit, the dates of the site visit, and the results/findings of the site visit. The enrollment specialist shall upload the information to the provider’s profile in the Contractor's system.
5787	The Contractor shall automate site visit processes utilizing Alabama Medicaid defined criteria and procedures. The resulting configurable site visit processes will include but not be limited to: <ol style="list-style-type: none"> 1. Automated scheduling 2. Configurable templates for collection and input of information gathered during the site visit 3. Electronic storage and retention of documentation gathered during the site visit process
5703	The Contractor shall provide a workflow solution that will generate notifications to an enrollment specialist to perform the site visit within the Agency defined time frame.
5354	The Contractor shall complete 100% of all on-site visits within fifteen (15) calendar days from the date an application is received.
5700	The Contractor shall upload all site visit information into the Contractor’s system within

five (5) business days after completion of the site visit.
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4. Enrollment of Providers for Other State Agencies

In addition to providers enrolling via the Provider Portal, the PM Contractor shall support special enrollment of providers for other State Agencies. The PM Contractor can expect to receive various requests for enrollment from other State Agencies who are currently enrolled and contracted with Alabama Medicaid. The other State Agencies are required to follow State and Federal rules and regulations when contracting with separate or independent providers and organizations that serve the Medicaid population.

Currently, there are several State Departments/Agencies that enroll providers by sending requests directly to Alabama Medicaid so that these providers can be enrolled and associated to the services provided through the State Department/Agency. Those State Departments/Agencies, and some of their programs, are listed below:

- Alabama Department of Children's Rehabilitation Services (CRS)
 - Sparks Clinic
- Alabama Department of Senior Services (ADSS)
 - Program of All-Inclusive Care for the Elderly (PACE)
 - Targeted Case Management (TCM) providers
- Alabama Department of Education
- Alabama Department of Mental Health (ADMH)
 - Intellectual Disabilities (ID) Waiver Program
 - Community Waiver Program (CWP)
 - Psychiatric Treatment Facilities
 - Residential Treatment Facilities
 - Children / Adolescent Hospital Service
 - Geriatric Psychiatric Hospital Services
 - Mental Illness and Substance Abuse Programs
- Technology Assisted (TA) Waiver for Adults
- Alabama Department of Youth Services
- Alabama Department of Human Resources
- Alabama Department of Public Health
 - Alabama Institute for Deaf and Blind-Field Services
- Alabama Department of Rehabilitation Services (ADRS)
 - Rehab - Early Intervention Program

Provider site visits will have the same expectations as the normal enrollment of providers including reporting requirements.

a. Requirements – Enrollment of Providers for Other State Agencies

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-29: Provider Enrollment – Enrollment of Providers for Other State Agencies Requirements and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-29: Provider Enrollment – Enrollment of Providers for Other State Agencies Requirements

Master ID	Requirement Description
6494	The Contractor shall support the special enrollment of providers for other State Agencies as requested by the Agency.

5. Finalize Provider Enrollment

Once a provider's application for enrollment in Alabama Medicaid is in a 'Submitted' status, the application will be reviewed by an enrollment specialist and/or Agency staff, as defined by Agency policy, to determine compliance with State and Federal rules and regulations. If there are exceptions to these rules and regulations that cannot be resolved with the provider, the provider's application for enrollment in Alabama Medicaid will be denied. The provider must be notified by the Contractor of the denial, including the reason(s) for the denial. The PM Services Contractor shall archive denied provider applications and related documents sixty (60) calendar days after the date of denial.

If a provider's application for enrollment in Alabama Medicaid is approved, the Contractor's Business Rules Solution (see [RFP Section II.H. Tools and Capabilities](#)) will trigger the final steps necessary to complete enrollment in Alabama Medicaid. The PM Services solution must create a unique Medicaid Identification (ID) for the provider. The PM Services Contractor shall work with the AMMIS and CPMS Contractors to complete the assignment of a unique Medicaid ID for the provider. The issuance of the Medicaid ID must not disrupt or require the replacement of existing Medicaid IDs.

The assignment of a provider's contract information will be required when a provider's application for enrollment in Alabama Medicaid is approved. The PM Services Contractor shall receive contract information electronically from the Agency that includes, but is not limited to, the contract name, contract description, contract number and the beginning and end dates of the contract. The contract information will also identify the provider type and specialty(ies) that are authorized to provide services and submit claims for each contract. All applicable contracts for the provider's provider type and specialty shall be displayed for an enrollment specialist to review and select the appropriate contract/contracts to be assigned to the provider. The contract information and the effective date (date of enrollment) shall be updated in the PM Services solution and linked to the provider. If a provider has more than one specialty, additional contracts shall be assigned to the provider and this information shall be updated in the PM Services solution.

The PM Services solution shall create a Welcome Packet that will be sent to the provider via the Message Center. The Welcome Packet will contain information, as defined by the Agency, including, but not limited to:

- Provider's credentials
- Medicaid ID
- NPI
- Taxonomy
- Billing/Payee ID (if provider is not a billing provider)
- Enrollment period (beginning and ending dates)
- Links to provider manuals
- Links to MES websites
- Agency contact information

Upon issuance of the Welcome Packet, the Contractor shall update the PM Services solution with the enrollment information validated for the provider.

a. Requirements – Finalize Provider Enrollment

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-30: Provider Enrollment – Finalize Provider Enrollment Requirements and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-30: Provider Enrollment – Finalize Provider Enrollment Requirements

Master ID	Requirement Description
5582	The Contractor shall work with the AMMIS Contractor to finalize the provider’s enrollment, assign a unique Medicaid ID, and provide the Welcome Packet to the newly enrolled provider in the Message Center.
5483	The Contractor shall accept and process to approve, deny, or provide all applicable information to the Agency for all provider applications within fifteen (15) calendar days of receipt of completed applications unless a site visit is required, then within twenty (20) calendar days of receipt of completed applications.
5562	The Contractor shall create a Welcome Packet for all newly enrolled providers, The Welcome Packet shall include but not be limited to the following content: <ol style="list-style-type: none"> 1. Provider’s credentials 2. Medicaid ID 3. NPI 4. Taxonomy 5. Billing/Payee ID (if provider is not a billing provider) 6. Enrollment period (beginning and ending dates) 7. Links to provider manuals 8. Links to MES websites 9. Agency contact information
5515	The Contractor shall provide a solution that provides the capability to download provider resources and the provider's completed application form.
5557	The Contractor shall provide a solution that generates a notification through a secure email or secure Message Center in the portal to a provider when enrollment in Alabama Medicaid is denied including the reason(s) for the denial.
5575	The Contractor shall, when an enrollment application is denied, archive a provider’s application and related documents within sixty (60) calendar days from the date of denial if no further activity.
5762	The Contractor shall purge information in accordance with Agency retention schedules when the provider’s enrollment in Alabama Medicaid is not approved.
5555	The Contractor shall review and assign contract information for a provider based upon provider type and specialty when a provider’s application for enrollment in Alabama Medicaid is approved.
5403	The Contractor shall adhere to Agency policies when adding or updating contract information when service requests are submitted by the provider or the Agency that require changes to existing contract information.
5351	The Contractor shall review and assign multiple contracts for a provider when the provider has more than one specialty.
5559	The Contractor shall provide a solution that stores and maintains contracts with appropriate effective dates in the Contractor’s system and link the appropriate contract to the provider.

6. SLAs and KPIs – Provider Enrollment

The PM Services Contractor shall provide in the Service Level Agreement Plan how they will follow their best practices and tools for providing the PM solution. Unless otherwise noted, a threshold of 100% to SLAs and KPIs is expected.

Discount Calculations: If for any one month, any one or more of the SLAs measurements do not meet the SLA standards, the Contractor shall discount by 3% (three percent) against the amount invoiced for monthly PM Operations Fee the same month in which the SLA standards were not met. If the Contractor consistently

fails to meet the SLA standards, the Agency may request a Corrective Action Plan (CAP). If the Contractor is still unable to meet SLA standards after the CAP has been executed, then the Agency may notify the Contractor of failure to meet contract requirements, and the Contractor may be subject to liquidated damages as described in RFP [Section VIII.MM Contract Liquidated Damages](#). KPIs are excluded from discount calculations.

a. Service Level Agreement – Process Provider Application

Process Provider Application. The PM Services Contractor shall accept and process to approve, deny, or provide all applicable information to the Agency for all provider applications within fifteen (15) calendar days of receipt of completed applications unless a site visit is required, then within twenty (20) calendar days of receipt of completed applications.

- 1) **Measurement Item**. Process Provider Application
- 2) **Measurement Description**. Time to accept and process provider applications
- 3) **Measurement Logic**. The measurement logic is Time <= fifteen (15) calendar days, Time <= twenty (20) calendar days if site visit is required
- 4) **Measurement Period**. Episodic; from date of receipt or site visit

b. Service Level Agreement – Notification of Exclusions to CPMS via the SIP

Notification of CPMS. The PM Services Contractor shall monitor State licensure, certification, and exclusion data every business day. The PM Services Contractor shall notify CPMS via the SIP daily of the findings, even if there are no exclusions found.

- 1) **Measurement Item**. Notification to CPMS via the SIP
- 5) **Measurement Description**. Sanction Information Current
- 2) **Measurement Logic**. The measurement logic is Time <= one (1) business day
- 3) **Measurement Period**. Daily

c. Key Performance Indicator – Notification of Program Integrity

Notification of Program Integrity. The PM Services Contractor must use automated screening and monitoring processes and tools to verify provider enrollment eligibility based on State and Federal Regulations. If a potential provider is identified as being on any exclusion list, the Agency must be notified within two (2) business days.

- 1) **Measurement Item**. Notification via Workflow
- 2) **Measurement Description**. Time to notify the Agency of providers identified on any exclusion list
- 3) **Measurement Logic**. The measurement logic is Time <= two (2) business days
- 4) **Measurement Period**. Episodic; notification of providers identified on exclusion list

d. Key Performance Indicator – Complete Site Visit

Complete Site Visit. The PM Services Contractor shall complete 100% of all on-site visits within fifteen (15) calendar days from the date an application is received. Site visit verification for moderate and high-risk providers is also required for address changes, tax identification number changes, and providers that cannot be verified in the Provider Enrollment, Chain, and Ownership System (PECOS). Additional screening may also be requested by the Agency.

- 1) **Measurement Item**. Complete Site Visit
- 2) **Measurement Description**. Time to complete site visits
- 3) **Measurement Logic**. The measurement logic is Time <= fifteen (15) calendar days
- 4) **Measurement Period**. Episodic; completion of site visit

e. Key Performance Indicator – Upload Site Visit Information

Upload Site Visit Information. The PM Services Contractor will upload all site visit information into the Contractor's system within five (5) business days of completion of a site visit.

- 1) **Measurement Item.** Upload of Site Visit Information
- 2) **Measurement Description.** Time to upload all site visit information
- 3) **Measurement Logic.** The measurement logic is evaluating all site visits in a given month and confirming that all related information was uploaded in five (5) business days
- 4) **Measurement Period.** Monthly

7. Narrative Questions

Vendors must answer each narrative question or statement clearly, completely and in the format designated in [RFP section VI. Submission Requirements, subsection N.1.e, Tab 6 – Scope of Work and Narrative Response](#) and in alignment with PL18_Response to Narrative Questions Template. Each narrative question response must address the applicable specification(s) and should include any Vendor-specific knowledge, creativity, or innovation that shows how the topic will support the Agency's goals and objectives. All questions must have a detailed response. An unclear or incomplete response to a question will result in a lower score. Any question that does not have a response will be regarded as non-responsive and may cause the submission to be rejected.

Q - 38 Provide your experience in implementing an automated screening process in determining the eligibility of providers.

Q - 39 Describe your approach to monitoring PECOS and the CMS Data Exchange System (DEX) to reduce the timeframe needed to maintain current provider information.

Q - 40 Provide additional agencies and/or entities with which you routinely screen provider and credentialing information.

Q - 41 Describe your approach to securely storing and managing results acquired during the screening and credentialing processes.

Q - 42 Describe your site visit reporting capabilities and provide examples of all standard site visit reports.

Q - 43 Provide examples of how your solution successfully managed site visits and background checks in similar projects, demonstrating effectiveness in streamlining the process to meet the RFP requirements.

Q - 44 Describe how your solution can be customized to adapt to future changes in enrollment process, without disruption to current process.

J. Provider Maintenance

The PM Services solution will be used by the PM Services Contractor, the Agency, and providers to maintain provider information. The need for maintenance can result from revalidation, reenrollment, reactivation, appeals of enrollment decisions, or operational and ownership changes. Certain types of changes will utilize the Business Rules solution to trigger Provider Management maintenance activities via the Workflow Management solution.

1. Maintain Provider

The PM Services solution will support the management of all information associated with the maintenance of provider information. This includes the information below and associated begin and end dates where applicable:

- Applications
- Demographics

- Credentials
- Medicare status
- Service locations
- Tax information
- Banking/EFT information
- Contract Information
- Any additional Provider Information as needed

The information associated with an enrolled provider shall be updated through system updates based on provider reference data. Updates can also be made through the Provider Portal and will be routed through the Workflow Management solution to provider enrollment specialists and Agency staff for verification. Once approved, the updates will be included in the provider master file and routed to the AMMIS/CPMS via the SIP.

a. Maintenance of Provider’s Enrollment with an ACHN

As part of enrollment with Alabama Medicaid, a provider can request to participate in the Alabama Coordinated Health Network (ACHN) Program. Providers must be enrolled in Alabama Medicaid to participate in the ACHN Program. The ACHN Program is a single care coordination delivery system that links patients, providers, and community resources in seven regions of the state. The Agency contracts with an ACHN entity in each region to coordinate the activities for the ACHN Program. Each ACHN is responsible for coordinating care and provider services in their region for Medicaid recipients. These seven ACHN organizations are required to follow the Agency’s screening and enrollment protocols and are enrolled in Alabama Medicaid as primary care case-management-entities (PCCM-Es).

The PM Services Contractor must maintain a secure interface to each ACHN. Interfaces will be used to coordinate adds and updates of providers for each ACHN entity. The PM Services Contractor will add, or end provider participation information received from the ACHN on the interface files. This process must comply with all Agency policies, protocols, and timelines established for the ACHN Program. The PM Services Contractor shall ensure that ACHN entities are provided with a file of additions and updates of provider participation information monthly in a secure manner. The PM Services Contractor shall provide a monthly report of all ACHN provider participation, including new adds and updates for each of the seven regions of the ACHN Program.

b. Maintenance of Provider Contracts

The maintenance of a provider’s contract information will be required when service requests are submitted by the provider or the Agency that require changes to existing contract information. The PM Services solution shall be able to perform mass updates to provider contract information when a change to a contract is authorized by the Agency.

The PM Services Contractor shall ensure there is version control when there are changes to contracts, and that there is proper storage and retention of all contracts and contract information. The PM Services Contractor shall provide access to view contract information in the Contractor’s system for enrollment specialists and Agency staff as authorized by the Agency.

c. Requirements – Maintain Provider

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-31: Provider Maintenance – Maintain Provider Requirements, all deliverables in Table II-35: Provider Maintenance – Provider Maintenance Deliverables, and all

related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-31: Provider Maintenance – Maintain Provider Requirements

Master ID	Requirement Description
5776	The Contractor shall be responsible for working with the ACHNs to maintain secure interfaces for adding and updating ACHN participation information in the Contractor’s provider management system in a timeframe agreed upon by the Agency.
5365	The Contractor shall enroll ACHN entities as a payer with a provider type and specialty that is specific to ACHN activities.
5773	The Contractor shall ensure ACHNs are notified in a secure manner within one (1) business day of the completion of all additions and updates of provider ACHN participation information.
5777	The Contractor shall provide a monthly report of all ACHN provider participation, including but not limited to, new adds and updates for each of the seven regions of the ACHN Program.
6392	The Contractor shall update information received electronically from the Agency that relates to provider contracts within one (1) business day of receipt.
5911	The Contractor shall provide a solution that uses version control and audit trails when there are changes to a provider’s contract information.
5986	The Contractor shall provide read only access to contract information for authorized enrollment specialists and Agency staff as requested by the Agency.
5760	The Contractor shall provide a solution with the ability to end date a provider’s contract and the provider’s affiliations using the termination date requested and approved by the Agency.
5910	The Contractor shall provide a solution that has the ability to perform mass updates to provider contract information as requested by the Agency.

2. Revalidate Provider

All Alabama Medicaid providers must revalidate their enrollment information at least every five (5) years. The revalidation process requires that providers submit an application via the Provider Portal for review, validation, and approval by the Agency.

The PM Services Contractor will work with the Agency to configure rules for determining revalidation. The revalidation date for providers shall be determined using configurable rules based on Provider Risk and need for revalidation.

The PM Services Contractor shall produce a report at the beginning of each month to the Agency for review and approval that lists providers scheduled to revalidate their enrollment information within sixty (60) calendar days of the revalidation deadline. The list will be posted on the Alabama Medicaid website. The PM Services Contractor shall notify providers electronically via the Message Center that revalidation is required and the date by which revalidation must be completed. The notification shall include detailed instructions for completing the revalidation process.

The Provider Portal shall provide a menu option that allows providers, during this sixty (60) calendar day period, to complete a new application. When the provider selects this option, the Contractor’s solution shall pre-populate the application for revalidation with the provider’s current information as approved by the Agency. This will include, but not be limited to, the provider’s name, addresses, contact information, NPI, TIN, taxonomy, provider type, specialty, and licensing information. The provider will be able to access and update this information and upload documentation to support changes, if needed. The provider will be required to complete the Provider Agreement, respond to questions, complete disclosure forms, and update disclosure documentation. Once a provider has updated all required information, the new application can be

submitted to the PM Services Contractor for review. If the provider submits a new application with no changes, the provider will be required to confirm that no changes are required to the existing data in the Provider Portal. The date the new application is approved will establish the next revalidation date for the provider.

The PM Services solution will monitor activity in the Provider Portal for providers required to complete revalidation. For providers who have taken no action to revalidate, the Contractor’s solution will send reminders to the Message Center every fifteen (15) calendar days after the initial notification. Fifteen (15) calendar days prior to the revalidation deadline, the Contractor shall send daily reminders to the Message Center. Five (5) calendar days prior to the revalidation deadline, the Contractor shall attempt to contact the providers via telephone who have yet to complete revalidation. The PM Services Contractor shall disenroll providers who have failed to revalidate during the timeframe provided. Once a provider file has been closed for failure to revalidate, the provider must submit a new application for enrollment in Alabama Medicaid.

a. Requirements – Revalidate Provider

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-32: Provider Maintenance – Revalidate Provider Requirements, all deliverables listed in Table II-35: Provider Maintenance – Provider Maintenance Deliverables, and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-32: Provider Maintenance – Revalidate Provider Requirements

Master ID	Requirement Description
5378	The Contractor shall provide a solution that allows providers to submit an application to revalidate their enrollment with Alabama Medicaid via the Provider Portal.
6515	The Contractor shall work with the Agency to configure rules for determining revalidation. The revalidation date for providers shall be determined using configurable rules based on provider risk level and need for revalidation.
5949	The Contractor shall provide a solution that allows providers to easily revalidate as a provider with Alabama Medicaid by pre-populating information, defined by the Agency, from the provider’s profile in their application for revalidation.
5945	The Contractor shall provide a solution that produces an automated report at the beginning of each month, for the Agency to review, that lists providers scheduled to revalidate their enrollment information within sixty (60) calendar days and the deadline for revalidation.
5943	The Contractor shall provide a solution that sends notification(s) to the provider that revalidation is required on a configurable schedule as approved and requested by the Agency. The solution shall allow the notification frequency to increase as the deadline approaches.
6372	The Contractor shall provide a solution that sends revalidation notification(s) to the provider via the Message Center within one (1) business day of approval of the Revalidation Report by the Agency.
5336	The Contractor shall notify providers via the Message Center in the Provider Portal that revalidation is required and the revalidation deadline. The notification shall include detailed instructions for completing the revalidation process.
5966	The Contractor shall provide a solution that requires the provider to confirm that no changes are required to their existing data if the provider submits an application for revalidation with no changes.
5981	The Contractor shall provide a solution that pre-populates information from the provider’s profile on the enrollment application during the revalidation process.

Master ID	Requirement Description
5964	The Contractor shall make attempt(s) to contact providers, via telephone, who have yet to complete their revalidation on a configurable schedule as approved and requested by the Agency. Results of the attempt(s) to contact shall be logged in the CRM.
5965	The Contractor shall provide an automated solution to disenroll providers who fail to revalidate during the revalidation timeframe provided.
5967	The Contractor shall provide a solution that requires the provider to submit a new application for enrollment with Alabama Medicaid once a provider's file has been closed for failure to revalidate.

3. Process Provider Change of Ownership

Providers are required to initiate a Change of Ownership (CHOW) of a provider facility or group enrolled with Alabama Medicaid within thirty (30) calendar days of the change. The PM Services Provider Portal solution shall provide a menu option for providers to initiate a CHOW. When the provider initiates the CHOW, the Contractor's Workflow Management Solution will trigger a CHOW application in the Provider Management Portal that requires the provider to respond to a series of questions that determines the actions, forms, and supporting documentation that will be required to submit the CHOW application. The CHOW application screen will require the provider to provide information that includes, but is not limited to, the following:

Previous Provider:

- Facility or Group Name
- Alabama Medicaid ID
- NPI
- Tax ID
- Title/Contact Name
- Contact Telephone Number

New Provider:

- Facility or Group Name (if a hospital – must indicate if public or private)
- NPI
- Tax ID
- Title/Contact Name
- Contact Telephone Number
- Contact Email Address
- Effective date of change agreed to by Previous Provider and New Provider

Documentation Related to the CHOW:

- Electronic Funds Transmittal (EFT) Form
- W-9
- Sales Agreement/Bill of Sale
- Disclosure Forms for any owners, officers, directors, agents, managing employees, and shareholders with 5% or more controlling interest
- Changes to personnel with no ownership interest (i.e., secretaries, directors, etc.)
- Detailed statement of the course of action to be taken by the new provider

The PM Services solution will use the Business Rules Solution to complete the screening necessary to validate the information submitted by the provider. The PM Services Contractor's Workflow Management Solution (see [RFP Section II.H.4. Tools and Capabilities](#)) will notify the Agency program area(s) affected by the CHOW and will route the documentation to the Agency staff for review and approval.

An enrollment specialist will validate that all required information has been received from the provider and ensure that disclosure information has been submitted and screened as required by the Agency. Once the enrollment specialist validates the information entered by the provider and that the required screening has occurred, the enrollment specialist will update the status of the information submitted by the provider. The PM Services Contractor will send the provider notification of completion in the Message Center when the CHOW application has been reviewed and validated.

The PM Services Contractor shall develop and submit a CHOW Transition Plan Template to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The CHOW Transition Plan Template shall be kept current with a formal review every six (6) months. The CHOW Transition Plan Template shall include, but not be limited to, the following:

- Date to terminate the previous provider
- Date the new provider will begin providing services and receiving payment (generally the first day of the next month – may be restrictions for certain contracts such as pharmacy)
- Creation of record in the provider management system for the new provider
- Date the new provider will take over any payment adjustments from the previous provider (usually included in the Sales Agreement/Bill of Sale)
- Notifications to be sent to Agency business areas that will be affected by the CHOW
- Batch process to transition physician group providers from the previous provider to the new provider
- Notifications to be sent to other AMMP modules that will be affected by the CHOW
- Schedule (including dates) to implement CHOW Transition Plan

The PM Services Contractor shall provide an automated solution that uses the CHOW Transition Plan Template to create a CHOW Transition Plan for each CHOW application received. Each CHOW Transition Plan shall be submitted to the Agency for review and approval two (2) business days after the receipt of the CHOW application. The PM Services Contractor shall implement the Agency-approved CHOW Transition Plan within two (2) business days of Agency approval.

Once the CHOW Transition Plan is approved by the Agency, the CHOW transition plan will be implemented. A notification will be sent to the provider in the Message Center that the CHOW Transition Plan has been approved and implemented. The notification shall include the new Alabama Medicaid ID.

The PM Services solution shall provide a reference/linkage to the previous provider in the new provider's records. This linked information will be used for research purposes and provided to CPMS for billing, bonus payments, and batch processes.

a. Requirements – Process Provider Change of Ownership

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-33: Provider Maintenance – Process Provider Change of Ownership Requirements, all deliverables listed in Table II-35: Provider Maintenance – Provider Maintenance Deliverables, and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-33: Provider Maintenance – Process Provider Change of Ownership Requirements

Master ID	Requirement Description
5453	The Contractor shall provide a Provider Management Portal with a menu option for providers to initiate a CHOW, that requires the provider to respond to a series of questions that determines the actions, forms, and supporting documentation that will be required to submit the CHOW application.
5973	The Contractor shall configure the solution to require the provider to enter the following information related to the previous provider: <ol style="list-style-type: none"> 1. Provider Facility or Group Name 2. Alabama Medicaid ID 3. NPI 4. Tax ID 5. Title/Contact Name 6. Contact Telephone Number
5972	The Contractor shall configure the solution to require the provider to enter the following information related to the new provider: <ol style="list-style-type: none"> 1. Facility or Group Name (if a hospital – must indicate if public or private) 2. NPI 3. Tax ID 4. Title/Contact Name 5. Contact Telephone Number 6. Contact Email Address 7. Effective date of change agreed to by Previous Provider and New Provider
5917	The Contractor shall configure the solution to require the provider to upload the following documentation related to the CHOW: <ol style="list-style-type: none"> 1. Electronic Funds Transmittal (EFT) Form 2. W-9 3. Sales Agreement/Bill of Sale 4. Disclosure Forms for any owners, officers, directors, agents, managing employees, and shareholders with 5% or more controlling interest 5. Changes to personnel with no ownership interest (i.e., secretaries, directors, etc.) 6. Detailed statement of the course of action to be taken by the new provider
5969	The Contractor shall provide a solution that uses the Contractor’s Business Rules Solution to complete the screening necessary to validate the CHOW information.
5974	The Contractor shall validate all required information submitted by the provider and update the status of the provider’s information in the provider management system.
5968	The Contractor shall submit the CHOW Transition Plan to the Agency for review and approval within two (2) business days of the submission of the CHOW application.
5982	The Contractor shall develop and submit a CHOW Transition Plan Template to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The CHOW Transition Plan Template shall be kept current with a formal review every six (6) months.
5970	The Contractor shall provide an automated solution that uses the CHOW Transition Plan Template approved by the Agency to create a proposed CHOW Transition Plan for each CHOW application based on CMS and Agency policies, for review and approval by the Agency.
6356	The Contractor shall implement the Agency approved CHOW Transition Plan within two (2) business days of Agency approval.
5976	The Contractor shall notify the provider in the Message Center that:

Master ID	Requirement Description
	<ol style="list-style-type: none"> 1. The review and validation of the CHOW has been completed 2. The CHOW transition plan has been reviewed and approved by the Agency 3. The implementation of the CHOW Transition Plan has begun 4. The implementation of the CHOW Transition Plan has been completed and all impacted parties have been notified
5985	The Contractor shall provide a report that measures the implementation of each CHOW transition plan by the scheduled dates and identifies any errors/tickets that occurred due to implementing the plan.
6384	The Contractor shall provide the new provider with the newly created Alabama Medicaid ID once the CHOW has been approved and the CHOW Transition Plan is implemented.
6359	The Contractor shall make available the previous provider's information in the new provider's records for reference/research purposes.

4. Disenroll and Terminate Provider

The PM Services Contractor shall provide a solution that supports both the disenrollment and the termination of providers.

The disenrollment of a provider occurs when the Agency's Program Integrity Office/Enrollment and Sanctions Unit acts, based upon a sanction by the Agency, another state, or a federal government entity, to revoke a provider's Medicaid billing privileges. The provider has been formally notified of this action and has exhausted all applicable appeal rights. There is no expectation on the part of the provider or the Agency that the revocation is temporary. The provider and the Contractor's enrollment staff are notified that the appeal has been denied and the provider is to be disenrolled. A provider disenrolled under this process will be required to reapply and be reenrolled in Alabama Medicaid if the provider's billing privileges are to be reinstated.

The PM Services Contractor shall develop and submit a Provider Disenrollment Package Template to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Provider Disenrollment Package Template shall be kept current with a formal review every six (6) months.

The PM Services Contractor will be provided the NPI and/or Medicaid ID of the provider to be disenrolled. The PM Services Contractor shall immediately suspend any provider upon receipt of notice of disenrollment from the Agency. The PM Services Contractor shall be responsible for researching and identifying other NPIs and Medicaid IDs associated with the provider that should be disenrolled. The PM Services Contractor shall combine this information into an online disenrollment package that includes the provider's information and the associated NPIs, affiliated provider IDs, associated Social Security Numbers, Tax Identification Numbers, or FEINs, and all owners. The PM Services Contractor shall submit each online Provider Disenrollment Package and documentation to the Agency for review and approval within one (1) hour from the receipt of a request to disenroll a provider. The online Provider Disenrollment Package and documentation shall be stored and be accessible for viewing throughout the PM solution.

The Agency will review, revise (if needed), and return the online Provider Disenrollment Package to the PM Services Contractor. The PM Services Contractor shall acknowledge receipt of the online Provider Disenrollment Package from the Agency. The PM Services Contractor shall have one (1) hour to disenroll the provider and any associated provider IDs identified in the Disenrollment Package. The information shall be updated in the PM System solution to include the reason, condition, and date for the disenrollment, as defined by CMS regulation. The PM Services solution must automatically end-date the provider's contract and affiliations (including, but not limited to, ACHN entities) in the PM Services system solution. All

electronic and paper documentation related to the sanction and the appeal, if applicable, must be uploaded into the PM Services system solution and linked to the provider’s information.

Termination of a provider can occur because of many events. For example, a provider can notify the Agency of the provider’s intent to end participation with Alabama Medicaid and a date for enrollment to be terminated. The PM Services Contractor shall update the provider’s enrollment status to ‘Terminated’ and automatically end-date the provider’s contract and affiliations (including, but not limited to, ACHN entities) with the termination date requested by the provider. The PM Services Contractor shall also receive terminations from the ACHN interface.

Termination of providers also occurs as part of an Agency initiative conducted monthly to evaluate and provide a disenrollment package for providers who have been inactive according to CPMS disenrollment scenarios defined by the Agency. The PM Services Contractor shall work with the AMMIS Contractor and the CPMS Contractor to identify and maintain the last activity status date for all providers. The PM Services Contractor shall send a notification to the Message Center advising providers who have been inactive for fourteen (14) months that they will be terminated if inactivity continues to occur for a total of eighteen (18) or more months. Once a provider has been inactive for eighteen (18) months, the Contractor shall update the provider’s enrollment status to ‘Terminated’ and automatically end-date the provider’s contract and affiliations (including, but not limited to, ACHN entities) with the termination date requested by the Agency. A reason for the termination will be captured using categories defined by the Agency. The PM Services Contractor shall provide a solution that allows for providers approved by the Agency to be excluded from termination due to inactivity. The PM Services Contractor shall provide the Agency with a monthly report of providers who were terminated due to eighteen (18) months of inactivity with Alabama Medicaid.

a. Requirements – Disenroll and Terminate Provider

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-34: Provider Maintenance – Disenroll and Terminate Provider Requirements, all deliverables listed in Table II-35: Provider Maintenance – Provider Maintenance Deliverables, and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-34: Provider Maintenance – Disenroll and Terminate Provider Requirements

Master ID	Requirement Description
5768	The Contractor shall provide a solution that supports separate business processes for the termination of providers and for the disenrollment of providers.
5891	The Contractor shall provide a solution that acknowledges the receipt of a request for disenrollment from the Agency within one (1) hour of receipt.
5765	The Contractor shall provide a solution that end-dates the provider’s contract with Alabama Medicaid when a provider is to be disenrolled within one (1) hour unless otherwise directed by the Agency.
5459	The Contractor shall provide a solution that captures the conditions and reasons for disenrollment as defined and required by CMS.
5764	The Contractor shall provide a solution that immediately end-dates affiliations when a provider is disenrolled from Alabama Medicaid.
5902	The Contractor shall be responsible for researching and associating all NPIs and provider IDs associated with a disenrollment for a provider, within one (1) hour of receipt, creating a disenrollment package, that includes, but is not limited to the following: 1. All associated NPIs 2. All affiliated provider IDs

Master ID	Requirement Description
	3. All associated Social Security Numbers, Tax Identification Numbers, or FEINs 4. All owners
5907	The Contractor shall immediately suspend any provider upon receipt of notice of disenrollment of a provider from the Agency.
5893	The Contractor shall provide a solution that notifies the provider and its affiliated providers, via the secure Message Center, of changes to enrollment status.
5903	The Contractor shall ensure that providers listed on the Adverse Action List are disenrolled or terminated and excluded from enrolling in the future.
6352	The Contractor shall develop and submit a Provider Disenrollment Package Template to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Provider Disenrollment Package Template shall be kept current with a formal review every six (6) months.
5888	The Contractor shall create an online disenrollment package for the Agency to review and approve. Upon Agency approval, the provider management solution shall automatically disenroll the provider(s).
5895	The Contractor shall provide a solution that confirms that all provider IDs identified in the disenrollment package were disenrolled.
5896	The Contractor shall provide a solution that evaluates all providers for inactivity on a monthly basis.
5900	The Contractor shall provide a report for all providers with at least fourteen (14) months of inactivity.
5905	The Contractor shall provide a solution with the ability to suppress excluded providers from inactivity reports based upon criteria approved by the Agency.
5892	The Contractor shall provide a solution that notifies providers, via secure message in the Provider Portal, with fourteen (14) months of inactivity, except excluded providers, that they will be disenrolled at eighteen (18) months of inactivity.
5899	The Contractor shall provide a monthly report of providers who were terminated due to eighteen (18) months of inactivity with Alabama Medicaid.
5904	The Contractor shall provide a solution that automatically terminates all providers, except excluded providers, who have eighteen (18) months of inactivity with Alabama Medicaid.
5766	The Contractor shall provide a solution that requires disenrolled providers to restart the enrollment process with Alabama Medicaid to obtain billing privileges.
5898	The Contractor shall provide a solution that supports the ability to reactivate a terminated provider without requiring re-enrollment as requested by the Agency.
5901	The Contractor shall provide a solution with the ability to run an online report of disenrolled and terminated providers with criteria approved by the Agency.
5761	The Contractor shall provide a solution that retains all electronic and paper documentation related to the disenrollment and termination of a provider in the Contractor's system.

5. Deliverables – Provider Maintenance

Table II-35: Provider Maintenance – Provider Maintenance Deliverables

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
PM_01	5982	CHOW Transition Plan Template	The Contractor shall develop and submit a CHOW Transition Plan Template to the Agency for review and approval ninety (90) calendar	Ninety (90) calendar days prior to the start of the	Every six (6) months

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
			days prior to the start of the Implementation Phase. The CHOW Transition Plan Template shall be kept current with a formal review every six (6) months.	Implementation Phase	
PM_02	6352	Provider Disenrollment Package Template and Documentation	The Contractor shall develop and submit a Provider Disenrollment Package Template to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Provider Disenrollment Package Template shall be kept current with a formal review every six (6) months.	Ninety (90) calendar days prior to the start of the Implementation Phase	Every six (6) months

6. SLAs and KPIs – Provider Maintenance

The PM Services Contractor shall provide in the Service Level Agreement Plan how they will follow their best practices and tools for providing the PM solution. Unless otherwise noted, a threshold of 100% to SLAs and KPIs is expected.

Discount Calculations: If for any one month, any one or more of the SLAs measurements do not meet the SLA standards, the Contractor shall discount by 3% (three percent) against the amount invoiced for monthly PM Operations Fee the same month in which the SLA standards were not met. If the Contractor consistently fails to meet the SLA standards, the Agency may request a Corrective Action Plan (CAP). If the Contractor is still unable to meet SLA standards after the CAP has been executed, then the Agency may notify the Contractor of failure to meet contract requirements, and the Contractor may be subject to liquidated damages as described in RFP [Section VIII.MM Contract Liquidated Damages](#). KPIs are excluded from discount calculations.

a. Service Level Agreement – Provider Notification

Provider Notification. The PM Services Contractor shall notify all providers via the Message Center of revalidation within one (1) business day of Agency approval of the Revalidation Report.

- 1) **Measurement Item.** Provider Revalidation Notification
- 2) **Measurement Description.** Time to notify providers via Message Center of Revalidation
- 3) **Measurement Logic.** The measurement logic is Time <= one (1) business day
- 4) **Measurement Period.** Episodic

b. Service Level Agreement – Online Disenrollment Package

- 1) Create Online Disenrollment Package.

The PM Services Contractor shall be responsible for researching and associating all NPIs, provider IDs, and Tax IDs associated with a disenrollment for a provider within one (1) hour of receipt, creating an online disenrollment package.

- a) **Measurement Item.** Create Online Disenrollment Package
- b) **Measurement Description.** Time to create online disenrollment package

- c) **Measurement Logic.** The measurement logic is Time <= one (1) hour
 - d) **Measurement Period.** Episodic; hour of receipt
- 2) Perform Appropriate Action.
The PM Services Contractor shall send the online disenrollment package to the Agency for review. Upon Agency approval, the Contractor shall perform the appropriate action within one (1) hour.
- a) **Measurement Item.** Perform Appropriate Action
 - b) **Measurement Description.** Time to perform appropriate action
 - c) **Measurement Logic.** The measurement logic is Time <= one (1) hour
 - d) **Measurement Period.** Episodic; upon Agency approval
- c. Key Performance Indicator – Notification of ACHN**
- Notification of ACHN. The PM Services Contractor shall ensure ACHNs are notified in a secure manner within one (1) business day of the completion of all additions and updates of provider ACHN participation information.
- 1) **Measurement Item.** Notification of ACHN
 - 2) **Measurement Description.** Requires ACHN notification
 - 3) **Measurement Logic.** The measurement logic is Time <= one (1) business day
 - 4) **Measurement Period.** Episodic; completion of additions and updates
- d. Key Performance Indicator – Update Provider Contract**
- Update Provider Contract. The PM Services Contractor shall update information received electronically from the Agency that relates to provider contracts within one (1) business day of receipt.
- 1) **Measurement Item.** Provider Contract
 - 2) **Measurement Description.** Time to update information received electronically from the Agency
 - 3) **Measurement Logic.** The measurement logic is Time <= one (1) business day
 - 4) **Measurement Period.** Episodic; date of receipt of contract information
- e. Key Performance Indicator – Submit and Implement CHOW Transition Plan**
- Submit CHOW Transition Plan.
The PM Services Contractor shall submit the CHOW Transition Plan to the Agency for review and approval within two (2) days of the submission of the CHOW application.
- 1) **Measurement Item.** Submission of CHOW Transition Plan
 - 2) **Measurement Description.** Time to submit CHOW Transition Plan to the Agency
 - 3) **Measurement Logic.** The measurement logic is Time <= two (2) business days
 - 4) **Measurement Period.** Episodic
- Implement Chow Transition Plan.
The PM Services Contractor shall implement the CHOW Transition Plan within two (2) business days of Agency approval.
- 1) **Measurement Item.** Implement CHOW Transition Plan
 - 2) **Measurement Description.** Time to implement CHOW Transition Plan
 - 3) **Measurement Logic.** The measurement logic is Time <= two (2) business days
 - 4) **Measurement Period.** Episodic; Agency approval of CHOW
- f. Key Performance Indicator – Revalidation Report**

Revalidation Report. The PM Services Contractor shall provide a solution that produces an automated report at the beginning of each month, for the Agency to review, that lists providers scheduled to revalidate their enrollment information within sixty (60) days and the revalidation deadline.

- 1) **Measurement Item.** Revalidation Report
- 2) **Measurement Description.** Time to produce an automated report
- 3) **Measurement Logic.** The measurement logic is Time = one (1) month
- 4) **Measurement Period.** Monthly

7. Narrative Questions

Vendors must answer each narrative question or statement clearly, completely and in the format designated [RFP section VI. Submission Requirements, subsection N.1.e, Tab 6 – Scope of Work and Narrative Response](#) and in alignment with PL18_Response to Narrative Questions Template. Each narrative question response must address the applicable specification(s) and should include any Vendor-specific knowledge, creativity, or innovation that shows how the topic will support the Agency’s goals and objectives. All questions must have a detailed response. An unclear or incomplete response to a question will result in a lower score. Any question that does not have a response will be regarded as non-responsive and may cause the submission to be rejected.

Q - 45 Describe your approach to revalidation and achieving a high revalidation rate amongst providers.

Q - 46 Describe how the business rules engine will be used during revalidation to identify providers’ risk levels and prompt workflow to notify enrollment specialists and Agency staff to schedule site visits, fingerprinting, and background checks.

Q - 47 Describe your approach to successfully automating the CHOW process.

Q - 48 Describe automated and manual actions that occur within the proposed system when a provider is disenrolled or terminated.

Q - 49 Describe the process the Contractor will follow to research disenrollment requests from the Agency.

Q - 50 Describe your process to create an online disenrollment package.

K. Provider Management Operations and Support Services

Provider Management Operations and Support Services will provide operational activities and services for the PM solution. The activities and services outlined will be documented in a Provider Management Operations Manual. The PM Operations Manual will cover Provider Management Communications and the operations and services provided by the Provider Management Call Center, Targeted Provider Enrollment Outreach staff, and Provider Application Quality Assurance staff.

1. Provider Management Operations Manual and Desk Procedures

The PM Services Contractor shall develop and submit a Provider Management Operations Manual and Desk Procedures to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Provider Management Operations Manual and Desk Procedures shall be kept current with a formal review every six (6) months. The Provider Management Operations Manual and Desk Procedures shall provide a comprehensive detailed description of all operational activities being performed by the Contractor for Alabama Medicaid. There shall be sections in the Provider Management Operations Manual for provider enrollment, revalidation, site visits, written correspondence, telephone calls processed through the Provider Management call center, quality assurance audits, change of ownership, management of and invoices for pass-through costs, outreach activities and any other operational activities performed by the Contractor. It shall define the specific activities to be performed by the enrollment manager, enrollment

specialists and the quality assurance staff. This includes validating provider enrollment information, policies for conducting calls with prospective and enrolled providers, escalating calls to Agency staff, entering updates into the provider management system, etc. For each section of the Provider Management Operations Manual, Desk Procedures shall also be provided for use by Contractor’s staff. All changes and updates to the Provider Management Operations Manual and the Desk Procedures must be reviewed and approved in advance by the Agency.

The PM Services Contractor shall be responsible for making changes or improvements to Provider Management Operations Manual and Desk Procedures and for scheduling and conducting training for all staff to include, but not limited to, the enrollment manager, enrollment specialists, quality assurance staff, and Agency staff, as appropriate.

a. Requirements – Provider Management Operations Manual and Desk Procedures

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-36: Provider Management Support Services – Provider Management Operations Manual Requirements, all deliverables listed in Table II-41: Provider Management Operations and Support Services Deliverables, and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-36: Provider Management Support Services – Provider Management Operations Manual Requirements

Master ID	Requirement Description
5984	The Contractor shall develop and submit a Provider Management Operations Manual and Desk Procedures to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Provider Management Operations Manual and Desk Procedures shall be kept current with a formal review every six (6) months.
5987	The Contractor shall update the Provider Management Operations Manual and associated desk procedures quarterly beginning one (1) month prior to the implementation date of the provider management solution.
5978	The Contractor shall submit updates to the Provider Management Operations Manual and associated desk procedures to the Agency for review and approval at least ten (10) business days in advance of implementing the updates.

2. Provider Management Call Center

The PM Services Contractor shall provide a Provider Management Call Center, as well as qualified staff to establish, manage, and operate the Provider Management Call Center, as part of the PM Services solution. The Provider Management Call Center shall be available to prospective and enrolled providers via a toll-free number and live chat from 8:00 a.m. until 5:00 p.m., Central Time, on all State business days, Monday through Friday (excluding State holidays).

The PM Services Contractor shall work with the current vendor to transition the toll-free number for the Provider Management Call Center. The cost of the toll-free number will be a pass-through cost to the Agency. The PM Services Contractor must be able to receive and efficiently process calls transferred to the Provider Management Call Center from the CPMS Call Center.

Compensation for all approved pass-through expenses shall be paid based on documented costs. The PM Services Contractor shall invoice for pass-through expenses monthly, subject to availability of funds. Each monthly invoice shall have a cover letter/memo addressed to the Agency printed on the PM Services Contractor’s company letterhead. Pass-through expenses shall not exceed the Total Pass-through Price as specified in *Appendix C – Pricing Schedules, Pricing Schedule E – Pass-through Costs*.

The following as specified in this RFP shall be allowable pass-through costs:

- Toll-free telecommunication lines, as defined in [RFP Section II.H.8](#) Interactive Voice Response/Live Chat/Chatbot and above in [RFP Section II.K.2](#) Provider Management Call Center.
- All printing and postage expenses directly related to the operation of the Contract, including postal preparation fees for bulk and mass mailings, agency approved printing of manuals, handbooks, and bulletins, as defined in [RFP Section II.K.3](#), Provider Management Communications.

The PM Services Contractor shall submit to the Agency for approval, as part of the PM Contractor's Implementation Management Plan – Operations (see [RFP Section II.L.2.a.6](#) Implementation Management Plan – Operations) and Provider Management Operations Manual and Desk Procedures (see [RFP Section II.K.1](#) Provider Management Operations Manual and Desk Procedures) for determining and documenting pass-through expenses. The PM Services Contractor shall make a reasonable effort to obtain the least costly alternative for all pass-through expenses. The Contractor shall take advantage of high-volume printing and price comparison-shopping; automation-based rates and service provided by the Postal Service including ZIP+4, presorting, bar coding and bulk mailing.

The Provider Management Call Center shall assist both prospective and enrolled providers with enrollment and maintenance related inquiries concerning the application, revalidation, and provider maintenance processes. The Provider Management Call Center shall also assist enrolled providers with research, submission, and processing of enrollment related service requests. Upon contact to the Provider Management Call Center, a provider can expect an answer to their inquiry the same day or at least by the end of the following day if it requires further research. Calls received by the Provider Management Call Center concerning billing, remittance advices, etc. will be transferred to the CPMS Call Center for resolution.

The PM Services Contractor shall be responsible for managing, operating, and configuring all technologies required to operate the Provider Management Call Center as described in this section. The PM Services Contractor shall provide a Call Center Manager and qualified staff (enrollment specialists and technical staff) necessary to support, maintain, and operate the Provider Management Call Center. The PM Services Contractor shall provide a staffing level for the Provider Management Call Center required to achieve an average speed to answer that is less than or equal to sixty (60) seconds once a caller selects an option in the PM Services Contractor's Interactive Voice Response (IVR) system. The PM Services Contractor shall be responsible for all operational costs (i.e., telephone lines, software licenses, office space, etc.) required for this staffing level, with exception of toll-free numbers as mentioned above.

The PM Services solution shall produce reports and dashboards to be updated weekly to validate that the average speed to answer for both live chat and telephone inquiries is less than or equal to sixty (60) seconds. The dashboards shall include, at a minimum, the number of inbound calls against answered calls, including abandonment rate, hold time before initial answer, time placed on hold after call is answered, average talk time, and speed to answer for all calls.

The PM Services Contractor's staff shall review reports with the Agency monthly to compare Provider Management Call Center performance with agreed upon service level agreements (SLAs).

a. Requirements – Provider Management Call Center

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-37: Provider Management Support Services – Provider Management Call Center Requirements, all deliverables listed in Table II-41: Provider Management Operations and

Support Services Deliverables, and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-37: Provider Management Support Services – Provider Management Call Center Requirements

Master ID	Requirement Description
5420	The Contractor shall provide a Provider Management Call Center that is available to prospective and enrolled providers via a toll-free number and live chat Monday through Friday, 8:00 a.m. until 5:00 p.m., Central Time, on all State business days, (excluding State holidays). An inquiry shall be answered within the same business day or at least by the end of the following day if further research is required.
5937	The Contractor shall use scripts tailored for and approved by the Agency to communicate with providers via chat and phone. These scripts shall be included in the Provider Management Operations Manual.
5317	The Contractor shall work with the Agency and the AMMIS contractor to transition the toll-free number for the Provider Management Call Center.
5939	The Contractor shall be able to receive and process calls transferred to the Provider Management Call Center from the Agency and Agency approved call centers.
5933	The Contractor shall have the capability to soft transfer providers to the CPMS Contractor.
5936	The Contractor shall provide a report of repeat callers on a weekly basis associated with the Provider Management application or revalidation.
5991	The Contractor shall answer all calls to the Provider Management Call Center in less than five (5) minutes.
6387	The Contractor shall respond to providers who leave a message on the IVR voice messaging system with a callback within (1) business day.
5436	The Contractor shall provide live chat during the Provider Management Call Center business hours. The chat sessions shall be recorded, stored, and accessible to Agency staff.
5940	The Contractor shall respond to all live chat comments utilizing live operator response. The Contractor shall respond to 98% of all live chat comments, including the initial comment that initiated the chat, within thirty (30) seconds.
6381	The Contractor shall achieve a 5% or less abandonment rate after fifteen (15) seconds of the caller selecting an IVR option.
5471	The Contractor shall track, store, monitor, maintain, and report Call Center statistics on a dashboard to be updated daily. The statistics on the dashboard will include, but not limited to: <ol style="list-style-type: none"> 1. Abandon rate 2. Hold time before answer 3. Average speed of answer 4. Call duration (e.g., minutes, seconds) 5. Call volume 7. One call resolution rate 8. Peak hour statistics 9. Identification of historical trends 10. Busy signal 11. Disconnected calls

3. Provider Management Communications

Provider Management Communications will provide operational activities and services for the PM solution. The activities and services outlined will be documented in a Provider Management Operations Manual. The PM Services Contractor shall develop communications regarding updates, regulation changes, and

improvements in provider enrollment and provider management processes for review and approval by the Agency.

The PM Services Contractor shall configure, support, and maintain a communication solution outlined in the module-specific Communication Management Plan (see [RFP Section II.L.1a.3. Project Management Plans](#)). The communication solution shall generate scheduled and ad-hoc correspondence to providers, as triggered by business rules. The PM Services Contractor shall coordinate the distribution of such correspondence through the Provider Portal (see [RFP Section II.H.1. Tools and Capabilities](#)) all correspondence shall only be used as approved by the Agency.

The PM Services Contractor shall develop and submit standard correspondence templates for letters, forms, and alerts to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The standard correspondence templates shall be kept current with formal review every six (6) months. The PM Services Contractor shall generate correspondence using the standard templates approved by the Agency and shall use Agency approved response templates to respond to correspondence received from providers. The PM Services Contractor's correspondence solution must be able to integrate variable data into letters and forms such as provider name, provider ID, provider address, effective dates, regulations, Agency contact information, etc.

The PM Services Contractor shall provide rebilling to the Agency, as a pass-through cost, for all postage expenses, including, but not limited to, postal preparation fees for bulk and mass mailings, as approved by the Agency.

The PM Services Contractor shall maintain a PO Box, not specific to the state of AL, and retrieve mail each business day. When receiving communications from providers, the Contractor shall scan and link the information to a provider in the Provider Portal to be stored along with the response to the provider within two (2) business days.

a. Communication of Provider Management Changes, Updates, and Improvements

As changes and improvements to provider management policies, procedures, and technologies occur, the Contractor shall be responsible for communicating these changes, improvements, and documentation to Agency staff, providers, and other MES contractors. The size and impact of the change or improvement will determine the communication channel(s) that will be used to notify Agency staff, providers, and MES contractors.

The PM Services Contractor shall be responsible for developing the initial draft of the communications for review by the Agency. The PM Services Contractor shall make recommendations to the Agency as to the use of communication channels which will include, but are not limited to:

- Banner on Provider Portal
- Message on the Provider Management Call Center voice messaging system
- Targeted email
- Email to all providers
- Article in Agency Newsletter
- Video describing the change or improvement
- Virtual presentations to staff and/or providers
- On-site presentations to staff and/or providers

The PM Services Contractor shall follow Agency processes for obtaining approval of proposed communications and communication channels. The PM Services Contractor shall not issue any communications until final approval is received from the Agency.

b. Requirements – Provider Management Communications

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-38: Provider Management Support Services – Provider Management Communications Requirements, all deliverables listed in Table II-41: Provider Management Operations and Support Services Deliverables, and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-38: Provider Management Support Services – Provider Management Communications Requirements

Master ID	Requirement Description
5926	The Contractor shall configure, support, and maintain a correspondence process to support the Agency’s provider communications requirements.
5357	The Contractor shall provide a communication generation process, triggered based on business rules, that generates scheduled and ad-hoc correspondence, notifications, and alerts using Agency approved letter templates and forms.
6397	The Contractor shall, as part of the Communication Plan, provide an approach for undelivered and unread outgoing correspondence. The approach shall consider the criticality of the outbound correspondence and include, but not be limited to, the following: <ol style="list-style-type: none"> 1. Process for contacting the provider and/or the provider’s delegate(s) to validate/resolve the undeliverable address 2. Process for notifying the Agency regarding undelivered and unread outbound correspondence
6389	The Contractor shall develop and submit standard correspondence templates for letters, forms, and alerts to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The standard correspondence templates shall be kept current with formal review every six (6) months.
5930	The Contractor shall provide a solution that integrates provider-specific data into communication templates and forms approved by the Agency.
5990	The Contractor shall support industry standard barcode technology approved by the Agency for automation of scanning and linking the information to the provider’s records.
6464	The Contractor shall provide email addresses specific to the contract for purposes of corresponding with providers on behalf of the Agency as requested and approved by the Agency.
6365	The Contractor shall provide a solution that facilitates the research and response to inbound provider correspondence in a timeframe agreed upon by the Agency.
5950	The Contractor shall store, maintain, and provide access to all incoming/outgoing correspondence records for a provider in the Contractor’s system using criteria approved by the Agency to include but not limited to: <ol style="list-style-type: none"> 1. NPI 2. NPI with Taxonomy 3. Medicaid ID 4. Application ID 5. Correspondence ID 6. Date/Time of Correspondence 7. Contact Email Address 8. Provider Enrollment Specialist ID 9. Tax ID
5928	The Contractor shall maintain a PO Box and retrieve mail each business day.

Master ID	Requirement Description
5952	The Contractor shall provide rebilling to the Agency, as a pass-through cost, for all postage expenses, including but not limited to, postal preparation fees for bulk and mass mailings, as approved by the Agency.
6371	The Contractor shall provide a solution that maintains and updates the receipt of all inbound correspondence in the Provider Portal.
5927	The Contractor shall coordinate the distribution of provider correspondence through an Agency approved mail service or other communication mediums as requested and approved by the Agency.
6364	The Contractor shall provide a solution that assigns a criticality status to all outbound correspondence. The statuses shall be approved by the Agency and include, but not be limited to, the following: <ol style="list-style-type: none"> 1. High 2. Medium 3. Low
6370	The Contractor shall provide a solution that maintains and updates the delivery status of all outbound correspondence. The delivery statuses shall include, but not limited to, the following: <ol style="list-style-type: none"> 1. Email delivered, and correspondence read in Provider Portal 2. Email delivered, but correspondence not read in Provider Portal 3. Email undeliverable and correspondence read in Provider Portal 4. Email undeliverable and correspondence not read in Provider Portal
6396	The Contractor shall, as part of the Communication Plan, provide an approach for receiving and responding to inbound correspondence. The approach shall include, but not be limited to, the following: <ol style="list-style-type: none"> 1. Process for researching and responding to inbound provider correspondence 2. Process for scanning and uploading paper and email correspondence in the Provider Portal 3. Process for addressing unresolved inbound correspondence
5994	The Contractor shall provide a solution that facilitates an attempt to contact the provider via telephone to correct/validate the provider's contact information upon an undeliverable correspondence within a timeframe agreed upon by the Agency.
5989	The Contractor shall develop communications regarding updates, regulation changes, and improvements in provider enrollment and provider management processes for review and approval by the Agency. The initial draft shall include the communication schedule and methods of communication. The methods of communication shall include, but not be limited to: <ol style="list-style-type: none"> 1. Banner on Provider Portal 2. Message on the Provider Call Center voice messaging system 3. Targeted email 4. Email to all providers 5. Article in Agency Newsletter 6. Video describing the change or improvement 7. Virtual presentations to staff and/or providers 8. On-site presentations to staff and/or providers
6353	The Contractor shall distribute Agency-approved communications to Agency staff, providers, and other MES contractors within a timeframe agreed upon by the Agency.
5988	The Contractor shall electronically distribute Agency-approved communications to Agency staff, providers, and other MES contractors regarding updates, regulation changes, and improvements in provider enrollment and provider management processes.

4. Targeted Provider Enrollment Outreach

The PM Services Contractor shall conduct provider outreach at conferences, professional meetings, and healthcare association meetings to promote providers understanding of Alabama Medicaid. The PM Services Contractor shall provide information and resources for various provider enrollment related topics including, but not limited to, the benefits of enrolling in Alabama Medicaid, instructions for enrolling in Alabama Medicaid, and system enhancements and updates. The PM Services Contractor shall participate in at least ten (10) outreach events each year. Prior to each outreach event, the Contractor shall work with the Agency to conduct a meeting that includes the CPMS Contractor, if they are participating in the event, to review roles, responsibilities, resources, and logistics.

The PM Services Contractor shall develop and submit a Targeted Provider Enrollment Outreach Plan to the Agency for review and approval prior to the end of September of the first year of the Operations Phase. The Targeted Provider Enrollment Plan shall be kept current with a formal review every ninety (90) calendar days. The Targeted Provider Enrollment Plan shall include, but not be limited to:

- Tools
- Technology
- Exhibits
- Handouts
- Follow up actions to contact providers
- Staffing

The PM Services Contractor shall provide an Outreach Event Summary Report to the Agency for review and approval within seven (7) business days after the provider outreach event. The report will contain the name of the event, the date of the event, sponsor and location of the event, the names of participants, the number and names of the PM staff members participating in the event, the materials and tools used to support the event, the approximate number/percentage of participant contacts that occurred during the event, follow-up actions to contact providers, and any recommendations for improvement for future events.

a. Outreach Review and Assessment Report

The PM Services Contractor shall develop and submit an Outreach Review and Assessment Report to the Agency for review and approval each July, starting the first year of the Operations Phase. The PM Services Contractor shall collaborate with the Agency and the CPMS Contractor to develop the Annual Outreach Review and Assessment Report documenting and evaluating the effectiveness of the steps executed from the previous twelve (12) months' Targeted Provider Enrollment Plans.

The PM Services Contractor shall schedule a meeting with the Agency and the CPMS Contractor at the beginning of August, before go-live, and continue until the end of the contract. In the yearly kickoff meeting, the Contractor will review the Annual Outreach Review and Assessment Report and the Agency's focus areas for the upcoming calendar year prior to developing and submitting the Annual Targeted Provider Enrollment Plan. The first review of the Annual Outreach Review and Assessment Report will not occur until the year after the first Annual Provider Enrollment Plan is submitted.

b. Requirements – Targeted Provider Enrollment Outreach

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-39: Provider Management Support Services – Targeted Provider Enrollment Outreach Requirements, all deliverables listed in Table II-41: Provider Management Operations and Support Services Deliverables, and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-39: Provider Management Support Services – Targeted Provider Enrollment Outreach Requirements

Master ID	Requirement Description
5442	The Contractor shall conduct provider outreach at conferences, professional meetings, and healthcare association meetings to promote providers understanding of Alabama Medicaid.
5915	The Contractor shall work with the Agency to review the Targeted Provider Enrollment Outreach Plan for the previous year.
5705	The Contractor shall develop and submit a Targeted Provider Enrollment Outreach Plan to the Agency for review and approval prior to the end of September of the first year of the Operations Phase. The Targeted Provider Enrollment Plan shall be kept current with a formal review every ninety (90) calendar days.
5711	The Contractor shall schedule and conduct all meetings with the Agency and the CPMS Contractor to review roles, responsibilities, resources, and logistics prior to attending a conference or meeting.
5706	The Contractor shall provide an Outreach Event Summary Report to the Agency for review and approval within seven (7) business days after the provider outreach event.
5913	The Contractor shall develop and submit an Outreach Review and Assessment Report to the Agency for review and approval each July, starting the first year of the Operations Phase. The Contractor shall collaborate with the Agency and the Fiscal Agent Contractor to develop the Annual Outreach Review and Assessment Report documenting and evaluating the effectiveness of the steps executed from the previous twelve (12) months' Targeted Provider Enrollment Plans.
5914	The Contractor shall schedule a meeting with the Agency and the CPMS Contractor prior to the end of August beginning the August immediately before go-live through the end of the contract. The Contractor will review the Annual Outreach Review and Assessment Report and the Agency's focus areas for the upcoming calendar year prior to developing and submitting the Annual Targeted Provider Enrollment Plan. The first review of the Annual Outreach Review and Assessment Report will not occur until after the first Annual Provider Enrollment Plan is submitted.

5. Provider Application Quality Assurance

The PM Services Contractor shall provide staff (see [RFP Section II.L.1.c General Staffing](#)) required to establish and maintain a Provider Application Quality Assurance Program for the Agency. The PM Services Contractor's Provider Application Quality Assurance Program shall review, analyze, and validate provider enrollment and revalidation application transactions. Staffing for the Provider Application Quality Assurance Program shall operate independently from the provider enrollment manager and provider enrollment specialists. The PM Services Contractor shall develop and submit a Provider Application Quality Assurance Plan to the Agency for review and approval, six (6) months prior to module go-live as part of the Provider Management Operations Manual. The Provider Application Quality Assurance Plan will detail the Contractor's approach to operating the Contractor's Provider Application Quality Assurance Program, including but not limited to, a configurable approach to random sampling. The Provider Application Quality Assurance Plan shall be kept current and reviewed every six (6) months with the Agency.

The PM Services Contractor shall provide a configurable approach to random sampling, approved by the Agency, that ensures the selected sample appropriately reflects the applications received, including the ability to recreate samples for additional quality assurance or the ability to view all applications that meet a certain criterion. Random sampling criterion shall include, but not be limited to:

- Statistically significant number of applications
- Appropriate percentage of approvals and denials
- Appropriate percentage of enrollments and revalidations
- Appropriate percentage of individual/small offices and larger offices, groups, and facilities
- Any enrollment specialist who performed work during the period of the random sample must appear at least once

The PM Services Contractor shall perform a weekly Provider Application Quality Assurance Assessment to audit randomly selected enrollment and revalidation application transactions that occurred through the end of business on Friday of the current week. The weekly assessment shall include, but not be limited to, the following:

- Approved enrollment and revalidation applications
 - Quality audits to verify at least a 98% accuracy rate for approved transactions and the associated supporting documentation that has or is to be entered in the provider management system.
 - Quality audits to verify 98% of approved transactions have all CMS required documentation provided by the provider during the application process and that the information on the CMS required documentation matches the information on the provider's application.
- Denied enrollment and revalidation applications
 - Quality audits to verify at least a 98% accuracy rate for denied enrollment and revalidation transactions including, but not limited to, validating the decision to deny a transaction, the documentation supporting the denial of the transaction, the condition/reason code assigned to the transaction, and all notifications to the provider and other entities that have been completed.

Data points shall include, but not be limited to, the following:

- Provider Name
- Date of Birth
- Provider ID (NPI)
- Provider Addresses (to include city, county, state, 9-digit zip code, service location, pay to and mailing address)
- Telephone/Fax Numbers
- License Number
- SSN/Tax ID
- Clinical Laboratory Improvement Amendments (CLIA) Number, Drug Enforcement Agency (DEA), or other appropriate certifications to support the provider type
- Contract effective and end dates
- Primary Contact name

The PM Services Contractor shall produce a report of the enrollment and revalidation transactions that were included in the weekly assessment, the findings for each transaction, and the Provider Application Quality Assurance staff that completed the assessment. The report shall be submitted weekly to the Agency by 10:00 a.m. Central Time on Mondays. The PM Services Contractor shall schedule and conduct a monthly meeting for a member of the Quality Assurance staff to review the results of the weekly quality assurance assessments with the Agency.

The PM Services Contractor shall create and submit a Performance Improvement Action Plan (PIAP) Template to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The PIAP Template shall be kept current with a review every six (6) months. When a deficiency is identified, the Contractor shall submit a PIAP for approval by the Agency within two (2)

business days. The PM Services Contractor must implement the PIAP within two (2) business days after approval by the Agency. If the original PIAP does not correct the deficiency within thirty (30) calendar days from the implementation of the PIAP, the Contractor must submit a revised PIAP for approval by the Agency within three (3) business days. The PM Services Contractor must implement the revised plan within three (3) business days after approval by the Agency. If the plan does not correct the deficiency within three (3) months from the implementation of the original PIAP, the Contractor will be subject to a Corrective Action Plan (CAP).

The PM Services Contractor shall be responsible for correcting errors found while performing Quality Assurance assessments of enrollments and revalidations. The PM Services Contractor shall communicate with providers to resolve errors found on enrollment and revalidation applications within two (2) business days. The PM Services Contractor shall develop and submit a PIAP to the Agency for review and approval if the errors found while performing Quality Assurance assessments of enrollments and revalidations are not resolved after two (2) business days, at the fault of the Contractor. If the errors are not resolved after five (5) business days at the fault of the provider, the provider shall be immediately suspended until the errors are resolved. The PM Services Contractor shall be responsible for any damages resulting from the incorrect enrollment or revalidation of a provider, including associated payments made to providers with erroneous validations.

a. Requirements – Provider Application Quality Assurance

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-40: Provider Management Support Services – Provider Application Quality Assurance Requirements, all deliverables listed in Table II-41: Provider Management Operations and Support Services Deliverables, and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-40: Provider Management Support Services – Provider Application Quality Assurance Requirements

Master ID	Requirement Description
5367	The Contractor shall establish and maintain a Provider Application Quality Assurance Program to review, analyze, and validate provider applications to ensure enrollment and revalidation transactions are conducted accurately in accordance with SLAs. The Provider Application Quality Assurance Program shall operate independently from the provider enrollment manager and specialists.
5919	The Contractor shall develop and submit a Provider Application Quality Assurance Plan to the Agency six (6) months prior to module go-live as part of the Provider Management Operations Manual. The Provider Application Quality Assurance Plan shall be kept current and reviewed every six (6) months with the Agency.
5923	The Contractor shall provide automated and configurable random sampling capability that ensures the selected sample appropriately reflects the applications received, including the ability to recreate samples for additional quality assurance or the ability to view all applications that meet a certain criterion.
5411	The Contractor shall perform a Provider Application Quality Assurance Assessment weekly to audit the randomly selected enrollment and revalidation transactions that occurred through the end of business on Friday of the current week. The weekly assessment shall include, but not be limited to, the following: <ol style="list-style-type: none"> <li data-bbox="349 1791 1437 1854">1. Quality audits to verify 98% accuracy rate for approved transactions and the associated supporting documentation that has or is to be entered in the provider management system <li data-bbox="349 1854 1437 1917">2. Quality audits to verify 98% of approved transactions have all CMS required documentation provided by the provider during the application process and that the

Master ID	Requirement Description
	<p>information on the CMS required documentation matches the information on the provider's application</p> <p>3. Quality audits to verify 98% accuracy rate for denied enrollment and revalidation transactions including, but not limited to, validating the reasons for the decision to deny a transaction, the documentation supporting the denials of the transaction, the condition/reason code assigned to the transaction, and that all notifications to the provider and other entities have been completed.</p>
5924	<p>The Contractor shall review data points, including but not limited to, the following as a part of weekly assessments:</p> <ol style="list-style-type: none"> 1. Provider Name 2. Date of Birth 3. Provider ID (NPI) 4. Provider Addresses (to include city, county, state, 9-digit zip code, service location, pay to and mail to) 5. Telephone/Fax Numbers 6. License Number 7. SSN/Tax ID 8. CLIA Number, DEA, or other appropriate certifications to support the provider type 9. Contract effective and end dates 10. Primary Contact name
5922	<p>The Contractor shall produce a report of the enrollment and revalidation transactions that were included in the weekly assessment, the findings for each transaction, and the Provider Application Quality Assurance staff that completed the assessment. The report shall be submitted weekly to the Agency by 10:00 a.m. Central Time on Mondays.</p>
5925	<p>The Contractor shall schedule and conduct a monthly meeting for a member of the Quality Assurance staff to review the results of the weekly quality assurance assessments with the Agency.</p>
6400	<p>The Contractor shall create and submit a Performance Improvement Action Plan (PIAP) Template to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The PIAP Template shall be kept current with a review every six (6) months.</p>
5971	<p>The Contractor shall submit a Performance Improvement Action Plan (PIAP) for approval by the Agency within two (2) business days. The Contractor must implement the PIAP within two (2) business days after approval by the Agency. If the original PIAP does not correct the deficiency within thirty (30) calendar days from the implementation of the PIAP, the Contractor must submit a revised PIAP for approval by the Agency within three (3) business days. The Contractor must implement the revised plan within three (3) business days after approval by the Agency. If the plan does not correct the deficiency within three (3) months from the implementation of the original PIAP, the Contractor will be subject to a Corrective Action Plan (CAP).</p>
5916	<p>The Contractor shall be responsible for correcting errors found while performing any assessments of enrollments and revalidations. The Contractor shall communicate with providers to resolve errors found on enrollment and revalidation applications within two (2) business days of the identification of the error.</p>
5918	<p>The Contractor shall develop and submit a performance improvement plan to the Agency if the errors found while performing Quality Assurance assessments of enrollments and revalidations are not resolved after two (2) business days, at the fault of the Contractor.</p>

Master ID	Requirement Description
5921	The Contractor shall immediately suspend any provider if the errors found while performing Quality Assurance assessments of enrollments and revalidations are not resolved after five (5) business days, at the fault of the provider.

6. Deliverables – Provider Management Operations and Support Services

Table II-41: Provider Management Operations and Support Services Deliverables

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
PM_03	5984	Provider Management Operations Manual and Desk Procedures	The Contractor shall develop and submit a Provider Management Operations Manual and Desk Procedures to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Provider Management Operations Manual and Desk Procedures shall be kept current with a formal review every six (6) months.	Ninety (90) calendar days prior to the start of the Implementation Phase	Every six (6) months
PM_04	6389	Standard Correspondence Templates	The Contractor shall develop and submit standard correspondence templates for letters, forms, and alerts to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The standard correspondence templates shall be kept current with formal review every six (6) months.	Ninety (90) calendar days prior to the start of the Implementation Phase	Every six (6) months
PM_05	5705	Targeted Provider Enrollment Outreach Plan	The Contractor shall develop and submit a Targeted Provider Enrollment Outreach Plan to the Agency for review and approval prior to the end of September of the first year of the Operations Phase. The Targeted Provider Enrollment Plan shall be kept current with a formal review every ninety (90) calendar days.	End of September of the first year of the Operations Phase	Every ninety (90) calendar days

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
PM_06	5706	Outreach Summary Report	The Contractor shall provide an Outreach Event Summary Report to the Agency for review and approval within seven (7) business days after the provider outreach event.	Seven (7) business days after the provider outreach event	Each Provider Outreach Event
PM_07	5913	Annual Outreach Review and Assessment Report	The Contractor shall develop and submit an Outreach Review and Assessment Report to the Agency for review and approval each July, starting the first year of the Operations Phase. The Contractor shall collaborate with the Agency and the Fiscal Agent Contractor to develop the Annual Outreach Review and Assessment Report documenting and evaluating the effectiveness of the steps executed from the previous twelve (12) months' Targeted Provider Enrollment Plans.	July of first year of Operations Phase	Every twelve (12) months
PM_08	6400	Performance Improvement Action Plan Template	The Contractor shall create and submit a Performance Improvement Action Plan (PIAP) Template to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The PIAP Template shall be kept current with a review every six (6) months.	Ninety (90) calendar days prior to the start of the Implementation Phase	Every six (6) months
PM_09	5919	Provider Application Quality Assurance Plan	The Contractor shall develop and submit a Provider Application Quality Assurance Plan to the Agency six (6) months prior to module go-live as part of the Provider Management Operations Manual. The Provider Application Quality Assurance Plan will outline the Contractor's approach to operating the Contractor's Provider Application Quality Assurance Program. The	Six (6) months prior to module go-live	Every six (6) months

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
			Provider Application Quality Assurance Plan shall be kept current and reviewed every six (6) months with the Agency.		

7. SLAs and KPIs – Provider Management Operations and Support Services

The PM Services Contractor shall provide in the Service Level Agreement Plan how they will follow their best practices and tools for providing the PM solution. Unless otherwise noted, a threshold of 100% to SLAs and KPIs is expected.

Discount Calculations: If for any one month, any one or more of the SLAs measurements do not meet the SLA standards, the Contractor shall discount by 3% (three percent) against the amount invoiced for monthly PM Operations Fee the same month in which the SLA standards were not met. If the Contractor consistently fails to meet the SLA standards, the Agency may request a Corrective Action Plan (CAP). If the Contractor is still unable to meet SLA standards after the CAP has been executed, then the Agency may notify the Contractor of failure to meet contract requirements, and the Contractor may be subject to liquidated damages as described in RFP [Section VIII.MM Contract Liquidated Damages](#). KPIs are excluded from discount calculations.

a. Service Level Agreement – Average Speed to Answer

Average Speed to Answer. The PM Services Contractor shall provide staffing levels for the Provider Management Call Center necessary to achieve an average speed to answer that is less than or equal to sixty (60) seconds, after a caller selects an option in the IVR.

- 1) **Measurement Item.** Average Speed to Answer
- 2) **Measurement Description.** Time it takes to answer call received by the Provider Management Call Center.
- 3) **Measurement Logic.** The measurement logic is Time <= sixty (60) seconds
- 4) **Measurement Period.** Monthly; after a caller selects an option in the IVR

b. Service Level Agreement – Call Center Response

Call Center Response. The PM Services Contractor shall provide staffing levels for the Provider Management Call Center to achieve a 5% or less abandonment rate after fifteen (15) seconds and an answer rate of 95%. The PM Services Contractor shall work with the Agency to define a monthly report of the Provider Management Call Center statistics.

- 1) **Measurement Item.** Abandonment Rate
- 2) **Measurement Description.** Time calls are abandoned after fifteen (15) seconds
- 3) **Measurement Logic.** The measurement logic is Time <= 5% after fifteen (15) seconds
- 4) **Measurement Period.** Monthly

c. Service Level Agreement – Response to Initial Live Chat

Response to Initial Live Chat. The PM Services Contractor shall respond to all live chat comments utilizing live operator response. The PM Services Contractor shall respond to 98% of all live chat comments, including the initial comment that initiated the chat, within thirty (30) seconds. Any automated responses shall be excluded from the SLA calculation.

- 1) **Measurement Item.** Response to Initial Live Chat
- 2) **Measurement Description.** Time it takes to respond to live chat comments

- 3) **Measurement Logic.** The measurement logic is Time <= thirty (30) clock seconds
- 4) **Measurement Period.** Monthly

d. Service Level Agreement – Provider Application Quality Assurance Accuracy

Provider Application Quality Assurance Accuracy. The PM Services Contractor shall perform a Provider Application Quality Assurance Assessment weekly to audit the randomly selected enrollment and revalidation transactions that occurred through the end of business on Friday of the current week. The weekly assessment shall include, but not be limited to, the following:

- Quality audits to verify 98% accuracy rate for approved transactions and the associated supporting documentation that has or is to be entered in the provider management system
- Quality audits to verify 98% of approved transactions have all CMS required documentation provided by the provider during the application process and that the information on the CMS required documentation matches the information on the provider’s application
- Quality audits to verify 98% accuracy rate for denied enrollment and revalidation transactions including, but not limited to, validating the reasons for the decision to deny a transaction, the documentation supporting the denials of the transaction, the condition/reason code assigned to the transaction, and that all notifications to the provider and other entities have been completed.

- 1) **Measurement Item.** Provider Application Quality Assurance Accuracy
- 2) **Measurement Description.** Percentage accuracy rate for approved transactions
- 3) **Measurement Logic.** The measurement logic is Percentage >= 98%
- 4) **Measurement Period.** Weekly

e. Key Performance Indicator- Max Speed to Answer

Max Speed to Answer. The PM Services Contractor shall answer all calls to the Provider Management Call Center in less than five (5) minutes.

- 1) **Measurement Item.** Max Speed to answer calls to the Provider Management Call Center
- 2) **Measurement Description.** Time it takes to answer calls received
- 3) **Measurement Logic.** The measurement logic is Time < 5 minutes
- 4) **Measurement Period.** Episodic; calls received

f. Key Performance Indicator – Callback

Callbacks. The PM Services Contractor shall respond to providers who leave a message on the IVR voice messaging system with a callback within (1) business day.

- 1) **Measurement Item.** Callbacks responding to provider messages
- 2) **Measurement Description.** Time it takes to return calls received
- 3) **Measurement Logic.** The measurement logic is Time < one (1) business day
- 4) **Measurement Period.** Episodic; IVR message received

8. Narrative Questions

Vendors must answer each narrative question or statement clearly, completely and in the format designated in [RFP section VI. Submission Requirements, subsection N.1.e, Tab 6 – Scope of Work and Narrative Response](#) and in alignment with PL18_Response to Narrative Questions Template. Each narrative question response must address the applicable specification(s) and should include any Vendor-specific knowledge, creativity, or innovation that shows how the topic will support the Agency’s goals and objectives. All questions must have a detailed response. An unclear or incomplete response to a question will result in a lower score. Any question that does not have a response will be regarded as non-responsive and may cause the submission to be rejected.

Q - 51 How will you handle changes and updates to Operational manuals and Desk procedures

over time? Explain the processes you would implement in obtaining approval from the Agency? Describe your approach to ensuring both contractor's and Agency staff are notified and trained when updates to operational procedures occur.

Q - 52 Provide your approach to performing quality assurance for provider application enrollment.

Q - 53 Describe your experience successfully notifying providers to review and update their information for the Provider Directory including, but not limited to, engagement and success rates.

Q - 54 Describe your experience in establishing and operating a Provider Management Call Center for a government healthcare program.

Q - 55 Describe your reporting and dashboard capabilities on your solution to track and monitor the Call Center's performance in relation to calls and chats.

L. Enterprise and General Services

Enterprise and General Services activities are comprised of several key administrative and business areas, all of which establish a foundation to manage all program, project, contract activities, tasks, and work together to fulfill the Agency's vision for the successful transition toward an operation of the end-state MES. This section outlines the business and administrative framework that the Agency views as key to the success of all project phases.

The PM Services Contractor should understand that their solution must be responsive to the overall complexity of the project and operate within the multi-Contractor, modular environment that is envisioned by the Agency, and as such, the PM Services Contractor shall follow and comply with all subsections within Section L – Enterprise and General Services. The PM Services solution must convey the framework, vision, and approach that, at a minimum, incorporates services for all planned phases of the project as listed and defined in this RFP.

The Agency requires an overall Enterprise and General Services approach that adheres to recognized industry standards and principles for both project management and quality control. The Contractor's proposed approach and methodology must embody the essence and directives derived from these principles and standards and apply them across the spectrum of the project as they relate to all required project documents, plans, and deliverables.

The following Enterprise and General Services areas include similarly grouped, comprehensive requirements that relate to the overall project. The listed business areas are described for the purposes of responding to this RFP and the related requirements as listed in Section L – Enterprise and General Services and subsections of Section L. The PM Services Contractor shall meet all the requirements included, as they are the framework under which all project activities and work is governed. In meeting these requirements, the PM Services Contractor is reminded that they are to be applied and managed universally throughout the project timeline, phases, and work, unless explicitly amended by the Agency to fit or address a specific problem, issue, or failure.

As a part of the response to this RFP, the Vendor must describe how they plan to perform all services listed in Section L: Enterprise and General Services and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

1. Enterprise and General Services Management

a. Project Management

The PM Services Contractor shall adhere to AMMP plans, procedures, and protocols that are based on industry standards, as documented by the PMO Contractor, and approved by the Agency.

The PM Services Contractor shall ensure project management processes and procedures are flexible to accommodate different sized maintenance and modification projects throughout the term of the Contract.

The Initiation and Planning Phase will allow the PM Services Contractor eight (8) weeks to produce all ascribed deliverables required for delivery during this period (see [Appendix D – Contract Deliverables Table](#)) and finalize scheduling. The activities will include briefings, presentations, training in the proposed system development lifecycle methodology, processes, and any software tools the PM Services Contractor proposes. The Initiation and Planning Phase will allow all parties, including any new contractors, current contractors, and all stakeholders, the opportunity to participate in and understand the upcoming project approach and timeline. This will provide the basis needed for the project to move forward smoothly and successfully.

1) Project Management Activities Required in All Phases

a) Weekly Project Progress Report

The PM Services Contractor shall develop and submit a Weekly Project Progress Report to the Agency for review and approval by Close of Business (COB) each Friday, beginning four (4) weeks from Contract Start. The Weekly Project Progress Report is a high-level summary of key project information that delineates the overall progress and status of the project. The Weekly Project Progress Report is key in providing stakeholders information on the status and progress of the project's delivery. The information provided will contain enough detail to allow stakeholders to make informed decisions and maintain oversight of the project.

The Weekly Project Progress Report shall include, but not be limited to:

- Overall project status, focusing on relevant phases
- Upcoming and past-due project scheduled activities, milestones, and Key Milestones
- Current blockers, concerns, or constraints
- Status of critical issues and/or risks
- Key decisions made or needed
- Any updates needed for project reporting to internal and external stakeholders

b) Monthly Project Status Report and Meeting

The PM Services Contractor shall provide a monthly Project Status Report three (3) business days in advance of the monthly Project Status Meeting. The Monthly Project Status Report must include updates needed for project reporting to internal and external stakeholders. The PM Services Contractor shall use the AMMP template for these monthly reports.

c) Kick-offs

The PM Services Contractor should understand that AMMP has created a program-wide Kick-off Meeting Protocol Guide (PMO-2-c) and Kick-off Presentation Template (PMO-2-c-01). During onboarding, the Contractor shall review, understand, and attest to adhering to the latest version of the Kick-off Meeting Protocol Guide. The PMO Contractor will review the Kick-off Meeting Protocol Guide every six (6) months or as needed to address project conditions, client input, or Contract changes. The Agency will allow the Contractor the opportunity to review and comment on any changes to the guide/templates as they occur.

The Protocol Guide clarifies the workflow and expectations of the PM Services Contractor for Kick-off meetings. The Agency will schedule an initial Project Kick-off meeting with the PM Services Contractor within the first two (2) weeks after contract start. The initial Project Kick-off meeting will introduce the Contractor to the AMMP stakeholders and oversight areas. The PM Services Contractor shall develop and submit a Kick-off Presentation to the Agency for review and approval at least five (5) business days prior to the Kick-off meeting. The Kick-off Presentation shall be created using PowerPoint and shall include, but not be limited to, an overview of their PM Services module and team introductions. The PM Services Contractor will be allowed (2) hours to present their module overview. If more time is needed, the Contractor shall inform the Agency upon submittal of the Kick-off Presentation for review and approval. The PM Services Contractor must participate in the initial Project Kick-off meeting and ask/answer questions. Concerns that require more discussion will be addressed during the Contract Discovery sessions.

Some of the other Alabama Medicaid areas that will be present during these kick-off meetings include:

- Medicaid Enterprise Systems (MES) Program Management Office (PMO)
- Data Governance Office (DGO)
- Information Security Office (ISO)
- Project Portfolio Management Office (PPMO)
- Project Quality Assurance (PQA)
- Enterprise Quality Program (EQP)

The Agency requires various kick-off meetings prior to and during all phases of the project as outlined in the Kick-off Meetings Protocol Guide (PMO-2-c). The start of the phase is identified by the first meetings with the stakeholders related to that phase. The PM Services Contractor shall be responsible for working with the Organizational Change Management (OCM) team on the presentation and any other material needed. The PM Services Contractor shall be responsible for scheduling and conducting each Kick-off Meeting. The phase Kick-off Presentation will be a deliverable and must follow the standard approval process. These phase Kick-off Meetings can occur any time, but at a minimum, they are needed and will be required for the following activities:

- Contract Kick-off
- Requirement Validation
- Design
- Configuration/Development
- Conversion
- Testing
- Implementation and Post Implementation
- Certification
- Turnover and Closeout

Phase Kick-off Meetings will focus on the business stakeholders. The PM Services Contractor's presentation must address items such as business area responsibilities, the phase timeline with an emphasis on the business resources required, the contact information of PM Services Contractor personnel that will support the business area during that phase, and any other information that helps the business stakeholders.

The PM Services Contractor shall participate in other AMMP Module Contractors Kick-off Meetings, as requested by the Agency.

d) Project Schedule

A key component of project oversight is the PM Services Contractor's detailed project schedule. The Vendor must provide a high-level project schedule with the RFP response. Until the detailed project schedule is approved, the PM Services Contractor shall be held to the high-level project schedule submitted with the response. The PM Services Contractor shall submit weekly (close of business Thursday) schedule updates to the Agency utilizing the Agency's documentation storage solution (e.g., SharePoint). The project schedule will be used to monitor the PM Services Contractor project status. The project status related to the schedule will be included in the executive dashboard, as well as the project status reports. For this reason, the PM Services Contractor's detailed project schedule must be approved by the Agency within fourteen (14) weeks of contract start and baselined upon Agency approval to track the project schedule/task variance.

The PM Services Contractor must understand that AMMP has created a program-wide Integrated Master Schedule Template (PMO-2-q-02). During onboarding, the PM Services Contractor shall review, understand, and attest to adhering to the latest version of the Integrated Master Schedule Template. The PMO Contractor will review the Integrated Master Schedule Template every six (6) months, or as needed, to address project conditions, client input, or Contract changes. The PM Services Contractor will be given the opportunity to review and comment on any changes to the plans/templates as they occur.

The PM Services Contractor shall provide a fully decomposed Project Schedule that uses the approved AMMP-Program Integrated Master Schedule Template (PMO-2-q-02) and follows the expectations defined within the Integrated Master Schedule Management Plan (PMO-2-q). The detailed project schedule shall be submitted twelve (12) weeks after contract start. If after fourteen (14) weeks the schedule is not approved, daily meetings will occur until the detail schedule is approved. The meetings must include the PM Services Contractor personnel required for schedule modification and approval. The PM Services Contractor must update the project schedule on a weekly basis and provide to the Agency and PMO Contractor for review and approval of schedule changes. Once approved, the project schedule must be baselined to track the project schedule/task variance. The Agency requires all Project Schedules to include, but not be limited to, all related tasks to successfully obtain Federal Certification or assist another module in obtaining Federal Certification.

2) Contract Discovery

The PM Services Contractor shall participate in Contract Discovery sessions to ensure the project team clearly understands the scope of the project, including the PM Services Contractor's underlying drivers and proposed solutions. The focus of the sessions is to increase the likelihood of project success by ensuring the project team understands the objectives of the project. A discovery phase provides a context for decisions that happen daily during the project. The PM Services Contractor Discovery Sessions will begin two (2) weeks after the Project Kick-off Meetings.

The PM Services Contractor must use the Contract Discovery Template to document any questions or concerns related to the Contract. The Agency must receive the PM Services Contractor's version of the Contract Discovery document five (5) business days before the first contract discovery session. The Agency will also develop a Contract Discovery document that contains the questions

and concerns identified by the MES team. The Agency will provide their contract discovery document to the PM Services Contractor three (3) business days before the first contract discovery session. The PM Services Contractor document and the MES document will be merged to provide the agenda for the Contract Discovery sessions. This process will ensure everyone on the project understands the Contract and identifies concerns/blockers/risks that need to be addressed.

These sessions will be used to discuss differences between the solicitation documents and the proposal submitted by the PM Services Contractor. The sessions will walk through each area of the Contract to ensure both sides have the same understanding of what is required for the Contract to be a success. During the sessions, all relevant stakeholders will review AMMP-Program plans and guides, deliverable templates, invoicing process, and other topics critical to the success of the project.

3) Project Management Plans

a) Project Management Plan

The PM Services Contractor must plan, coordinate, execute, and monitor its work on AMMP through the development, utilization, and maintenance of a comprehensive Project Management Plan (PMP). All deliverables/artifacts will be subject to Agency approval throughout the project. The PMP must contain the following components at a minimum:

- Project Initiation and Approach Plan
- Quality Management Plan
- Schedule Management Plan
- Communication Management Plan
- Change Management Plan
- Risk Management Plan
- Issue Management Plan
- Scope Management Plan
- Stakeholder Management Plan
- Resource Management Plan
- Other content the PM Services Contractor determines to be important in a project like AMMP

Due to the nature of the AMMP, many project management plans have been built by the Agency for all Contractors to attest to ([RFP Section II.C.2 AMMP Wide Plans and PM Attestation](#)). Other components of the PMP described above must be constructed by the Contractor as standalone documents, the details of which can be found below. The PM Services Contractor shall keep the PMP current and submitted for review and approval every six (6) months following Agency approval.

b) Project Initiation and Approach Plan

The PM Services Contractor shall develop a Project Initiation and Approach Plan that defines the project approach and methodologies, objectives, and how the PM Services Contractor will achieve all defined objectives, project scope, purpose, management, and deliverables required by the Agency. The Project Initiation and Approach Plan must focus on multi-contractor projects. The document must, at a minimum, contain the following:

- Summary/Overview
- Objectives
- Scope
- Assumptions and Dependencies

- Constraints and how to overcome
- Organization and Governance
- Coordination/cooperation among all stakeholders
- Quality Management
- Quality Management Overview, Approach and Objectives of the Project
- Quality Standards used by the project
- Quality Roles and Responsibilities
- Documentation of work products that are subject to Quality Reviews, including, but not limited to, deliverables, artifacts, requirements, communications, project documentation, reporting, training, and knowledge materials
- Description of the Quality Review process and QC Checklist for each work product type
- Description of the approach to addressing AMMP-Program Project Quality Assurance (PQA) findings
- Reporting and integration with Contract Monitoring of quality-related SLAs, Operational Level Agreements (OLAs), KPIs, and metrics
- Post Implementation/Operations Quality Evaluations – Description of the process for continuous quality evaluations on the performance of the Operations Team and Contact Center ongoing support

c) Quality Assurance and Quality Management

The PM Services Contractor shall focus on the importance of quality systems, services, artifacts, and documentation. It will be important for the PM Services Contractor to plan, implement, endorse, and continuously improve their quality assurance program, taking on responsibility for tracking, reporting, and improving project quality as it relates to the PM solution.

AMMP created a program-wide Quality Management Plan (PMO-2-k) and Quality Control (QC) Checklist (PMO-2-k-01). The PM Services Contractor shall be required to perform QC for all artifacts and deliverables prior to submission. A completed QC checklist will be required for each deliverable submission and must follow the deliverable process defined in the Configuration Management and Document Validation Plan (PMO-2-r).

The PM Services Contractor shall also develop and maintain a Quality Management Plan (QMP) early in the project to address the needs and specific opportunities for quality improvement through all phases, from the Contract initiation through contract turnover. The QMP must reflect the PM Services Contractor's experience and commitment toward quality in systems design, testing, and implementation; process design and staff training; performance standards development and measurement; and customer satisfaction measurement and analysis. As part of its approach to quality management, the PM Services Contractor shall provide adequate resources to develop, support, and report progress against Agency-approved quality metrics, SLAs, or performance metrics defined by the Agency. The PM Services Contractor's assigned resources must be skilled and experienced in both quality assurance and quality control.

d) Schedule Management

The PM Services Contractor should understand that AMMP has created a program-wide Integrated Master Schedule Management Plan (IMSMP) (PMO-2-q) and an Integrated Master Schedule Template (PMO-2-q-02). During onboarding, the PM Services

Contractor shall review, understand, and attest to adhering to the latest version of the IMSMP and to use the Integrated Master schedule template for its schedule. The PMO Contractor will review the AMMP-Program IMSMP every six (6) months or as needed to address project conditions, client input, or Contract changes. The Agency will allow the PM Services Contractor the opportunity to review and comment on any changes to the plans/templates as they occur.

The purpose of the IMSMP is to define the schedule development and management approach and establish the process for collecting, using, and communicating schedule information (e.g., schedule status, forecasts, upcoming activities) at both the project and program level. It also defines the specifications required to incorporate a detailed contractor schedule into the program-wide Integrated Master Schedule (IMS).

e) Communications Management

The PM Services Contractor should understand that AMMP has created an AMMP-Program Communication Management Plan (COM-11), as well as the AMMP-Program Responsibility Assignment Matrix (COM-6-A). During onboarding, the PM Services Contractor shall review, understand, and attest to adhering to the latest version of the AMMP-Program Communication Management Plan. The PMO Contractor will review the AMMP-Program Communication Management Plan every six (6) months or as needed to address project conditions, client input, or Contract changes. The Agency will allow the PM Services Contractor the opportunity to review and comment on any changes to the plans/templates as they occur. A module-specific document repository (e.g., SharePoint) will be created for each module (SI, Program Management Office, PM, CPMS) to access and store for communication management activities.

The PM Services Contractor shall also develop a module-specific Communication Management Plan and a Responsibility Assignment Matrix. These items will work together to provide detailed communication activities during the PM Services Contractor's transition into project support and establish the communications framework for conducting an effective AMMP project. The PM Services Contractor shall use the format approved by the Agency in both COM-11 and COM-6-A to guide their specific deliverable.

The module-specific Communications Management Plan shall define the communication requirements for the project, which set the communications framework for conducting an AMMP project. The PM Services Contractor shall ensure that the module-specific Communications Management Plan and all communication standards within it are followed by all members of their team. Additionally, it serves as a guide for communications throughout the term of the Contract, which includes, but is not limited to:

- Communication Requirements
- Communication Response Expectations
- Communication Process and Procedures
- Communication Matrix
- Responsibility Assignment Matrix, with Responsible, Accountable, Supportive, Consulted, Informed (RASCI) Chart (COM-6-A)
- Communication (Stakeholder) Register
- Project Meetings
- Project Status Reporting
- Other Communication Methods

- Storage, Retrieval, and Disposition

f) Risk Management

The PM Services Contractor should understand that AMMP has created a program-wide Risk Management Plan (PMO-2-i). As part of the overall onboarding process, the Agency requires a collaborative review of the approved plan, resulting in the PM Services Contractor's attestation for the usage of this Risk Management Plan. The PM Services Contractor must address any concerns during the onboarding activities. The PMO Contractor will review the Risk Management Plan every six (6) months or as needed to address project conditions, client input, or Contract changes. The PM Services Contractor shall be given the opportunity to review and comment on any changes to the plans/templates as they occur.

The Risk Management Plan standards and supporting processes are used by the entire Program/Project team for the proactive planning, identification, analysis, response, and management of risks that could have an impact on project progress or, ultimately, the success of the AMMP. Once risks turn into issues, the PM Services Contractor shall be responsible for reacting as quickly and efficiently as possible to not only resolve those risks at the project level but to identify and mitigate the downstream effects of those issues across the AMMP.

g) Issue Management

The PM Services Contractor should understand that AMMP has created a program-wide Issue Management Plan (PMO-2-j). As part of the overall onboarding process, the Agency requires a collaborative review of the approved plan, resulting in the PM Services Contractor's attestation for the usage of this Issue Management Plan. The PM Services Contractor must address any concerns during the onboarding activities. The PMO Contractor will review the Issue Management Plan every six (6) months or as needed to address project conditions, client input, or Contract changes. The PM Services Contractor shall be given the opportunity to review and comment on any changes to the plans/templates as they occur.

The Issue Management Plan standards and supporting processes are used by the entire project team to analyze, respond to, and manage issues that have an impact on project progress or, ultimately, the success of the AMMP. The PM Services Contractor shall be responsible for reacting as quickly and efficiently as possible to not only resolve issues at the project level but to identify and mitigate the downstream effects of those issues across the AMMP.

h) Scope Management

The PM Services Contractor should understand that AMMP has created a program-wide Scope Management Plan (COM-10). As part of the overall onboarding process, the Agency requires a collaborative review of the approved plan, resulting in the PM Services Contractor's attestation for the usage of this Scope Management Plan. The PM Services Contractor must address any concerns during the onboarding activities. The PMO Contractor will review the Scope Management Plan every six (6) months or as needed to address project conditions, client input, or Contract changes. The PM Services Contractor shall be given the opportunity to review and comment on any changes to the plans/templates as they occur.

The Scope Management Plan describes the scope management approach, methodology, and tools used to define, develop, verify, monitor, control, and report scope-related work and components that could impact the Agency program and/or projects in the portfolio. The approved scope management process ensures a defined, documented, repeatable, and measurable process exists for successful scope management.

The Scope Management Plan provides standard terminology, clear roles and responsibilities, a high-level scope management process, and the standard templates and tools used in the scope management process. It is designed to guide the program team, project teams, and stakeholders for consistent scope management activities, including scope change control.

i) Stakeholder Management

The PM Services Contractor shall provide a Stakeholder Management Plan that defines the processes required to identify the people, groups, or organizations that could impact or be impacted by the project; to identify stakeholder expectations and their impact on the project; and to develop appropriate management strategies for effectively engaging stakeholders in project decisions and execution.

The PM Services Contractor must create a Stakeholder Management Plan to address how they will:

- Identify Stakeholders – Define the processes to identify, analyze, and document relevant information regarding their interest, involvement, dependencies, influence, and potential impact on project success.
- Plan Stakeholder Engagement – Define the processes to engage stakeholders based on their needs, expectations, interests, and potential impact on the project.
- Manage Stakeholder Engagement – Define the processes for communicating and working with stakeholders to meet their needs and expectations, address issues, and foster appropriate stakeholder engagement involvement.
- Monitor Stakeholder Engagement – Define the processes for monitoring stakeholder relationships and tailor strategies for engaging stakeholders through the term of the Contract.

The activities related to stakeholder management are iterative in nature, will be reviewed collectively by the MES module Contractors, and updated routinely. The Stakeholder Registry is to be considered an artifact of the Stakeholder Management Plan.

j) Resource Management

The PM Services Contractor shall describe within the Resource Management Plan how project resources are identified, acquired, allocated, monitored, and controlled. The Resource Management Plan must include, but not be limited to the following:

- Resource Planning – Define the process used to estimate, acquire, and manage team resources
- Resource Estimating – Define the process used to estimate the type of resources, roles and responsibilities, and quantity of resources needed to be successful during the term of the Contract
- Resource Development – Define the methods for improving the effectiveness of individuals and the PM Services Contractor team (e.g., training, mentoring)
- Resource Management – Define the methodology for managing individual and team performance, with an objective on determining ways to continually improve performance

- Resource Control – Define the methodology for:
 - Attrition control
 - Project onboarding orientation
 - Resource transition during project execution
 - Resource transition at project closure
 - Asset Control as it pertains to all supplies and equipment used by the PM Services Contractor or owned by the Agency, used by the Agency, or critical to the success of the project

As part of the Resource Management Plan, the PM Services Contractor shall provide an updated Organization Chart and Stakeholder Registry within five (5) business days of when a key person is replaced or reassigned or reorganization takes place, using the Agency-approved format. This is to include an action plan for backfilling the position until a replacement is found and approved by the Agency. Additionally, as part of the Resource Management Plan, the PM Services Contractor must create and maintain a staff loading chart for each phase of the project. The staff loading chart shall provide staffing levels (estimated by phase) throughout the term of the Contract. Roles must be identified by resource type (key personnel, lead personnel, and general project personnel).

4) Requirements Management

The Agency will work collaboratively with the PM Services Contractor, during the initial stages of the project, to make sure there is transparency and understanding of the PM Statement of Work (SOW) and that all requirements defined in the PM Services Contractor’s RFP are verified and validated. The deliverables within this section outline the expectation of initial Requirements Management, requirements verification, Gap Analysis, and the ongoing maintenance of the Requirements Traceability Matrix (RTM).

a) Requirements Validation Plan

The PM Services Contractor shall submit a Requirement Validation Plan (RVP) two (2) weeks after the last Contract Discovery session. The Requirement Validation Plan must identify the approach and process for requirements validation, as well as the topics and attendees for each Requirement Validation (RV) session. The Agency and the PMO Contractor will review and provide approval for the RVP. The RV sessions shall occur once the RVP has been approved but will need to occur prior to any customization, configuration, or testing of the proposed solution. The PM Services Contractor must use the Requirements Response Matrix (RRM) provided as part of the proposal response as the starting point during RV sessions.

The PM Services Contractor shall maintain the RVP to document, analyze, trace, prioritize, and agree upon requirements and communicate to relevant stakeholders. This is a continuous process throughout the project. The Requirements Validation Plan shall define metrics and measures associated with requirements to be used to ensure the PM is fulfilling the business requirements.

b) Gap Analysis Document

The PM Services Contractor shall provide a Gap Analysis document as an output from the RV sessions. The Gap Analysis document must clarify the difference or “gap” between the contractual requirements and existing module/service capabilities. The gap analysis must include a thorough exploration of the future state of the Module/Service (e.g., process, systems, staff) and a variety of environmental factors necessary to understand

how the organization operates today. The PM Services Contractor must produce a Gap Analysis document and submit to the Agency three (3) weeks after all RV sessions have completed.

c) Requirements Traceability Matrix

The PM Services Contractor should understand that AMMP has created a program-wide Requirements Traceability Matrix (RTM) (REQ-2-a3-4). The RTM is designed to keep track of how each requirement will be tested and implemented in the system. During onboarding, the PM Services Contractor shall review, understand, and attest to adhering to the latest version of the RTM. As the project progresses through implementation, the RTM should be updated with further elaborated information regarding each requirement such as Test Case number and Test results. As the RTM is updated and approved by the Agency, it becomes the expectations and guidelines for each project moving forward.

The PM Services Contractor shall provide weekly extracts of requirements in the Agency approved module Requirements Traceability Matrix (RTM) Update template (REQ-2-a3-4-01) for the term of the Contract. This extract will be used to update the AMMP-Program Requirements Traceability Matrix in the AMMP-Program Requirements Management Tool (RMT) and provide details about how each requirement is being implemented and tested. The PMO Contractor will schedule an RMT Overview meeting to review the user guide and templates necessary for module requirement updates. The PM Services Contractor shall submit the weekly module RTM update files beginning three (3) weeks after the completion of RMT Overview meeting.

5) Requirements - Project Management

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-42: Project Management – Project Management Requirements, Table II-43: Project Management – Project Management Deliverables, and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-42: Project Management – Project Management Requirements

Master ID	Requirement Description
4610	The Contractor shall align its overall project management methodology to conform and comply with Agency approved AMMP PMO methodologies, protocols, plans, templates, and processes.
5039	The Contractor shall review and follow established AMMP program processes, plans and protocols throughout the term of the contract. During the term of contract, the contractor shall be given the opportunity to review and comment on any changes to the plans as they occur.
6448	The Contractor shall develop and submit a Weekly Project Progress Report to the Agency for review and approval by Close of Business (COB) each Friday, beginning four (4) weeks after Contract Start.
6440	The Contractor shall develop and submit a Monthly Project Status Report to the Agency for review and approval four (4) weeks after the contract start. The Contractor shall develop the Monthly Project Status Report using the AMMP Status Report Template (COM-12-1).
6457	The Contractor shall schedule and facilitate Monthly Project Status Report meetings beginning the first month after contract start up for the term of the Contract.

Master ID	Requirement Description
4748	The Contractor shall follow the Kick-off Meetings Protocol Guide (PMO-2-c-01) and work with the Agency and the MES PMO to conduct a kick-off meeting within two (2) weeks of the contract start date and shall use the program kick-off template (PMO-2-c-02).
6439	The Contractor shall develop and submit a Kick-off Presentation, for each phase of the project, to the Agency for review and approval five (5) business days prior to the phase Kick-off Meeting.
5034	The Contractor shall create a cadence and schedule weekly Touchpoints using an Agency defined agenda template. These touchpoints are to begin within the first month after contract start up for the term of the contract.
6459	The Contractor shall be responsible for scheduling and conducting each phase Kick-off Meeting.
6461	The Contractor shall participate in other AMMP Module Contractors Kick-off Meetings, as requested by the Agency.
4745	The Contractor shall provide a Project Schedule that uses the approved AMMP Program Wide Integrated Master Schedule Template (PMO-2-q-02) and follows the expectations defined within the Integrated Master Schedule Management Plan (PMO-2-q) to be submitted to the Agency twelve (12) weeks from the contract start date. If the schedule is not approved fourteen (14) weeks from the contract start date, then daily meetings will occur until the project schedule is approved.
4746	The Contractor shall submit weekly (close of business Thursday) schedule updates to the Agency utilizing the Agency approved documentation storage solution (e.g., SharePoint).
5293	The Contractor shall provide an updated Detailed Schedule within three (3) weeks of a request from the Agency to re-baseline the schedule. If the Detailed Schedule is not approved after a two (2) week Agency review, daily meetings will occur until the Detailed Schedule is approved. These meetings must include Agency and Module Contractor personnel required for schedule modification and approval.
4950	The Contractor shall use AMMP Contract Discovery Template (PMO-2-w-01) to record the contractor's questions in any aspect of the contract and submit it to the Agency five (5) business days before the first contract discovery session
4949	The Contractor shall participate in scheduled contract discovery sessions which will occur ten (10) business days after the project kick-off meetings.
4948	The Contractor shall participate in Contract Discovery sessions, to discuss differences between the RFP/RFB and the proposal or bid submitted by the contractor.
4776	The Contractor shall develop and submit a Project Management Plan (PMP) to the Agency within eight (8) weeks from Contract Start for review and approval. The contractor shall update the PMP every six (6) months through the term of the contract.
4766	The Contractor shall develop and submit Project Initiation and Approach Plan to the Agency within six (6) weeks from Contract Start for review and approval. The contractor shall update the Project Initiation and Approach Plan every six (6) months through the term of the contract.
4750	The Contractor shall develop and submit a Quality Management Plan to the Agency within six (6) weeks from Contract Start for review and approval. The contractor shall update the Quality Management Plan every six (6) months through the term of the contract.
4605	The Contractor shall follow established quality management process as stated in the Quality Management Plan (PMO-2-k) and Quality Control Checklist (PMO-2-k-01) for document standards, guidelines, checklist and quality review process prior submission to the Agency.

Master ID	Requirement Description
4754	The Contractor shall develop and submit a module specific Communication Management Plan and a Responsibility Assignment Matrix to the Agency within eight (8) weeks from contract start for review and approval. The contractor shall update the module specific Communication Management Plan and Responsibility Assignment Matrix every six (6) months through the term of the contract.
4779	The Contractor shall develop and submit a Stakeholder Management Plan to the Agency within six (6) weeks from Contract Start for review and approval. The contractor shall update the Stakeholder Management Plan every six (6) months through the term of the contract.
6443	The Contractor shall develop and submit a Resource Management Plan to the Agency for review and approval eight (8) weeks from Contract Start. The Resource Management Plan shall be kept current with a formal review every six (6) months. The Resource Management Plan shall include personnel, position/contract area, and responsibilities.
4654	The Contractor shall develop and maintain as part of the Resource Management Plan a Project Work Location Table, accessible to the Agency, of all individuals identified in the Resource Management Plan Staff Loading chart. The contents of the list shall provide the following: <ol style="list-style-type: none"> 1. Individual's name 2. Preferred name 3. Position 4. Business telephone number and business email address 5. Physical location of work 6. Contract area of responsibility 7. Hours allocated and percent of time dedicated to the project
4612	The Contractor shall utilize automated tools approved by the Agency to formally track all requirements and related design, configuration, testing, and certification artifacts. The tools must maintain requirements traceability to approved change requests, test cases, and defects for the term of the contract. The Contractor's tools shall export the detail information to an extract file in a format defined and approved by the Agency.
4967	The Contractor shall develop and submit a Requirement Validation Plan to the Agency within two (2) weeks after the last Contract Discovery session for review and approval.
4734	The Contractor shall develop a gap analysis document and submit to the Agency within three (3) weeks after the requirement validation sessions are complete for review and approval.
4966	The Contractor shall develop and submit weekly extracts of requirements using the REQ-2-a3-4-01 template format to the Agency through the term of the contract.
4965	The Contractor shall develop and submit an initial weekly extract of requirements using the REQ-2-a3-4-01 template format to the Agency three (3) weeks after the RMT Overview meeting.
4969	The Contractor shall use the Requirement Response Matrix (RRM), provided during the proposal response, as the starting point during the Requirement Validation sessions.
6490	The Contractor shall schedule Requirement Validation (RV) Sessions once the Requirement Validation Plan is approved, and RV sessions should occur prior to any customization, configuration or testing of the proposed solution.
4777	The Contractor shall, at the end of each phase, perform Lessons Learned following the processes defined within the AMMP approved, Lessons Learned Protocol Reference Guide (PMO-2-n-05).

6) Deliverables - Project Management

Table II-43: Project Management – Project Management Deliverables

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
PRJ_01	6448	Project Progress Report	The Contractor shall develop and submit a Weekly Project Progress Report to the Agency for review and approval by Close of Business (COB) each Friday, beginning four (4) weeks after Contract Start.	Four (4) weeks after contract start	Weekly
PRJ_02	6440	Project Status Report	The Contractor shall develop and submit a Monthly Project Status Report to the Agency for review and approval four (4) weeks after the contract start. The Contractor shall develop the Monthly Project Status Report using the AMMP Status Report Template (COM-12-1).	Four (4) weeks after contract start	Monthly
PRJ_03	6439	Kick-off Presentation	The Contractor shall develop and submit a Kick-off Presentation, for each phase of the project, to the Agency for review and approval five (5) business days prior to the phase Kick-off Meeting.	Five (5) business days prior to the Kick-off Meeting	With each Phase Kick-off
PRJ_04	4745, 4746	Project Schedule	The Contractor shall provide a Project Schedule that uses the approved AMMP Program Wide Integrated Master Schedule Template (PMO-2-q-02) and follows the expectations defined within the Integrated Master Schedule Management Plan (PMO-2-q) to be submitted to the Agency twelve (12) weeks from the contract start date. If the schedule is not approved fourteen (14) weeks from the contract start date, then daily meetings will occur until the	Twelve (12) weeks after contract start	Weekly

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
			project schedule is approved. The Contractor shall submit weekly (close of business Thursday) schedule updates to the Agency utilizing the Agency-approved documentation storage solution (e.g., SharePoint).		
PRJ_05	4950	Contract Discovery Document	The Contractor shall use AMMP Contract Discovery Template (PMO-2-w-01) to record the Contractor's questions in any aspect of the Contract and submit it to the Agency five (5) business days before the first contract discovery session.	Five (5) business days prior to the first contract discovery session	One time submission
PMP_01	4776	Project Management Plan	The Contractor shall develop and submit a Project Management Plan (PMP) to the Agency within eight (8) weeks from Contract Start for review and approval. The Contractor shall update the PMP every six (6) months through the term of the Contract.	Eight (8) weeks after contract start	Every six (6) months
PMP_02	4766	Project Initiation and Approach Plan	The Contractor shall develop and submit Project Initiation and Approach Plan to the Agency within six (6) weeks from Contract Start for review and approval. The Contractor shall update the Project Initiation and Approach Plan every six (6) months through the term of the Contract.	Six (6) weeks after contract start	Every six (6) months

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
PMP_03	4750	Quality Management Plan	The Contractor shall develop and submit a Quality Management Plan to the Agency within six (6) weeks from Contract Start for review and approval. The Contractor shall update the Quality Management Plan every six (6) months through the term of the Contract.	Six (6) weeks after contract start	Every six (6) months
PMP_04	4754	Communication Management Plan	The Contractor shall develop and submit a module-specific Communication Management Plan and a Responsibility Assignment Matrix to the Agency within eight (8) weeks from Contract start for review and approval. The contractor shall update the module specific Communication Management Plan and Responsibility Assignment Matrix every six (6) months through the term of the Contract.	Eight (8) weeks after contract start	Every six (6) months
PMP_05	4779	Stakeholder Management Plan	The Contractor shall develop and submit a Stakeholder Management Plan to the Agency within six (6) weeks from Contract Start for review and approval. The Contractor shall update the Stakeholder Management Plan every six (6) months through the term of the Contract.	Six (6) weeks after contract start	Every six (6) months
PMP_06	6443	Resource Management Plan	The Contractor shall develop and submit a Resource Management Plan to the Agency for review and approval eight (8) weeks from Contract Start. The Resource Management Plan shall be kept current with a formal review every	Eight (8) weeks after contract start	Every six (6) months

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
			six (6) months. The Resource Management Plan shall include personnel, position/contract area, and responsibilities.		
REQ_01	4967	Requirements Validation Plan	The Contractor shall develop and submit a Requirements Validation Plan to the Agency within two (2) weeks after the last Contract Discovery session for review and approval.	Two (2) weeks after the last Contract Discovery Session	One time submission
REQ_02	4734	Gap Analysis Document	The Contractor shall develop a Gap Analysis Document and submit to the Agency within three (3) weeks after the requirement validation sessions are complete for review and approval.	Three (3) weeks after Requirement Validation Sessions	One time submission
REQ_03	4965, 4966	Requirement Traceability Matrix	The Contractor shall develop and submit an initial weekly extract of requirements using the REQ-2-a3-4-01 template format to the Agency three (3) weeks after the RMT Overview meeting. The Contractor shall develop and submit weekly extracts of requirements using the REQ-2-a3-4-01 template format to the Agency through the term of the Contract.	Three (3) weeks after the RMT Overview Meeting	Weekly

b. Contract Management

Through processes defined within contract administrative procedures, the PM Services Contractor shall be able to address general contract changes and contractual compliance issues. Contract changes are handled through the Contract Change Order process, as detailed in the following subsections. Contract problems and/or performance requirement problems will be dealt with in a variety of enforcement and compliance processes. The Agency staff shall identify contract compliance issues resulting from the PM Services Contractor’s performance of its responsibilities through routine contract monitoring activities. The PM Services Contractor shall be required to follow the processes and/or procedures below in order to formally manage the contractual relationship with the Agency.

1) Contract Monitoring Plan

The PM Services Contractor should understand that AMMP has created a program-wide Contract Monitoring Plan (PMO-2-x) and a Contract Monitoring Report Card (PMO-2-x-01), and as part of the overall onboarding process, the Agency requires a collaborative review process resulting in an attestation for the usage of this Contract Monitoring Plan. The PM Services Contractor must address any concerns during the onboarding activities. The PMO Contractor will review the Contract Monitoring Plan every six (6) months or as needed to address project conditions, client input, or contract changes. The PM Services Contractor shall be given the opportunity to review and comment on any changes to the plans/templates as they occur.

The Contract Monitoring Plan establishes approved practices and reporting mechanisms to compare project progress in defined focus areas to their planned trajectory. The Contract Monitoring Plan identifies specific activities required for decomposition of the project's expectations. Decomposition of the project expectations is done to align each Vendor contract to Agency goals to define obtainable measurements. The PM Services Contractor shall assist in the development of a contract Monitoring Report Card that, at a high-level, details how they plan to meet and report the metrics for each SLA as defined in the RFP Scope of Work (SOW).

All plans the PM Services Contractor submits to the Agency shall align with existing AMMP-Program Plans.

2) Statement of Concern

The Agency will closely monitor the timely and adequate performance of the PM Services Contractor during each phase. Should the PM Services Contractor's performance, communications, behaviors, or actions suggest or imply problems, concerns, or issues that may be forthcoming, the Agency will provide a Statement of Concern (SOC) to the PM Services Contractor. This SOC will identify the concern(s), reference applicable guidelines or industry standards, and describe the reason for concern. The PM Services Contractor must respond to the written Statement of Concern within three (3) business days and submit the response to the Agency. The response must address the concern, identify how they are resolving the concern, reference applicable guidelines or industry standards, and/or provide alternate suggestions. The Agency will provide a written response to the PM Services Contractor within five (5) business days of their submission. The PM Services Contractor or the Agency may request a meeting to discuss the concern at any time. All concern(s) identified by the Agency must be resolved within ten (10) business days of identification, or the PM Services Contractor must receive Agency approval to delay or bypass the concern.

3) Corrective Action Plan

The Agency will closely monitor the timely and adequate performance of the PM Services Contractor during each phase of the contract. If the Agency identifies a problem with PM Services Contractor performance, a Corrective Action Plan (CAP) will be requested. CAPs are not included in the planned and scheduled work to the benefit of the Agency, and therefore, CAPs will result in deliverables that are not separately priced or payable. Performance problems that can result in a CAP include:

- Schedule delays of more than two (2) weeks without Agency prior approval. A CAP will not be required for Agency-approved schedule delays
- Documentation that is out of date more than one (1) month
- Requirements that are not being met
- SLAs that are not met consistently

The CAP must be submitted to the Agency as directed in RFP [Section VIII.MM Contract Liquidated Damages](#) and [Appendix D – Contract Deliverables Table](#). The Agency will have five (5)

business days to review and approve the CAP. If the Agency does not approve the CAP, the Contractor will schedule a meeting to discuss and finalize the CAP. The desired results of the meeting will be an approved CAP. The CAP must identify the issue and state how the PM Services Contractor will correct the issue. It will provide details on the correction, as well as a schedule of events to achieve the corrections. The details and status of the CAP will be discussed in depth during status meetings. The PM Services Contractor must begin execution of the CAP within five (5) business days of Agency approval. If the PM Services Contractor fails to successfully execute the CAP, liquidated damages can be assessed as defined in RFP [Section VIII.MM Contract Liquidated Damages](#).

4) Contract Management Requirements

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-44: Contract Management – Contract Management Requirements and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-44: Contract Management – Contract Management Requirements

Master ID	Requirement Description
5058	The Contractor shall respond to the written Statement of Concern within three (3) business days and submit the response to the PMO. The PMO shall provide a written response to the Contractor within five (5) business days of their submission. All concern(s) identified by the PMO must be resolved within ten (10) business days of identification or the Contractor must receive PMO approval to delay or bypass the concern.
4771	The Contractor shall adhere to the Agency approved (COM-9) Corrective Action Plan (CAP) as needed throughout the life of the project. Upon being placed on a CAP, the Contractor shall submit the CAP response, using COM-9-01 (CAP Template), to the Agency for review and approval within five (5) business days.
5060	The Contractor shall, upon request by the Agency, submit a Corrective Action Plan (CAP) within five (5) business days for review and approval. If the CAP is not approved by the Agency a meeting will be scheduled to discuss and finalize the CAP.
4615	The Contractor shall begin execution of the CAP within five (5) days of Medicaid approval.
4775	The Contractor shall submit invoices to the Agency following the (PMO-2-n-04) Invoice Protocols Reference Guide on a monthly basis.

c. General Staffing

Staffing is a key component to the success of the overall Provider Management module implementation and overall solution operations and maintenance. As such, the Agency has outlined and defined the staffing categorization and staffing requirements focused on the Key (Named) and Lead Personnel. The Personnel Tables in the following subsections outline the Key and Lead Personnel and qualifications the Agency views as minimally necessary to support a proposed solution.

The PM Services Contractor is required to propose an overall staffing structure that will adequately support the requirements, specifications, and expectations laid out within this RFP. Therefore, the PM Services Contractor is encouraged to propose staffing positions deemed as critical to the success of the solution, whether or not those positions or descriptions are listed within this RFP.

The PM Services Contractor shall provide staff for on-site support during go-live, from 3 business days before go-live through 10 business days after go-live, as requested by the Agency. (See [RFP Section II.L.2.a.6](#) Implementation Management Plan – Operations)

1) Location of Work Performed

The PM Services Contractor will be responsible for providing their own office space, the Agency will provide temporary office space when on-site visits are required. Services required of the PM Services Contractor for the AMMP may be performed at the Contractor facility, remote or a combination of both. The PM Services Contractor company management shall be available for consultation during the Agency’s regular business hours anytime the Agency feels there is an issue that requires their attention. PM Services Contractor personnel shall adhere to all applicable Agency policies, procedures, and training required annually by the Agency.

2) Off-Site/Remote Work

Any PM Services Contractor personnel that work off-site, remote, or work from home shall be available for telecommunications, electronic communication, and video consultation with the Agency during normal business hours of 8:00 a.m. to 5:00 p.m. Central Time, Monday through Friday, excluding State holidays and emergency closures. The PM Services Contractor shall also support non-business hours as needed for scheduled releases, emergencies, and off cycle test-related activities subject to occur throughout the implementation life cycle with no additional cost incurred by the Agency.

All off-site personnel are required to have the following:

- Hardwired broadband internet connection either through DSL, cable, or fiber to home (FiOS or Fiber Optic) with minimum internet speed of 25 mbps download and 10 mbps upload contracted speed.
- Ability to work in an environment that is private and free of distractions and be able to devote full attention to their job during work hours.

3) Visiting the Agency

PM Services Contractor personnel required to visit the Alabama Medicaid Agency building or office shall be subject to background checks at the Contractor’s expense and will require escort by an authorized State employee or contractor. The PM Services Contractor personnel shall be responsible for their own parking, transportation, and lodging.

The Agency has strict procedures for things such as badge use, exiting and entering the building, and elevator access. It is the responsibility of the PM Services Contractor to coordinate their escorted access through the Medicaid Service Desk. Typical badge operating hours are 6:00 A.M. to 6:00 P.M. Central Time, Monday through Friday, excluding state holidays and emergency closures, throughout the term of the contract. Exceptions for outside of normal business hours may include visiting contractors’ onsite support for releases or critical test activities.

Escorted access requests shall include the visiting individuals’ names and their company name, the company point of contact if different from the visitors’, the Agency contact’s name and telephone number, the reason for the visit, date, time, and duration of visit.

If unescorted access to the Agency’s facility is justified, the PM Services Contractor shall request it through the Agency. An unescorted visitor’s badge requires a state and national fingerprint-based

background check performed by the Alabama Law Enforcement Agency (ALEA), and the completion of annual Agency-designated security awareness training. The ALEA background check must be coordinated with the Agency, and the costs shall be borne by the PM Services Contractor.

4) Requirements – General Staffing

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-45: General Staffing – General Staffing Requirements and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-45: General Staffing – General Staffing Requirements

Master ID	Requirement Description
4659	The Contractor shall provide and allocate project staff inclusive of all required Key Personnel and Lead Personnel, as well as any additional General project personnel, that will meet the requirements, RFP Scope of Work, and expectations of the Agency throughout all project phases, for the term of the contract.
4667	The Contractor shall provide a staffing solution that will only include staff performing AMMP work to be located within the continental United States (CONUS).
4657	The Contractor shall certify that all data, hosting, and work associated with this contract is located within the continental United States (CONUS) and no staff, including subcontractors, shall access, view, or receive Alabama data while they are outside of the CONUS.
6423	The Contractor shall fill Key Implementation Personnel identified by the Agency from the Contract Start through Federal Certification of the PM Module including, but not limited to: <ol style="list-style-type: none"> 1. Project Manager 2. Security Manager 3. Testing Manager 4. Operations Manager 5. Configuration Manager 6. Call Center Manager 7. Data Steward 8. Data Manager
6424	The Contractor shall fill Key Operations Personnel identified by the Agency from Operational Readiness Review (ORR) through the term of the contract of the PM Module including, but not limited to: <ol style="list-style-type: none"> 1. Security Manager 2. Configuration Manager 3. Operations Manager 4. Call Center Manager 5. Data Steward 6. Data Manager
5164	The Contractor shall verify that Key Implementation Personnel and Key Operations Personnel work together from ORR through the Certification Review and completion of any action items required per the certification letter.
5165	The Contractor shall verify that the Key Implementation Personnel transitions duties to the Key Operations Personnel.
5712	The Contractor shall provide qualified staff (enrollment specialists) to conduct provider outreach as directed and approved by the Agency.

Master ID	Requirement Description
6378	The Contractor shall provide staff to meet modification hours, modification size, and modification complexity of the change order request requirements of the Contract. The staff shall be knowledgeable in and have experience with Medicaid programs, including, but not limited to, Provider Enrollment, Provider Management, Provider Directory, and Provider Workflows.
6379	The Contractor shall provide staff to meet the change order request requirements of the Contract. The staff shall be knowledgeable in and have experience with Medicaid programs, including, but not limited to, Provider Enrollment, Provider Management, Provider Directory, and Provider Workflows.
6380	The Contractor shall provide staff to meet the go-live requirements of the Contract. The staff shall be knowledgeable in and have experience with Medicaid programs, including, but not limited to, Provider Enrollment, Provider Management, Provider Directory, and Provider Workflows.
6428	The Contractor shall provide staff to meet the operations and maintenance requirements of the Contract. The staff shall be knowledgeable in and have experience with Medicaid programs, including, but not limited to, Provider Enrollment, Provider Management, Provider Directory, and Provider Workflows.
6429	The Contractor shall provide staff to meet the SLAs and KPIs of the Contract. The staff shall be knowledgeable in and have experience with Medicaid programs, including, but not limited to, Provider Enrollment, Provider Management, Provider Directory, and Provider Workflows.
6421	The Contractor shall be on-site at the Agency quarterly to meet with the Agency.
4658	The Contractor shall as part of the Resource Management Plan create and maintain a staff loading chart for each phase of the project. The staff loading chart shall provide staffing levels (estimated by phase) throughout the term of the contract. Roles should be identified by resource type (key personnel, lead personnel, and general project personnel).
4655	The Contractor shall provide and keep current, as part of the Resource Management Plan, organizational charts, depicting the Contractor's organization in relation to the project including key, lead, and project personnel. These charts shall include identification of each employee and position/contract area.
4656	The Contractor shall ensure that all personnel assigned by the Contractor or its Subcontractor(s) to the performance of services under this procurement and executed contract shall be fully qualified to perform the duties and responsibilities as described by their position.
6354	The Contractor shall ensure all staff assigned to Alabama Medicaid are knowledgeable of the Alabama contract and have successfully completed the necessary training and support to perform the work outlined in this RFP.
5037	The Contractor shall have all personnel and ancillary personnel adhere to all applicable policies, procedures and training requirements for the term of the contract.
4668	The Contractor shall have personnel available during normal Agency business hours 8:00 a.m. to 5:00 p.m. Central Time, Monday through Friday excluding state holidays and emergency closures.
4661	The Contractor shall notify the Agency within one (1) business day of the Contractor being notified of a replacement, reassignment, resignation, or termination of any personnel directly supporting the awarded Contract.
4665	The Contractor shall fill vacant staff positions named in the RFP within thirty (30) business days of date of vacancy or obtain written approval by the Agency for extended vacancies.

Master ID	Requirement Description
6398	The Contractor shall ensure that staff positions named in the RFP are not vacant for more than ten (10) business days without a qualified substitute (temporary replacement).
5799	The Contractor shall replace or reassign personnel for any positions named in the RFP at Agency's request.
4973	The Contractor shall have all personnel and ancillary personnel working offsite work in an environment that is private and free of distractions and be able to devote full attention to the job during work hours.
6425	The Contractor shall have all personnel and ancillary personal working offsite equipped with hardwired broadband internet connection either through DSL, cable, or fiber to home (FiOS or Fiber Optic) with minimum internet speed of 25 mbps download and 10 mbps upload contracted speed.

5) Key Personnel

For the purpose of this contract, the term “Key Personnel” refers to senior manager, contract personnel deemed by the Agency to be essential to the satisfactory performance of this contract. All Key Personnel shall be employed by the Contractor. Any changes to this must be approved by the Agency. It is required that the awarded PM Services Contractor must, over the base contract duration and all future contract amendments, maintain Key Personnel based on the current and anticipated demands and complexity of maintaining and operating the implemented solution.

The PM Services Contractor must propose key personnel who will be available for the duration of the project. These individuals shall be the primary contacts for the Agency on a day-to-day basis, they shall be available for in-person meetings on a quarterly basis and as requested by the Agency.

During the first twenty-four (24) months of the contract, the Agency shall not allow substitutions of key personnel except when a substitution is necessitated by an individual’s illness, death, termination, resignation, or as requested by the Agency. In the event it becomes necessary to replace key personnel, the PM Services Contractor shall notify the Agency as soon as possible and when possible, allow a two (2) week period for knowledge transfer from the key personnel to the replacement personnel at no additional charge to the Agency.

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Tables II-46 through II-53 for Key Personnel and all requirements located in [Appendix E –Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions. The Key Personnel tables list their roles, engagement parameters, responsibilities, and required experience/qualifications.

Vendors are required to provide résumés for all resources that are proposed to hold a Key Personnel position in accordance with the form/format presented in [Appendix H – Personnel Resume Sheet](#) and should be included as part of the proposal response in Tab 8.

Table II-46: Key Personnel – Project Manager

Position Type	Min. FTE	Phases	Allocation
Project Manager			
Key (Named)	1.00	Contract Start Date through Federal Certification	100% allocated to the Agency
Minimum Required Responsibilities			
<p>Provide management of the project and serve as the chief liaison to the Agency for design, development, implementation, and Certification activities: This position shall be independent from all other areas of the contract and may not be combined with another position on the contract.</p> <ul style="list-style-type: none"> • Primary point of contact for the PM Services contract, including deliverables, risk, issues, decisions, action items, etc. during DDI and Certification • Project and scope coordination and management during DDI and Certification • Project scheduling and provision of resources during DDI and Certification • Provide regular status reports during DDI and Certification • Contract administration and coordination of basic contractual/invoicing requirements • Formal communication and correspondence with the Agency during DDI and Certification • Responsible for managing the contract resources, including onboarding, training, assignments, etc. during DDI and Certification • Responsible for keeping all phases of the program on time during DDI and Certification • Oversee and manage functional leads(s) during DDI and Certification. • Collaborate with MES Module Contractors to ensure seamless customer service provision for all Provider Management enquiries. 			
Minimum Required Experience (MRE)			Minimum Required Qualifications
<ul style="list-style-type: none"> • 4+ years of experience managing multi-vendor projects or similar complex integration efforts • 2+ years of experience with Medicaid Enterprise Certification Toolkit, Outcomes Based Certification, Streamlined Modular Certification, or other Certification efforts • Working knowledge of Medicaid Transformation Initiative, Medicaid Information Technology Architecture (MITA) 3.0, and the CMS Seven Standards and Conditions 			<p>Bachelor’s degree in computer science, information systems, business, or a related field; or equivalent work experience as listed in the MRE.</p> <p>Project Management Institute (PMI) Project Management Professional (PMP) or equivalent certification.</p>

Table II-47: Key Personnel – Testing Manager

Position Type	Min. FTE	Phases	Allocation
Testing Manager			
Key (Named)	1.00 FTE	Contract Start Date through Federal Certification	100% allocated to the Agency
Minimum Required Responsibilities			
<ul style="list-style-type: none"> • Manage testing activities during DDI and Federal Certification • Manage testing activities for enhancements, maintenance, and operations, as needed • Direct and oversee the development of the Test Plan and Strategy for DDI and Federal Certification • Coordinate, plan, document, and facilitate the testing preparation, activities, and tasks • Produce and maintain associated schedules, plans, and procedures for testing • Set project or program controls and tracking to allow effective management of the defined tasks; report progress to project or program management as required • Lead training of Agency personnel and Agency-designated contractors in the use of testing tools • Validate that testing activities are carried out according to quality standards • Oversee testing processes, test scripts, preparation of test environments; verify that requirements are tested and test plans that can be traced to requirements • Provide testing metrics and reports and report on test case completion, defects, and defect resolution • Work with the Agency in support of User Acceptance Testing (UAT) 			
Minimum Required Experience (MRE)			Minimum Required Qualifications
Minimum four (4) years of professional experience leading teams for software testing, E2E testing, integration testing, UAT, and/or automation testing			Bachelor's Degree - Software Engineering, Information Systems, or other Technical degree

Table II-48: Key Personnel – Information System Security Manager

Position Type	Min. FTE	Phases	Allocation
Information System Security Manager			
Key (Named)	1.00 FTE	Contract Start Date through Turnover and Closeout	100% allocated to the Agency
Minimum Required Responsibilities			
<p>Responsible for planning and directing System Security for the PM Services solution and compliance with the Medicaid Enterprise Security policy, including but not limited to:</p> <ul style="list-style-type: none"> • Serve as the leader in compliance with the Medicaid Enterprise Security policy • Serve as the leader in HIPAA compliance • Serve as leader in all State and Federal Security requirements and compliance (e.g., audits and security testing) • Ensure integration and alignment with Data Governance office, Privacy office, and Security office tools • Implement and maintain of the policies and procedures in support of the Medicaid Enterprise Security Policy • Perform daily program operations and program development • Monitor program compliance • Risk mitigation, development, and activities related to the Plan of Action and Milestone (POAM) to close vulnerabilities 			
Minimum Required Experience (MRE)		Minimum Required Qualifications	
<ul style="list-style-type: none"> • 5+ years of professional experience in information security compliance • 2+ years of direct experience in HIPAA compliance • Knowledge and demonstrated experience with NIST, Federal Information Security policies/requirements, HIPAA, and other related State and Federal information privacy laws, security laws, and breach notification laws 		<ul style="list-style-type: none"> • A minimum of bachelor’s degree in information technology, health information management; or equivalent work experience as listed in the MRE. • CISSP (Certified Information Systems Security Professional) or CISM (Certified information Security Manager) 	

Table II-48: Key Personnel – Provider Management Call Center Manager

Position Type	Min. FTE	Phases	Allocation
Call Center Manager			
Key (Named)	1.00 FTE	Contract Start Date through Turnover and Closeout	100% allocated to the Agency
Minimum Required Responsibilities			
<ul style="list-style-type: none"> • Manage and oversee day-to-day operations of the Provider Management Call Center during DDI and Operations • Serve as oversight/Supervisor of dedicated Provider Management Call Center staff/team by overseeing hiring, training, staff recognition, and performance evaluation. • Manage and oversee all Provider Management Call Center processes, procedures, tasks, and activities; ensuring adherence to Agency Quality Standards. • Work closely with all Provider Management Call Center staff and direct reports to ensure consistency in communicated processes for all Provider inquires, including application, enrollment, required documentation, revalidation information or any type of concern related to enrollment, disenrollment, termination, or revalidation. • Manage Provider Management Call Center activities necessary for solution/system enhancements, maintenance, and operations. • Collaborate with MES Module Contractors to ensure seamless customer service provision for all Provider inquiries regardless of contact initiation starting point. • Direct and oversee the development of any Deliverable(s) required for DDI and ongoing operations of the Provider Management Call Center. • Produce and maintain associated operations schedules, plans, and procedures for the Provider Management Call Center • Coordinate, plan, document, and support the Agency and TCOE Contractor with Provider Management Call Center testing and go-live preparation, activities, and tasks. • Set Provider Management Call Center controls and tracking to allow effective management of the defined tasks/support service contract responsibilities, including reporting status, contract metrics (SLAs, KPIs), defects, and defect resolution as required. • Lead training of Agency personnel and Agency-designated contractors in the use of the Provider Management Call Center solution, dashboards, and tools • Work with the Agency in support of User Acceptance Testing (UAT) 			
Minimum Required Experience (MRE)			Minimum Required Qualifications
4+ years professional experience leading Provider Management Call Center operations teams, preferably in Medicaid or Medicare environment.			Bachelor's degree in business, communications, or a related field (or equivalent experience)

Table II-49: Key Personnel – Data Steward

Position Type	Min. FTE	Phases	Allocation
Data Steward			
Key (Named)	1.00 FTE	Contract Start Date through Turnover and Closeout	100% allocated to the Agency during DDI 50% for the first six (6) months of Operations then thereafter 25%.
Minimum Required Responsibilities			
<ul style="list-style-type: none"> • Primary contact for the data issues within the PM Services solution • Primary contact for establishing the PM Services solution’s data governance program, including: <ol style="list-style-type: none"> 1. Define the data 2. Establish data ownership 3. Identify data assets, lineage, and business rules within their own data domains to ensure data element continuity and avoid data conflict • Collaborate internally to establish data quality reporting metrics, evaluate, and identify issues/corrections and coordinate and implement data management best practices. • Manage and control the quality of data of the Agency and/or their specific program area • Gather/utilize Agency approved methods/processes used to collect data • Monitor the processes for collecting data and ensure that the information is in the right format • Organize data according to the business units needs and references while maintain compliance to data governance policy • Assist the Agency in solving data-related issues by managing data corruption or mapping data between program areas • Create and support processes and procedures along with access controls to monitor adherence to established internal policies and standards • Maintain quality of the data with program engagement for feedback, concerns, or questions • Monitor data usage to assist and share information on trends in data utilization, while providing insights on data use details (how, where, what, etc.) to support administrative and operational decision-making • Ensure compliance and security of the data for protecting the data assets while providing information on potential risks and offering regulatory guidance 			
Minimum Required Experience (MRE)			Minimum Required Qualifications
<ul style="list-style-type: none"> • 2-5 years of direct work experience as a data steward, data analyst, data scientist, or data engineer working in a health care or related entity, preferably with both claims and clinical data in support of Health information management activities, or within an organization’s data governance infrastructure and policy framework. • Knowledge of Medicaid claims data formats as well a Health Level 7 (HL7), Consolidated Clinical Document Architecture (C-CDA0 and United States Core of Interoperability (USCDI) preferred. 			Bachelor’s degree in information technology, computer science, management information system, statistics, or other related data discipline. Certification optional but preferred.

Table II-50: Key Personnel – Operations Manager

Position Type	Min. FTE	Phases	Allocation
Operations Manager			
Key (Named)	1.00 FTE	Contract Start Date through Turnover and Closeout	100% allocated to the Agency
Minimum Required Responsibilities			
<p>Provide management of the contract and serve as the Secondary liaison during DDI and Certification and chief liaison during operations phase for the Agency: This position shall be independent from all other areas of the contract and may not be combined with another position on the contract.</p> <p>Responsibilities During DDI & Certification:</p> <ul style="list-style-type: none"> • Oversee the development of the PM Solution • Manage and direct the DDI project technical team in the planning, execution, and delivery of project milestones. • Manage PM technical schedules and deliverables. • Assigned to sit on Change Advisory Board (CAB). • Secondary point of contact for the PM contract, including deliverables, risk, issues, decisions, action items, etc. during DDI and Certification • Provide regular project updates. • Manage corrective action processes (as needed) • Complete and submit performance and status reports. <p>Responsibilities During Operations:</p> <ul style="list-style-type: none"> • Primary point of contact for the PM Services contract, including deliverables, risk, issues, decisions, action items, etc. during Operations • Serve as Public facing Provider Enrollment Contact • Contract administration and coordination of basic contractual/invoicing requirements • Formal communication and correspondence with the Agency during Operations • Management of the operational contract resources, including onboarding, training, assignments, etc. • Keeping all phases of the program on time in association with contract’s operations • Oversight, development, and monitoring of the tools, processes, and procedure. • Collaborate with MES Module Contractors to ensure seamless customer service provision for all Provider Management enquiries. • Responsible for planning and executing Continuity of Operations Plan (COOP) and Disaster Recovery Plan (DRP). • Responsible for defect resolution • Reports to Project Manager during DDI and Certification. 			
Minimum Required Experience (MRE)			Minimum Required Qualifications

<ul style="list-style-type: none"> • 5+ years of experience managing implementation and operations of Provider or Major Health Care Payer projects. • 3+ years of experience managing multi-vendor projects or similar complex integration efforts. • 2+ years of experience with Outcomes Based Certification, Streamlined Modular Certification, or other Certification efforts. • Working knowledge of Medicaid Transformation Initiative, Medicaid Information Technology Architecture (MITA) 3.0, and the CMS Conditions for Enhanced Funding 	<p>Bachelor's degree in computer science, information systems, business, or a related field; or equivalent work experience as listed in the MRE.</p>
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Table II-51: Key Personnel – Configuration Manager

Position Type	Min. FTE	Phases	Allocation
Configuration Manager			
Key (Named)	1.00 FTE	Contract Start Date through Turnover and Closeout	100% allocated to the Agency
Minimum Required Responsibilities			
<p>Provide management of the contract and serve as the point of contact for Configuration Management activities during DDI, Certification and during operations phase for the Agency: This position shall be independent from all other areas of the contract and may not be combined with another position on the contract.</p> <ul style="list-style-type: none"> • Define configuration management process and procedures. • Manage release schedule and activities related to configuration deliverables. • Manage version control of the solution, documentation, and other project artifacts to track changes. • Manage the configuration identification to establish relationship between software, hardware, and documents. • Responsible for conducting regular audits to ensure PM Solution components are properly configured and adhere to established standards and guidelines. • Manage and coordinate release of PM Solution versions to ensure correct versions are deployed and associated documentation is accurate and up to date. • Responsible for ensuring documentation is accurate, current and accessible to team members, stakeholder and agency staff. • Manage the configuration project team members for onboarding, training, task assignments etc. • Provide regular updates on configuring management efforts. • Complete and submit performance and status reports. • Reports to Operations Manager 			
Minimum Required Experience (MRE)			Minimum Required Qualifications
<ul style="list-style-type: none"> • 4+ years of experience in Configuration management of Medicaid or Major Health Care Payer projects • 3+ years of experience using configuration management tools and software's • 3+ years of experience with modifying and maintaining configuration of Medicaid or Medicare systems relevant to the proposed solution • Working knowledge of Medicaid Transformation Initiative, Medicaid Information Technology Architecture (MITA) 3.0, and the CMS Conditions for Enhanced Funding 			<p>Bachelor's degree in computer science, information systems or similar field; or equivalent work experience as listed in the MRE.</p>

Table II-52: Key Personnel – Data Manager

Position Type	Min. FTE	Phases	Allocation
Data Manager			
Key (Named)	1.00 FTE	Contract Start Date through Turnover and Closeout	100% allocated to the Agency during DDI 50% for the 1st six months of Operations then thereafter 25%.
Minimum Required Responsibilities			
<ul style="list-style-type: none"> • Participate in Agency Data Governance activities as requested • Oversee adherence to project, Agency, State and Federal data governance policies • Manage and collaborate with stakeholder in the design, implementation, maintenance and support of data services and projects • Oversees data design and the creation of database architecture and data repository(ies) • Develop the PM Data Management Plan • Manage data mapping and/or conversion activities • Deploy Data Corrective Action processes (as needed) • Provide information as needed for project status reporting 			
Minimum Required Experience (MRE)			Minimum Required Qualifications
<ul style="list-style-type: none"> • 8+ years of experience managing Medicaid or Major Health Care Payer data projects • 5+ years of experience using visualization and analytics tools such as (Tableau, Power BI, Excel, etc.) • 6+ years of experience as a Data Manager (manager of datacenter or infrastructure type project) • 6+ years of experience with implementation and operations of technology deployments relevant to the proposed solution • Advanced understanding of SQL or working directly with MS Access joining relational tables together and knowledge of one other scripting/compiled/statistical programming language (e.g., VBA, Python, R, SAS, .NET, C++, Java, etc.) • Working knowledge of Medicaid Claims and Administrative data • Understanding of HL7 and FHIR data standards • Working knowledge of Medicaid Transformation Initiative, Medicaid Information Technology Architecture (MITA) 3.0, and the CMS Conditions for Enhanced Funding 			Bachelor's Degree - Computer Science, Software Engineering, Information Systems, or other Technical degree

6) Lead Personnel

The awarded PM Services Contractor must, over the base contract duration and all future contract amendments, staff and manage all Lead Personnel based upon the current and anticipated demands and complexity of maintaining and operating the implemented solution.

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-53: Lead Personnel and all related requirements located in [Appendix E –](#)

[Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions. The Table lists the Lead Personnel roles, Agency-required responsibilities, and required experience and qualifications.

Table II-53: Lead Personnel

Position	Agency Expectation	Experience and Qualifications
Data Integration and Interface Lead	Manage integrations, responsible for leading sessions between Contractor and SI, design of the interface, DDI of the interface and implementation	<ul style="list-style-type: none"> • Previous experience managing similar engagements • Experience implementing HIPAA rules • Four (4) years combined
Certification Lead	Responsible to support and lead federal certification efforts for the implemented solution. Will liaison closely with Agency and PMO staff responsible for federal certification	<ul style="list-style-type: none"> • Previous experience (no less than three (3) years' experience) with similar system certification engagements • Working knowledge of federal certification processes, tools, and mandates necessary to effectively manage and maintain system certification status
Information System Security Officer / Cyber Security Analyst	Responsible for all information in the Agency Governance, Risk, and Compliance (GRC) management platform; responsible for supporting the Information System Security Manager (ISSM) and maintaining compliance with the Medicaid Enterprise Security policy	<ul style="list-style-type: none"> • Previous experience as a security and compliance practitioner • Working knowledge of MARS-E, POAM, and ATO packages • Two (2) years combined
Training Lead	Responsible for managing and implementing solution training as well as conducting "train the trainer" sessions; responsible for managing all project required documentation and knowledge materials.	<ul style="list-style-type: none"> • Previous experience managing training and documentation of similar engagements • Two (2) years combined
Training Instructor	Responsible for developing, leading, and facilitating corporate staff trainings, as well as conducting "train the trainer" sessions	<ul style="list-style-type: none"> • Previous experience as a corporate trainer conducting systems trainings for 20+ individuals in a live and virtual setting • Three (3) years combined
Enrollment/ Revalidation Lead	Responsible for overseeing the enrollment and revalidation process, ensure compliance of all enrollment and revalidation specialists with established regulatory guidelines, manage, streamline processes and	<ul style="list-style-type: none"> • Prior Experience and in-depth understanding of Medicaid programs, regulations, and enrollment/revalidation requirements • Prior experience in

Position	Agency Expectation	Experience and Qualifications
	procedures, resolve issues, and provide guidance to team members.	leading/managing Medicaid enrollment/revalidation processes <ul style="list-style-type: none"> • Four (4) years combined experience
Organizational Change Specialist / Lead	Responsible to support organizational transition from a current state to a future state to achieve expected benefits; includes the process, tools, and techniques to manage the “people side” of change, to achieve business results	<ul style="list-style-type: none"> • Previous experience as OCM practitioner • Working knowledge of processes, tools, and techniques supporting change
Quality Assurance Lead	Responsible to lead thorough review and analysis of provider enrollment and revalidation documentation to ensure accuracy and completeness, develop and implement QA processes, methodologies, and standards specific to provider enrollment and revalidation, oversee audits on all enrollment/revalidation specialists and identify discrepancies, errors, trends and provide actionable corrective actions.	<ul style="list-style-type: none"> • Prior experience in quality assurance methodologies, processes, and tools relevant to healthcare provider enrollment and revalidation • Strong working knowledge of Medicaid guidelines, rules, and requirements to ensure accurate and compliant provider enrollments/revalidations • Three (3) years combined experience

d. Document Management

The Agency views updated and accurate system and business documentation as a critical success factor for AMMP and MES module Contractors. The Agency requires that all project-related documentation, inclusive of system documentation, business documentation, and project deliverables, will be stored on the Agency-approved repository (e.g., SharePoint) in an electronic format easily accessible to all approved stakeholders.

While the PM Services Contractor works through the development of all required documentation and deliverables, the Agency will allow those versions to be stored in the PM Services Contractor’s document repository. However, draft versions of all documentation and deliverables submitted for Agency and/or PMO Contractor review and approval, must be stored in the designated Agency approved repository (e.g., SharePoint). The Agency requires that the designated Agency approved site will be the “source of truth” for all Contractor documentation and must be organized to allow all stakeholders easy access to the documentation. The PM Services Contractor is responsible for maintaining or updating all documentation in the designated Agency site to reflect the current state of the comprehensive PM solution. The Agency will impose a Corrective Action Plan (CAP) for any documentation or deliverables that are out-of-date for more than one (1) month from the time the change occurred. See [RFP Section II.L.1.b Contract Management](#) for details and more information on the Agency’s Project and Contract Administration Requirements.

The PM Services Contractor should expect that the PMO Contractor will provide some document and deliverable templates over the term of the contract. The PM Services Contractor must receive

the PMO Contractor and Agency approval before using anything other than the approved PMO Contractor document templates provided.

[Appendix D – Contract Deliverables Table](#) lists the common and PM-specific deliverables that have been identified to be required by the Agency. The table denotes the existence of common, Agency-approved templates the PM Services Contractor must use. Any additional deliverable drafts discovered throughout the term of the contract, but not specifically listed in the Deliverable table, will need to be submitted to the Agency for approval as outlined in [RFP Section II.C.4 – Deliverable Management](#) or at least ten (10) business days prior to the PM Services Contractor starting work on the deliverable.

When the PM Services Contractor submits a new template for PMO Contractor and Agency review and approval, it is required that the PM Services Contractor will comply with the following:

- The format (or template) of all documents must be approved by the Agency
- In many cases, one template can be used for multiple documents, and the PM Services Contractor shall indicate this when the template is submitted for approval

The PM Services Contractor's deliverables and documentation shall:

- Follow industry best practices, which are based on guidance provided within Part 11 of the State Medicaid Manual (SMM), MITA, and Federal Certification guidance
- Follow the processes and procedures as defined in PMO guidance (PMO 2-r and PMO 2-k)
- Identify and define all the criteria required for the deliverable
- Meet Agency-approved standards and content requirements as defined in this RFP

Each deliverable will be reviewed by the PMO Contractor and is subject to approval from the Agency. The PM Services Contractor shall perform periodic reviews of all documentation, processes, frequencies, and procedures as defined in [RFP Section II.L.1.a Project Management](#). Specific update and review frequencies can be found in [Appendix D – Contract Deliverables Table](#).

1) Requirements – Document Management

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-54: Document Management – Document Management Requirements and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-54: Document Management – Document Management Requirements

Master ID	Requirement Description
4528	The Contractor shall collaborate with the AMMP to implement and maintain Agency approved standard document management, indexing strategies, and procedures.
4523	The Contractor shall utilize the Agency approved documentation storage solution (e.g., SharePoint) to maintain system related business, technical, and operational documentation.
4521	The Contractor shall consult with the Agency during routine document maintenance and development.
4524	The Contractor shall ensure all documentation is readily available online and electronically maintained, retained, archived, and restored as required by the Agency.
4525	The Contractor shall ensure all documentation is retained and stored as required by all Federal, State and Agency document and data retention laws, including any applicable litigation hold.

Master ID	Requirement Description
4526	The Contractor shall maintain a complete and accurate version control of all changes made to previously approved documentation. Version Control will cover the complete life cycle of the documentation from inception to retirement.
4527	The Contractor shall align with, utilize, and cooperate with the PMO electronic workflow/management, tracking, routing, and archiving system for documentation that will record all activities associated with the creation and maintenance for all documentation.

e. Reporting Management

The Agency’s overall objective related to Reporting Management is to ensure all stakeholders have access to accurate, meaningful, readable, and timely reports that are required to complete their business and contractual responsibilities. Additionally, the Agency stresses that the PM Services Contractor provide an oversight and management framework to support all operational and system reporting. This framework includes parameters encompassing development, formatting, maintenance, storage, and archiving of all reports generated out of the PM solution. The PM Services Contractor shall possess a robust reporting capability to support the Agency’s business and operations so the Agency and approved MES users can view and download reports from the PM Services solution in a variety of formats. All PM Services Contractor-developed reports must also align with Agency approved styles and standards, including the display of all approved Alabama Medicaid naming conventions, logos, symbols, and/or emblems.

In addition to the Provider Management related reports, the PM Services Contractor shall develop and submit a Report Library Reconciliation Document to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Report Library Reconciliation Document shall reconcile each report identified by the Agency to the equivalent report in the Provider Management solution. The PM Services Contractor shall replicate existing reports if an equivalent report is not available or as requested by the Agency.

1) Report Library Reconciliation Document

In addition to the reports required in other sections of this RFP, a standard suite of Provider Management Report Library Reconciliation related reports shall be provided by the PM Services Contractor including, but not limited, to the reports listed in Table II-55: List of Provider Management Reconciliation Reports:

Table II-55: List of Provider Management Reconciliation Reports

Report Name	Report Description
Provider FEIN-SSN Cross Reference	The Provider Cross Reference Report is used to view providers selected by parameters other than the provider identification number. This report is sorted by FEIN/SSN.
Provider License Number Cross Reference	The report allows the user to view provider listings by license number. In addition to license number, the provider name, provider ID number, and SSN/FEIN are printed on the report.
Provider CLIA Cross Reference	This report shows all CLIA numbers in the system, grouped by CLIA number, to show relationships between providers using the same CLIA number and also identify possible problems with providers using the same CLIA certification. This report is run monthly and is sorted by CLIA number.

Report Name	Report Description
Newly Enrolled Providers	This report will list newly enrolled providers on a daily basis along with their associated information. It is sorted by county code, application finalized date, and provider number.
Provider Termination Report	Summary listing of providers by type of the providers that were updated to the status of Term by not Enroll because the provider has past their one-month grace period.
Provider Changes By Clerk ID Weekly Summary	This report displays the changes made by clerk ids in a grid format. The left-hand columns contain the clerk id and the various tables/information they can update. The upper row lists whether the clerk added, changed, or deleted information from these elements. Where the column and row intersect will be a number, which represents the number of actions (e.g. adds) the listed clerk id performed on the matching table/information. Sub-totals are given for each clerk id's set of changes, which are then totaled up on the last page, this is why the last page contains no clerk id. The report is sorted by clerk id.
Provider Invalid Address report	Provider Invalid Address report.
Provider Verification Review Report	This report will produce a listing of all providers that have a failed or an error status on the Provider verification table.
Provider Monthly Sanction file comparison report	A Provider or a Board member who is currently in sanctioned status on the sanction file but is either active or inactive (but not sanctioned) on the provider file should be displayed on the report.
Provider OnRqst Sanction file Comparison report	A Provider or a Board member who is currently in sanctioned status on the sanction file but is either active or inactive (but not sanctioned) on the provider file should be displayed on the report.
Provider CMS Medicaid Adverse Action Review Report	Provider CMS Medicaid Adverse Action Review Report.
Newly Enrolled Web Providers	This report will list newly enrolled web providers on a daily basis along with their associated information. It is sorted by county code, application finalized date, and provider number.
Potential Provider Deactivation	Potential Provider Deactivation Report. It is sorted by Provider Type.
Actual Providers Deactivated	Actual Providers Deactivated Report. It is sorted by Provider Type.
PROVIDER CLOSURE REPORT	This report will list all the providers closed for the following scenarios: Scenario #1 - List all the provider members closed from the group, if the group contract has already been closed. Scenario #2 - List the group provider, if all the group members' contract has already been closed
State Agencies Needing to Revalidate	Report includes only State Agencies needing to revalidate. It is sorted by Group Name, Provider Type, and Provider MCD. It will page break after each Group Name.
Revalidation Statistics	Create a statistics report for revalidation based upon enrollment and revalidation information. Twelve (12) months of data will be presented and grouped by the Providers' enrollment frequency and date the letters were generated. A percentage by month will also be shown which will be calculated based upon the number of Providers who are either State Providers or other providers who must revalidate every three/five years divided by the total number of those providers as of current run date.

Report Name	Report Description
Provider Fee Collection	Provider Collection Report which includes for all providers who have enrolled and/or re-enrolled in the last week and any fees that were collected.
OOS Participating Prov ninety (90) Day Expiration Report	Out-Of-State Participating Provider Expiration in ninety (90) Days Report
Provider Group Address Changes	This report lists each group that has had an address change made to its pay-to or mail-to address during the reporting period. It also lists each member of the group along with an indicator that shows whether or not the individual's address was updated to match the group's address. The individual's address is updated to match the group if that individual does not belong to any other groups.
Providers Not Updated by Surety Bond Process	DME providers that are active as of the run date but cannot be updated because their end date falls over one year from minimum bond end date. These providers will need to be reported on a report which will be used for Internal staff.
Portal Performance	Report shows the number of applications in each status applicable to the applications status on the web portal product.
Portal Statistics	The Report shows the number of abandoned applications. Abandoned means an application was started but never submitted through the web portal product. Statuses included in the total are Agency Review Required, Data Corrections Required, Response Time Passed, and Waiting on Documentation.
User Access Report	Requirement Master ID 6038
Provider Portal Statistics	Requirement Master ID 5458
Provider Directory - Provider Information Not Validated in 9+ months	Requirement Master ID 6402
Provider Directory - Providers Suppressed after 12+ Months	Requirement Master ID 5404
Business Rules - Rules Executed	Requirement Master ID 6001
ACHN - Provider Participation	Requirement Master ID 5777
Revalidate - Providers Needing Revalidation within sixty (60) days	Requirement Master ID 5945
CHOW - CHOW Implementation Effectiveness	Requirement Master ID 6372
Disenrollment - Providers with 14+ Months Inactivity	Requirement Master ID 5900
Disenrollment - Providers Disenrolled Due to 18+ Months Inactivity	Requirement Master ID 5899
Disenroll/Terminate - Disenrolled/Terminated Providers	Requirement Master ID 5901

Report Name	Report Description
Repeat Callers	Requirement Master ID 5936
Provider Application QA - Weekly Assessment Transactions	Requirement Master ID 5922

2) Report Catalog

The PM Services Contractor shall develop and submit an online Report Catalog to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Report Catalog shall be kept current with a formal review every six (6) months. The Report Catalog shall be provided as part of the Contractor’s solution for on-demand access by the Agency of all pre-defined reports that includes, but is not limited to:

- Report Name
- Functional Area
- Report Description
- User Access to Report
- Frequency
- Column Names and Descriptions
- Valid Values for Prompted Fields
- Agency Point of Contact
- Date Report Last Accessed
- Data Sources (tables)
- Format/mock-up
- Ability to sort and organize report listings by AMMP user-defined configurations
- Query logic
- Metadata
- Hot link to most recent report
- Hot link to the data dictionary

3) Report Usage Metrics

The PM Services Contractor shall develop and submit a Report Usage Metrics to the Agency for review and approval twelve (12) months after the Implementation Date. The Report Usage Metrics shall be kept current with a formal review every twelve (12) months. The Report Usage Metrics will include, but not be limited to, system-generated report usage metrics and suggestions for report creation and report archival.

4) Requirements – Reporting Management

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-56: Reporting Management – Reporting Management Requirements, deliverables listed in Table II-57: Reporting Management – Reporting Management Deliverables, and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-56: Reporting Management – Reporting Management Requirements

Master ID	Requirement Description
4743	The Contractor shall provide Stakeholders access to accurate, meaningful, readable, and timely reports as required for them to complete their business and contractual responsibilities. Reporting capabilities shall allow the Agency and approved MES users to view and download reports in a variety of formats.
4628	The Contractor shall generate, and provide all automated reports to the Agency, within the Agency agreed-upon format and timeframes.
6385	The Contractor shall develop and submit a Report Library Reconciliation Document to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase.
4626	The Contractor shall maintain an Agency approved report generation schedule for all scheduled reports for the term of the contract.
6427	The Contractor shall provide a standard suite of Provider Management related reports.
6388	The Contractor shall store all generated reports in the module content management solution.
6395	The Contractor shall work with the AMMIS Contractor to move report outputs stored as part of the AMMIS reporting system(s) to the module content management solution.
6361	The Contractor shall develop and submit an online Report Catalog to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Report Catalog shall be kept current with a formal review every six (6) months.
6350	The Contractor shall develop and submit a Report Usage Metrics Document to the Agency for review and approval three (3) months after the Implementation Date. The Report Usage Metrics Document shall be kept current with a formal review every twelve (12) months. The Report Usage Metrics Document will include, but not be limited to, system-generated report usage metrics and suggestions for report creation and report archival.
4630	The Contractor shall establish, maintain and adhere to a comprehensive report archival process that is compliant with current Alabama and Federal records retention standards
4625	The Contractor shall provide the ability for the Agency to save all reports in a pdf format.
6374	The Contractor shall provide analytics and reporting support and expertise of ongoing reporting, ad hoc reporting, and impact analysis reporting activities. The Contractor shall provide a response to reporting requests, including an estimate for level of effort, within two (2) business days of the request.
6375	The Contractor shall provide analytics and reporting support and expertise pertaining to data validation for reports produced by the PM solution. The Contractor shall provide a response to data validation requests, including an estimate for level of effort, within two (2) business days of the request.
6376	The Contractor shall provide analytics and reporting support and expertise pertaining to the production of both one-time and ongoing data extracts produced by the PM solution. The Contractor shall provide a response to data extract requests, including an estimate for level of effort, within two (2) business days of the request.
6394	The Contractor shall work collaboratively with the Agency to explain, support, and defend reporting and analytics results to external and internal MES stakeholders, auditors, or other parties, when necessary, as requested by the Agency.
6382	The Contractor shall provide support to the EDS Contractor to meet the Federal reporting submission and correction requirements of the Agency.

5) Deliverables – Reporting Management

Table II-57: Reporting Management – Reporting Management Deliverables

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
RPT_01	6385	Report Library Reconciliation Document	The Contractor shall develop and submit a Report Library Reconciliation Document to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase.	Ninety (90) calendar days prior to the start of the Implementation Phase	One time submission
RPT_02	6361	Report Catalog	The Contractor shall develop and submit an online Report Catalog to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Report Catalog shall be kept current with a formal review every six (6) months	Ninety (90) calendar days prior to the start of the Implementation Phase	Every six (6) months
RPT_03	6350	Report Usage Metrics Document	The Contractor shall develop and submit a Report Usage Metrics Document to the Agency for review and approval three (3) months after the Implementation Date. The Report Usage Metrics Document shall be kept current with a formal review every twelve (12) months. The Report Usage Metrics Document will include, but not be limited to, system-generated report usage metrics and suggestions for report creation and report archival.	Three (3) months after the Implementation Date	Every twelve (12) months

f. Turnover and Closeout Management

Both the PM Services Contractor and the Agency benefit from successful Contract Turnover and Closeout activities. Contract turnover and closeout is essential for the timely execution of tasks and to conduct an Agency-approved closeout. The PM Services Contractor will be required to provide both an initial and updated Turnover Management Plan.

The Turnover and Closeout Phase is defined as the last twelve (12) months prior to the end of the Contract. During the Turnover and Closeout Phase, the incumbent PM Services Contractor shall review and revise the Turnover Management Plan and deliver quarterly. At the end of the contract term, the incumbent Contractor must be ready to turn over all records, data, manuals, training materials, plans, deliverables, established business services, and solution operations to the Agency and a successor Contractor to fulfill/complete all the requirements of the Contract term. The Agency expects the incumbent PM Services Contractor to cooperate with the Agency and the new

Contractor to perform ongoing operations of the solutions, as well as support turnover and closeout services defined in the contract.

The closeout of PM business services must be completed without interruption of business operations, module services, or enterprise degradation and without a decrease in the responsiveness to the Agency clients and other MES stakeholders. Finally, the Agency expects that all end of contract, turnover training sessions, and activities occur in an adequate timeframe to facilitate just-in-time knowledge transfer.

1) Initial Turnover Management Plan

The PM Services Contractor will be required to provide the initial Turnover Management Plan within the first six (6) months from contract start date. The initial Turnover Management Plan should include, but not be limited to, the following:

- Detailed Turnover Approach: A clear description of the needs and expectations for AMMP PMO, MES module Contractors, the Agency, and any additional parties identified by the Agency
- Turnover Communication Approach
- Turnover Team
 - Key roles and resources associated with Turnover planning and activities
 - Defined responsibilities of each role specific to Turnover
- Turnover assumptions, constraints and risks and recommendations

2) Updated Turnover Management Plan

The PM Services Contractor is expected to provide an updated Turnover Management Plan, which is required for the transition of operations, services, and system components, to the Agency for review and approval at least ninety (90) calendar days prior to the start of the turnover period, defined as the last twelve (12) months prior to the end of the contract.

The updated Turnover Management Plan shall facilitate and accomplish a seamless transition from the incumbent to an incoming Contractor, AMMP PMO, Agency personnel, and any additional parties identified by the Agency at the expiration of the contract. The updated Turnover Management Plan should include, but not be limited to, the following:

- Detailed Turnover Approach
- Turnover Communication Approach
- Turnover Team
- Turnover Assumptions, Constraints and Risks and Recommendations
- Turnover Strategy – including Initial Transition Readiness Assessment
- Contract Continuity Approach
 - Turnover Staffing Plan
 - Key Personnel transition approach
 - Overall staffing approach for continued support and ramp down
 - Procurement Management – Details of procurements in place, including, but not limited to, third party labor, products/tasks, license/contract end dates
- Property Turnover
 - Equipment – Details of Agency, incumbent, or any contractor supporting MES
 - Full inventory of assets, including, but not limited to, operational, technology, application and documentation assets, or anything needed to operate and maintain the integrity of the module
- Knowledge Transfer

- List of outstanding system defects, modifications or enhancements, and configuration requests, including potential changes to supporting documentation
- System Desk Tool (SDT) reports with full listing of support requests, current and historical
- Detailed approach to the knowledge transfer of documented assets
- How the Contractor will conduct knowledge transfer needed to operate and maintain the module
- The necessary tasks and procedures to support ongoing operations
- Any procedural documentation is updated with each enhancement or change to the system and is verified during this phase for accuracy
- Agency-Owned Data or Artifacts
 - Inventory and approach to all data sharing
 - Approach and support of conversion of all Alabama-specific data for the incoming contractor including, but not limited to:
 - Data dictionary
 - Data models
 - Custom processes or routines developed
 - Configuration data
 - Data anomaly support
 - Any other information necessary to successfully transfer data to incoming Contractor
 - Approach to digitizing, transferring, and shredding hard copy artifacts
- User Accounts
 - The PM Services Contractor shall work with the AMMP PMO to coordinate an approach to ensuring accountability for disabling any personnel access and user accounts
 - List of Personnel User Account information by Agency system
 - List of Contractor Personnel in possession of an Agency-authorized property badge
 - Finalized list upon contract turnover, including dates of deactivation or disabling of each individual account or access authorization
- Turnover Acceptance Criteria – The PM Services Contractor shall draft the turnover acceptance criteria based on their intimate knowledge and expertise of the contract, the current status of the project, and state of daily operations. Criteria may be compiled of key milestones, Knowledge Transfer, tasks, and activities designated in the Contractor-provided and Agency-approved Turnover Schedule, including detailed descriptions and responsible parties.

3) Status Reporting

The PM Services Contractor shall provide a Turnover Status Report monthly during the first three quarters of the turnover period, with weekly updates thereafter until the term of the contract.

4) Turnover and Closeout Phase Schedule

The PM Services Contractor shall develop and submit a detailed Turnover and Closeout Phase schedule to the Agency ninety (90) calendar days prior to the start of the turnover period for review and approval. The PM Services Contractor shall collaborate with the new contractor and the PMO Contractor to update and submit the Turnover and Closeout Phase schedule to the Agency for review and approval within six (6) weeks of the new contract start date. Once approved, the Contractor will submit weekly updates through the term of the contract.

5) Requirements – Turnover and Closeout Management

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-58: End of Contract and Turnover – End of Contract and Turnover Requirements, Table II-59: End of Contract and Turnover – End of Contract and Turnover

Deliverables, and all related requirements located [Appendix E –Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-58: End of Contract and Turnover – End of Contract and Turnover Requirements

Master ID	Requirement Description
6451	The Contractor shall develop and submit an initial Turnover Management Plan to the Agency for review and approval six (6) months after the Contract Start.
4532	The Contractor shall, along with the PMO and incoming Contractor, within four (4) weeks of new contract start, hold a meeting with the Agency to walkthrough the Turnover Management Plan Deliverable and receive Agency approval. Comments and issues will be resolved during the meeting with the Agency, if possible. Any outstanding comments and issues must be handled through remediation to the plan within five (5) calendar days.
4530	The Contractor shall, within six (6) weeks of the contract start date of the incoming Contractor, hold the kick-off meeting with the Agency, PMO, MES Contractors, and the incoming Contractor.
4533	The Contractor shall, within six (6) weeks of new contract start, facilitate an initial meeting (to occur after discovery sessions have completed) with the new Contractor, PMO, and the Agency to review the Agency approved Turnover Management Plan, update the Turnover and Closeout Phase schedule and plan the initial kickoff meeting with all MES Contractors.
6432	The Contractor shall, within six (6) weeks of new contract start, facilitate an initial meeting (to occur after discovery sessions have completed) with the new Contractor, PMO, and the Agency to review the Agency approved Turnover Management Plan and plan the initial kickoff meeting with all MES Contractors.
6437	The Contractor shall develop and submit a detailed Turnover and Closeout Phase schedule that uses the approved AMMP Program Wide Integrated Master Schedule Template (PMO-2-q-02) and follows the expectations defined within the Integrated Master Schedule Management Plan (PMO-2-q). The detailed Turnover and Closeout Phase schedule shall be submitted to the Agency for review and approval ninety (90) calendar days prior to the start of the Turnover and Closeout Phase. The Turnover and Closeout Phase schedule shall be updated and submitted weekly during the Turnover and Closeout Phase.
4536	The Contractor shall designate key points of contacts for turnover planning and activities as related to the module in accordance with the Turnover Management Plan.
4537	The Contractor shall, if requested, allow the Agency or Agency specified resource, to work side-by-side to facilitate knowledge transfer.
4538	The Contractor shall provide and assign staffing resources to successfully complete the Turnover Management Plan and activities according to the approved Turnover and Closeout Phase Schedule.
4541	The Contractor shall, upon termination of contract, ensure associated licenses with ownership are transferred to the Agency.
4539	The Contractor shall, at no cost to the Agency, be responsible for and correct any defects within the Agency approved timeframes that are introduced by the Contractor, or caused by a lack of Contractor support, as identified by the Agency, prior to or by the completion of the Turnover and Closeout period.
4542	The Contractor shall, in the event of an executed contract amendment or contract extension, provide the Agency with the following: <ul style="list-style-type: none"> a. Replacements for all data and reference files, computer programs, control language, and system software; b. All other documentation as required by the Agency or its agent to operate the solution.

Master ID	Requirement Description
4543	The Contractor shall turnover, in a format approved by the Agency, module-related system design documentation, records, data, manuals, training materials, training data, plans, and deliverables to the Agency in accordance with the Agency approved Turnover Management Plan and Turnover and Closeout Phase schedule.
4544	The Contractor shall generate and provide all Agency requested, module-related documentation and data for inclusion into a procurement library within sixty (60) business days of the Agency's request as part of the turnover and closeout activities.
4545	The Contractor shall return all documents, which refers to any outstanding documentation after the completion of turnover activities with the incoming contractor, to Medicaid within three (3) business days following expiration or termination of the contract. This includes but is not limited to: <ol style="list-style-type: none"> 1. Final records 2. Checklists 3. Data dumps
4546	The Contractor shall upon the expiration of the Contract term or the termination date, remove/delete and sanitize all Medicaid data from all Vendor storage devices and media in accordance with the Medicaid Enterprise Security Policy and submit an attestation of those actions to the Agency upon the expiration of the Contract term or the termination date.
4548	The Contractor shall comply with all applicable Federal and Agency protocols and requirements for the destruction of PHL.
6500	The Contractor shall develop and submit a Turnover Status Report to the Agency for review and approval thirty (30) calendar days after the beginning of the Turnover and Closeout Phase. The Turnover Status Report shall be submitted monthly during the first three quarters of the Turnover and Closeout Phase and weekly during the final quarter of the Turnover and Closeout Phase.
6499	The Contractor shall submit an updated Turnover Management Plan to the Agency for review and approval ninety (90) calendar days prior to the beginning of the Turnover and Closeout Phase.

6) Deliverables – Turnover and Closeout Management

Table II-59: End of Contract and Turnover – End of Contract and Turnover Deliverables

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
TUR_01	6451	Initial Turnover Management Plan	The Contractor shall develop and submit an initial Turnover Management Plan to the Agency for review and approval six (6) months after the Contract Start.	Six (6) months after contract start	One time submission
TUR_02	6499	Updated Turnover Management Plan	The Contractor shall submit an updated Turnover Management Plan to the Agency for review and approval ninety (90) calendar days prior to the beginning of the Turnover and Closeout Phase.	Ninety (90) calendar days prior to the beginning of the Turnover	One time submission

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date and Closeout Phase	Frequency
TUR_03	4783	Turnover Status Report	The Contractor shall provide a Turnover Status Report monthly during the first three quarters of the turnover period, with weekly updates thereafter until the term of the Contract. The Turnover and Closeout phase is defined as the last twelve (12) months before to the end of the Contract.	Twelve (12) months prior to the term of the contract	Monthly for the first three (3) quarters of the Turnover and Closeout Phase; weekly for the fourth quarter of the Turnover and Closeout Phase
TUR_04	6437	Turnover and Closeout Phase Schedule	The Contractor shall develop and submit a detailed Turnover and Closeout Phase schedule to the Agency for review and approval ninety (90) calendar days prior to the start of the Turnover and Closeout Phase.	Ninety (90) calendar days prior to the start of the Turnover and Closeout Phase	Six (6) weeks after the new contract start; weekly through the term of the contract

g. Management SLAs and KPIs

The PM Services Contractor shall provide in the Service Level Agreement Plan how they will follow their best practices and tools for providing the PM solution. Unless otherwise noted, a threshold of 100% to SLAs and KPIs is expected.

1) Key Performance Indicator – Key and Lead Personnel Substitute

The PM Services Contractor will ensure that staff positions named in the RFP are not vacant for more than ten (10) business days without a qualified substitute (temporary replacement).

- a) **Measurement Item.** Key Personnel Substitute
- b) **Measurement Description.** Time position is vacant without a qualified substitute
- c) **Measurement Logic.** The measurement logic is Time <= 10 business days
- d) **Measurement Period.** Episodic; date of vacancy

h. Management Narrative Questions

Vendors must answer each narrative question or statement clearly, completely, and in the format designated in [RFP section VI. Submission Requirements, subsection N.1.e, Tab 6 – Scope of Work and Narrative Response](#) and in alignment with PL18 Response to Narrative Questions Template. Each narrative question response must address the applicable specification(s) and should include any Vendor-specific knowledge, creativity, or innovation that shows how the topic will support the Agency’s goals and objectives. All questions must have a detailed response. An unclear or incomplete response to a question will result in a lower score. Any question that does not have a response will be regarded as non-responsive and may cause the submission to be rejected.

Q - 56 Provide your approach, citing specific situations, for maintaining SLAs and implementing corrective action to resolve defects and missed performance expectations.

Q - 57 Describe your approach and describe the resources (human and non-human) required to implement and operate the PM Services module.

2. Enterprise and General Services DDI OPS and Maintenance

a. Design, Development, and Implementation (DDI)

Design, Development, and Implementation begins sixty (60) calendar days after contract award and ends thirty (30) calendar days after implementation. It is expected that an integrated, overall solution will cover the complete DDI period starting at contract discovery through successful implementation of the PM module solution.

1) Detailed Technical Architecture Package (DTAP)

The PM Services Contractor shall define, document, and maintain the technical and information architecture. The Agency requires a Detailed Technical Architecture Package (DTAP) that documents the technical and information architecture of the PM Services module. The DTAP shows how the PM Services module is designed and built to support the Agency's technical requirements, defines the minimum set of technical capabilities of its components, and complies with related standards (State-adopted standards, MITA, CMS Seven Conditions and Standards, etc.) The DTAP would be maintained and updated as needed to accurately reflect all the information necessary to support communication and operation of the PM Services module.

The PM DTAP is described in [RFP Section II.D.1.a Detailed Technical Architecture Package](#), comprised of the following, but not limited to:

- Logical and Physical Architecture Models
- Application Architecture and Configuration
 - Application configuration and purpose
 - Utilities configuration and purpose
 - Environment Mapping – Development, Testing, Production, etc.

2) Concept of Operations

Alabama Medicaid has developed a Concept of Operations (CONOPS) document (EA-f) for the Alabama Medicaid Management Information System. In support of the effort, the Contractor shall provide a PM CONOPS, using the AMMP CONOPS template (EA-f-01). The PM CONOPS, at a minimum, must describe characteristics of the proposed solution from an end user perspective. This includes the proposed system in operations phase, contact center operations, etc. The CONOPS must demonstrate the inclusion of high-level requirements.

3) Configuration Management Plan

The PM Services Contractor shall develop and submit a Configuration Management Plan (CMP) to the Agency for review and approval six (6) months after contract start. The CMP shall align with the AMMP Configuration Management Plan (PMO-2-r) and conform to industry project management standards and sufficiently address the challenges represented within a multi-Contractor, integrated systems solution. The CMP will describe the processes, configuration management tools, and procedures the PM Services Contractor shall use for the duration of the project, with the flexibility to adjust throughout all project phases and activities. The CMP will represent the configurations of the current systems and/or proposed component software and hardware (e.g., technical infrastructure, platforms, and services). The CMP shall be kept current with a formal review every six (6) months.

The CMP establishes the technical and administrative direction and surveillance for the management of releases and configuration items (i.e., software, hardware, and documentation) associated with the AMMP Project that are to be placed under configuration control.

Configuration Management processes and tools will be implemented to track all individual Configuration Items within a system service catalog and will provide the following features:

- a) **Planning:** The CMP will cover a rolling twelve (12)-month period in detail and the preceding nine (9) months in outline. It will be reviewed with the Agency at least twice a year and will include any impacts to strategy, policy, and scope; objectives; roles and responsibilities; the Configuration Management processes, activities and procedures; the database; and relationships with other processes and third parties, as well as tools and other resource requirements.
- b) **Identification:** The process of recording information, including hardware and software versions (meaning an upgrade to Software that changes the first digit of the software version, e.g., Oracle 10.x.x to Oracle 11.x.x, for Software packages that follow this numbering convention), documentation, ownership, and other unique identifiers. Records will be maintained in a Configuration Management Database covering the selection, identification, and labeling of all configurations of every item in the PM Services Contractor-provided infrastructure and systems.
- c) **Control:** The process requires adherence to standards so that only authorized and identifiable configuration items are accepted and recorded from receipt to disposal. All PM Services Contractor-provided infrastructure and systems will be managed and controlled through Change Management.
- d) **Audit:** Accounting and reporting features will provide a view regarding current and historical data (data collection begins following the PM Services Contractor Implementation) concerned with each PM Services Contractor-provided item throughout the term of the Contract. Changes to items and tracking of their records through various statuses (e.g., ordered, received, under test, live, under repair, withdrawn or for disposal) will be provided.

The PM Services Contractor shall provide a Configuration Management Summary report providing a high-level overview of any upcoming changes to the system baseline configuration and any impact to operational usage as defined in the Configuration Management Plan. The Contractor shall develop and submit a Configuration Management Summary Report to the Agency for review and approval with the first release. The Configuration Management Summary Report shall be kept current and submitted with every release.

4) Detailed Product Design

The PM Services Contractor shall produce a Detailed Product Design (DPD) document eight (8) weeks after the requirement validation sessions have been completed. When there are sub-functional areas, the PM Services Contractor must produce a Sub-Detailed Product Design (Sub-DPD) document. The PM Services Contractor must use the Agency-provided templates for the DPD and Sub-DPD. Once operational, the DPD or Sub-DPD will be updated prior to system changes being released to production.

5) Implementation Management Plan – System

The Implementation Management Plan – System (IM Plan – System) describes the installation, deployment, and transition of the automated system/application or IT solution to an operational state. Additionally, the IM Plan – System must work to provide clear direction for the system

implementation processes for all PM Services solutions. It must define the framework under which all systems implementations will be managed that will be inclusive of all State enterprise and business actors and architectural elements. This includes the criteria for implementing the system in the production environment and necessary documentation required from the Contractor to proceed with the implementation process. The PM Services Contractor shall develop and submit an IM Plan – System to the Agency for review and approval ninety (90) calendar days prior to the start of the implementation phase. The IM Plan – System shall be kept current with a formal review with every release and must include, but not be limited to, the following:

System Implementation Management

a) Planning

- Implementation Team/Lead Assignments
- Assumptions
- Detailed System Implementation Schedule
- Identifiable Steps
- Implementation Tasks and Task Descriptions
- Dependencies
- Support/Resource Assignments

b) Implementation Period Communication Protocols

- Testing Validation and Test Management
- Documentation and Reporting as Requested by the Agency
- System Implementation Monitoring and Reporting
 - Implementation Period Risk Log
 - Implementation Status Reports
- Acceptance Criteria
 - Approval Process and Workflow
- Implementation Period Change Management
- Implementation Period Defect Management
- Implementation Period System Upgrades
- Implementation Period System Maintenance

6) Implementation Management Plan – Operations

The PM Services Contractor shall develop an Implementation Management Plan – Operations (IM Plan – Operations) describing the transition to an operational state for the Provider Management solution. The PM Services Contractor shall develop and submit an IM Plan – Operations to the Agency for review and approval ninety (90) calendar days prior to the start of the implementation phase. The IM Plan – Operations shall be kept current with a formal review with every release. The IM Plan - Operations must include, but not be limited to, the following:

- Implementation Management
- Planning
- Implementation Team/Lead Assignments
 - Assumptions
 - Detailed Operations Implementation Schedule/Steps
 - Implementation Tasks and Task Descriptions
 - Dependencies
 - Support/Resource Assignments
 - Risk Log
- Implementation Phase Communication Protocols

- Knowledge
 - Knowledge Material Development
 - Knowledge Base Access and Maintenance
- Implementation Training Plan
 - Expected Outcomes
 - Readiness Assessment Plan
 - Coaching Plan
 - Performance Improvement Cycles
- Resource Management – Provider Management Call Center, Service Desk and Operations Support
 - Logistics/Location
 - Location Set Up Plan
 - Tools and Asset
 - Acquisition and Inventory
 - Set Up and Configuration
 - Testing
 - Staff onsite and remote during and after go-live
 - Acquisition
 - Training execution
- Documentation and Reporting as Requested by the Agency
- Implementation Phase Performance Monitoring & Reporting
 - Implementation Phase Risk Log
 - Implementation Status Reports
- Acceptance Criteria
 - Approval process and workflow

7) Deployment Plan

The PM Services Contractor shall develop a Deployment Plan addressing all criteria for implementation decision making as it pertains to go/no-go status. All Deployment Plan artifacts, documented decisions and other relevant documentation are to be stored in a centralized and accessible location to be defined by the Agency. The PM Services Contractor shall develop and submit a Deployment Plan to the Agency for review and approval ninety (90) calendar days prior to the start of the implementation phase. The Deployment Plan shall be kept current with a formal review with every release. The Deployment Plan must include, but not be limited to, the following:

- Full Implementation Checklist (to be comprised of both System and Operations Implementation Acceptance Criteria)
- Operational Readiness Review Process (required for initial deliverable submission, as needed for resubmissions)
- Go/No-Go Criteria (inclusive Go/No-Go Criteria broken down by Approval Area, e.g., Testing, Security, Data Governance Office)
- Detailed Back-out/Contingency Plan
- Post Implementation Summary Report (and Verification Checklist) Template

8) Post Implementation Support

Post implementation support will apply to the PM Services Contractor. This support will begin when the PM Services module goes live and end three (3) months after CMS certification has been received. The PM Services Contractor shall retain key resources with critical knowledge of the PM

Services module during this period to ensure knowledge transfer to the Operations team is complete and the Operations team is ready to perform steady state operations.

The post implementation support will include the support required to identify, track, and resolve defects or issues that occur post implementation. The PM Services Contractor will participate in stand-up meetings to discuss and prioritize the tasks required to resolve PM Services module issues as quickly as possible. These stand-up meetings may start with meeting multiple times daily and taper to weekly or monthly. This support differs from the normal Operations Support processes in that the focus during this post implementation support period is on stabilizing the new solution and prioritized problem resolution. Prioritized focus for this support will include, but not be limited to:

- Project reporting – To coincide with the frequency of the stand-up meetings
- Attending stand-up meetings as scheduled
- Reporting abnormalities or inconsistencies to all Project Managers and the Contract owner within an hour of identification
- Other support as identified by the Agency

9) Defect Identification and Management

The PM Services Contractor shall ensure that the PM Services module meets Contract requirements as defined in this RFP, the DTAP, the CONOPS, and the Agency-approved system documentation for the term of the Contract. Any technical design deficiencies, configuration, or code defect developed under this Contract will be remedied at no additional cost to the Agency.

The Agency considers a system defect (or a bug) to be a flaw or weakness in any area of the system or hardware that creates any kind of shortcoming, imperfection, or deficiency. Defects may occur at any time during the Contract. Defects must be identified, tracked, and reviewed during the project status meetings. Defect resolution is the responsibility of the Contractor, and the Agency may not be charged for the resolution in any way. Defects may include such things as:

- Violation of specified (or unspecified) requirements
- Inclusion of incorrect or unnecessary requirements
- Failure to behave as the PM Services module should
- Missing characteristics that the PM Services module should have
- Behaving in a manner the PM Services module should not behave
- Inclusion of characteristics that the PM Services module should not have
- Inconsistencies with the PM Services module architecture or design
- Incorrect or inappropriate architecture, design, implementation, or configuration decisions
- Violation of design guidelines or coding standards
- Safety or security vulnerabilities
- Performance issues should be resolved

When a defect is identified, the PM Services Contractor must track and document the defect to final resolution. The PM Services Contractor shall provide the Agency PM Project Team (prior to go-live) and the Agency PM Operations Team (after go-live) access to the System Desk Tool (SDT), see [RFP Section II.L.2.g Service Desk Tool](#). The defect must be reported to the PMO Contractor or the Agency MMIS Operations Team within one (1) business day – high priority e-mail notification is acceptable. The next business day (after defect identification), the Contractor shall follow the defined protocols to request a meeting with the PMO Contractor or the Agency MMIS Operations Team to initially discuss the defect. During the meeting, the Contractor shall provide all available information associated with the defect. If the Contractor lacks sufficient information during the

initial meeting and the PMO Contractor or the Agency MMIS Operations Team deems the defect to be high priority/high severity, a follow-up meeting will be scheduled.

The PMO Contractor or the Agency MMIS Operations Team will review the defect and determine the required reporting frequency based on the priority and severity of the defect. The PM Services Contractor must provide a status on all open/active defects during each status meeting. Any request for additional information on a defect must be provided within one (1) business day. Any reporting on the defect must include the following at a minimum:

- Unique identifier for the defect (such as a number)
- Link to original user call ticket(s) information
- Date the defect was first reported by the user
- Date the defect was first reported to the PMO Contractor
- Issue priority and severity
- Description of the defect
- Detailed description of the solution
- Number and type of users impacted
- Linear and non-linear impact analysis
- Work-around (if applicable)
- Date development will be complete
- Date test results will be presented
- Estimated implementation date
- Stakeholder notification (if required)
 - Date
 - Method
 - Message

The Agency expects defects to be resolved within sixty (60) calendar days of the date reported by the user. Any defect that is not resolved within sixty (60) calendar days must receive approval from the PMO Contractor or the Agency or a CAP will be requested.

10) Post Implementation Summary Report

The PM Services Contractor shall develop and submit a Post Implementation Summary Report to the Agency for review and approval thirty (30) calendar days after the implementation date. A Post Implementation Summary Report shall be provided for each release. The PM Services Contractor shall schedule a Post Implementation Summary Report Meeting to review the Post Implementation Summary Report with the Agency and others identified by the Agency within fifteen (15) calendar days after the submission of each Post Implementation Summary Report. Each report shall contain a short narrative summary of the results of implementation, and must include, but not be limited to:

- Deficiencies, defects, and issues encountered and their resolution
- Lessons Learned
- Recommendations for any improvements to the module(s)
- Identified updates to the Security and Privacy Plan
- Identified updates to the Project Management Plan
- Identified updates to any other deliverables, including, but not limited to:
 - Training materials
 - User manuals

11) Release Listing Document

Release management is critical to the success of continual system improvement and must be managed in a way that will provide the Agency with the ability to plan and prepare for new releases.

The PM Services Contractor shall develop and submit a Release Listing Document to the Agency for review and approval five (5) business days prior to the release being applied to the production environment. The Release Listing Document shall contain all changes that will be applied to the environment including, but not be limited to:

- Associated system identifier
- Change type (change order, defect, etc.)
- Change description
- Groups impacted (Agency, Operating Agency, Provider, Worker, etc.)
- Agency approval date
- Release Notes

The Release Listing Document shall be finalized no later than noon (12:00 PM CT) of the business day following the release, including verified changes that were applied. The release listing shall be stored on a shared documentation platform as approved by the Agency.

12) Requirements – DDI

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-60: DDI – DDI Requirements, Table II-61: DDI – DDI Deliverables, and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-60: DDI – DDI Requirements

Master ID	Requirement Description
5294	The Contractor shall develop and submit a Detailed Technical Architecture Package (DTAP) to the Agency six (6) months after the contract start for review and approval. The Contractor shall update the DTAP every six (6) months through the term of the contract.
4732	The Contractor shall provide a Concept of Operations (CONOPS). The CONOPS shall, at a minimum, describe characteristics of the proposed solution from an end user perspective. This includes the proposed system in operations phase, contact center operations, etc. The CONOPS shall demonstrate the inclusion of high-level requirements.
6433	The Contractor shall develop and submit a Configuration Management Plan (CMP) to the Agency for review and approval six (6) months after the contract start. The CMP shall align with the AMMP Configuration Management Plan (PMO-2-r) and conform to industry project management standards and sufficiently address the challenges represented within a multi-Contractor, integrated systems solution. The CMP shall be kept current with a formal review every six (6) months.
6399	The Contractor shall develop and submit a Configuration Management Summary Report to the Agency for review and approval with the first release. The Configuration Management Summary Report shall be kept current and submitted with every release.
5286	The Contractor shall produce a Detailed Product Design (DPD) document eight (8) weeks after the requirement validation sessions have been completed. When there are sub-functional areas, the Contractor must produce a Sub Detailed Product Design (Sub-DPD) document. The Contractor must use the Agency-provided templates for the DPD and Sub-DPD. Once operational, the DPD or Sub-DPD will need to be updated prior to system changes being released to production.
6450	The Contractor shall develop and submit an IM Plan – System to the Agency for review and approval ninety (90) calendar days prior to the start of the implementation phase. The IM Plan – System shall be kept current with a formal review with every release.

Master ID	Requirement Description
6449	The Contractor shall develop and submit an IM Plan – Operations to the Agency for review and approval ninety (90) calendar days prior to the start of the implementation phase. The IM Plan – Operations shall be kept current with a formal review with every release.
6435	The Contractor shall develop and submit a Deployment Plan to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Deployment Plan shall be kept current with a formal review with every release.
5795	The Contractor shall provide post implementation support to the Agency from the time the solution goes live until the end of three (3) months after CMS certification has been received.
5796	The Contractor shall provide support to identify, track and resolve defects or issues that are outstanding or that have occurred since implementation until the end of three (3) months after CMS certification has been received.
5797	The Contractor shall retain any key resources for post implementation support until the end of three (3) months after CMS certification has been received and provide complete knowledge transfer from the Contractor's Implementation team to the Contractor's Operations team.
5798	The Contractor shall schedule and facilitate meetings to provide updates on post implementation tasks and status on defects or issues on a cadence agreed upon by the Agency until the end of three (3) months after CMS certification has been received.
6441	The Contractor shall develop and submit a Post Implementation Summary Report to the Agency for review and approval thirty (30) calendar days after the implementation date. A Post Implementation Summary Report shall be provided for each release.
6456	The Contractor shall schedule a Post Implementation Summary Report Meeting to review the Post Implementation Summary Report with the Agency and others identified by the Agency within fifteen (15) calendar days after the submission of each Post Implementation Summary Report.
4723	The Contractor shall manage, communicate status, and correct all defects and design deficiencies at no additional cost to the Agency in accordance with the Agency approved change management process and TCOE requirements as defined in the AMMP Program-wide Change Management Plan and the module specific Change Management Plans for the term of the contract.
6442	The Contractor shall develop and submit a Release Listing Document to the Agency for review and approval five (5) business days prior to the release being applied to the environment. The Release Listing Document shall be finalized no later than noon of the business day following the release, including verified changes that were applied.

13) Deliverables – DDI

Table II-61: DDI – DDI Deliverables

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
DDI_01	5294	Detailed Technical Architecture Package	The Contractor shall develop and submit a Detailed Technical Architecture Package (DTAP) to the Agency six (6) months after the contract start for review and approval. The Contractor shall update	Six (6) months after contract start	Every six (6) months

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
			the DTAP every six (6) months through the term of the contract.		
DDI_02	4732	Concept of Operations	Alabama Medicaid has developed a Concept of Operations (CONOPS) document (EA-f) for the Alabama Medicaid Management Information System. In support of the effort, the Contractor shall provide a PM CONOPS, using the AMMP CONOPS template (EA-f-01).	Eight (8) weeks after contract start	Every six (6) months
DDI_03	6433	Configuration Management Plan	The Contractor shall develop and submit a Configuration Management Plan (CMP) to the Agency for review and approval six (6) months after contract start. The CMP shall align with the AMMP Configuration Management Plan (PMO-2-r) and conform to industry project management standards and sufficiently address the challenges represented within a multi-Contractor, integrated systems solution. The CMP shall be kept current with a formal review every six (6) months.	Six (6) months after contract start	Every six (6) months
DDI_04	6399	Configuration Management Summary Report	The Contractor shall develop and submit a Configuration Management Summary Report to the Agency for review and approval with the first release. The Configuration Management Summary	With first release	With every release

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
			Report shall be kept current and submitted with every release.		
DDI_05	5286	Detailed Product Design	The Contractor shall produce a Detailed Product Design (DPD) document eight (8) weeks after the requirement validation sessions have been completed. When there are sub-functional areas, the Contractor must produce a Sub Detailed Product Design (Sub-DPD) document. The Contractor must use the Agency-provided templates for the DPD and Sub-DPD. Once operational, the DPD or Sub-DPD will need to be updated prior to system changes being released.	Eight (8) weeks after Requirement Validation Sessions	With every release
DDI_06	6450	Implementation Management Plan – System	The Contractor shall develop and submit an IM Plan – System to the Agency for review and approval ninety (90) calendar days prior to the start of the implementation phase. The IM Plan – System shall be kept current with a formal review with every release.	Ninety (90) calendar days prior to the start of the Implementation Phase	With every release
DDI_07	6449	Implementation Management Plan – Operations	The Contractor shall develop and submit an IM Plan – Operations to the Agency for review and approval ninety (90) calendar days prior to the start of the implementation phase. The IM Plan – Operations shall be kept current with a	Ninety (90) calendar days prior to the start of the Implementation Phase	With every release

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
			formal review with every release.		
DDI_08	6435	Deployment Plan	The Contractor shall develop and submit a Deployment Plan to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Deployment Plan shall be kept current with a formal review with every release.	Ninety (90) calendar days prior to the start of the Implementation Phase	With every release
DDI_09	6441	Post Implementation Summary Report	The Contractor shall develop and submit a Post Implementation Summary Report to the Agency for review and approval thirty (30) calendar days after the implementation date. A Post Implementation Summary Report shall be provided for each release.	Thirty (30) calendar days after implementation date	With every release
DDI_10	6442	Release Listing Document	The Contractor shall develop and submit a Release Listing Document to the Agency for review and approval five (5) business days prior to the release being applied to the environment. The Release Listing Document shall be finalized no later than noon of the business day following the release, including verified changes that were applied.	Five (5) business days prior to each release for the term of the Contract	Four (4) business hours after each release

b. Testing Management

The PM Services Contractor shall onboard with established test management methodologies (TMM), tools, and documents. The PM Services Contractor scope of TMM must include planning,

monitoring, coordinating, executing, analyzing, and controlling activities for the PM Services Solution.

System Testing assesses the functionality and interoperability of the PM Services Solution and the multiple other systems it interacts with, such as databases, hardware, software, rules engine, document management system, identity management system workflow, interfaces, webservices, and their integration with infrastructure into an overall integrated system.

The PM Services solution serves as the enterprise Provider Management solution of the MES, which makes validation of the solution paramount to success of the modernization project. Due to the AMMP's modernization timelines, the PM Services Contractor should understand that business and system dependencies across modules will increase, making cross module testing ever more critical. Thorough analysis, planning, testing, and monitoring prior to releasing to the production environment help to identify and resolve critical errors and promote greater confidence for stakeholders and project teams. Incremental evaluation and reporting along key points in the project roadmap will keep progress moving forward and enable program management to make informed decisions.

The PM Services Contractor must provide testing support across MES for purposes of testing interfaces. It is required for the PM Services Contractor to collaborate with MES module Contractors to support their development of valid test documents specific to the module interfaces. The PM Services Contractor shall continue to support testing efforts for change orders and incident management resolution efforts during operations.

The PM Services Contractor shall evaluate and verify that the solution meets or exceeds the Agency-defined test quality and deployment objectives, as follows:

- System meets or exceeds State and Federal regulations and requirements
- System meets or exceeds all requirements in the RFP
- Defects are found and fixed early in the testing process
- All critical bugs or defects are resolved before promotion to production or with Agency approval
- Test reports and test result data extracts are sufficient to support informed decisions by the Agency

To ensure these quality test objectives are satisfied, the PM Services Contractor shall perform validation, monitoring, and evaluation activities as referenced in the Testing requirements within Appendix E – Requirements Response Matrix (RRM).

The PM Services Contractor shall provide and maintain all Alabama-specific non-production environments necessary to complete testing of the PM solution, module testing, and ongoing operational testing needs. For additional information on required testing environments see [RFP Section II.D.1 Technical Architecture and Environments](#). The PM Services Contractor shall provision all necessary environments to meet Alabama testing requirements, including but not limited to all data necessary to perform all test case scenarios and test all provider type and specialty combinations. The Agency anticipates the need for non-production environments that contain only Alabama relevant data, configuration, and processes to support operational reliability and readiness. The Agency requires that all test activities are visible within the solution detailed project schedule. See [RFP Section II.L1.a.1.d\) Project Schedule](#) for project schedule description. The PM Services Contractor shall use an industry standard test management tool and develop test data extracts from their test management tool for use by the Agency. These extracts will be produced weekly once the detailed test plan is deployed and testing begins.

1) Testing Evaluation and Management Plan

The PM Services Contractor shall have a structured testing strategy that helps the Agency to understand the PM Services Contractor's approach to testing, testing objectives, and the tools/processes and workflows used. Additionally, the Agency seeks to understand the PM Services Contractor's TMM, monitoring and controlling activities, testing defect management, and their overall deployment activities. It is imperative that the PM Services Contractor adapt and align its methodologies to focus on reducing defects and rework across the MES. The PM Services Contractor must develop a solid Test Evaluation and Management Plan (TEMP) and incremental Detailed Test Plan(s). The PM Services Contractor shall collaborate with all MES module Contractors throughout the testing schedule and planned activities of the project to review test cases and environment(s) as needed. Additionally, the PM Services Contractor shall develop all test documentation according to industry best practices and Federal standards. The PM Services Contractor shall develop and deliver a TEMP that must include, but not be limited to, the following:

- Methodology/Approach to Testing and Phases
- Test Environment Plan
- Roles and Responsibilities
- Detailed Test Schedule and Work Plan
- Entrance, Acceptance and Exit Criteria – this defines which test phases require entrance/exit criteria
- Testing Defect Management and Reporting

2) Detailed Test Plan

The PM Services Contractor shall produce a PM solution-specific Detailed Test Plan that aligns with the Alabama implementation timeline. The test plan(s) shall outline test activities for development (or implementation) of their solution(s), Centralized Services, and support/activities for End-to-End (E2E) testing for the PM solution. The test plan must comply with Agency test standards, regulations, and good practices and shall align with implementation of module projects across the AMMP.

The PM Services Contractor shall use the Agency-provided template or an organic document upon request and approval by the Agency. Agency review and approval of the Detailed Test Plan is required before test execution begins.

The Agency requires test planning to be a continuous activity that must be performed throughout the PM Contract duration. Therefore, as the AMMP progresses and more information becomes available, it is required that more detail shall be included in the Test Plan deliverable updates. Additionally, continuous monitoring and feedback from test activities must be used to recognize changing risks so that planning can be adjusted and reflected in the Detailed Test Plan.

The Detailed Test Plan must include methods of testing, test deployment/implementation being used, the scope of testing, objectives, risks, constraints, criticality, and testability, as well as identify resources and availability of the resources required specific to the iteration. The Detailed Test Plan must include, but not be limited to, the following:

- Scope, objectives, and risks of testing
- Overall approach of testing
 - Integration and coordination required for test activities specific to the SIP and integrative capabilities
- In Scope and Out of Scope testing for the PM capabilities

- Planned schedule of test analysis, design, implementation, execution, and evaluation activities, either on particular dates (e.g., in sequential development) or in the context of each iteration (e.g., in iterative development)
- Identified metrics for test monitoring and control

3) Test Phase Acceptance

The PM Services Contractor shall produce a Test Phase Acceptance (TPA) package that summarizes and provides the details of each Test Phase. The objective of the Test Phase Acceptance package is to ensure clear visibility to the effectiveness of each Test Phase. The package, must provide, but not be limited to, the following:

- RTM Coverage – provided weekly
- Test Case Analysis – provided weekly
- Defect Analysis – provided weekly
- Required Workaround – provided with final TPA package
- Corrective Action Plan – provided with final TPA package
- Acceptance Criteria Assessment – provided with final TPA package

The PM Services Contractor shall provide a weekly TPA package that includes, but is not limited to, RTM coverage, test case development/execution status, and defect release schedule. The final TPA package will require the specific details for any approved required workarounds, corrective action plans, and acceptance criteria assessment. The TPA package is required at the end of the Test Phase and shall be approved by the Agency prior to go-live. The TPA must be provided at least two weeks prior to the Operational Readiness Review milestone.

4) Requirements - Testing Management

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-62: Testing Management – Testing Management Requirements, all deliverables listed in Table II-63: Testing Management – Testing Deliverables, and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-62: Testing Management – Testing Management Requirements

Master ID	Requirement Description
5312	<p>The Contractor shall perform and/or support testing throughout the project. Testing shall address the following, including, but not limited to:</p> <ul style="list-style-type: none"> a. Unit Test b. System Testing c. Integration Testing d. Interface Testing e. Performance Testing f. Regression Testing g. User Acceptance Testing (UAT) h. End-to-End Testing (E2E) i. Operational Readiness Review (ORR) j. Security Testing

Master ID	Requirement Description
6446	The Contractor shall develop and submit a Test Evaluation and Management Plan (TEMP) to the Agency for review and approval four (4) months after the contract start. The TEMP shall be kept current with a formal review every six (6) months.
6436	The Contractor shall develop and submit a Detailed Test Plan to the Agency for review and approval four (4) months after the contract start. The Detailed Test Plan shall be kept current with a formal review every six (6) months and ninety (90) calendar days prior to the start of the Test Phase.
4681	The Contractor shall evaluate and verify their solution meets or exceeds the Agency-defined test quality and deployment objectives, including satisfying the requirements of this RFP while meeting State and Federal regulations, as defined in the agreed-upon Test Evaluation and Management Plan and the Detailed Test Plan.
5283	The Contractor shall follow and adhere to all Agency-approved testing plans (SIT, End-to-End and UAT), and AMMP Testing Strategy.
5027	The Contractor shall meet or exceed Federal testing expectations and recommendations.
5279	The Contractor shall collaborate with the TCOE Contractor through the term of the contract.
5280	The contractor shall coordinate with the Agency and TCOE for validating each documented requirement in the release list document prior to release to the production environment.
4680	The Contractor shall collaborate with MES module contractors throughout the phases of the project to review test cases, review environment(s) and support testing phases as needed.
5311	The Contractor shall develop and submit a Test Phase Acceptance (TPA) Package to the Agency weekly during each test phase (SIT, End-to-End, and UAT) and a final TPA at the end of the test phase for review and approval.
5069	The Contractor shall develop and submit weekly extracts of use cases, user stories, test cases, test scripts and defects data from the contractor's test management tool using the agency approved template to the Agency for all test phases (SIT, End-to-End and UAT) through the term of the contract.
5292	The Contractor shall provide test results to the Agency for review at least seven (7) business days prior to the required approval date. All test results must have the approval/signoff of the functional process owner before being moved to the next environment.
5291	The Contractor shall provide walkthroughs of any test cases, test scenarios, or test results related to requirements, as requested by the Agency. The Agency may request changes, addition or re-execution of test scenarios or test cases after any walkthrough.
4676	The Contractor shall provide Test/Facilitation Execution which includes the schedule and facilitation of UAT testing for Agency review and approval.
5023	The contractor shall be responsible for preparing for all CMS meetings related to testing and producing meeting minutes for Agency approval.
5029	The Contractor shall respond to Federal testing-related queries within three (3) business days.
5068	The Contractor shall provide the Agency and the TCOE reports and updates on testing activities for each testing phase (SIT, End-to-End and UAT) and submit artifacts as defined in the contractor TEMP through the term of the contract.

5) Deliverables – Testing Management

Table II-63: Testing Management – Testing Deliverables

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
TST_01	6446	Test Evaluation and Management Plan	The Contractor shall develop and submit a Test Evaluation and Management Plan (TEMP) to the Agency for review and approval four (4) months after the contract start. The TEMP shall be kept current with a formal review every six (6) months.	Four (4) months after contract start	Every six (6) months
TST_02	6436	Detailed Test Plan	The Contractor shall develop and submit a Detailed Test Plan to the Agency for review and approval four (4) months after the contract start. The Detailed Test Plan shall be kept current with a formal review every six (6) months and ninety (90) calendar days prior to the start of the Test Phase.	Four (4) months after contract start	Every six (6) months and ninety (90) calendar days prior to the start of the Test Phase
TST_03	5311	Test Phase Acceptance Package	The Contractor shall develop and submit a Test Phase Acceptance (TPA) Package to the Agency at the end of each test phase (SIT, End-to-End, and UAT) for review and approval.	Five (5) business days after the end of each Test Phase	One time submission with each Test Phase

c. Operations

1) Environmental Monitoring Plan

The PM Services Contractor shall develop and submit an Environmental Monitoring Plan (EMP) to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The EMP shall be kept current with a formal review annually. The EMP shall include, but not be limited to:

- Software Update Plan/Schedule
- Hardware Refresh Plan/Schedule
- Technology Refresh Schedule
- Data Refresh Plan/Schedule
- Data Archival Plan/Schedule
- User Access
- Extract, Transform, and Load (ETL)/Extract, Load, and Transfer (ELT) Process and Monitoring
- Data Solution Monitoring
- Contractor’s Server Monitoring
- Application and Services Monitoring
- Infrastructure Monitoring

- Performance Benchmarks and Standards
- System Operating Procedures
- System Maintenance Procedures
- System Performance Monitoring Procedures
- Emergency Procedures and Communication Protocols
- Data Dictionary
- Business Rules Catalog
- Diagrams of Workflows

The PM Services Contractor shall develop and submit an Environmental Monitoring Dashboard to the Agency for review and approval sixty (60) calendar days after the approval of the EMP. The Environmental Monitoring Dashboard shall provide information on the items defined in the Environmental Monitoring Plan, for the term of the contract.

2) System Operations Manual

The PM Services Contractor shall develop and submit a System Operations Manual to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The System Operations Manual shall be kept current with a formal review annually. The System Operations Manual shall include, but not be limited to:

- System operating and maintenance procedures
- Provide understanding of system operations and performance
- All facets of the technical operations of the system

3) System User Manual

The PM Services Contractor shall develop and submit a System User Manual to the Agency for review and approval ninety (90) calendar days prior to the start of the implementation phase. The System User Manual shall be kept current with a formal review with every release. The System User Manual shall include, but not be limited to:

- Account creation and maintenance
- User interface field and descriptions
- User interface functions with related steps
- User interface edits, audits, and error message guidance

4) Operations and Maintenance Management Plan

During the implementation phase of the PM project, the PM Services Contractor shall provide an Operations and Maintenance Plan that provides details regarding the provisions of operations and maintenance services in the production environment.

The PM Services Contractor shall develop an Operations and Maintenance Management Plan that describes how they will manage day-to-day operations during and post implementation of the production system. The Operations Management Plan must include, but not be limited to, the following:

- Operations Management Approach
- Updated Business Processes
- Business Process Flow
- Business Production Responsibility Assignment Matrix, with Responsible, Accountable, Supportive, Consulted, Informed (RASCI) Chart (COM-6-A).
- Post Implementation and Production Staffing and Support
- New Positions

- New Skills Inventories
- Transitioned Positions
- Transitioned Skills
- General and Routine Maintenance
- Ongoing Enhancements and Modifications
- Post Production Issue, Problem and Risk Tracking and Resolution
- Service Delivery, Monitoring, and Performance Management Approach
- Service Delivery (Network, Server, Application Monitoring)
- Production Monitoring Metrics
- Production Reporting Metrics
- Service Level Agreement Plan

5) Monthly Operations Status Report

The PM Services Contractor shall provide a Monthly Operations Status Report that focuses on the health and performance of the PM Services module, upcoming changes and maintenance activities, details from the Contract Monitoring Report related to OLAs/SLAs/KPIs, accomplishments, upcoming events, and any blockers/concerns. The PM Services Contractor will provide a Monthly Operations Status Report three (3) business days in advance of the monthly Operations Status Meeting. For the Monthly status report, the PM Contactor is required to use a template provided by the Agency.

6) Requirements – Operations

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-64: Operations – Operations Requirements, deliverables listed in Table II-65: Operations – Operations Deliverables, and all related requirements located in in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-64: Operations – Operations Requirements

Master ID	Requirement Description
6026	The Contractor shall develop and submit an Environmental Monitoring Plan (EMP) to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The EMP shall be kept current with a formal review annually.
6406	The Contractor shall develop and submit a Environmental Monitoring Dashboard to the Agency for review and approval sixty (60) calendar days after the approval of the EMP.
6444	The Contractor shall develop and submit a System Operations Manual to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The System Operations Manual shall be kept current with a formal review annually.
6445	The Contractor shall develop and submit a System User Manual to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The System User Manual shall be kept current with a formal review with every release.
6452	The Contractor shall develop and submit an Operations Management Plan to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Operations Management Plan shall be kept current with a formal review every six (6) months.
5908	The Contractor shall provide a Monthly Operations Status Report that focuses on the health and performance of the module, upcoming changes and maintenance activities, details from the Contract Monitoring Report related to OLAs/SLAs/KPIs, accomplishments, upcoming events, and any blockers/concerns. The Contractor shall provide a Monthly Operations

Master ID	Requirement Description
	Status Report, using a template approved by the Agency, three (3) business days in advance of the monthly Operations Status Meeting.
5909	The Contractor shall schedule and hold Operations Status meetings, using an Agency defined agenda template, to discuss the Monthly Operations Status Report. The Operations Status meetings shall occur on a monthly basis and begin within the first month after system go-live for the term of the contract.
5040	The Contractor shall support non-business hours as needed for scheduled releases, emergency and off cycle test-related activities subject to occur with no additional cost incurred by the Agency for the term of the contract.

7) Deliverables – Operations

Table II-65: Operations – Operations Deliverables

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
OPS_01	6026	Environmental Monitoring Plan	The Contractor shall develop and submit an Environmental Monitoring Plan (EMP) to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The EMP shall be kept current with a formal review annually.	Ninety (90) calendar days prior to the start of the Implementation Phase	Every twelve (12) months
OPS_02	6406	Environmental Monitoring Dashboard	The Contractor shall develop and submit an Environmental Monitoring Dashboard to the Agency for review and approval sixty (60) calendar days after the approval of the EMP.	Sixty (60) calendar days after the approval of the EMP	One time submission
OPS_03	6452	Operations Management Plan	The Contractor shall develop and submit an Operations Management Plan to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Operations Management Plan shall be kept current with a formal review every six (6) months.	Ninety (90) calendar days prior to the start of the Implementation Phase	Every six (6) months

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
OPS_04	6444	System Operations Manual	The Contractor shall develop and submit a System Operations Manual to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The System Operations Manual shall be kept current with a formal review annually.	Ninety (90) calendar days prior to the start of the Implementation Phase	Every twelve (12) months
OPS_05	6445	System User Manual	The Contractor shall develop and submit a System User Manual to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The System User Manual shall be kept current with a formal review with every release.	Ninety (90) calendar days prior to the start of the Implementation Phase	With every release
OPS_06	5908, 5909	Monthly Operations Status Report	The Contractor shall provide a Monthly Operations Status Report, using a template approved by the Agency, three (3) business days in advance of the monthly Operations Status Meeting.	Three (3) business days prior to the first monthly Operations Status Meeting	Monthly

d. Certification Management

The Agency views Federal certification as a collaborative and cooperative process between all vested internal and external stakeholders and partners. This partnership between all stakeholders will work to ensure that the PM Services module and business support responsibilities comply with Federal guidance, conditions, and standards required of all states. Further, this partnership will work to ensure the Agency receives enhanced federal funding for newly implemented, modernized Medicaid modules. If the PM Services module does not maintain Federal certification for full Federal Financial Participation (FFP) retroactive to the approved operational date and it is determined by the Agency that such failure or loss of certification and FFP is due in whole or in part to the Contractor's performance or failure to perform, then the Contractor may be subject to Contract Liquidated Damages as described in RFP [Section VIII.MM Contract Liquidated Damages](#).

As the Agency progresses toward its envisioned end-state MES environment, the Agency recognizes that Federal certification/authorization guidance may mature and/or evolve. Therefore, the Agency will provide the PM Services Contractor any additional processes, procedures, and guidance as it is released from all Federal agencies to the Agency. However, for the purposes of submitting a proposal response to this RFP, any current, specific details or guidance around Federal certification/authorization processes or framework that may be applicable to the MES, can be found at the following websites:

- CMS: <https://www.medicaid.gov/medicaid/data-systems/index.html>

- FedRamp: <https://www.fedramp.gov/federal-agencies/>
- SSA: <https://www.ssa.gov/dataexchange/security.html>
- NIST: <https://www.nist.gov/privacy-framework/privacy-framework>
- HiTrust: <https://hitrustalliance.net/>
- FTI Data <https://www.irs.gov/pub/irs-pdf/p1075.pdf>

As part of any Federal certification process, it is incumbent upon all MES module Contractors to demonstrate that the implemented system functions and business processes meet the systems testing, expected outcomes, and certification-related requirements and metrics necessary to achieve Federal certification/authorization. The Agency requires all MES module Contractors to coexist in an end-to-end integration environment that will allow for complete testing and certification/authorization across all MES components. Executing this vision will be a responsibility of all MES module Contractors, necessitating extensive cooperation and coordination across the Enterprise. These cooperation and coordination activities are rooted in the implementation of a comprehensive, program-wide plan for certification. The PM Services Contractor shall develop a Certification Management Plan as described in [Table II-69: Scope of Work – Certification Deliverables](#), as well as any security audits, as required by the Medicaid Enterprise Security Plan and the required System Security Plan and Authorization Package, as detailed in [Appendix D – Contract Deliverables Table](#).

Finally, the PM Services Contractor must understand that any/all certification assistance and work activities required will span the term of the Contract.

1) CMS Outcomes for Provider Management

The PM Services Contractor shall be responsible for meeting outcomes listed in Table II-66: Provider Management Outcomes and producing required metrics in the CMS-designated format and timeframe, as indicated in the Operational Report Workbook available on the CMS MES Certification Repository.

Table II-66: Provider Management Outcomes

Outcome ID	Regulatory Source	Outcome	Required Metric
PM1 Application	42 CFR 455.410(a)	A provider can initiate, save, and apply to be a Medicaid provider.	<ul style="list-style-type: none"> • Number of requests to help desk for problems with initiating, saving, and applying. • Average time to enroll from point of submit. <ul style="list-style-type: none"> ○ Total time to enroll all providers/ ○ Total # of enrolled providers
PM2 Screening	42 CFR 455.410(c)	A state user can view screening results from other authorized agencies (Medicare, CHIP, other related agencies) to approve provider if applicable.	<ul style="list-style-type: none"> • Average Time to screen providers upon initial application without Return to Provider time. <ul style="list-style-type: none"> ○ (Total time to screen all providers - RTP time)/Total # providers screened • Average Time to screen

Outcome ID	Regulatory Source	Outcome	Required Metric
			providers upon initial application with Return to Provider time included. <ul style="list-style-type: none"> ○ Total time to screen all providers/Total # providers screened
PM3 Screening	42 CFR 455.412	A state user can verify that any provider purporting to be licensed in a state is licensed by such state and confirm that the provider's license has not expired and that there are no current limitations on the provider's license ensure valid licenses for a provider.	<ul style="list-style-type: none"> ● Number of enrollment denials and reasons for denials. ● Average Time to screen providers upon initial application without Return to Provider time <ul style="list-style-type: none"> ○ (Total time to screen all providers - RTP time)/Total # providers screened ● Average Time to screen providers upon initial application with Return to Provider time included <ul style="list-style-type: none"> ○ Total time to screen all providers/Total # providers screened ● Average Time to credential providers <ul style="list-style-type: none"> ○ Total time to credential providers/Total # of credentialed providers
PM4 Revalidation	42 CFR 455.414	The system tracks the provider enrollment period to ensure that the state initiates provider revalidation at least every five years.	<ul style="list-style-type: none"> ● Number of providers scheduled for revalidation by year. (Total # of providers in Medicaid) ● Percentage of providers enrolled in the state system that are in the CMS Adverse Actions List. ● # of state providers enrolled that are on the CMS Adverse Actions List/ ● # state providers enrolled

Outcome ID	Regulatory Source	Outcome	Required Metric
PM5 Termination	42 CFR 455.416	A state user (or the system, based on automated business rules) must terminate or deny a provider's enrollment upon certain conditions (refer to the specific regulatory requirements conditions in 42CFR455.416).	<ul style="list-style-type: none"> Number of providers denied enrollment or termination of participation with reason. Provide denial or termination reason.
PM6 Reactivation	42 CFR 455.420	After deactivation, a provider seeking reactivation must be re-screened by the state and submit payment of associated application fees before their enrollment is reactivated	<ul style="list-style-type: none"> Number of providers seeking reactivation and TAT for enrollment. Number of providers seeking reactivation with submittal of payment and TAT for enrollment.
PM7 Appeal	42 CFR 455.422	A provider can appeal a termination or denial decision, and a state user can monitor the appeal process and resolution including nursing homes and ICFs/IID.	<ul style="list-style-type: none"> Number of provider (by provider type) appeals and status of appeal: include TAT to final determination.
PM8 Site Visits	42 CFR 455.432(a)	A state user can manage information for mandatory pre-enrollment and post-enrollment site visits conducted on a provider in a moderate or high-risk category.	<ul style="list-style-type: none"> Number of providers scheduled for site visit categorized by moderate and high risk. Number of Providers with past due site visits. Include number of days past due
PM9 Background Checks	42 CFR 455.434	A state user can view the status of criminal background checks, fingerprinting, and site visits for a provider as required based on their risk level and state law.	<ul style="list-style-type: none"> List of providers in pending status due to checks listed in outcome. Provide screen shots of high-risk providers. Number of provider enrollments in process listed by outcomes check and status of outcome check and duration for each check. For example: 10 providers undergoing background checks. Aging range from 1 -10 days.
PM10 External Systems Checks	42 CFR 455.436	The system checks appropriate databases to confirm a provider's identity and exclusion status for enrollment and reenrollment and conducts routine checks	<ul style="list-style-type: none"> Number of providers in pending status due to other database confirmations. Include the reason for pending. For example: # of providers pending for

Outcome ID	Regulatory Source	Outcome	Required Metric
		using federal databases including: Social Security Administration's Death Master File, the National Plan and Provider Enumeration System (NPPES), the List of Excluded Individuals/Entities (LEIE), and the Excluded Parties List System (EPLS). Authorized users can view the results of the data matches as needed.	<p>NPPES verification or mismatch and or # of providers found in the Death Master File</p> <ul style="list-style-type: none"> • Number of providers by provider type found in the Death Master File and the enrollment status of each.
PM11 Risk Level Assignment	42 CFR 455.450	A state user can assign and screen all applications by a risk categorization of limited, moderate, or high for a provider at the time of new application, re-enrollment, or re-validation of enrollment. A state user can adjust a provider's risk level due to payment suspension or moratorium.	<ul style="list-style-type: none"> • Number of providers in each category by category for each new application, re-enrollment/revalidation • Number of providers with changes from moderate to high due to payment suspension or moratorium.
PM12 Application Fee	42 CFR 455.460	The system can collect application fees. A state user ensures any applicable application fee is collected before executing a provider agreement.	<ul style="list-style-type: none"> • Total number of providers in the network, # of providers in pend status due to lack of application fee, # of providers denied due to lack of application fee payment • Aging report of number of providers with lack of application fee payment in enrollment pend status
PM13 Moratoria	42 CFR 455.470	A state user can set CMS and state-imposed temporary moratoria on new providers or provider types in six-month increments.	<ul style="list-style-type: none"> • Number of providers in temporary moratoria status and duration range • Number of providers in temporary moratoria outside of six (6) months
PM14 Network Adequacy	42 CFR 438.68	A state user can determine network adequacy based upon federal regulations and state plan.	<ul style="list-style-type: none"> • Network adequacy is already reported on

Outcome ID	Regulatory Source	Outcome	Required Metric
PM15 Sanctions and Terminations	42 CFR 455.416(c)	A state user, and/or the system, can send and receive provider sanction and termination information shared from other states and Medicare to determine continued enrollment for providers.	<ul style="list-style-type: none"> Provider enrollment stats for providers in pend and denied status due to sanction and or pending sanction and Medicare information.
PM16 Notices and Communication	42 CFR 455.23	The system can generate relevant notices or communications to providers to include, but not limited to, application status, requests for additional information, re-enrollment termination, investigations of fraud, suspension of payment in cases of fraud.	<ul style="list-style-type: none"> Provide a copy of relevant notices and communications submitted to providers for each outcome category.
PM17 Fraud	42 CFR 455.17	A state user can report required information about fraud and abuse to the appropriate officials.	<ul style="list-style-type: none"> Number of open FWA investigations by provider type and status (This may already be submitted by states)
PM18 Payment Suspension	42 CFR 455.23	The system, or a state user, can suspend payment to providers in cases of fraud.	<ul style="list-style-type: none"> Number of providers in suspend status due to fraud include reasons and aging by provider type
PM19 Agreements and Disclosures	42 CFR 455.104 42 CFR 455.105 42 CFR 455.106 42 CFR 455.107	A state user can view provider agreements and disclosures as required by federal and state regulations.	<ul style="list-style-type: none"> These are related to ownership regulations. Number of providers identifying as one or more of the ownership relationships. List by ownership relationship type
PM20 Change in Circumstances	42 CFR 438.608(a)	A state user can view information from a managed care plan describing changes in a network provider's circumstances that may affect the provider's eligibility to participate in Medicaid, including termination of the provider agreement.	<ul style="list-style-type: none"> List of providers by provider type who have been released from the managed care entity due to: <ul style="list-style-type: none"> Change in state residence Investigation of FWA Death Others as defined by state Include provider state Medicaid status

Outcome ID	Regulatory Source	Outcome	Required Metric
PM21 Directory	42 CFR 438.10(h)	A beneficiary can view and search a provider directory.	<ul style="list-style-type: none"> • Number of help desk tickets logged for inaccessibility to provider directory. • Number of website hits on provider directory page.
MM10	Section 1902(a)(83), 1902(mm), SMD # 18-007	<p>The system maintains an up-to-date (updated at least annually) fee-for-service (FFS) or primary care case-management (PCCM) provider directory containing the following:</p> <ul style="list-style-type: none"> • Physician/provider • Specialty • Address and telephone number • Whether the physician/provider is accepting new Medicaid patients (for PCCM providers) • The physician/provider's cultural capabilities and a list of languages supported (for PCCM providers) 	<ul style="list-style-type: none"> • The system maintains an up-to-date (updated at least annually) fee-for-service (FFS) or primary care case-management (PCCM) provider directory.

2) CMS Streamlined Module Certification (SMC)

In April 2022, CMS published the Streamlined Modular Certification for Medicaid Enterprise Systems Certification Guidance Version 1.0. As such, the Agency will utilize the Streamlined Module Certification (SMC) approach for individual module-based and enterprise-wide system certification, or an alternate certification methodology as required by CMS at the time the PM Services module is ready to be certified.

The program-wide Certification Support Management Plan (COM-16) defines the activities and the schedule related to the CMS certification of each MES module contractor within the AMMP. Additionally, the PM Services Contractor will be required to complete a Certification Management Plan specific to the PM SMC effort, and the PM Services Contractor shall partner with MES module Contractors needed to provide necessary direction and content for completion. The PM Services Contractor shall provide resources to execute comprehensive certification support. As part of that support, the PM Services Contractor shall submit all necessary Federal documentation, reports, and required artifacts while performing all necessary business services to assist the Agency in obtaining system certifications in accordance with the published Federal guidance.

Inherent in these support activities, the PM Services Contractor's certification expectations extend to comprehensive assistance with the successful completion of all Operational Readiness Reviews (ORR) and final Certification Reviews (CR) for the PM Services module, according to the Agency's Integrated Master Schedule and continuing monthly submissions of required evidence, as requested by the Agency. Additionally, the PM Services Contractor is responsible for providing responses to assigned questions posed by applicable Federal agencies unless the Agency waives specific questions.

As part of Certification support, the PM Services Contractor is responsible for all required submissions of the Alabama Operational Report Workbook for the Provider Management Solution. The PM Services Contractor will need to update metric definitions and develop the Alabama Operational Report Workbook using the most current CMS template. The most current CMS template is available from CMS' MES Repository on the CMS GitHub site.

The PM Services Contractor will deliver to the Agency, for submission to CMS, an updated CMS-required Alabama Operational Report Workbook in advance of ORR. Prior to Certification Review, the PM Services Contractor will again update the metric definitions, provide numerical data, and deliver to the Agency for validation with CMS. The PM Services Contractor will make any required updates as part of Certification Review and submit to Alabama for submission to CMS. Once certification is achieved, the PM Services Contractor will be required to submit the Alabama Operational Report Workbook annually, or as required by CMS, to the Agency for submission to CMS.

3) Social Security Administration (SSA) Certification

Federal standards require the SSA to maintain oversight of the information it provides to its Electronic Information Exchange Partners (EIEPs). EIEPs must protect the information with efficient and effective security controls. SSA requires electronic data exchange partners to meet information security safeguards requirements, which are intended to protect SSA-provided information from unauthorized access and improper disclosure. As a prerequisite to receiving SSA information, SSA must certify that new electronic data exchange partners are in full compliance with defined safeguard requirements. Moreover, SSA conducts triennial security reviews of all electronic data exchange partners to ensure their ongoing compliance with safeguard requirements.

The PM Services Contractor's certification support activities are inclusive of comprehensive assistance with the successful completion of the Social Security Administration (SSA) Certification for the PM Services module as defined by the SSA and in accordance with the Agency's Integrated Master Schedule. The PM Services Contractor is also responsible for providing responses to assigned questions posed by SSA.

4) Requirements – Certification

As a part of the response to this RFP, the Vendor must describe how they plan to meet all CMS required Provider Management outcomes in Table II-67: Certification Management Requirements , complete all deliverables listed in Table II-68: Certification Deliverables, and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-67: Certification Management Requirements

Master ID	Requirement Description
4549	The Contractor shall collaborate with AMMP to attest and support all Agency-approved Certification Support Management Plans.
4552	The Contractor shall meet each requirement listed in Part 11 of the State Medicaid Manual and the CMS Certification requirements.
6467	The Contractor shall be responsible for developing all ongoing CMS operational reporting and any additional certification support requested by CMS or the Agency for the term of the contract.
6465	The Contractor shall complete and submit the Alabama Operational Report Workbook for the module solution to the Agency, for submission to CMS, for the term of the contract.
6422	The Contractor shall develop and submit a Certification Management Plan to the Agency for review and approval ninety (90) calendar days after the Contract Start. The Contractor shall develop the Certification Management Plan to align with the AMMP Certification Support Management Plan (COM-16). The Certification Management Plan shall be kept current with a formal review every six (6) months.
6466	The Contractor shall develop and submit a Certification Support and Turnover Plan to the Agency for review and approval ninety (90) calendar days after the Contract Start. The Contractor shall develop the Certification Support and Turnover Plan using the Certification Support and Turnover Plan Template (COM-16-01). The Certification Support and Turnover Plan shall be kept current with a formal review every six (6) months.
4954	<p>The Contractor shall assist the Agency in obtaining all eligible system certifications including, but not limited to:</p> <ul style="list-style-type: none"> a. Submission of all necessary Federal documentation, reports and required artifacts b. Comprehensive assistance with the completions of all Operational Readiness Reviews (ORRs) c. Final Certification Reviews (CRs) for all MES modules according to the Agency’s Integrated Master Schedule d. Continuing monthly submissions of required evidence, as requested by the Agency.
4561	<p>The Contractor shall prepare and participate in all demonstrations needed for Federal Certification for any part of the AMMP or MES. This includes at a minimum:</p> <ul style="list-style-type: none"> 1. Demonstration scenario data 2. Dry runs 3. Functionality required to successfully complete demonstration scenarios
4559	The Contractor shall support any Federal certification remediation activities that are identified by the Agency, for the AMMP and MES, deemed necessary to achieve Federal sign-off/approval/certification for any enterprise-wide AMMP and MES modularity over the term of the contract.
4551	The Contractor shall be able to adapt to changes to the OBC/SMC approach as they become available from CMS in order to support the Agency complying with CMS’ Conditions and Standards for Enhanced Federal Funding and achieving and maintaining Federal certification.
4563	The Contractor shall provide updated versions of the Systems documentation and artifacts to address each finding following Federal certification Operational Readiness Reviews (ORR) or the Certification Reviews (CR) within the timeframe agreed upon between the Contractor and the Agency.
5045	The Contractor shall create and submit required Systems documentation and artifacts three (3) months prior to the Operational Readiness Reviews (ORR).

Master ID	Requirement Description
6517	The Contractor shall provide Operational Readiness Review Evidence, Documentation, and Support to the Agency for review and approval six (6) months prior to the start Implementation Phase.
6516	The Contractor shall provide Certification Review Evidence, Documentation, and Support to the Agency for review and approval six (6) months after Implementation date.
5284	The Contractor shall provide all End-to-End testing activities, along with test scenarios, test cases, defects, test results to the Agency for the completion of the final Test Phase Acceptance (TPA) package thirty (30) calendar days prior to CMS Operational Readiness Review (ORR).
4557	The Contractor shall provide all requested/applicable subject matter expertise, system, and/or Business Operational Staff to support the Agency in completion of all required Certification materials, answer questions, or provide insight during the certification process, including onsite, in person interviews, as requested by the Agency and in accordance with both AMMP Certification Support Management Plan and module specific Certification Support Management Plan.
4558	The Contractor shall, within three (3) business days of receipt of a request from the State/Federal government or Agency, make all requested data available to the requestor in the format, media type, and quantities designated, at no additional charge. Requests are limited to data within the purview and scope of the Contractor.
4554	The Contractor shall provide all source documentation and contribute to the preparation of the certification folders that include the State Medicaid Manual and CMS required documentation, reports, requirement/outcome crosswalks, required evidence/testing scenarios, and MITA capability supporting documentation.
4555	The Contractor shall prepare and load updated, Agency approved, system documentation to the Certification Documents Repository thirty (30) calendar days prior to all Federal certification reviews.
4562	The Contractor shall provide a walkthrough of any designated operations sites, if required by the State or the Federal certification team.
4556	The Contractor shall provide an identified certification lead to support all certification activities throughout all certification phases and processes over the term of the contract, as requested by the Agency.

5) Deliverables – Certification

Table II-68: Certification Deliverables

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
CRT_01	6422	Certification Management Plan	The Contractor shall develop and submit a Certification Management Plan to the Agency for review and approval ninety (90) calendar days after the Contract Start. The Contractor shall develop the Certification Management Plan to align with the AMMP Certification Support Management Plan (COM-16). The Certification Management Plan shall be kept current with	Ninety (90) calendar days after contract start	Every six (6) months

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
			a formal review every six (6) months.		
CRT_02	6465	Alabama Operational Report Workbook	The Contractor shall complete and submit the Alabama Operational Report Workbook for the module solution to the Agency for submission to CMS at all phases required by CMS.	Thirty (30) calendar days prior to ORR	As required by CMS
CRT_03	4554, 4555, 4558, 4561, 4562, 4563, 5284, 6465, 6467	Operational Readiness Review Evidence, Documentation, and Support	Develop and provide necessary evidence needed to prepare for the Operational Readiness Review with CMS/MITRE. Includes advance preparation support, presentation support, and follow-up responses to CMS provided to the Agency before, during, and following the ORR for PM, culminating in Operational Readiness approval from CMS.	Six (6) months prior to the start Implementation Phase	One time submission
CRT_04	4554, 4555, 4558, 4561, 4562, 4563, 5284, 6465, 6467	Certification Review Evidence, Documentation, and Support	Develop and provide necessary evidence and metrics needed to prepare for the Certification Review with CMS/MITRE. Includes advance preparation support, presentation support, and follow-up responses to CMS provided to the Agency before, during, and following the CR for PM, culminating in Certification approval from CMS.	Six (6) months after Implementation date	One time submission
CRT_05	6466	Certification Support and Turnover Plan	The Contractor shall develop and submit a Certification Support and Turnover Plan to the Agency for review and approval ninety (90) calendar days after the Contract Start. The Contractor shall develop the Certification Support and Turnover Plan using the Certification Support and Turnover Plan Template (COM-16-01). The Certification Support and Turnover Plan shall be kept current with a formal review every six (6) months.	Ninety (90) calendar days after contract start	Every six (6) months

e. Change Management

The Agency defines Change Management as the systematic approach to governing any system/service changes made to business and technical aspects of a project over the course of the Contract. The overall purpose and function of change management is to ensure that proposed/nominated changes go through a systematic and defined process (as discussed in [RFP Section II.C. Contract Startup](#)) to assess, prioritize, and document the circumstances, needs, probable impacts, and approval/denial of those changes. Furthermore, the change management process must incorporate all business and technical change processes, including all maintenance and modification work. The Agency believes that change management is deeply entrusted and rooted within the relevant Agency appointed, and mandated governing boards, inclusive of the Change Control Board (CCB) and the subsidiary Change Advisory Board (CAB). The participant composition of the CAB is defined and governed by the Agency and will include an assigned PM representative, as well as assigned representatives across all MES module Contractors and relevant Agency stakeholders.

The Agency requires an end-to-end Medicaid Enterprise environment that includes the PM Services solution coexisting with other MES module Contractors that must allow for the comprehensive coordination of both individual/solution-specific change management within an overall program-wide approach. This program-wide approach must be followed and adhered to by all MES module Contractors. As the complexity of the Medicaid Enterprise increases, the importance of a program-wide approach to change also evolves and expands. Therefore, executing this expanded program-wide approach to change, the PM Services Contractor shall participate in extensive cooperation and coordination with all Contractors. These activities are rooted in the implementation of a comprehensive, program-wide plan for change management focused on a Centralized Change Management System (CCMS).

1) Change Order Requests and Scopes of Work

The Agency will request a change to the system by issuing a Change Order Request (COR) through the Change Management and Modification processes summarized in this Section and [RFP Section II.L.2.f – Maintenance and Modification Management](#). The COR shall include, but not be limited to, the following information:

- Description of the change requested
- Business justification for the change
- Agency point of contact for the COR
- Functional process owner(s) of the COR
- Other major stakeholders in the COR
- Target Due Date for the COR

If the PM Services Contractor requires additional information to perform the COR assessment, a meeting request shall be sent to the PMO Contractor within five (5) business days of the receipt of the COR. In the meeting request, the PM Services Contractor must identify the COR, the required audience, and a list of any questions or comments. The Agency recommends developing as much of the COR Scope of Work (SOW) as possible before the meeting and including it as an attachment with the meeting request.

The PM Services Contractor shall provide the completed COR SOW within ten (10) business days of the receipt of the COR or within ten (10) business days of the requested meeting. If the PM Services Contractor needs more than ten (10) business days, they must request PMO Contractor approval for a different delivery date. The PM Services Contractor cannot charge more than forty (40) hours for the SOW Assessment.

Recommended tasks of the SOW include:

- Scope of Work Preparation
- Description of Requested Change
- Change Solution Description
- Assumptions and Clarifications
- Requirement Updates
- Data Model Changes
- Software Configuration Change(s)
 - Device Application Changes
 - User Interface Changes
- Changes to Edit, Audit, Error Messages
- Interface Changes
- Report Changes
- Operational Changes
- Companion Guide
- Testing Scenarios/Test Cases
- Security Scans and Analysis
- Documentation Updates
- Updated Requirements Traceability Matrix
- Schedule for activities, including start dates
- Total cost for all activities and payment milestones

The Extra Contractual Services are intended to be utilized for large modifications or special projects that demand significant time and resources beyond the provision of modification hours. The Extra Contractual Service Personnel Rate shall be provided by the PM Services Contractor in Appendix C – Pricing, Schedule D – Extra Contractual Services ([Appendix C, Pricing Schedule D](#)). The PM Services Contractor shall follow the COR process, to identify, document and submit the request to the Agency. The PM Services Contractor must perform the COR assessment of the modification and list the required audience, list of any questions or comments for the Agency review. The Agency reserves the right to accept or modify the project SOW and/or documentation requirements at any time. The PM Services Contractor proposed deliverables for these modifications will be reviewed, discussed, and finalized during the Project Planning Phase with the Agency. All SOW work utilizing the extra contractual service hours must include, but not be limited to, the following phases:

- 1) Project Planning Phase
- 2) Requirements Definition Phase
- 3) Construction Phase
- 4) Testing Phase
- 5) Implementation Phase

Once the Change Order Request (COR) Scope of Work (SOW) is complete, the PM Services Contractor shall submit it to the PMO Contractor. The PMO Contractor shall schedule a meeting with all stakeholders to review the COR SOW. The solution and schedule shall be reviewed by the stakeholders to ensure the SOW will satisfy and resolve the business need/purpose of the request. If any additional changes are needed to the SOW, the PM Services Contractor shall have an additional five (5) business days to make the requested changes. The updated SOW shall be resubmitted to the PMO for another meeting and review. This process shall be repeated until the Agency approves the

SOW. The total approved cost for all activities will be the firm fixed price, and the Agency will determine the funding allocations needed to support the overall cost of the COR.

The COR SOW shall include the signature of the PM Services Contractor's authorized manager and a line for the signature of the Agency's authorized manager. The Agency will return the fully executed COR SOW within five (5) business days. The PM Services Contractor shall execute the COR SOW according to the approved schedule. Any milestone delay of two (2) weeks or more can result in a Corrective Action Plan (CAP). The PM Services Contractor must be proactive and request PMO Contractor approval of delays as soon as possible to prevent a CAP.

The PM Services Contractor shall submit invoices based upon Agency acceptance of the COR SOW approved payment milestones.

2) Change Management Plan

The PM Services Contractor shall be required to develop and implement a PM Change Management Plan that aligns with the Agency AMMP-Program Change Management Plan within eight (8) weeks of the Contract start.

The AMMP-Program Change Management Plan enables comprehensive coordination among other MES module Contractors for both individual/solution-specific change management and overall program-wide integration. This program-wide approach must be followed and adhered to by all AMMP and MES module Contractors. To that end, the PM Change Management Plans must include processes and procedures for:

- Planning and controlling changes
- Maintaining release/change schedules (release management)
- Change decision-making and change authorization
- Understanding the impact of changes
- Ensuring remediation plans are documented
- Measuring and controlling changes
- Stakeholder communication and reporting needs
- Continual improvements

The PM Services Contractor will not be entitled to compensation for any changes other than as described in this RFP.

3) Annual Report of Suggested Changes

The PM Services Contractor shall produce an annual report of suggested improvements with high-level estimates of effort to any system, maintenance, modification, or other work requests. The report shall be submitted to the Agency thirty (30) calendar days prior to the Implementation Date. A meeting shall be scheduled with the Agency one (1) week after delivery of the report.

4) Requirements – Change Management

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-69: Change Management – Change Management Requirements, deliverables listed in Table II-70: Change Management – Change Management Deliverables, and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-69: Change Management – Change Management Requirements

Master ID	Requirement Description
4753	The Contractor shall develop and submit, to the Agency, a module specific Change Management Plan that aligns with the AMMP Change Management Plan, within eight (8) weeks from contract start for review and approval. The contractor shall update the module specific Change Management Plan every six (6) months through the term of the contract.
4498	The Contractor shall configure and integrate their Change Management tracking data and processes with the CCMS Tool in support of Agency approved change management processes to track all changes that impact the AMMP and/or MES environment.
4492	The Contractor shall collaborate with all AMMP/MES Contractors as it relates to any system or non-system-based changes, modifications, or maintenance activities, testing efforts, tasks, or projects.
4560	The Contractor shall align with Agency approved testing, configuration, and change control procedures for all changes made to the solution throughout the term of the contract.
4497	The Contractor shall notify the Agency of all software and infrastructure version upgrades and/or end of support dates within two (2) business days of receipt from a software/infrastructure provider with recommendations for managing the upgrades and/or end of support.
5032	The Contractor shall be required to follow the AMMP processes for Change, Defect and Release Management for the term of the contract.
6426	The Contractor shall produce an annual report of suggested improvements with high-level estimates of effort to any system, maintenance, modification, or other work requests. A meeting shall be scheduled with the Agency one (1) week after delivery of the report.
4490	The Contractor shall, as a member of the CCB, participate and follow the processes as written and described in the COM-10 (Scope Management Plan) and the Change Control Board (CCB) Charter.
5026	The Contractor shall have the Technical Representative participate on the Change Advisory Board (CAB) and attend meetings to review the priority list of changes and modify priorities.
4495	The Contractor shall proactively engage with the CAB to identify system/non-system-based changes, maintenance, or modification efforts that will provide a streamlined, organized, and/or efficient effect on systems or operations of the AMMP and/or MES.
4496	The Contractor shall provide the Agency, upon request, a solution specific summary and/or detailed report that reflects all current change requests that are being tracked under the CAB purview.
4494	The Contractor shall provide adequate resources necessary to support consultation/advisory activities, as requested by and/or provided to the CAB.
4489	The Contractor shall, as part of its participation on the CAB and all governance boards, collaborate with board members to review Agency policy changes, contribute to the impact analysis assessments, and perform assessments, estimates and work changes in the timeframe and priority set by each governing board.
4487	The Contractor shall utilize all AMMP-approved, scope management plan templates and CAB specific materials/templates for change related material.

5) Deliverables – Change Management

Table II-70: Change Management – Change Management Deliverables

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
CHG_01	4753	Change Management Plan	The Contractor shall develop and submit to the Agency a module-specific Change Management Plan that aligns with the AMMP Change Management Plan, within eight (8) weeks from Contract start for review and approval. The Contractor shall update the module-specific Change Management Plan every six (6) months through the term of the Contract.	Eight (8) weeks after contract start	Every six (6) months
CHG_02	6426	Annual Report of Suggested Improvements	The Contractor shall produce an annual report of suggested improvements with high-level estimates of effort to any system, maintenance, modification, or other work requests. A meeting shall be scheduled with the Agency one (1) week after delivery of the report.	Thirty (30) calendar days prior to the Implementation Date	Every twelve (12) months

f. Maintenance and Modification Management

For additional information on required testing environments see [RFP Section II.D.1 Technical Architecture and Environments](#). Inherent in change management processes are the overall system maintenance efforts, coupled with the work efforts necessary to implement system modifications. Both means of system sustainment work are planned and completed in order for the PM Services Contractor to meet and maintain the Agency’s expectations and satisfaction of the system solution capabilities and functionalities.

The Agency understands that solution maintenance and modifications are an essential part of the software development lifecycle. These work efforts cannot be skipped, avoided, or left unplanned. Therefore, the Agency expects the MES module Contractors to perform system maintenance and system modifications and that the maintenance and modification work be included in and tracked as part of the overall CAB/Change Management and COR processes. The Agency defines and/or describes System Maintenance and Modification in greater detail, as described in the following subsections.

1) System Maintenance

The Agency defines System Maintenance as overall corrective or adaptive work efforts/activities necessary to maintain the current functionalities or capabilities of the comprehensive system and include preventing the deterioration/degradation of the system over the life of the contract. These corrective or adaptive work efforts occur during the operations phase of the contract and focus on addressing errors and faults within the technical aspects of the solution that could/would impact various parts of the overall system performance and/or MES performance. System correction/maintenance efforts typically include design, logic, and code changes. Additionally, software maintenance work also becomes critical when the overall system dependencies or business policies change, and the comprehensive solution must be updated/adapted to comply with the new

policies, environment, platforms, or operating systems. These types of maintenance adaptations can also be brought on by future integration that has an upstream impact to the way the software/system was configured to operate, necessitating a change.

The Agency requires the PM Services Contractor to provide a System Maintenance Management solution that encompasses the resources, schedule, and technologies necessary to keep all solution components functioning and poised for changes to meet future needs. The cost of system maintenance activities must be included in the overall solution operational costs. In addition, System Configuration changes are included in system maintenance and the overall solution operational costs. As the AMMP/MES gains maturity and begins to add modular components and contractors, these systems and the PM Services Contractor must be available to respond in accordance with the demands of each new project phase while performing at the highest level of efficiency at all times to effectively meet existing and future system maintenance needs. The PM Services Contractor must employ industry-aligned technologies and design principles to move the Agency forward with systems that are designed, managed, and supported to enable nimble change and fully support the Agency's evolving business needs.

2) System Modification

The Agency defines System Modification as overall perfective and preventative solution changes that work to both adapt and protect the solution so that it can work for a longer period of time. Key goals of modifications include optimizing, updating, and adding new features and functionalities as they become relevant to the Agency's business needs. The Agency's change management process includes modification hours for each operational year. The Agency, working with the PM Services Contractor, will choose and activate projects as approved by the Agency, submitted through the Change Order Request and Change Management processes as defined in [RFP Section II.L.2.e. Change Management](#). To plan for future modifications, the Agency has determined the following:

- Operational funding equivalent to 4629 hours will be reserved, allocated, and available for use by the PM Services Contractor for the total operational period for system modifications, allocated hours are defined below. Hours that are not used at the end of the month shall roll over to the next month. At the end of each 12-month contract period during the contract, the unused modification hours for the 12-month operational period will be rolled over and added to the next 12-month operational period.
- The following is the breakdown of maintenance and modification hours allocated monthly and yearly.
 - Operations Year 1 – 50 hours a month or 600 hours a year
 - Operations Year 2 – 55 hours a month or 660 hours a year
 - Operations Year 3 – 61 hours a month or 726 hours a year
 - Operations Year 4 – 67 hours a month or 799 hours a year
 - Operations Year 5 – 73 hours a month or 878 hours a year
 - Operations Year 6 – 81 hours a month or 966 hours a year

The PM Services Contractor shall provide a Maintenance and Modification Pool of hours are paid for in the Monthly Operations Fee and will be used only subject to Agency review and approval. The PM Services Contractor must submit project CORs and/or modification requests through the CAB/CCB change management process for review and approval by the Agency to utilize/access the modification pool hours.

3) Requirements – Maintenance and Modification

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-71: Maintenance and Modification – Maintenance and Modification

Requirements and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-71: Maintenance and Modification – Maintenance and Modification Requirements

Master ID	Requirement Description
5059	The Contractor shall retain full responsibility for all maintenance and configuration changes to the solution(s) necessary to maintain Federal security and regulatory compliance.
4806	The Contractor shall manage all software patches, updates, and data fixes as approved by the Agency.
4599	The Contractor shall utilize an online Defect Management tool approved by the Agency for the identification, impact assessment, definition, traceability, verification, status, and reporting of all defects and resolutions.
4592	The Contractor shall utilize and adhere to Agency approved standard maintenance windows to minimize MES Stakeholder disruption in a multi-Contractor, integrated system wide enterprise solution.
4589	The Contractor shall complete all maintenance and modification changes, as approved and prioritized by the business area, during the agreed upon timeframe without degradation to service.
4595	The Contractor shall follow CAB defined processes to coordinate and communicate all system outages, scheduled maintenance and emergency maintenance.
4594	<p>The Contractor shall provide the Agency with a maintenance report, the next business day following completed maintenance, that will provide the following information, including but not limited to:</p> <ol style="list-style-type: none"> 1. Maintenance start and end time 2. Systems or Subsystems updated 3. Errors or problems encountered 4. Resolution of listed errors/problems 5. Release Notes 6. Downstream Impact Details (if work extended beyond allowable window) including impacts to systems, users, modules, and business areas
4596	The Contractor shall substantiate that all maintenance and/or modification activities, including all updated documentation and test results, have been completed and approved by the Agency.
4795	The Contractor shall retain all responsibility and costs for all software, hardware and infrastructure Operations and Maintenance necessary to fulfill their obligations of this contract.
4805	The Contractor shall ensure that all components of the solution are no less than current major release version -1 at all times, unless otherwise approved by the Agency. The Contractor shall provide a monthly report listing the current version of software used and the most recently released version of those software, including release dates.
4584	The Contractor shall provide yearly Modification Pool of Hours to enable required and approved modification projects to occur. The Agency seeks a collaborative solution from the Contractor that will meet pre-determined needs and allow for the flexibility to choose and activate projects as approved through the CAB and the Agency.
6530	The Contractor shall maintain and make available all data and reporting related to the usage and balance of Modification hours and Agency Support hours. The Contractor shall submit a monthly report that indicates the hours used and the balance of hours remaining for the contract year. The report shall be submitted by the 15 th of each month and include data through the end of the previous month.

Master ID	Requirement Description
5046	<p>The Contractor shall define system maintenance as non-billable and shall not use system modification hours to support operations of the system. System maintenance includes, but is not limited to:</p> <ol style="list-style-type: none"> 1. Configuration Changes 2. Updates to tables 3. Updates to values 4. Updates to flags or switches 5. Updates due to changes to Federal Regulations 6. Recurring file maintenance

g. Technical and User Support

The PM Services Contractor shall provide technical and user support to all users and MES module Contractors who need assistance with the PM Services module. The PM Services Contractor shall provide Service Desk Management, a Service Desk Tool, and staffing for the Service Desk. The PM Services Contractor’s technical and user support shall focus on helping with specific user problems and issues during operations. The PM Services Contractor shall provide a framework that is responsive to the types and magnitudes of all assistance requests it expects to receive, based on the scope of services provided to the Agency. The PM Services Contractor will allocate the personnel resources necessary to ensure that all requests are resolved in accordance with the SLAs/KPIs of this RFP. Any resources allocated to provide technical and user support must be experienced and trained to efficiently and appropriately handle the variety of assistance requests that are submitted.

1) Service Desk Tool

The PM Contractor shall acquire and use a Service Desk Tool (SDT) to manage all tickets related to the PM Services module and services. The PM Contractor shall utilize the SDT to track all technical and stakeholder support tickets (requests, events, access, problems, and incidents) in the SDT. The Service Desk Tool will support industry standard incident management and service desk capabilities, such as:

- Multiple avenues/ways for users to request assistance
- Ticket creation and tracking/workflow capabilities
- Routing and prioritization of assistance requests
- Tracking and reporting of technical/user support information and statistics

The Agency requires the use of an industry standard Centralized Service Desk Management Tool (CSDMT). The Agency requires the tool to provide a single view into all Service requests across the MES. The CSDMT shall integrate each Module Contractor’s service desk data. The Agency requires the service desk data to be aggregated near real-time throughout day-to-day operations to provide an enterprise-wide view of service desk data for management and reporting through the CSDMT. The SI Contractor will be responsible for implementation and operations of the CSDMT; however, the PM SDT must support exporting and importing information with the CSDMT to achieve the Agency’s vision and goal of managing and reporting service request information across the AMMP and MES.

The Contractor shall provide read-only access to Agency-approved users for the Service Desk Tool.

2) Service Desk Management Plan

The PM Services Contractor shall develop and submit a Service Desk Management Plan (SDMP) ninety (90) calendar days prior to the start of the Implementation Phase. The Service Desk

Management Plan shall be kept current with a formal review annually. Specifically, for incidents, the Agency defines an incident as any event that disrupts or reduces the quality of service for the PM Services module, module solutions or the MES as a whole.

The SDMP shall explain the PM Services Contractor's Service Desk management process and how the PM Services Contractor will ensure that required service operations are maintained and/or restored in a manner and on a timeline that will minimize the impact to business users and stakeholders. The SDMP includes, but is not limited to, the following items:

- Service Desk ticket Identification
- Service Desk ticket Logging
- Service Desk ticket Categorization and Prioritization
- Service Desk ticket Diagnosis
- Service Desk ticket Escalation
- Service Desk ticket Resolution/Recovery
- Service Desk ticket Closure

The SDMP shall also establish the following:

- Time to initiate a response timeframe
- Time to resolve Service Desk tickets based on criticality
- Time to report resolution
- Communication flow for all Service Desk tickets, including responding to original reporter of a Service Desk ticket

3) Service Desk Standard Operating Procedures

During the training phase of the PM project, the PM Services Contractor shall provide a Service Desk Standard Operating Procedures deliverable. The PM Services Contractor shall develop and submit Service Desk Standard Operating Procedures deliverable to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Service Desk Standard Operating Procedures shall be kept current with a formal review every six (6) months. The Service Desk Standard Operating Procedures will define and document the Service Desk standard operating procedures.

4) Service Desk User Manuals

The PM Services Contractor shall develop and submit Service Desk User Manuals to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Service Desk User Manuals shall be kept current with a formal review every six (6) months. The Service Desk User Manuals will provide detailed guidance to Service Desk staff and leadership and include standard procedures for performing day-to-day operations based on Alabama Medicaid Agency specifications. The Service Desk User Manuals shall include, but not be limited to:

- Service Desk Operations Manual
- Service Desk Equipment/Systems Manuals
- Service Desk Channels, which may include, but not be limited to, phone, email, physical mail, e-fax, webchat, or web-form
- Service Desk Request/Call Record Management System Operations Manual
- Scripts, Knowledge Base and Canned Response Use
- Medicaid Customer Service Etiquette
- Service Desk Tier Level or (similar to) Escalation Business Rules
- Supervisor Request Protocol
- Request Reporting and Tracking

- Service Desk Performance Objectives
- Service Level Agreements (SLAs) and Key Performance Indicators (KPIs)

5) Requirements – Technical and User Support

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-72: Technical and User Support – Technical and User Support Requirements, deliverables listed in Table II-73: Technical and User Support – Technical and User Support Deliverables, and all related requirements located in in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-72: Technical and User Support – Technical and User Support Requirements

Master ID	Requirement Description
4674	The Contractor shall provide a technical and user support structure and services to all users who need assistance with its solution.
4675	The Contractor shall provide an automated technical and user support for their solution. The Contractor's automated support solution shall allow users to report an issue by telephone Automated Voice Response System, email, web submission, and chatbot twenty-four (24) hours a day, every day of the year.
5028	The Contractor shall provide technical and user support for their solution. The Contractor's support solution shall allow users to report an issue by telephone, email, web submission, and chat beginning one hour before normal Agency business hours and ending one hour after normal Agency business hours 7:00 a.m. to 6:00 p.m. Central Time, Monday through Friday excluding state holidays and emergency closures.
4574	The Contractor shall provide a Service Desk Tool that can provide an automated response to a user upon receipt of email or web ticket submission within an Agency approved timeframe.
6455	The Contractor shall provide read-only access to Agency-approved users for the Service Desk Tool.
4576	The Contractor shall provide a Service Desk Tool that supports standard incident management reporting, delivered in a format and schedule agreed upon by the Agency, as well as provide ad hoc reporting and export functionality to share data.
4577	The Contractor shall provide a Service Desk Tool that shall assign a unique identification number for each Service Desk ticket created.
4578	The Contractor shall make available its Service Desk Tool to report incident management and metrics for audits by the Agency or its third-party designee.
6460	The Contractor shall develop and submit a Service Desk Management Plan (SDMP) ninety (90) calendar days prior to the start of the Implementation Phase. The Service Desk Management Plan shall be kept current with a formal review annually.
4572	The Contractor shall ensure that all module-specific Service Desk ticketing information is available in the Centralized Service Desk Management Tool on a near real-time basis (e.g., commensurate with the criticality of the incident).
4573	The Contractor shall provide all Service Desk tickets to the Centralized Service Desk Management Tool (CSDMT) as defined in the module Service Desk Management Plan to ensure that the CSDMT has an accurate inventory of all incidents within MES.
5800	The Contractor shall develop and submit a Service Desk Standard Operating Procedures to the Agency ninety (90) calendar days prior to the start of the implementation period for review and approval. The Service Desk Standard Operating Procedures shall be kept current with an update every six (6) months.

Master ID	Requirement Description
4566	The Contractor shall be responsible for triaging, assigning priority and criticality, and driving resolution of recorded Service Desk tickets within their module according to the processes defined in the Agency approved Service Desk Management Plan.
4568	The Contractor shall provide regular updates based on criticality in accordance with the incident management processes defined in the Agency-approved Service Desk Management Plan.
4569	The Contractor shall perform root cause analysis (RCA) on any reoccurring incident or upon the request of the Agency and provide results of RCA within three (3) business days of the request or a timeframe agreed upon by the Agency.
4575	The Contractor shall immediately create a Service Desk ticket upon identification of a service disruption.
4669	The Contractor shall provide Tier 0 or equivalent self-help and user-retrieved information, such as a FAQs available from the contractor's web page, contractor-supported blogs and user groups, etc. These may be for the contractor's products and not specific to the Module configurations. The contractor is not required to track or report users' access of Tier 0 but may include it as information.
4670	The Contractor shall provide Tier 1 or equivalent technical and user support for basic issues such as solving usage problems and fulfilling service desk requests that need IT involvement.
4671	The Contractor shall provide Tier 2 or equivalent in-depth technical and user support by more experienced and knowledgeable technicians to assess issues and provide solutions for problems that cannot be handled at lower tiers.
4672	The Contractor shall provide Tier 3 or equivalent expert product and service support for recurring problem resolution or new feature creation. Tier 3 support includes the correction of defects through attempts to duplicate problems and define root causes, using product designs, code, or specifications, and management of the development, test, and implementation of changes to these.
4673	The Contractor shall provide Tier 4 or equivalent support through outside contracted partners, for example for network circuits, or datacenter hardware. Contracts for Tier 4 support are typically transparent to the Agency, but the contractor shall report on Tier 4 issue resolution whenever Tier 4 support service is required.
6496	The Contractor shall develop and submit a Service Desk User Manual to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Service Desk User Manual shall be kept current with a formal review every six (6) months.

6) Deliverables – Technical and User Support

Table II-73: Technical and User Support – Technical and User Support Deliverables

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
TUS_01	6460	Service Desk Management Plan	The PM Services Contractor shall develop and submit a Service Desk Management Plan (SDMP) ninety (90) calendar days prior to the start of the Implementation Phase. The Service Desk Management Plan	Ninety (90) calendar days prior to the start of the Implementation Phase	Every twelve (12) months

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
			shall be kept current with a formal review annually.		
TUS_02	5800	Service Desk Standard Operating Procedures	The Contractor shall develop and submit a Service Desk Standard Operating Procedures to the Agency ninety (90) calendar days prior to the start of the implementation period for review and approval. The Service Desk Standard Operating Procedures shall be kept current with an update every six (6) months.	Ninety (90) calendar days prior to the start of the Implementation Phase	Every six (6) months
TUS_03	6496	Service Desk User Manual	The Contractor shall develop and submit a Service Desk User Manual to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Service Desk User Manual shall be kept current with a formal review every six (6) months.	Ninety (90) calendar days prior to the start of the Implementation Phase	Every six (6) months

h. DDI/Operations/Maintenance SLAs and KPIs

The PM Services Contractor shall provide in the Service Level Agreement Plan how they will follow their best practices and tools for providing the PM solution. Unless otherwise noted, a threshold of 100% to SLAs and KPIs is expected.

Discount Calculations: If for any one month, any one or more of the SLAs measurements do not meet the SLA standards, the Contractor shall discount by 3% (three percent) against the amount invoiced for monthly PM Operations Fee the same month in which the SLA standards were not met. If the Contractor consistently fails to meet the SLA standards, the Agency may request a Corrective Action Plan (CAP). If the Contractor is still unable to meet SLA standards after the CAP has been executed, then the Agency may notify the Contractor of failure to meet contract requirements, and the Contractor may be subject to liquidated damages as described in RFP [Section VIII.MM Contract Liquidated Damages](#). KPIs are excluded from discount calculations.

- 1) Service Level Agreement – User Support/Ticketing
 - a) **Measurement Item.** User Support Communication
 - b) **Measurement Description.** The PM Services Contractor shall provide assistance and support to users through a Service Desk or similar function. Service Desk shall include support for end users as well as technical/operational staff. Service Desk shall be able to be contacted via a ticketing system and over the phone. Ticketing system shall be used for any issue report or support requests. Phone support shall at a minimum be used for critical and major issues (Priority Level 1-2, Security Level 1-2), but also be an option to escalate Priority Level 3-4 issues. After hours emergency telephone support shall be made available

to the Agency twenty-four (24) hours a day, seven (7) days a week for critical support issues for resolution by the Contractor.

- a) **Measurement Item.** Ticketing
- b) **Measurement Description.** Contractor shall maintain a ticketing system for all system users to submit issue resolution tickets. Regardless of method of communication (ticketing system, email, phone), the Contractor shall issue or update tickets for issues reported in the ticketing system for tracking purposes.

- a) **Measurement Item.** Response Priority
- b) **Measurement Description.** All tickets shall be responded to in a timely manner and issues resolved in accordance with the Priority Level and Security Level Time to Response, and Resolution requirements in this SLA shall maintain a ticketing system for all system users to submit issue resolution tickets. Regardless of method of communication (ticketing system, email, phone), the Contractor shall issue or update tickets for issues reported in the ticketing system for tracking purposes.

2) Key Performance Indicator – Response Priority

When reporting an issue or error to the Contractor, the Agency shall identify the issue/error by its priority level as described below. If the Contractor identifies an issue/error, the Contractor shall immediately notify the Agency and identify the issue/error priority level based on the Contractor's initial evaluation.

- Priority Level 1 (P1) – A complete system unavailability, unavailability of a critical system component.
- Priority Level 2 (P2) – A major component of the Agency's ability to operate is affected, including identified vulnerabilities. Some aspects of the business can continue, but it is a major problem.
- Priority Level 3 (P3) – The Agency's core business is unaffected, but the issue is affecting efficient operation by one or more persons, including identified vulnerabilities.
- Priority Level 4 (P4) – The issue is a background or planned task and will be addressed when time permits or on the planned schedule for implementation, including identified vulnerabilities.

Time to Response and Resolution

Immediately upon identifying a system issue or error or receiving notice from system users of an issue or error, the Contractor shall respond and resolve the issue or error according to the times and targets outlined below, as applicable. If the Contractor cannot meet any of these guidelines, the Contractor shall describe in writing to the Agency to explain why and propose new Response and Resolution Times for Agency approval.

- a) **Measurement Item.** Issue/Error Notification
- b) **Measurement Description.** Requires Agency notification
- c) **Measurement Logic.** The measurement logic is Time =Immediate
- d) **Measurement Period.** Episodic

- a) **Measurement Item.** Resolution notification – P1
- b) **Measurement Description.** Unavailability of a critical system component
- c) **Measurement Logic.** The measurement logic is Time <= thirty (30) calendar minutes
- d) **Measurement Period.** Monthly

- a) **Measurement Item.** Resolution notification – P2
- b) **Measurement Description.** Major component of the Agency's ability to operate is affected
- c) **Measurement Logic.** The measurement logic is Time <= one (1) clock hour
- d) **Measurement Period.** Monthly

- a) **Measurement Item.** Resolution notification – P3
- b) **Measurement Description.** Issue is affecting efficient operation by one or more person, including identified vulnerabilities
- c) **Measurement Logic.** The measurement logic is Time < = three (3) business hours
- d) **Measurement Period.** Monthly

- a) **Measurement Item.** Resolution notification – P4
- b) **Measurement Description.** Issue is a background or planned task
- c) **Measurement Logic.** The measurement logic is Time <=8 business hours
- d) **Measurement Period.** Monthly

- a) **Measurement Item.** Resolution – P1
- b) **Measurement Description.** Unavailability of a critical system component
- c) **Measurement Logic.** The measurement logic is Time <= two (2) clock hours
- d) **Measurement Period.** Monthly

- a) **Measurement Item.** Resolution – P2
- b) **Measurement Description.** Major component of the Agency's ability to operate is affected
- c) **Measurement Logic.** The measurement logic is Time <= 6 clock hours
- d) **Measurement Period.** Monthly

- a) **Measurement Item.** Resolution – P3
- b) **Measurement Description.** Issue is affecting efficient operation by one or more person, including identified vulnerabilities
- c) **Measurement Logic.** The measurement logic is Time <= two (2) business days
- d) **Measurement Period.** Monthly

- a) **Measurement Item.** Resolution – P4
- b) **Measurement Description.** Issue is a background or planned task
- c) **Measurement Logic.** The measurement logic is Time <=5 business days
- d) **Measurement Period.** Monthly

3) Key Performance Indicator – User Support

The PM Services Contractor must use at least 65% of the modification hours on Agency priority Change Order Requests and Agency Support. The Agency shall review the time on a “rolling” quarter. If the current month and the previous two (2) months do not have at least 65% of the modification hours allocated to Priority Change Order Requests and Agency Support, then the

Agency shall request a Corrective Action Plan (CAP). See [RFP Section II.J.2. Contract Management](#) for more information on Corrective Action Plans.

- a) **Measurement Item.** Modification hour used on priority Change Order Requests and Agency Support
- b) **Measurement Description.** Modification hours allocated to Priority Change Order Requests
- c) **Measurement Logic.** The measurement logic is Time \geq 65%
- d) **Measurement Period.** Monthly

4) Key Performance Indicator – Service Desk Operations

The Service Desk must be staffed appropriately to allow incidents/problems to be entered into the tool while on call with State staff and persons or if received via email within thirty (30) minutes.

- a) **Measurement Item.** Service Desk incident/problem entered into system
- b) **Measurement Description.** Time for incidents/problems to be entered into the tool
- c) **Measurement Logic.** The measurement logic is Time \leq thirty (30) minutes
- d) **Measurement Period.** Episodic; incidents/problems

i. DDI/Operations/Maintenance Narrative Questions

Vendors must answer each narrative question or statement clearly, completely, and in the format designated in [RFP section VI. Submission Requirements, subsection N.1.e, Tab 6 – Scope of Work and Narrative Response](#) and in alignment with PL18 Response to Narrative Questions Template. Each narrative question response must address the applicable specification(s) and should include any Vendor-specific knowledge, creativity, or innovation that shows how the topic will support the Agency’s goals and objectives. All questions must have a detailed response. An unclear or incomplete response to a question will result in a lower score. Any question that does not have a response will be regarded as non-responsive and may cause the submission to be rejected.

Q - 58 Describe your experience in Change Management, including how the Change Management processes will be tailored to fit the needs of the Agency and the requirements in this RFP.

Q - 59 Describe your approach to Service Desk Support.

Q - 60 Provide your approach to Certification, including evidence gathering documentation, and metrics. Describe how you will ensure that the PM Services module maintains certification with CMS.

Q - 61 Provide a sample of the CMS Operational Report Workbook.

3. Enterprise and General Services OCM and Training

a. Organizational Change Management

The Agency employs Organizational Change Management (OCM) throughout AMMP. OCM is the practice of applying a structured approach to transition an organization from a current state to a future state to achieve expected benefits. OCM includes the processes, tools, and techniques to manage the “people side” of change to achieve business results. The Agency recognizes that their organization changes via the progress made by people within the Agency, so it seeks to identify and focus on the needs and capabilities of individuals.

The PM Services Contractor’s OCM lead must help with transitioning staff into a new way of working – not just teaching them how to use a new tool to do the same job they have already been

doing. Enterprise-wide implementations create significant change in business processes and therefore requires a focused OCM program to inform, inspire, and train staff on how to work in a new way.

The PM Services Contractor shall collaborate with the AMMP OCM team on tasks that include stakeholder identification and readiness assessments, stakeholder engagement and resistance management, planning and delivering effective and efficient OCM communications, establishing appropriate training methods and content, development of a transition plan, and providing ongoing stakeholder support and reinforcement. The Agency views all of these activities as vital elements for OCM effectiveness. The Agency recognizes that improving individual awareness about the reasons for a change, increasing desire for the change, expanding the knowledge and skills of impacted stakeholders, and providing support and reinforcement increases adoption and use. This, in turn, raises the likelihood of benefit realization and achieving the planned return on the PM project investment.

1) Requirements – Organizational Change Management

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-75 and all related requirements located in [Appendix E – Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-74: Organizational Change Management – OCM Requirements

Master ID	Requirement Description
4603	The Contractor shall follow the AMMP OCM Communication Plan (OCM-2-d1) and actively participate in the creation of a module-specific OCM Communication Matrix (OCM-2-d2).
4601	The Contractor shall collaborate with AMMP OCM to identify stakeholders and participate in an impact assessment identifying specific impacts for each stakeholder group through the term of the contract.
4602	The Contractor shall collaborate with AMMP OCM to participate in organizational change readiness assessments with each of the identified stakeholder groups through the term of the contract.
4604	The Contractor shall provide an identified OCM lead to support all OCM activities throughout all phases over the term of the contract, as requested by the Agency.

b. Training Management

Training manages and administers the initial and ongoing knowledge of the PM Services Contractor’s solutions, enabling stakeholders to maximize their usage, familiarity, application, and comprehension of all aspects of the specific solutions deployed in Alabama. Training of business and technical functions must include planning, scheduling, development, maintenance, and just-in-time/reoccurring delivery across Contractor staff, the Agency staff, providers/partners, and any other PM Services Contractor or Agency-identified internal or external stakeholders. Role-based training must also be provided for the administration and configurations of the PM Services solutions to PM Services Contractor or Agency-identified internal stakeholders.

The Agency requires a training methodology that provides standard training schedules/classes, coupled with Alabama-specific tailored training approaches. The training framework must be flexible to allow customization of any aspect or variable of the training necessary to address the specified needs of each target audience. The trainings and training materials must be compliant with section 508 of the Americans with Disabilities Act of 1990. Additionally, the training approach must encompass a blended learning environment, including multiple delivery methods. The Agency will provide onsite facilities to conduct live in-person training commensurate with the approved

Training and Knowledge Plan. The PM Services Contractor shall propose a flexible approach to training that must adjust and account for changing user needs to ensure all training provided is relevant, concise, effective, and applicable to the Agency needs. Finally, the Agency requires that the end of contract training processes and activities occur in an adequate timeframe in order to facilitate just-in-time knowledge transfer.

1) Training and Knowledge Plan

The PM Services Contractor shall collaborate with the Agency and PMO OCM team to develop and submit a Training and Knowledge Plan that provides the overall approach and methodology to develop and provide training across all stakeholder groups in the use and operation of the PM Services Contractor's solution, subject to Agency review and approval.

The Agency requires the PM Services Contractor to prepare materials for and to manage the delivery of all Agency-approved internal and external stakeholder training, including initial training provided during implementation, initial training provided individually for new users added during operations, recurring training, and end of contract turnover training.

The Training and Knowledge Plan must describe the objectives, requirements, strategies, and methodologies for developing and delivering training and knowledge material in a blended learning environment, including, but not limited to, both live in-person and online instructor-led training. The training must be tailored to the Alabama MES PM comprehensive solution and processes, supporting the development of knowledge and skills to ensure users can perform their roles efficiently and effectively. The Training and Knowledge Plan shall include, at a minimum:

- Training Methodologies
- Training Assumptions, Risks and Constraints
- Training Approach
- Training Requirements and Major Milestones
- Training Roles and Responsibilities
- Training Needs Assessment
- Training Groups – refers to the grouping of various role-based target audiences to ensure the training content and approach are appropriate to each group
- Instructional Design and Curriculum Development
- Blended learning strategies and instructional design
- Curriculum Creation
- Customization of curriculum tailored to Alabama-specific solutions, systems, groups, and processes
- Training and Knowledge Material Creation
- Customized Training and Knowledge Material tailored to Alabama-specific solutions, systems, groups, and processes
- May include, but not be limited to, Presentations, Frequently Asked Questions (FAQs), Reference Material, User Guides, Manuals, etc.
- Quality Assurance
- Review and Approval Process
- Training Catalog
- Training (course name) needed by group, when training is needed, when training is scheduled, and any prerequisites to training
- Tools and Delivery Methods
- Blended Learning Delivery Methods
- Training and Knowledge Base Tools
- Training Logistics (class schedules and communication)

- Ongoing and Recurring Training and Development Support
- Ongoing Maintenance of Training and Knowledge Material
- Evaluation, Reporting and Analysis
- Training Registration, Training Status, and Attendance Logs
- Surveys
- Effectiveness Analysis

The Agency requires the PM Services Contractor to maintain current training materials and delivery media for the term of the contract. The PM Services Contractor must work in collaboration with Agency, PMO Contractor, and other AMMP/MES module Contractors to update training material, training schedules, and plans based upon module integrations into MES.

2) Requirements -Training Management

As a part of the response to this RFP, the Vendor must describe how they plan to fulfill the requirements in Table II-75: Training Management – Training Management Requirements, deliverables listed in Table II-76: Training Management – Training Management Deliverables, and all related requirements located in [Appendix E: Requirements Response Matrix](#), as well as respond to relevant Proposal Narrative Questions.

Table II-75: Training Management – Training Management Requirements

Master ID	Requirement Description
6447	The Contractor shall develop and submit a Training and Knowledge Plan to the Agency for review and approval eight (8) weeks after Contract Start. The Training and Knowledge Plan shall be kept current with a formal review every six (6) months.
6481	The Contractor shall create and maintain training materials for each type of user (e.g., Agency and External Users). The Contractor shall attach, link, and/or include all relevant training materials to each training, course summary, and/or course registration within the learning solution. The Contractor shall follow the agreed upon style guides and development requirements set by the Agency. The Contractor shall submit training materials to the Agency for approval and shall be uploaded to the chosen learning solution upon Agency approval within the agreed upon timeframe
6454	The Contractor shall develop and submit Training Materials to the Agency for review and approval at the start of the Implementation Phase. The Training Materials shall be kept current with a formal review with every release.
4712	The Contractor shall produce a comprehensive training schedule that can be integrated with the Master Project Schedule. In addition to the scheduled trainings, the schedule must consider development cycles, module integrations, Agency review and approval of curricula and training materials. The schedule must be reviewed and approved by the Agency.
4703	The Contractor shall work with the OCM team and the Agency, in accordance with the Training and Knowledge Plan, to analyze, define, and tailor training to the Alabama-specific user roles provided within the Contractor’s module solution.
4697	The Contractor shall provide a Training Curriculum that will be developed in collaboration with the OCM team, finalized, and submitted to the Agency for review and approval a minimum of sixty (60) calendar days before any scheduled training delivery. Documentation provided shall include, but not be limited to: <ol style="list-style-type: none"> 1. Training Outline, identifying the learning objectives and target audience for each course 2. Systems Operations Manual, Instructor guides, participant guides. 3. User task-based job aids, fact sheets 4. Program policy requiring system updates/modifications 5. Online user tools or sites

Master ID	Requirement Description
	6. Role based FAQs and troubleshooting steps 7. A knowledge check with answer key and noted pass/fail requirements
4687	The Contractor shall develop and execute all trainings, as defined/required by the Training and Knowledge Plan, on a quarterly basis, in virtual formats approved by the Agency.
4684	The Contractor shall, upon Agency approval, implement the Training and Knowledge Plan, to comply with all system and business operational standards and service levels of their solution over the term of the contract.
6482	The Contractor shall develop onboarding and training processes for new contractor staff brought in to support the scope of work of this RFP or to address turnover in staff. These processes shall be outlined in the Resource Management Plan.
4706	The Contractor shall provide training publications and materials compliant with State and Federal requirements regarding security and privacy of data, for both virtual and in-person training delivery.
4685	The Contractor shall develop, revise, and maintain training materials in compliance with Section 508 of the Americans with Disabilities Act of 1990. Any identified changes to training materials to comply with this requirement will be addressed at no cost to the Agency.
5057	The Contractor shall provide a solution that uses learning support tools that comply with all ADA and Section 508 compliance guidelines including, but not limited to, captioning and support for the visually impaired.
5052	The Contractor shall provide a solution that supports the exporting of content packages published as SCORM (“Sharable Content Object Reference Model” 4th edition).
4682	The Contractor shall work in collaboration with the Agency, PMO, and other MES Contractors to update training materials, schedules, and plans based upon module integrations.
4686	The Contractor shall review and update training materials, in accordance with the Training and Knowledge Plan, on a continual, iterative process, to address all system releases, in partnership with the OCM team for review and approval by Agency staff.
6016	The Contractor shall be responsible and accountable for working collaboratively with the Agency to ensure tools, training assets and knowledge transfer processes managed by the contractor are modified to be compatible with the new Enterprise Learning Solution.
4692	The Contractor shall collaborate with OCM, and the Agency to identify training needs, update the Training and Knowledge Plan, and relevant training materials for identified trainings, and submit all changes/updates to the Agency for review, and approval.
4707	The Contractor shall develop, in collaboration with the OCM team for Agency approval, and provide training to address changes that impact end-users resulting from solution/software/system releases, in accordance with the approved Training and Knowledge Plan.
4714	The Contractor shall furnish and maintain appropriate hardware, software and telecommunications to support the development, maintenance and presentation of training program(s).
5055	The Contractor shall provide a solution that allows importing and exporting of training-related data, through an agency approved industry standard tool, including but not limited to, Microsoft 365 and Adobe.
4709	The Contractor shall provide all training attendees with assessment tools to evaluate and measure the training received.
4701	The Contractor shall manage and maintain training work products (audio, video files, templates, etc.) which must be delivered in a Microsoft Office compatible format.

Master ID	Requirement Description
4708	The Contractor shall provide a knowledge base for user support which allows 24/7 access by Agency authorized individuals.
4694	The Contractor shall keep all Contractor staff trained and updated on the Alabama specific solution, business processes, and Federal mandate/rule/policy updates without additional charge to the Agency or use of the pool of modification hours.
6017	The Contractor shall provide one designated Instructional Designer. The Instructional Designer must have at least three years of experience creating corporate trainings (both instructor-led and learner-led). This individual will be utilized for knowledge material development updates and audits for the term of the Contract.
6488	The Contractor shall provide an instructor that is a SME fully qualified on the Agency platform and related reporting tools. The instructor must have at least three years of experience conducting corporate trainings for 20+ individuals in a live setting (both in-person and virtual). This individual will be utilized for staff development, training the trainer for the term of the contract. In addition, this individual will participate in the Agency's staff development activities and any operations and maintenance efforts.
5049	The Contractor shall provide a solution that provides Internal AMA users, third-party designees, Contractor team members, and stakeholders, as requested by the Agency, with access to role-based training.
4702	The Contractor shall provide training, to all Agency identified participants, with the Agency approved curriculum.
5304	The Contractor shall provide hands-on training to the Agency staff on features and reports. Formal training shall be provided within one (1) month of request. This training shall include hand-outs and hands-on exercises. Any follow-up training shall be provided within two (2) weeks of request and shall be small groups with step-by-step instructions on specific topics identified by the Agency.
5496	The Contractor shall provide an online, web-based user training at a minimum every six (6) months to educate experienced users on newly created data sets, helpful tips and tricks, and other pertinent information.
6483	The Contractor shall prepare and deliver pre-planned refresher trainings (live, instructor led), post solution implementation, to help facilitate knowledge gains by end-users from solution use. This training should be delivered upon Agency request, no later than eight (8) weeks after system go-live.
4716	The Contractor shall provide virtual instructor led training that describes and demonstrates the platform, all user-facing features, functions, limitations, standards, integration, governance processes, tools, and other relevant items.
6484	The Contractor shall develop training exercises in a training environment that mirrors production environment and incorporate all interfaces and data exchanges as required by system functionality.
5043	The Contractor shall provide a solution that allows access to all Alabama-specific training materials and all Alabama-specific training records as requested by the Agency for the term of the contract.
4715	The Contractor shall provide the capability for users to register electronically, for any on-site or virtual trainings, appropriate to their role. This capability shall include a training calendar noting all scheduled sessions of each course within the plan. The registration system must note a course summary, identify the target audience, display any required pre-requisite(s), and provide a notification of registration status. The system should indicate the number of available open slots in each on-site or virtual training session.

Master ID	Requirement Description
4713	The Contractor shall use Agency approved training media for conducting Web-based training and computer-based training including, but not limited to, live instructor-led training, prerecorded training, and self-paced training.
4700	The Contractor shall provide online access to all related training session materials for all participants, SMEs, and attendees at session registration, but no less than three business days in advance of the training.
4699	The Contractor shall provide hard copies of all related training materials to participants, SMEs, and attendees during the onsite training session.
4717	The Contractor shall provide access to recordings of live and online instructor led trainings to Agency-approved internal and external stakeholders.
5054	The Contractor shall provide a solution that will provide records of training history.
5053	The Contractor shall provide a solution that allows for training record retention to support the Agency's Standard Operating Procedures (SOPs).
6485	The Contractor shall collaborate with the OCM team to develop, for Agency approval, and deliver surveys about training content and delivery methods in accordance with the AMA preferred delivery methods.
6480	The Contractor shall collaborate with the Agency and PMO OCM team to provide training metrics and results captured from post-training surveys/evaluations that can be integrated with PMO tools and processes to support OCM reporting to the Agency.
4691	The Contractor shall work with the OCM team to determine appropriate survey and post-training questions.
5056	The Contractor shall provide a solution that includes user, supervisor, and executive level metrics on training history including, but not limited to usage of the solution, training completion, and pending completion timelines.
4719	<p>The Contractor shall report on training enrollment, actual attendance and successfully completed/progress of role-based training to the Agency within three (3) business days from when training is conducted. The training metrics shall include but not be limited to:</p> <ol style="list-style-type: none"> 1. Registered User Name 2. Course Name 3. Training Date 4. Training Completion Date 5. Completion Score, if applicable 6. Successful Completion 7. User Role Information (e.g. agency staff, provider, etc.)
5038	<p>The Contractor shall report on training enrollment to the Agency within three (3) business days from when training is scheduled. The training metrics shall include but not be limited to:</p> <ol style="list-style-type: none"> 1. Registered User Name 2. Course Name 3. Training Date 4. User Role Information (e.g. agency staff, provider, etc.)

Master ID	Requirement Description
6486	<p>The Contractor shall evaluate training and training materials based on learners' feedback and repeated errors in the module on a quarterly basis. The Contractor shall implement any additional documentation in the appropriate training or training material to address learners' feedback and/or repeated errors based upon Agency review and approval. The Contractor shall provide the Agency (on a quarterly basis):</p> <ol style="list-style-type: none"> 1. Validation that trainings and training materials provide the correct information for learners (e.g., the training is not creating unnecessary errors) 2. Proof of incorporating learners' feedback into the appropriate training
6487	<p>The Contractor shall incorporate lessons learned from previous training by providing a solution that integrates data from previously conducted training, training metrics, and results captured from post-training surveys/evaluations within a timeframe agreed upon by the Agency.</p>

3) Deliverables – Training Management

Table II-76: Training Management – Training Management Deliverables

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
TRG_01	6447	Training and Knowledge Plan	The Contractor shall develop and submit a Training and Knowledge Plan to the Agency for review and approval eight (8) weeks after Contract Start. The Training and Knowledge Plan shall be kept current with a formal review every six (6) months.	Eight (8) weeks after contract start	Every six (6) months
TRG_02	6481, 6454, 4686	Training Materials	The Contractor shall develop and submit Training Materials to the Agency for review and approval at the start of the Implementation Phase. The Training Materials shall be kept current with a formal review	At start of the Implementation Phase	With every release

Deliverable Master ID	Req ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
			with every release.		
TRG_03	4697	Training Curriculum	The Contractor shall provide a Training Curriculum developed in collaboration with the OCM team, finalized, and submitted to the Agency for review and approval a minimum of sixty (60) calendar days before any scheduled training delivery.	Sixty (60) calendar days prior to scheduled training delivery	Prior to scheduled training delivery

c. OCM and Training Narrative Questions

Vendors must answer each narrative question or statement clearly, completely, and in the format designated in [RFP section VI. Submission Requirements, subsection N, Tab 6 – Scope of Work and Narrative Response](#) and in alignment with PL18 Response to Narrative Questions Template. Each narrative question response must address the applicable specification(s) and should include any Vendor-specific knowledge, creativity, or innovation that shows how the topic will support the Agency’s goals and objectives. All questions must have a detailed response. An unclear or incomplete response to a question will result in a lower score. Any question that does not have a response will be regarded as non-responsive and may cause the submission to be rejected.

Q - 62 How will the Provider Management Contractor collaborate with the Agency and PMO OCM team to develop and submit an overall approach and methodology to develop and provide training across all stakeholder groups?

III. Pricing

Vendors must respond to this RFP by 1) utilizing the RFP Cover Sheet to indicate the firm and fixed price for the implementation and updating/operation phase to complete the scope of work, and 2) submitting a completed [Appendix C – Pricing](#) (Schedule) according to the instructions provided within Appendix C and including signed, printed copies of all Pricing Schedules. The Agency will accept only completed pricing forms/worksheets, as presented, and contained in Appendix C.

IV. General

The Alabama Medicaid Agency is responsible for the administration of the Alabama Medicaid Program under a Federally approved State Plan for Medical Assistance. Through teamwork, the Agency strives to enhance and operate a cost-efficient system of payment for health care services rendered to low-income individuals through a partnership with health care providers and other health care insurers both public and private.

Alabama Medicaid's central office is located at 501 Dexter Avenue in Montgomery, Alabama. Central office personnel are responsible for data processing, program management, financial management, program integrity, general support services, professional services, and recipient eligibility services. For certain recipient categories, eligibility determination is made by Agency personnel located in eleven (11) district offices throughout the State and by one hundred forty (140) out-stationed workers in designated hospitals, health departments and clinics. Medicaid eligibility is also determined through established policies by the Alabama Department of Human Resources and the Social Security Administration. In 2019, over 1,000,000 Alabama citizens were eligible for Medicaid benefits each month through a variety of programs.

Services covered by Medicaid include, but are not limited to, the following:

- Physician Services
- Inpatient and Outpatient Hospital Services
- Rural Health Clinic Services
- Laboratory and X-ray Services
- Nursing Home Services
- Early and Periodic Screening, Diagnosis and Treatment
- Dental for children ages zero (0) to twenty (20)
- Home Health Care Services and Durable Medical Equipment
- Family Planning Services
- Nurse-Midwife Services
- Federally Qualified Health Center Services
- Hospice Services
- Prescription Drugs
- Optometric Services
- Transportation Services
- Hearing Aids
- Intermediate Care Facilities for Individuals with Intellectual Disabilities
- Prosthetic Devices
- Outpatient Surgical Services
- Renal Dialysis Services
- Home and Community Based Waiver Services
- Prenatal Clinic Services
- Mental Health Services

Additional Medicaid program information can be found at www.medicaid.alabama.gov. The Alabama Medicaid Agency Organizational Chart can be found at the public website: (https://medicaid.alabama.gov/documents/2.0_Newsroom/2.1_About_Medicaid/2.1_Alabama_Medicaid_Organizational_Chart.pdf)

This Section outlines the qualifications which must be met in order for an entity to serve as a Contractor. It is imperative that potential Contractors describe, **in detail**, how they intend to approach the Scope of Work specified in [Section II](#) of the RFP. The ability to perform these services must be carefully documented, even if the Contractor has been or is currently participating in a Medicaid Program. Proposals will be evaluated based on the written information that is presented in the response. This requirement underscores the importance and the necessity of providing in-depth information in the proposal with all necessary supporting documentation.

The Vendor must demonstrate in the proposal a thorough working knowledge of program policy requirements as described, herein, including, but not limited to, the applicable Operational Manuals, State Plan for Medical Assistance, Administrative Code and Code of Federal Regulations (CFR) requirements.

Entities that are currently excluded under Federal and/or State laws from participation in Medicare/Medicaid or any State's health care programs are prohibited from submitting bids.

V. Corporate Background and References

Entities submitting proposals must:

1. Provide evidence that the Vendor possesses the qualifications required in this RFP. If a subcontractor is necessary, the Contractor must identify the percentage of work to be performed by the subcontractor, as measured by the total Proposal price. The work to be performed by the Contractor, cannot be less than 51% of the total Proposed price. All contractor and subcontractor employees must work in the continental United States.
2. Provide a description of the Vendor's organization, including:
 - a) Date established.
 - b) Ownership (public company, partnership, subsidiary, etc.). Include an organizational chart depicting the Vendor's organization in relation to any parent, subsidiary, or related organization.
 - c) Number of employees and resources.
 - d) Names and resumes of Senior Managers and Partners in regard to this contract.
 - e) A list of all similar projects the Vendor has completed within the last three (3) years.
 - f) A detailed breakdown of proposed staffing for this project, including names, education background, and resumes of all employees that will be assigned to this project.
 - g) A list of all Medicaid agencies or other entities for which the Vendor currently performs similar work.
 - h) Evidence that the Vendor is financially stable and that it has the necessary infrastructure to complete this contract as described in the Vendor's Proposal. The Vendor must provide audited financial statements for the last three (3) years or similar evidence of financial stability for the last three years.
 - i) The bidder must identify any Corrective Action Plan, penalties, or discounts incurred due to poor performance on a contract in the last three (3) years. The bidder must also identify instances that their solution resulted in delays with CMS certification or instances where their solution resulted in an impact to the state FFP.
 - j) Vendor's acknowledgment that the State will not reimburse the Contractor until: (a) the Project Director has approved the invoice; and (b) the Agency has received and approved all deliverables covered by the invoice.
 - k) Details of any pertinent judgment, criminal conviction, investigation, or litigation pending against the Vendor or any of its officers, directors, employees, agents or subcontractors of which the Vendor has knowledge, or a statement that there are none. The Agency reserves the right to reject a proposal solely on the basis of this information.
3. The Vendor and subcontractor(s) must have and submit, as part of the proposal response, all necessary business licenses, registrations, and professional certifications required (at the time of the contracting) to be able to do business in Alabama. All companies submitting proposals in response to this RFP must be qualified to transact business in the State of Alabama in accordance with, but not limited to, Code of Alabama 1975, 10A-1- 7.01 et seq., and shall have filed and possess a valid

“Application for Registration” issued by the Secretary of State at the time of responding to this RFP. To obtain forms for the application, contact the Secretary of State, (334) 242-5324, www.sos.state.al.us

- Vendors must furnish a minimum of three (3) references, which includes at least one reference for each requirement listed below in [Section V.B](#), utilizing the [Appendix G – Corporate Reference Worksheet](#). A reference must be for a stand-alone Provider Enrollment and Revalidation solution experience of the Vendor. It is required that Vendors only list references from projects that are of a similar size and scope and demonstrate how these references align with the requirements outlined in [Section V.B](#). References should contain contact details such as the name, title, telephone number, and address. Additionally, Vendors should provide descriptions of the contract, contract type, size, duration of services rendered, and any CAPS, penalties, discounts, or applicable CMS discounts associated with these references. In cases where a referenced project encompasses more than one of the required experiences, Vendors are permitted to reuse that reference on multiple Corporate Reference Worksheets. **Vendors may not use any Alabama Medicaid Agency personnel as a reference.**

The State reserves the right to use any information or additional references deemed necessary to establish the ability of the Vendor to perform the conditions of the contract.

A. Vendor Procurement Participation Restrictions

Table V-1: Vendor Procurement Restrictions illustrates future module procurements on which contractors may or may not bid. Restrictions include:

- The awarded PM Services Contractor, including any and all subcontractors, are precluded from being awarded the PMO, TCOE, or SIS Contracts.
- Any Contractor, including any and all subcontractors, who has a current contractual engagement with the Agency for PMO Services, Testing Services, or SI Services is precluded from being awarded any module contract solution (e.g., EDS, CPMS, PM, MEVV, and/or CARES), either as the prime contractor or a subcontractor.

See [RFP Section VIII, General Terms and Conditions](#), section P, Conflict of Interest.

Table V-1: Vendor Procurement Restrictions

Procurement	PMO	TCOE	SIS	EDS	CPMS	PM	MEVV	CARES
Program Management Office (PMO)	Open	Precluded	Precluded	Precluded	Precluded	Precluded	Precluded	Precluded
Testing Center of Excellence (TCOE)	Precluded	Open	Precluded	Precluded	Precluded	Precluded	Precluded	Precluded
System Integration Services (SIS)	Precluded	Precluded	Open	Precluded	Precluded	Precluded	Precluded	Precluded
Enterprise Data Services (EDS)	Precluded	Precluded	Precluded	Open	Open	Open	Open	Open
Claims Processing Management Services (CPMS)	Precluded	Precluded	Precluded	Open	Open	Open	Open	Open
Provider Management (PM)	Precluded	Precluded	Precluded	Open	Open	Open	Open	Open
Modular Electronic Visit Verification (MEVV)	Precluded	Precluded	Precluded	Open	Open	Open	Open	Open
Centralized Alabama Recipient Eligibility System (CARES)	Precluded	Precluded	Precluded	Open	Open	Open	Open	Open
Precluded: Awarded Contractor(s) are precluded from bidding on subsequent modules within the overall program.								
Open: Awarded Contractor(s) are not precluded from bidding on subsequent modules within the overall program.								

B. Experience Requirements

The Agency determined a minimum set of PM Services Contractor qualifications and experience that any potential contractor must possess to fulfill the obligations of this RFP and resulting contract. Any Vendor responding to this RFP may be required to furnish additional information supporting their capability to comply with the conditions for submitting a response and fulfilling the contract if receiving an award. The Agency reserves the right to use any information or additional references deemed necessary to establish the ability of the Vendor to perform the conditions of the contract.

The Agency will accept experience and qualifications from any potential Contractor under either/both their current legal business name, as registered with the Agency, or experience and qualifications attained under a previous legal business name or business entity that has been consolidated, acquired, or merged under a different business, legal entity, so long as it is accompanied with a signed, executed, certificate of merger, as filed with the Agency. Before the award of any contract, the Agency shall be satisfied that the Vendor has sufficient qualified resources available for performing the work described in this RFP.

1. Provider Management Experience

The Vendor shall be able to demonstrate that they have successfully implemented and operated a CMS certified, standalone, large/enterprise scale Provider Management module solution with components equivalent to the scope of work described in this RFP. The Agency will accept demonstrated, qualified experience from engagements where the Vendor was the prime contractor. The Vendor must provide references for the defined requirements below:

- The bidder has successfully operated their offered solution to a major healthcare payer for at least twelve (12) months of operation time since January 2018. See Appendix G: Corporate Reference Worksheet.
- The bidder’s solution as defined in this proposal has successfully achieved CMS certification in Provider Enrollment & Provider Revalidation.
- The bidder must identify any Corrective Action Plan, penalties, or discounts incurred due to poor performance on a contract within the last three (3) years. The bidder must also identify instances that their solution resulted in delays with CMS certification or instances where their solution resulted in an impact to the state FFP.

VI. Submission Requirements

A. Authority

This RFP is issued under the authority of Section 41-4-110 et. seq. of the Alabama Code and 45 CFR part 75. The RFP process is a procurement option allowing the award to be based on stated evaluation criteria. The RFP states the relative importance of all evaluation criteria. No other evaluation criteria, other than as outlined in the RFP, will be used.

In accordance with 45 CFR part 75, the State encourages free and open competition among Vendors. Whenever possible, the State will design specifications, proposal requests, and conditions to accomplish this objective, consistent with the necessity to satisfy the State’s need to procure technically sound, cost-effective services and supplies.

Information contained in the RFP and its exhibits, including amendments and modifications thereto, reflects the most accurate information available to the Agency at the time of RFP preparation. No inaccuracies in such data will constitute a basis for an increase in payments to the Contractor, nor a basis for delay in performance.

B. Single Point of Contact

From the date this RFP is issued until a Vendor is selected and the selection is announced by the Project Director, all communication must be directed to the Project Director in charge of this solicitation. **Vendors or their representatives must not communicate with any State staff or officials regarding this procurement with the exception of the Project Director.** Any unauthorized contact may disqualify the Vendor from further consideration. Contact information for the single point of contact is as follows:

Project Director: Shannon Crane
Address: Alabama Medicaid Agency
Lurleen B. Wallace Bldg.
501 Dexter Avenue
PO Box 5624
Montgomery, Alabama 36103-5624
E-Mail Address: providermgtrfp@medicaid.alabama.gov

C. RFP Documentation

1. Procurement Library

The Agency established a Procurement Library that contains the necessary documents and artifacts needed for a Vendor to complete their proposal. The documents are available for downloading from the Alabama Medicaid Procurement website:

(https://medicaid.alabama.gov/content/2.0_Newsroom/2.4_Procurement.aspx)

See [Appendix F – RFP Documentation](#) for a complete list of contents.

2. Access Controlled SharePoint

The Agency maintains an access-controlled SharePoint site that contains Agency approved policies, procedures, and processes for the following:

- IT Project Governance
- Security Governance
- Data Governance

The Agency expects Vendors to review artifacts contained in the access-controlled SharePoint for both Security Governance and Data Governance, as those specified items have significant relevance to the SOW for the PM Services Contractor. Items and artifacts designated under the IT Project Governance category are superseded by the project management and program management processes, procedures, and deliverables ascribed within this RFP by the AMMP Program Management Office (PMO).

To gain access, Vendors are required to submit the Request for Access: PM RFP Access Controlled SharePoint Form (PL16_AMA IST Governance SharePoint Site Access Request Form), one per Vendor, not per individual, via email to providermgtrfp@medicaid.alabama.gov.

Once a request is received and approved, the RFP Coordinator will respond to the requestor with access instructions and the credentials necessary to log on to the access-controlled SharePoint site, for only the requestor listed. Requests received two (2) weeks prior (or less) to the proposal due date as listed in Table B-1: Schedule of Events will not be granted.

Do not send more than one request per Vendor. Subcontractors interested in bidding may also request access in the same manner as listed above. The Agency reserves the right to deny any request for access privilege to the Controlled SharePoint site. Access privileges will be terminated at the close of the proposal response due date and time, as listed in Table B-1: Schedule of Events.

See [Appendix F – RFP Documentation](#) for a complete list of Access Controlled SharePoint contents.

D. Questions Regarding the RFP

Vendors with questions requiring clarification or interpretation of any section within this RFP must submit questions and receive formal, written replies from the State. Each question must be submitted to the Project Director via email. Questions and answers will be posted on the website when available.

E. Acceptance of Standard Terms and Conditions

Vendors must submit a statement of attestation, as part of the Transmittal Letter, that the Vendor has an understanding of and will comply with the terms and conditions as set out in this RFP. Any addition or exception to the terms and conditions are considered severed, null, and void and may result in the Vendor's proposal deemed non-responsive.

F. Adherence to Specifications and Requirements

Vendors must submit, as part of the Transmittal Letter, a written confirmation that the Vendor understands and shall comply with all the specifications, requirements, and provisions of the RFP.

G. Order of Precedence

In the event of inconsistencies or contradictions between language contained in the RFP and a Vendor's response, the language contained in the RFP will prevail. Should the State issue addenda to the original RFP, then said addenda, being more recently issued, would prevail against both the original RFP and the Vendor's proposal in the event of an inconsistency, ambiguity, or conflict.

H. Vendor's Signature

The proposal must be accompanied by the RFP Cover Sheet signed in ink by an individual authorized to legally bind the Vendor. The Vendor's signature on a proposal in response to this RFP guarantees that the offer has been established without collusion and without effort to preclude the State from obtaining the best possible supply or service. Proof of authority of the person signing the RFP response must be furnished upon request.

I. Offer in Effect for 90 Days

A proposal may not be modified, withdrawn, or canceled by the Vendor for a 90-day period following the deadline for proposal submission as defined in the Schedule of Events, or receipt of best and final offer, if required, and Vendor so agrees in submitting the proposal.

J. State Not Responsible for Preparation Costs

The costs for developing and delivering responses to this RFP and any subsequent presentations of the proposal as requested by the State are entirely the responsibility of the Vendor. The State is not liable for any expense incurred by the Vendor in the preparation and presentation of their proposal, or any other costs incurred by the Vendor prior to execution of a contract.

K. State's Rights Reserved

While the State has every intention to award a contract as a result of this RFP, issuance of the RFP in no way constitutes a commitment by the State to award and execute a contract. Upon a determination such actions would be in its best interest, the State, in its sole discretion, reserves the right to:

- Cancel or terminate this RFP
- Reject any or all of the proposals submitted in response to this RFP
- Change its decision with respect to the selection and to select another proposal
- Waive any minor irregularity in an otherwise valid proposal which would not jeopardize the overall program and to award a contract on the basis of such a waiver (minor irregularities are those which will not have a significant adverse effect on overall project cost or performance)
- Negotiate with any Vendor whose proposal is within the competitive range with respect to technical

plan and cost

- Adopt to its use all, or any part, of a Vendor’s proposal and to use any idea or all ideas presented in a proposal
- Amend the RFP (amendments to the RFP will be made by written addendum issued by the State and will be posted on the RFP website)
- Not award any contract

L. Price

Vendors must respond to this RFP by utilizing the RFP Cover Sheet to indicate the firm and fixed price for the implementation and updating/operation phase to complete the scope of work.

M. E-Verify Memorandum of Understanding

The proposal response must include an E-Verify Memorandum of Understanding with the Department of Homeland Security.

N. Proposal Format

1. Each proposal must be prepared on standard 8 ½” x 11” paper, using a font no smaller than 11-point with 1” margins, and must be bound. The Agency will only allow the following exceptions:
 - Graphics and tables may contain font no smaller than 8-point
 - Detailed illustrations or graphics (on a limited basis) may be printed on no larger than 8 ½” x 14” paper, and folded to fit within the binders
 - Pre-printed documents (e.g., financial statements, required materials) may be included in their original, existing formats, margins, size, and fonts for the original and additional hard copies submitted
2. The Vendor acknowledges and accepts full responsibility to ensure that no changes are made to the RFP. In the event of inconsistencies or contradictions between language contained in the RFP and a Vendor’s response, the language contained in the RFP will prevail, as stated in Section VI.G. – Submission Requirements – Order of Precedence. Should the Agency issue addenda to the original RFP, then said addenda, being more recently issued, would prevail against both the original RFP and the Vendor’s proposal.
3. Responses will adhere to the page limits for each Tab (and/or Section) as notated in the following Proposal Structure Section. Economy in preparation is encouraged. Additional credit is not given for extra description beyond that which is necessary.

1. Proposal Structure

Proposal Responses shall be in clear, concise language. This is defined as easy-to-understand, non-technical information unless describing technology and/or architecture requirements.

Proposals must demonstrate the ability to meet all RFP specifications. Failure to address any of the required specifications will result in the proposal not meeting the responsiveness requirement. See [Section VII. Evaluation and Selection Process](#). Proposals deemed not responsive will not be considered. The Proposal must include the specifications with ten separate sections with named/labeled tabs presented in the following order:

a. Tab 1 – RFP Cover Sheet

The proposal response for this tab must ONLY contain a completed RFP Cover Sheet. The completed RFP Cover Sheet must identify a contact person for the proposal including full name,

title, address, telephone number, e-mail address and fax number. All correspondence regarding the proposal will be directed to this individual.

a. Tab 2 – Proposal Compliance Checklist

The Proposal Response in this tab should ONLY contain a completed copy of Appendix A – Proposal Compliance Checklist.

b. Tab 3 – Master Proposal Table of Contents

The proposal response for this tab does not have a page count requirement or limitation and must ONLY contain a Master Proposal Table of Contents (TOC) with titles for each Tab (starting with Tab 4), subsections (within each Tab), Narrative Question ID numbers, tables, figures, and appendices, including beginning page numbers. Page numbers must be labeled and sequential per tab (e.g., 4-1, 4-2); each new tab is expected to restart page counts.

c. Tab 4 – Transmittal Letter

The proposal response for this tab does not have a page count requirement or limitation and must ONLY contain the Transmittal Letter and all applicable enclosures as specified below. The Transmittal Letter is a cover letter addressed to the Project Director that includes the following:

- 1) Name of the corporation or other legal entity submitting the proposal. Vendor must use this section to state whether it is a partnership, non-profit corporation, Alabama Corporation, Non-Alabama Corporation, or some other structure.
- 2) A statement that the Vendor has an understanding of and will comply with the terms and conditions as set out in this RFP. Any addition or exception to the terms and conditions are considered severed, null, and void and may result in the Vendor's proposal deemed non-responsive.
 - a) The Vendor understands and shall comply with all the specifications, requirements, and provisions of the RFP statement acknowledging and agreeing to all of the rights of the State contained in the provisions of this RFP.
 - b) A statement that the Vendor understands and will comply with the specifications and requirements described in this RFP.
- 3) A statement of compliance with Affirmative Action and Equal Employment Opportunity regulations.
- 4) A statement acknowledging and agreeing to all of the rights of the State contained in the provisions of this RFP.
- 5) A statement that, unless otherwise required by law, the prices quoted must not be knowingly disclosed by the Vendor, directly or indirectly, prior to award of the contract, to any other Vendor, competitor, or any other person or entity.
- 6) A statement that no person or agency has been employed or retained to solicit or secure the proposed contract based on an agreement or understanding for a commission, percentage, brokerage, or contingent fee.
- 7) A statement that any person submitted as a candidate, for any position defined in this RFP, will be exclusive to ONLY this Vendor proposal response and cannot be submitted as a candidate in another Vendor's proposal. Furthermore, any candidate submitted for any position defined in this RFP that is discovered to be submitted by more than one Vendor for potential work assigned as part of this engagement will be considered disqualified.
- 8) A statement that the Vendor and its subcontractors will maintain a drug-free workplace.
- 9) A statement acknowledging that the successful Vendor will be required to complete (RFP)

Contract and Attachments listed as Appendix B – (RFP) Contract and Attachments in this RFP, inclusive of the Alabama Medicaid Agency Business Associate Addendum and a State of Alabama Disclosure Statement with the executed contract. See Appendix B – (RFP) Contract and Attachments for all required forms.

- 10) A statement that the Vendor has reviewed PL23_ AMA Enterprise Software List and understands the number of accounts provided upon contract award to the successful Vendor.
- 11) A statement that the Vendor’s Pricing Schedule includes all necessary solution components and services, as proposed, to meet the Agency’s solution requirements and expectations as listed in this RFP.
 - a) The letter must include a statement identifying any and all subcontractors and percentage of work done by subcontractors, if any, who are needed in order to satisfy the requirements of this RFP.
- 12) The proposal includes a written confirmation that the Agency will not reimburse the Contractor until: (a) the Project Director has approved the invoice; and (b) the Agency has received and approved all deliverables covered by the invoice.
- 13) The proposal includes a written confirmation that the Contractor understands the Conflict-of-Interest Exclusion prohibiting the Contractor from responding to any other contracts related to this RFP.
- 14) A statement attesting that all Contractor and subcontractor employees must work in the continental United States.
- 15) Vendors will include all signed Amendments, as an enclosure, after their signed Transmittal Letter, within Tab 4.
- 16) Vendors must include a signed E-Verify Memorandum of Understanding.
- 17) Vendors must include all necessary business licenses, registrations, and professional certifications to be able to do business in Alabama.

d. Tab 5 – Pricing Schedule

The proposal response for this tab does not have a page count requirement or limitation and must ONLY contain the completed [Appendix C – Pricing Schedule](#). The pricing schedule must be complete, correct, each page printed, and each schedule signed (wet signature), and dated. Pricing schedules that do not meet all of the above criteria will be considered non-responsive and will not be evaluated any further. The total firm and fixed contract price from Appendix C – Pricing Schedule, must be entered on the RFP Cover Sheet.

e. Tab 6 – Scope of Work and Narrative Response

Vendor Instructions – Provide the following as part of Tab 6:

This Tab must include narrative responses to all sub-sections within RFP Section II – Scope of Work and all section-specific narrative questions contained within this RFP; with the exception of responses pertaining to [RFP Section II.L.1.c General Staffing](#), which will be included in Tab 8. Please see the Procurement Library item PL18_ Response to Narrative Questions Template for an example on how to structure the response. In this tab the Vendor will provide a response aligned to the following format:

- Tab 6 CANNOT exceed 150 pages, single-sided, in length
- Vendors MUST provide a Narrative Response to all Section II – Scope of Work *Narrative Questions*
- Duplicative/Repetitive answers can be cross referenced for brevity
- Identify and/or label any specific references to applicable requirements in-line with the text

- (e.g., “REQ – XXXX”)
- Unless specified otherwise Vendors are required to contain their response to the ENTIRE Section II – Scope of Work within Tab 6

Vendor Narrative Response to Section II. – Scope of Work – Alabama Medicaid Provider Management Services Narrative Questions

Vendor must describe their proposed approach, providing applicable examples of evidence supporting the proposed approach, to completing all of Section II – Scope of Work. The Vendor must also demonstrate a clear understanding of the services and support requested within Section II – Scope of Work. The Narrative Response to the entire SOW must be laid out, organized, and flowed in accordance with the order/manner as it is presented and laid out, within this RFP.

Vendor Response to Agency Narrative Questions (as included within) Section II – Scope of Work Response to Narrative Questions – Roles and Responsibilities

Q-01 Describe your approach to working with both the Agency and all MES Module Contractors to achieve the following:

- o Cohesive project team
- o Collaborative relationships with Stakeholders

Vendor response to Question/Statement. Identify and/or label any specific references to applicable requirements in-line with the text (e.g., “REQ – XXXX”).

Q-02 Describe your experience and approach to working with state/governmental agencies embarking on modular solutions. What lessons have you learned with other engagements that will help your engagement with Alabama?

Vendor response to Question/Statement. Identify and/or label any specific references to applicable requirements in-line with the text (e.g., “REQ – XXXX”)

f. Tab 7 – RRM and Deliverables Requested for Submittal)

Vendor Instructions: Provide the following items as part of Tab 7:

- 1) Completed, signed [Appendix E – AMMP PM Services Requirements Response Matrix \(RRM\)](#)
- 2) Draft PM Project Schedule (PM Project Schedule; PRJ_04).
- 3) Draft sample, or example of a Design and Technical Architecture Package (DTAP; DDI_01).
- 4) Comprehensive list of all proposed software components for the PM, including a description and its purpose.
- 5) Draft sample, example, or template for the Test Evaluation and Management Plan (TEMP; TST_01).

g. Tab 8 – Corporate Background, Experience and Personnel

Entities submitting proposals must:

- 1) Provide evidence that the Vendor possesses the qualifications required in this RFP. If a subcontractor is necessary, the Contractor must identify the percentage of work, as measured by the total Proposal price, to be performed by the subcontractor. All contractor and subcontractor employees must work in the continental United States.
- 2) Provide a description of the Vendor’s organization, including:

- a) Date established.
 - b) Ownership (public company, partnership, subsidiary, etc.). Include an organizational chart depicting the Vendor's organization in relation to any parent, subsidiary, or related organization.
 - c) Number of employees and resources.
 - d) Names and resumes of Senior Managers and Partners in regard to this contract.
 - e) A list of all similar projects the Vendor has completed within the last three years.
 - f) A detailed breakdown of proposed staffing for this project, including names, education background and resumes of all employees that will be assigned to this project.
 - g) A list of all Medicaid agencies or other entities for which the Vendor currently performs similar work.
 - h) Evidence that the Vendor is financially stable and that it has the necessary infrastructure to complete this contract as described in the Vendor's Proposal. The Vendor must provide audited financial statements for the last three (3) years, or similar evidence of financial stability for the last three (3) years.
 - i) The bidder must identify any Corrective Action Plan, penalties, or discounts incurred due to poor performance on a contract within the last three (3) years. The bidder must also identify instances that their solution resulted in delays with CMS certification or instances where their solution resulted in an impact to the state FFP.
 - j) Details of any pertinent judgment, criminal conviction, investigation, or litigation pending against the Vendor or any of its officers, directors, employees, agents or subcontractors of which the Vendor has knowledge, or a statement that there are none. The Agency reserves the right to reject a proposal solely on the basis of this information.
- 3) The contractor and subcontractor must have and submit, as part of the proposal response, all necessary business licenses, registrations, and professional certifications required (at the time of the contracting) to be able to do business in Alabama. All companies submitting proposals in response to this RFP must be qualified to transact business in the State of Alabama in accordance with to include, but not limited to, Code of Alabama 1975, 10A-1- 7.01 et seq., and shall have filed and possess a valid "Application for Registration" issued by the Secretary of State at the time of responding to this RFP. To obtain forms for the application, contact the Secretary of State, (334) 242-5324, www.sos.state.al.us.
- 4) Vendor Procurement Participation restrictions
Provide a narrative response that describes and explains how the Vendor, and/or any proposed sub-contractors, meet and exceed the Experience Requirements as laid out in RFP.
- 5) Experience Requirements
Provide a narrative response that describes and explains how the Vendor, and/or any proposed sub-contractors, meet and exceed the Experience Requirements as laid out in the Section V.B.1 – Provider Management Experience.
- 6) Required Key Personnel
Provide résumés for all resources that are proposed to hold a Key Personnel position as denoted in [RFP Section II.L.1.c.4](#) – Scope of Work, Enterprise and General Services Management– General Staffing, Key Personnel.
- 7) General Staffing

Provide a narrative response that describes and explains how the Vendor, and/or any proposed sub-contractors, plan to fulfill the requirements in Table II-45: General Staffing – General Staffing Requirements and related requirements located in Appendix E –Requirements Response Matrix, as well as responses to relevant Proposal Narrative Questions.

8) **Lead Personnel**

Provide a narrative response that describes and explains how the Vendor, and/or any proposed sub-contractors, plan to fulfill the requirements in Table II-53: Lead Personnel and all related requirements located in Appendix E: Requirements Response Matrix, as well as responses to relevant Proposal Narrative Questions.

h. Tab 9 – Corporate References

The proposal response for this tab does not have a page count requirement or limitation, and should include:

- All required (and any optional/additional and subcontractors) and completed Appendix G – Corporate Reference Worksheets.
- Minimum of three (3) references which includes at least one reference for each requirement listed in [Section V.B](#) utilizing the [Appendix G: Corporate Reference Worksheet](#). Vendors are encouraged to submit additional references, beyond the three (3) required references to help illustrate additional experience with Provider Management Services or the services required in this RFP.

i. Tab 10 – Additional Attachments

The proposal response for this tab does not have a page count requirement or limitation, and should include:

- Additional, sample, draft, example Deliverables and/or Artifacts, Templates, supporting the responses in Tabs 6 – 8.

O. Proposal Withdrawal

Proposals shall be irrevocable until Contract award unless the proposal is withdrawn. Vendors may withdraw a response at any time up to the proposal due date and time, as listed in Table B-1: Schedule of Events. To accomplish this, the written request must be signed by an authorized representative of the Vendor and submitted to the Project Director, as listed in RFP Section VI.B. – Submission Requirements – Single Point of Contact. If a previously submitted response is withdrawn before the deadline, the Vendor may submit another response at any time up to the proposal due date and time, as listed in Table B-1: Schedule of Events.

P. Proposal Amendment

Medicaid will not accept any amendments, revisions, or alterations to proposals after the deadline for submitting proposals unless such is formally requested, in writing, by the Agency.

Q. Proposal Errors

The Vendor is liable for all errors or omissions contained in their proposals. The Vendor will not be allowed to alter proposal documents after the deadline for submitting proposals. If the Vendor needs to change a previously submitted proposal, the Vendor must withdraw the entire proposal and may submit the corrected proposal before the deadline for submitting proposals.

R. Disclosure of Proposal Contents

Proposals and supporting documents are kept confidential until the evaluation process is complete, a Vendor has been selected, and the contract has been signed by all required parties. Vendors should be aware that any information in a response may be subject to disclosure and/or reproduction under Alabama law. Designation as proprietary or confidential may not protect any materials included within the response from disclosure if required by law. Vendors should redact, mark, or otherwise designate any material that they believe is proprietary or otherwise confidential by labeling the page as "CONFIDENTIAL." The Vendor must also state any legal authority as to why that material should not be subject to public disclosure under Alabama open records law and is marked as Proprietary Information. By way of illustration but not limitation, "Proprietary Information" may include trade secrets, inventions, mask works, ideas, processes, formulas, source and object codes, data, programs, other works of authorship, know how, improvements, discoveries, developments, designs, and techniques.

Information contained in the Pricing Section may not be marked confidential. It is the sole responsibility of the Vendor to indicate information that is to remain confidential. Medicaid assumes no liability for the disclosure of information not identified by the Vendor as confidential. If the Vendor identifies its entire proposal as confidential, Medicaid may deem the proposal as non-compliant and may reject it.

S. Submission of Proposals

Proposals must be sealed and labeled on the outside of the package to clearly indicate that they are in response to RFP Number: 2024-PM-01. Proposals must be sent to the attention of the Project Director and received at the Agency as specified in the Schedule of Events. It is the responsibility of the Vendor to ensure receipt of the Proposal by the deadline specified in the Schedule of Events.

T. Copies Required

Vendors must submit the following in response to this RFP:

1. One (1) original Proposal with original signatures in ink, in a three-ring binder. Tab 6 – Scope of Work and Narrative Response shall be printed single-sided. Vendor must identify the original hard copy clearly on the outside of the proposal. See Section VI.N.1 – Submission Requirements – Proposal Structure.
2. Three (3) additional hard copies (of the original proposal) in binder form.
3. A jump drive clearly labeled with the Vendor name with the following content. The Agency must be able to read and copy files; Vendors must provide passwords for any encryption that they use.
 - a) One single searchable PDF file containing the entire proposal (Tabs 1 through 10) that MUST be a complete version of the Vendor's response.
 - b) One single searchable PDF file containing the entire proposal (Tabs 1 through 10) that MUST have any information asserted as confidential or proprietary removed.
 - c) One separate searchable PDF file for each Tab of the proposal that MUST be a complete version of the Vendor's response, and the filename shall include the Tab number and name.
 - d) Where applicable, one separate searchable PDF file for each Tab of the proposal that has any information asserted as confidential or proprietary removed, and the filename shall include the Tab number and name and that is has been redacted.
 - e) One MS Word file of Tab 6 – Scope of Work and Narrative Response, that MUST be a complete version of the Vendor's response.
 - f) One MS Word file of Tab 6 – Scope of Work and Narrative Response, that MUST have any information asserted as confidential or proprietary removed.
 - g) Completed copy of the Pricing Schedule MS Excel file as submitted in the Vendor's response.
 - h) Completed copy of the Requirement Response Matrix (RRM) MS Excel file as submitted in the Vendor's response.

U. Late Proposals

Regardless of cause, late proposals will not be accepted and will automatically be disqualified from further consideration. It shall solely be the Vendor's responsibility to ensure delivery at the Agency by the designated deadline. Late proposals will not be opened and may be returned to the Vendor at the expense of the Vendor or destroyed if requested.

V. Proposal Clarifications

The Agency reserves the right to request clarifications with any or all Vendors if they are necessary to properly clarify compliance with the requirements of this RFP. The Agency will not be liable for any costs associated with such clarifications. The purpose of any such clarifications will be to ensure full understanding of the proposal. Clarifications will be limited to specific sections of the proposal identified by the Agency. If the Agency requests clarifications, the Vendor must put such clarifications in writing within the specified time frame.

VII. Evaluation and Selection Process

[Section II – Scope of Work](#) outlines the Vendor capabilities, and [Section V.B – Corporate Background and References – Experience Requirements](#) outlines the requirement qualifications that are necessary and must be met for an entity to serve as PM Services Contractor. It is imperative that Vendors describe, in detail, how they intend to approach the Scope of Work of this RFP in order for their response to be evaluated by the Evaluation Committee.

A. Initial Classification of Proposals as Responsive or Non-responsive

All proposals will initially be classified as either “responsive” or “non-responsive.” Proposals may be found non-responsive at any time during the evaluation process or contract negotiation if any of the required information is not provided; or the proposal is not within the plans and specifications described and required in the RFP. If a proposal is found to be non-responsive, it will not be considered further. Proposals failing to demonstrate that the Vendor meets the mandatory requirements listed in [Appendix A – Proposal Compliance Checklist](#) will be deemed non-responsive and not considered further in the evaluation process (and thereby rejected).

B. Determination of Responsibility

The Project Director will determine whether a Vendor has met the standards of responsibility. In determining responsibility, the Project Director may consider factors such as, but not limited to, the Vendor's specialized expertise, ability to perform the work, experience, and past performance. Such a determination may be made at any time during the evaluation process and through contract negotiation if information surfaces that would result in a determination of non-responsibility. If a Vendor is found non-responsible, a written determination will be made a part of the procurement file and mailed to the affected Vendor.

C. Opportunity for Additional Information

The Agency reserves the right to contact any Vendor submitting a proposal for the purpose of clarifying issues in that Vendor's proposal. Vendors must clearly designate in their proposal a point-of-contact for questions or issues that arise in the Agency's review of a Vendor's proposal.

D. Evaluation Committee

An Evaluation Committee appointed by the Project Director will read the proposals, conduct corporate and personal reference checks, score the proposals, and make a written recommendation to the Commissioner of the Alabama Medicaid Agency. The Agency may change the size or composition of the Committee during the review in response to exigent circumstances.

E. Scoring

The Evaluation Committee will score the proposals using the scoring system shown in the Table VII-1: PM RFP Evaluation Scoring Breakdown. The highest score that can be awarded to any proposal is 100 points.

Table VII-1: PM RFP Evaluation Scoring Breakdown

Evaluation Factor	Highest Possible Score
Pricing Schedule	25
Scope of Work / Narrative Question Responses	20
RRM, Deliverables, Experience, and Key Personnel	20
Corporate Background and Experience	20
Corporate Reference	15
Total	100

F. Determination of Successful Proposal

The Project Director will forward the Evaluation Committee's recommendation, with documentation to justify the Committee's recommendation, through the supervisory chain to the Commissioner.

The Commissioner will review the Committee's recommendation as well as the Vendor's past performance under previously awarded contracts, if applicable. This will include the administrative aspects of that performance; the Vendor's history of reasonable and cooperative communication; and the Vendor's demonstrated ability to appropriately respond to challenges presented during the performance. Substandard performance in any of the aforementioned areas will be strongly considered and weighed as part of a best-interest-of-the-state determination. The Vendor whose proposal is determined by the Commissioner to be in the best interest of the State will be recommended as the successful contractor. When the final approval is received, the State will notify the selected Vendor. If the State rejects all proposals, it will notify all Vendors.

VIII. General Terms and Conditions

A. General

This RFP and Contractor's response thereto shall be incorporated into a contract by the execution of a formal agreement. The contract and amendments, if any, are subject to approval by the Governor of the State of Alabama.

The contract shall include the following:

- Executed contract
- RFP, attachments, and any amendments thereto
- Contractor's response to the RFP, and shall be construed in accordance with and in the order of the applicable provisions of:
 - a) Title XIX of the Social Security Act, as amended and regulations promulgated hereunder by HHS and any other applicable federal statutes and regulations
 - b) The statutory and case law of the State of Alabama
 - c) The Alabama State Plan for Medical Assistance under Title XIX of the Social Security Act, as amended
 - d) The Medicaid Administrative Code
 - e) Medicaid's written response to prospective Vendor questions

B. Compliance with State and Federal Regulations

Contractor shall perform all services under the contract in accordance with applicable Federal and State statutes and regulations. Medicaid retains full operational and administrative authority and responsibility over the Alabama Medicaid Program in accordance with the requirements of the Federal statutes and regulations as the same may be amended from time to time.

C. Term of Contract

The contract shall be let for a total of eight (8) years. Current Alabama contract rules and regulations require a contract term to be no more than four (4) years when submitted to the Legislative Oversight Committee. Therefore, the original contract term will be for four (4) years, with two (2) two-year options for extension. At the end of the contract period Alabama Medicaid may at its discretion, exercise the extension option and allow the period of performance to be extended at the rate indicated on the RFP Cover Sheet. The Contractor will provide pricing for each year of the contract, including any extensions.

Contractor acknowledges and understands that this contract is not effective until it has received all requisite state government approvals, and Contractor shall not begin performing work under this contract until notified to do so by Medicaid. Contractor is entitled to no compensation for work performed prior to the effective date of this contract.

D. Contract Amendments

No alteration or variation of the terms of the contract shall be valid unless made in writing and duly signed by the parties thereto. The contract may be amended by written agreement duly executed by the parties. Every such amendment shall specify the date its provisions shall be effective as agreed to by the parties.

The contract shall be deemed to include all applicable provisions of the State Plan and of all State and Federal laws and regulations applicable to the Alabama Medicaid Program, as they may be amended. In the event of any substantial change in such Plan, laws, or regulations that materially affects the operation of the Alabama Medicaid Program or the costs of administering such Program, either party, after written notice and before performance of any related work, may apply in writing to the other for an equitable adjustment in compensation caused by such substantial change.

E. Confidentiality

Contractor shall treat all information, and in particular information relating to individuals that is obtained by or through its performance under the contract, as confidential information to the extent confidential treatment is provided under State and Federal laws, including 45 CFR §160.101 – 164.534. Contractor shall not use any information so obtained in any manner except as necessary for the proper discharge of its obligations and rights under this contract.

Contractor shall ensure safeguards that restrict the use or disclosure of information concerning individuals to purposes directly connected with the administration of the Plan in accordance with 42 CFR Part 431, Subpart F, as specified in 42 CFR § 434.6(a)(8). Purposes directly related to the Plan administration include:

- Establishing eligibility;
- Determining the amount of medical assistance;
- Providing services for recipients; and
- Conducting or assisting an investigation, prosecution, or civil or criminal proceeding related to the administration of the Plan.

Pursuant to requirements of the Health Insurance Portability and Accountability Act (HIPAA) of 1996 (Public Law 104-191), the successful Contractor shall sign and comply with the terms of a Business Associate agreement with the Agency (Appendix B).

F. Security and Release of Information

Contractor shall take all reasonable precautions to ensure the safety and security of all information, data, procedures, methods, and funds involved in the performance under the contract and shall require the same from all employees so involved. Contractor shall not release any data or other information relating to the Alabama Medicaid Program without prior written consent of Medicaid. This provision covers both general summary data as well as detailed, specific data. Contractor shall not be entitled to use of Alabama Medicaid Program data in its other business dealings without prior written consent of Medicaid. All requests for program data shall be referred to Medicaid for response by the Commissioner only.

G. Federal Nondisclosure Requirements

Each officer or employee of any person to whom Social Security information is or may be disclosed shall be notified in writing by such person that Social Security information disclosed to such officer or employee can be only used for authorized purposes and to that extent and any other unauthorized use herein constitutes a felony punishable upon conviction by a fine of as much as \$5,000 or imprisonment for as long as five years, or both, together with the cost of prosecution. Such person shall also notify each such officer or employee that any such unauthorized further disclosure of Social Security information may also result in an award of civil damages against the officer or employee in an amount not less than \$1,000 with respect to each instance of unauthorized disclosure. These penalties are prescribed by IRC Sections 7213 and 7431 and set forth at 26 CFR 301.6103(n).

Additionally, it is incumbent upon the Contractor to inform its officers and employees of penalties for improper disclosure implied by the Privacy Act of 1974, 5 USC 552a. Specifically, 5 USC 552a (i) (1), which is made applicable to contractors by 5 USC 552a (m) (1), provides that any officer or employee of a contractor, who by virtue of his/her employment or official position, has possession of or access to agency records which contain individually identifiable information, the disclosure of which is prohibited by the Privacy Act or regulations established thereunder, and who knowing that disclosure of the specific material is prohibited, willfully discloses that material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than \$5,000.

H. Contract a Public Record

Upon signing of this contract by all parties, the terms of the contract become available to the public pursuant to Alabama law. Contractor agrees to allow public access to all documents, papers, letters, or other materials subject to the current Alabama law on disclosure. It is expressly understood that substantial evidence of Contractor's refusal to comply with this provision shall constitute a material breach of contract.

I. Termination for Bankruptcy

The filing of a petition for voluntary or involuntary bankruptcy of a company or corporate reorganization pursuant to the Bankruptcy Act shall, at the option of Medicaid, constitute default by Contractor effective the date of such filing. Contractor shall inform Medicaid in writing of any such action(s) immediately upon occurrence by the most expeditious means possible. Medicaid may, at its option, declare default and notify Contractor in writing that performance under the contract is terminated and proceed to seek appropriate relief from Contractor.

J. Termination for Default

Medicaid may, by written notice, terminate performance under the contract, in whole or in part, for failure of Contractor to perform any of the contract provisions. In the event Contractor defaults in the performance

of any of Contractor's material duties and obligations, written notice shall be given to Contractor specifying default. Contractor shall have ten (10) calendar days, or such additional time as agreed to in writing by Medicaid, after the mailing of such notice to cure any default. In the event Contractor does not cure a default within 10 calendar days, or such additional time allowed by Medicaid, Medicaid may, at its option, notify Contractor in writing that performance under the contract is terminated and proceed to seek appropriate relief from Contractor.

K. Termination for Unavailability of Funds

Performance by the State of Alabama of any of its obligations under the contract is subject to and contingent upon the availability of State and Federal monies lawfully applicable for such purposes. If Medicaid, in its sole discretion, deems at any time during the term of the contract that monies lawfully applicable to this agreement shall not be available for the remainder of the term, Medicaid shall promptly notify Contractor to that effect, whereupon the obligations of the parties hereto shall end as of the date of the receipt of such notice and the contract shall at such time be cancelled without penalty to Medicaid and/or the State or Federal Government.

L. Proration of Funds

In the event of proration of the funds from which payment under this contract is to be made, this contract will be subject to termination.

M. Termination for Convenience

Medicaid may terminate performance of work under the contract in whole or in part whenever, for any reason, Medicaid, in its sole discretion determines that such termination is in the best interest of the State. In the event that Medicaid elects to terminate the contract pursuant to this provision, it shall so notify the Contractor by certified or registered mail, return receipt requested. The termination shall be effective as of the date specified in the notice. In such event, Contractor will be entitled only to payment for all work satisfactorily completed and for reasonable, documented costs incurred in good faith for work in progress. The Contractor will not be entitled to payment for uncompleted work or for anticipated profit, unabsorbed overhead, or any other costs.

N. Force Majeure

Contractor shall be excused from performance hereunder for any period Contractor is prevented from performing any services pursuant hereto in whole or in part as a result of an act of God, war, civil disturbance, epidemic, or court order; such nonperformance shall not be a ground for termination for default.

O. Nondiscriminatory Compliance

Contractor shall comply with Title VII of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, the Age Discrimination Act of 1975, Executive Order No. 11246, as amended by Executive Order No. 11375, both issued by the President of the United States and the Americans with Disabilities Act of 1990, and with all applicable Federal and State laws, rules, and regulations implementing the foregoing statutes with respect to nondiscrimination in employment.

P. Conflict of Interest

The parties acknowledge and agree that the Contractor must be free of conflicts of interest in accordance with all Federal and State regulations while performing the duties within the contract and this amendment. The Contractor and Medicaid agree that each has no conflict of interest preventing the execution of this contract amendment or the requirements of the original contract, and said parties will abide by applicable State and Federal regulations, specifically those requirements found in the Office of Federal Procurement Policy Act. 41 U.S.C.A. 2101 through 2107.

Q. Boycott Clauses

In compliance with Ala. Act No. 2023-409, Contractor provides written verification that Contractor, without violating controlling law or regulation, does not and will not, during the term of the contract engage in economic boycotts as the term “economic boycott” is defined in Section 1 of the Act.

In compliance with Act 2016-312, the contractor hereby certifies that it is not currently engaged in, and will not engage in, the boycott of a person or an entity based in or doing business with a jurisdiction with which this state can enjoy open trade.

R. Small and Minority Business Enterprise Utilization

In accordance with the provisions of 45 CFR Part 75.330 and OMB Circular A-102, affirmative steps shall be taken to ensure that small and minority businesses are utilized when possible as sources of supplies, equipment, construction, and services.

S. Worker’s Compensation

Contractor shall take out and maintain, during the life of this contract, Worker’s Compensation Insurance for all of its employees under the contract or any subcontract thereof, if required by State law.

T. Employment of State Staff

Contractor shall not knowingly engage on a full-time, part-time, or other basis during the period of the contract any professional or technical personnel or contractual consultants, who are or have been in the employment of Medicaid during the previous twelve (12) months, except retired employees, without the written consent of Medicaid. Certain Medicaid employees may be subject to more stringent employment restrictions under the Alabama Code of Ethics, §36-25-1 et seq., Code of Alabama 1975.

U. Immigration Compliance

Contractor will not knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama. Contractor shall comply with the requirements of the Immigration Reform and Control Act of 1986 and the Beason-Hammon Alabama Taxpayer and Citizen Protection Act (Ala, Act 2012- 491 and any amendments thereto) and certify its compliance by executing Attachment G. The Contractor will document that the Contractor is enrolled in the E-Verify Program operated by the US Department of Homeland Security as required by Section 9 of Act 2012-491. During the performance of the contract, the Contractor shall participate in the E-Verify program and shall verify every employee that is required to be verified according to the applicable Federal rules and regulations. Contractor further agrees that, should it employ or contract with any subcontractor(s) in connection with the performance of the services pursuant to this contract that the Contractor will secure from such subcontractor documentation that subcontractor is enrolled in the E-Verify program prior to performing any work on the project. The subcontractor shall verify every employee that is required to be verified according to the applicable Federal rules and regulations. This subsection shall only apply to subcontractors performing work on a project subject to the provisions of this section and not to collateral persons or business entities hired by the subcontractor. Contractor shall maintain the subcontractor documentation, which shall be available upon request by the Alabama Medicaid Agency.

Pursuant to Ala. Code §31-13-9(k), by signing this contract, the contracting parties affirm, for the duration of the agreement, that they will not violate Federal immigration law or knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama. Furthermore, a contracting party found to be in violation of this provision shall be deemed in breach of the agreement and shall be responsible for all damages resulting therefrom.

Failure to comply with these requirements may result in termination of the agreement or subcontract.

V. Share of Contract

No official or employee of the State of Alabama shall be admitted to any share of the contract or to any benefit that may arise therefrom.

W. Waivers

No covenant, condition, duty, obligation, or undertaking contained in or made a part of the contract shall be waived except by written agreement of the parties.

X. Warranties Against Broker's Fees

Contractor warrants that no person or selling agent has been employed or retained to solicit or secure the contract upon an agreement or understanding for a commission percentage, brokerage, or contingency fee excepting bona fide employees. For breach of this warranty, Medicaid shall have the right to terminate the contract without liability.

Y. Novation

In the event of a change in the corporate or company ownership of Contractor, Medicaid shall retain the right to continue the contract with the new owner or terminate the contract. The new corporate or company entity must agree to the terms of the original contract and any amendments thereto. During the interim between legal recognition of the new entity and Medicaid execution of the novation agreement, a valid contract shall continue to exist between Medicaid and the original Contractor. When, to Medicaid's satisfaction, sufficient evidence has been presented of the new owner's ability to perform under the terms of the contract, Medicaid may approve the new owner and a novation agreement shall be executed.

Z. Employment Basis

It is expressly understood and agreed that Medicaid enters into this agreement with Contractor and any subcontractor as authorized under the provisions of this contract as an independent Contractor on a purchase of service basis and not on an employer-employee basis and not subject to State Merit System law.

AA. Disputes and Litigation

Except in those cases where the proposal response exceeds the requirements of the RFP, any conflict between the response of Contractor and the RFP shall be controlled by the provisions of the RFP. Any dispute concerning a question of fact arising under the contract which is not disposed of by agreement shall be decided by the Commissioner of Medicaid.

The Contractor's sole remedy for the settlement of any and all disputes arising under the terms of this contract shall be limited to the filing of a claim with the board of Adjustment for the State of Alabama. Pending a final decision of a dispute hereunder, the Contractor must proceed diligently with the performance of the contract in accordance with the disputed decision.

In the event of any dispute between the parties, senior officials of both parties shall meet and engage in a good faith attempt to resolve the dispute. Should that effort fail, and the dispute involves the payment of money, a party's sole remedy is the filing of a claim with the Board of Adjustment of the State of Alabama.

For any and all other disputes arising under the terms of this contract that are not resolved by negotiation, the parties agree to utilize appropriate forms of non-binding alternative dispute resolution including, but not limited to, mediation. Such dispute resolution shall occur in Montgomery, Alabama, utilizing where appropriate, mediators selected from the roster of mediators maintained by the Center For Dispute Resolution of the Alabama State Bar.

Any litigation brought by Medicaid or the Contractor regarding any provision of the contract shall be brought in either the Circuit Court of Montgomery County, Alabama, or the United States District Court for the Middle District of Alabama, Northern Division, according to the jurisdictions of these courts. This provision shall not be deemed an attempt to confer any jurisdiction on these courts which they do not by law have, but is a stipulation and agreement as to forum and venue only.

BB. Records Retention and Storage

Contractor shall maintain financial records, supporting documents, statistical records, and all other records pertinent to the Alabama Medicaid Program for a period of three years from the date of the final payment made by Medicaid to Contractor under the contract. However, if audit, litigation, or other legal action by or on behalf of the State or Federal Government has begun but is not completed at the end of the three-year period, or if audit findings, litigation, or other legal action have not been resolved at the end of the three-year period, the records shall be retained until resolution.

Subsequent to the contract term, documents shall be returned to Medicaid within three (3) business days following expiration or termination of the contract. Micro media copies of source documents for storage may be used in lieu of paper source documents subject to Medicaid approval. Additionally, the Contractor shall perform backup and archive following the Agency SLAs and CMS, State, and industry standards.

CC. Inspection of Records

Contractor agrees that representatives of the Comptroller General, HHS, the General Accounting Office, the Alabama Department of Examiners of Public Accounts, and Medicaid and their authorized representatives shall have the right during business hours to inspect and copy Contractor's books and records pertaining to contract performance and costs thereof. Contractor agrees this includes authorization from any parent, affiliate, or subsidiary organization, for any of the agencies listed above to have access to pertinent records, if such a relationship exists as would impact upon the Contractor's performance under the proposed contract. Contractor shall cooperate fully with requests from any of the agencies listed above and shall furnish free of charge copies of all requested records. Contractor may require that a receipt be given for any original record removed from Contractor's premises.

DD. Use of Federal Cost Principles

For any terms of the contract which allow reimbursement for the cost of procuring goods, materials, supplies, equipment, or services, such procurement shall be made on a competitive basis (including the use of competitive bidding procedures) where practicable, and reimbursement for such cost under the contract shall be in accordance with 48 CFR, Chapter 1, Part 31. Further, if such reimbursement is to be made with funds derived wholly or partially from Federal sources, such reimbursement shall be subject to Contractor's compliance with applicable Federal procurement requirements, and the determination of costs shall be governed by Federal cost principles.

EE. Payment

Contractor shall submit a detailed invoice to Medicaid for compensation for the deliverable and/or work performed monthly. The invoice will be based on the amounts submitted in Appendix C – Pricing Schedule. Each monthly invoice shall have a cover letter/memo addressed to the Medicaid Enterprise System (MES) Office Project Director and be printed on the PM Services Contractor's company letterhead. The invoice shall contain line items for each tab in the Appendix C – Pricing Schedule that is applicable for the invoice date submitted.

Payments to Contractor shall be dependent upon successful completion and acceptance of described work and delivery of required documentation. The Agency will not reimburse the Contractor until (a) the Project Director has approved the invoice; and (b) the Agency has reviewed and approved all deliverables covered by the invoice.

FF. Notice to Parties

Any notice to Medicaid under the contract shall be sufficient when mailed to the Project Director. Any notice to Contractor shall be sufficient when mailed to Contractor at the address given on the return receipt from this RFP or on the contract after signing. Notice shall be given by certified mail, return receipt requested.

GG. Disclosure Statement

The successful Contractor shall be required to complete a financial disclosure statement with the executed contract.

HH. Debarment

Contractor hereby certifies that neither it nor its principals nor any subcontractor or its principals, is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this contract by any Federal department or agency.

II. Not to Constitute a Debt of the State

Under no circumstances shall any commitments by Medicaid constitute a debt of the State of Alabama as prohibited by Article XI, Section 213, Constitution of Alabama of 1901, as amended by Amendment 26. It is further agreed that if any provision of this contract shall contravene any statute or Constitutional provision or amendment, whether now in effect or which may, during the course of this contract, be enacted, then that conflicting provision in the contract shall be deemed null and void. The Contractor’s sole remedy for the settlement of any and all disputes arising under the terms of this agreement shall be limited to the filing of a claim against Medicaid with the Board of Adjustment for the State of Alabama.

JJ. Qualification to do Business in Alabama

Should a foreign corporation (a business corporation incorporated under a law other than the law of this state) be selected to provide professional services in accordance with this RFP, it must be qualified to transact business in the State of Alabama and possess a valid “Application of Registration” issued by the Secretary of State at the time a professional services contract is executed. To obtain forms for an “Application for Registration,” contact the Secretary of State at (334) 242-5324 or www.sos.state.al.us. The “Application for Registration” showing application has been made must be submitted with the proposal.

KK. Choice of Law

The construction, interpretation, and enforcement of this contract shall be governed by the substantive contract law of the State of Alabama without regard to its conflict of laws’ provisions. In the event any provision of this contract is unenforceable as a matter of law, the remaining provisions will remain in full force and effect.

LL. AMMIS Interface Standards

Contractor hereby certifies that any exchange of MMIS data with the Agency’s fiscal agent will be accomplished by following the AMMIS Interface Standards Document, which will be posted on the Alabama Medicaid Procurement website.

https://medicaid.alabama.gov/content/2.0_Newsroom/2.4_Procurement.aspx).

MM. Breach of Contract / Liquidated Damages

Contractor shall receive written notice from Medicaid upon a finding of failure to comply with contract requirements, which contains a description of the events that resulted in such a finding. Contractor shall be allowed to submit rebuttal information or testimony in opposition to such findings. Medicaid shall make a final decision regarding implementation of liquidated damages. The Contractor is responsible for meeting all terms of:

1. Executed contract;
2. RFP, and any amendments thereto;
3. Contractor's response to the RFP;
4. Medicaid's written responses to prospective bidders' questions; and
5. Contractor's clarifications as requested by Medicaid during the evaluation process.

In the event that Contractor fails to meet the RFP and contract requirements and damages are sustained by Medicaid, Contractor agrees to pay Medicaid the sums set forth below as liquidated damages unless these damages are waived by Medicaid.

1. Failure to deliver requisite reports/services/deliverables:

- a) Failure to deliver requisite reports/services/deliverables as defined by the RFP by the date specified by Medicaid. - \$100 per day per report.
- b) Failure to provide documentation as required by the RFP - \$500 per instance.
- c) Failure to comply with any other requirement of the RFP - \$500 per instance.
- d) Failure to perform tasks as specified in the RFP within the time specified by Medicaid - \$100 per instance.
- e) Misrepresentation or falsification of information furnished to CMS, to the State - \$5,000 per instance.
- f) Failure to meet technical requirements - \$500 per instance.

2. In addition:

- a) Contractors shall be liable for any penalties or disallowance of Federal Financial Participation incurred by Medicaid due to Contractor's failure to comply with the terms of the contract. Total dollars may include State funds, as well as Federal funds.
- b) Imposition of liquidated damages may be in addition to other contract remedies and does not waive Medicaid's right to terminate the contract.
- c) Unauthorized use of information shall be subject to the imposition of liquidated damages plus any penalties incurred by Medicaid for said infractions.
- d) Failure to safeguard confidential information of providers, recipients, or the Medicaid program shall be subject to the imposition of liquidated damages plus any penalties incurred by Medicaid for said infractions.
- e) If an overpayment or duplicate payment is made and that payment is the result of a failure of the Vendor to either utilize available information or to process the claim for reimbursement in accordance with Agency requirements, the Vendor shall be liable for the amount paid, if the Agency cannot make full recovery using reasonable administrative procedures. The Vendor shall notify the Agency immediately upon discovery of any overpayments or duplicate payments, irrespective of cause. The Agency shall withhold from the Vendor reimbursements the amount necessary to satisfy damages resulting from overpayments or duplicate payments. With the prior written consent of the Agency, the Vendor may pursue recovery of these damages paid to the Agency from the providers who received the overpayments or duplicate payments.

Written notification of each failure to meet material contract requirements not specifically mentioned above shall be given to the Contractor. The Contractor shall have five (5) days from the date of receipt of written notification of a failure to perform to specifications to cure the failure. However, the Agency may, at its sole discretion, approve additional days if deemed necessary. If the Contractor does not resolve the failure within this warning/cure time period, damages shall be imposed retroactively to the date of failure to perform.

The Agency shall assess liquidated damages in the amount of one thousand dollars (\$1,000.00) per day for the first ten (10) days until the non-compliance is corrected. On the eleventh day, the Agency shall increase the amount assessed to one thousand five hundred dollars (\$1,500.00) per day for the next ten (10) days. The daily damages rate shall continue to increase by five hundred dollars (\$500.00) at each interval of ten (10) days until compliance is achieved.

Amounts owed the Agency due to liquidated damages shall be deducted by the Agency from any money payable to the Contractor pursuant to this contract. These amounts may be deducted from any actual damages claimed by the Agency in the event of litigation for non-compliance and default. The Contractor shall have an approved Corrective Action Plan (CAP) within five (5) business days of a Medicaid request. The Contractor shall be assessed liquidated damages in the amount of five hundred dollars (\$500) per business day until the plan is approved. The CAP must contain a schedule of events with a final resolution date that is no more than thirty (30) calendar days from the plan approval date, or a final resolution date approved by Medicaid. If the Contractor does not resolve the issue defined in the CAP, they shall be assessed liquidated damages in the amount of one thousand dollars (\$1,000.00) for each day after the final resolution date.

If Medicaid elects not to impose liquidated damages in a particular instance, this decision shall not be construed as a waiver of Medicaid's right to pursue future assessment of that performance requirement and associated liquidated damages.

NN. Software and Ownership

In accordance with Federal regulations, if the Agency is using CMS enhanced funding for COTS configuration or customization, those elements become subject to existing regulation at 45 CFR §96.617 regarding State and Federal ownership and royalty-free licensing. This regulation for royalty-free, non-exclusive, and irrevocable license to software applies only to software related to the customization and configuration of a COTS product for State use and does not apply to the core product.

The Contractor agrees that, whether or not the Services are considered "works made for hire" or an employment to invent, all Work Products discovered, created, or developed under this contract shall, upon payment therefore according to the mutually agreed upon milestone payment schedule and fixed payments, thereafter be and remain the sole property of the State and its assignees, except as specifically set forth in writing and signed by both Agency and Contractor. The Contractor agrees that the State shall have all rights with respect to any Work Product discovered, created, or developed under this contract without regard to the origin of the Work Product. Work Product is defined as any output of a project created by the vendor due, in whole or in part, to its contractual relationship with the Agency. This includes, but is not limited to, tangible items such as deliverables required under the RFP and intangible items such as presentations, applications, databases, data, intellectual property, or any other items, whether tangible or not, which is created by the Contractor during the contracting period to carry out the contract.

Additionally, in all instances, the State of Alabama owns any software designed, developed, installed, or enhanced with 90 % Federal Financial Participation (FFP). Upon payment as stated above, CMS has a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use and authorize others to use for Federal government purposes, software, modifications to software, and documentation that is designed developed, installed, or enhanced with 90% FFP.

The Contractor shall obtain for Medicaid any necessary licenses for all commercial software not owned by the Contractor that is necessary for the performance of the duties and obligations expressed in this agreement. HHS reserves a royalty free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use, and authorize others to do so, such software, modifications, and documentation.

1. COTS / Contractor Intellectual Property (IP)

COTS / Contractor IP products and Software as a Service (SaaS) solutions are designed, developed, and licensed by the Contractor, and the State is not entitled to ownership rights to the core program. In standard software agreements, COTS/Contractor IP can be transferrable as a license, and SaaS solution can be transferable as a subscription.

However, if and to the extent that any Contractor IP is embodied or reflected in the Work Product, Supplier hereby grants to the State the irrevocable, perpetual, nonexclusive, worldwide, royalty-free right and license to (i) use, execute, reproduce, display, perform, distribute copies of and prepare derivative works based upon such Contractor IP and any derivative works thereof, under this contract, and (ii) authorize others to do any or all of the foregoing on its behalf. It is expressly understood that “perpetual” Contract Number license rights shall commence upon delivery of the Work Product and shall exist in perpetuity unless otherwise terminated in accordance with the applicable provisions of the contract, except as otherwise agreed in this contract and its Exhibits.

The Agency is using CMS enhanced match funding for this solution and its configuration or customization, thereby enabling only those configured/customized elements to become subject to existing regulation at 45 CFR §96.617 regarding State and Federal ownership and royalty-free licensing. This regulation does not apply to the core work (COTS and/or SaaS) product. Additionally, Agency could freely share and re(use) the resulting COTS software elements/work products that are configured and customized for Agency with other states, subject to the licensing of the core COTS software products.

2. Solution Transferability

The Contractor shall, upon termination of contract, ensure associated licenses with ownership are transferred to the Agency. If and to the extent that Contractor may, under applicable law, be entitled to claim any ownership interest in the Work Product, Contractor hereby irrevocably transfers, grants, conveys, assigns, and relinquishes exclusively to the State any and all rights, title, and interest it now has or may hereafter acquire in and to the Work Product under patent, copyright, trade secret, and trademark law in perpetuity or for the longest period otherwise permitted by law. If any moral rights are created, Contractor waives such rights in the Work Product. Contractor further agrees as to the Work Product to assist the State in every reasonable way to obtain and, from time to time, enforce patents, copyrights, trade secrets, and other rights and protection relating to the Work Product, and to that end, Contractor and its employees shall execute all documents for use in applying for and obtaining such patents, copyrights, and other rights and protection, and in protecting trade secrets, with respect to such Work Product, as the State may reasonably request, together with any assignments thereof to the State or entities designated by the State.

OO. Limitation of Liability

Except as provided in the below paragraphs, in no event shall the aggregate liability arising out of, or related to, this Agreement, whether in contract, tort, or any other theory of liability, exceed the total value of the contract, regardless of amount paid or received under the contract at time the liability from which the cause of action arose. The foregoing shall apply regardless of the negligence or other fault of the Contractor and regardless of whether such liability arises from contract, negligence, tort, strict liability, or any other theory of legal liability, unless specifically mentioned herein.

This Limitation of Liability is only applicable to the damages between the Alabama Medicaid Agency and the Contractor. It shall not apply to claims under other Contractor responsibilities, even when those responsibilities exist because of, or directly relate to, the relationship created by this contract. These include but are not limited to any fees, damages, penalties, etc. which may arise due to rules and regulation of the Internal Revenue Service (IRS), Social Security Administration (SSA), Department of Health and Human Services (HHS), Center for Medicare & Medicaid Services (CMS) as a Business Associate for a Covered Entity, or other similar Federal or State agencies, or regulation. Likewise, this limitation of liability does not

exist if the Contractor's actions cause damage to a third-party possessing standing to bring a cause of action against the Contractor. This Limitation of Liability shall also not apply to the Contractor's bad faith, willful misconduct, intentional torts, criminal acts, or fraudulent conduct.

Nothing herein is intended nor shall be interpreted as waiving any claim or defense based on the principle of sovereign immunity or other State or Federal constitutional provision or principle that otherwise would be available to the Alabama Medicaid Agency under applicable law. This limitation does not create a debt of the State, does not grant a new cause of action against the Alabama Medicaid Agency, or modify existing procedures before the Board of Adjustment as provided for under state law, nor does it supersede any immunity provision existing within the RFP.

IX. Appendices

Appendix	Name
A	Proposal Compliance Checklist
B	Contract Attachments
C	Pricing (Schedule; Excel File)
D	Contract Deliverables Table
E	Requirements Response Matrix (Excel File)
F	RFP Documentation
G	Corporate Reference Worksheet
H	Key Personnel Resume Sheet
I	Service Level Agreements

Appendix A – Proposal Compliance Checklist

Appendix A: Proposal Compliance Checklist

NOTICE TO VENDOR:

It is highly encouraged that the following checklist be used to verify completeness of Proposal content.

Vendor Name

RFP Coordinator Review Date

Proposals for which ALL applicable items are marked by the RFP Coordinator are determined to be compliant for responsive proposals.

<input checked="" type="checkbox"/> IF CORRECT	BASIC PROPOSAL COMPLIANCE	PROPOSAL REFERENCE (Page No)
Proposal Packet		
<input type="checkbox"/>	1. Vendor attended the Mandatory Pre-Proposal Conference.	
<input type="checkbox"/>	2. Vendor’s original proposal received on time at correct location.	
<input type="checkbox"/>	3. Vendor submitted the specified copies of proposal and in electronic format. <ul style="list-style-type: none"> a. One (1) original Proposal with original signatures in ink, in a three-ring binder. Tab 6 shall be printed single-sided; see Section VI.N. for additional guidance. b. Three (3) additional hard copies (of the original proposal) in binder form. c. A jump drive with the following content: <ul style="list-style-type: none"> i. One single searchable PDF file containing the entire proposal (Tabs 1 through 10) that MUST be a complete version of the Vendor’s response. ii. One single searchable PDF file containing the entire proposal (Tabs 1 through 10) that MUST have any information asserted as confidential or proprietary removed. iii. One separate searchable PDF file for each Tab of the proposal that MUST be a complete version of the Vendor’s response, and the filename shall include the Tab number and name. iv. Where applicable, one separate searchable PDF file for each Tab of the proposal that has any information asserted as confidential or proprietary removed, and the filename shall include the Tab number and name and that is has been redacted. v. One MS Word file of Tab 6 – Scope of Work and Narrative Response, that 	

<input checked="" type="checkbox"/> IF CORRECT	BASIC PROPOSAL COMPLIANCE	PROPOSAL REFERENCE (Page No)
	<p>MUST be a complete version of the Vendor's response.</p> <ul style="list-style-type: none"> vi. One MS Word file of Tab 6 – Scope of Work and Narrative Response, that MUST have any information asserted as confidential or proprietary removed. vii. Completed copy of the Pricing Schedule MS Excel file as submitted in the Vendor's response. viii. Completed copy of the Requirement Response Matrix (RRM) MS Excel file as submitted in the Vendor's response. 	
<input type="checkbox"/>	<ul style="list-style-type: none"> 4. The Proposal is a complete and independent document. <ul style="list-style-type: none"> a. Prepared in accordance with and meets the Proposal Format and Structure defined in RFP Section VI.N. – Submission Requirements – Proposal Format b. All pages are numbered. c. All responses, as well as any reference material presented, must be written in English. d. Must not include references to information or documents located externally, such as Internet websites. e. Includes all defined Tabs in the Proposal Format and Structure section of the RFP. 	
<input type="checkbox"/>	<p>Tab – 1:</p> <ul style="list-style-type: none"> 5. The Proposal must include a completed and signed in ink RFP Cover Sheet by an individual authorized to legally bind the Vendor. 6. A Total Firm and Fixed Contract Price of all line items in the Pricing Schedule Template is entered on the RFP Proposal Sheet Firm and Fixed Total Price box. (The amount entered must match the amount in the Pricing Schedule.) 	
<input type="checkbox"/>	<p>Tab – 4: Statement of attestation, as part of the Transmittal Letter, that indicates:</p> <ul style="list-style-type: none"> 7. The Vendor has an understanding of and will comply with the terms and conditions as set out in this RFP. Any addition or exception to the terms and conditions are considered severed, null, and void and may result in the Vendor's proposal deemed non-responsive. 8. The Vendor understands and shall comply with all the specifications, requirements, and provisions of the RFP. 9. A statement acknowledging and agreeing to all of the rights of the State contained in the provisions of this RFP. 	

<input checked="" type="checkbox"/> IF CORRECT	BASIC PROPOSAL COMPLIANCE	PROPOSAL REFERENCE (Page No)
	<ol style="list-style-type: none"> 10. A statement of compliance with Affirmative Action and Equal Employment Opportunity regulations. 11. A statement that, unless otherwise required by law, the prices quoted must not be knowingly disclosed by the Vendor, directly or indirectly, prior to award of the contract, to any other Vendor, competitor or any other person or entity. 12. A statement that no person or agency has been employed or retained to solicit or secure the proposed contract based on an agreement or understanding for a commission, percentage, brokerage, or contingent fee. 13. A statement that any person submitted as a candidate, for any position defined in this RFP, will be exclusive to ONLY this Vendor proposal response and cannot be submitted as a candidate in another Vendor's proposal. Furthermore, any candidate submitted for any position defined in this RFP that is discovered to be submitted by more than one Vendor for potential work assigned as part of this engagement will be considered disqualified. 14. A statement that the Vendor and its subcontractors will maintain a drug-free workplace. 15. A statement acknowledging that the successful Vendor will be required to complete (RFP) Contract and Attachments listed as Appendix B in this RFP, inclusive of the Alabama Medicaid Agency Business Associate Addendum and a State of Alabama Disclosure Statement with the executed contract. See Appendix B – (RFP) Contract and Attachments for all required forms. 16. A statement that the Vendor has reviewed PL23_AMA Enterprise Software List and understands the number of accounts provided upon contract award to the successful Vendor. 17. A statement that the Vendor's Pricing Schedule includes all necessary solution components and services, as proposed, to meet the Agency's solution requirements and expectations as listed in this RFP. <ol style="list-style-type: none"> 1. The letter must include a statement identifying any and all subcontractors and percentage of work done by subcontractors, if any, who are needed in order to satisfy the requirements of this RFP. 18. The proposal includes a written confirmation that the Agency will not reimburse the Contractor until: (a) the Project Director has approved the invoice; and (b) the Agency has received and approved all deliverables covered by the invoice. 19. The proposal includes a written confirmation that the Contractor understands the Conflict-of-Interest Exclusion 	

<input checked="" type="checkbox"/> IF CORRECT	BASIC PROPOSAL COMPLIANCE	PROPOSAL REFERENCE (Page No)
	<p>prohibiting the Contractor from responding to any other contracts related to this RFP.</p> <p>20. Vendor submitted a statement attesting that all Contractor and subcontractor employees must work in the continental United States.</p> <p>21. Vendor submitted all signed Amendments of the RFP, as an enclosure.</p> <p>22. The response must include an E-Verify Memorandum of Understanding with the Department of Homeland Security.</p> <p>23. The Vendor and subcontractor(s) includes all necessary business licenses, registration (or Application of Registration or letter/form showing application has been made with the Secretary of State) and professional certification (if applicable) at the time of the contracting to be able to do business in Alabama.</p>	
<input type="checkbox"/>	<p>Tab – 5:</p> <p>24. Printed and Signed Pricing Schedule.</p> <p>a. The pricing schedule must be complete, correct, each page printed, and each schedule signed (wet signature), and dated.</p>	
<input type="checkbox"/>	<p>Tab- 6:</p> <p>25. Vendor provided a Narrative Response to all Section II – Scope of Work Narrative Questions.</p>	
<input type="checkbox"/>	<p>Tab-7:</p> <p>26. Vendor submitted completed, signed Appendix E – AMMP PM Services Requirements Response Matrix (RRM)</p> <p>27. Vendor provided draft PM Project Schedule (PM Project Schedule; PRJ_04).</p> <p>28. Vendor provided comprehensive list of all proposed software components for the PM, including a description and its purpose.</p>	
<input type="checkbox"/>	<p>Tab – 8:</p> <p>29. The Proposal includes a corporate background for Vendor and Subcontractor, that contains the following:</p> <p>a. Name of the corporation or other legal entity submitting the proposal. Vendor must use this section to state whether it is a partnership, non-profit corporation, Alabama Corporation, Non-Alabama Corporation, or some other structure.</p> <p>b. Date established.</p> <p>c. Ownership (public company, partnership, subsidiary, etc.). Include an organizational chart depicting the Vendor’s organization in relation to any parent, subsidiary, or related organization.</p> <p>d. Number of employees and resources in regard to this contract.</p> <p>e. Names and resumes of Senior Managers and</p>	

<input checked="" type="checkbox"/> IF CORRECT	BASIC PROPOSAL COMPLIANCE	PROPOSAL REFERENCE (Page No)
	<p>partners working on or overseeing this contract.</p> <p>30. A list of all similar projects the Vendor and subcontractor(s) has completed within the last three (3) years.</p> <p>31. Any Corrective Action Plan, penalties, or discounts incurred due to poor performance on a contract and instances that their solution resulted in delays with CMS certification or impacted the state for FFP for the last three (3) years.</p> <p>32. The Vendor must provide audited financials for the last three (3) years, or similar evidence of financial stability for the last three (3) years.</p> <p>33. Vendor Procurement Participation Restrictions:</p> <p style="padding-left: 20px;">a. Provided a narrative response that describes and explains the Vendor's understanding of the Procurement Participation Restrictions as laid out in the RFP.</p> <p>34. Provider Management Experience Requirements:</p> <ul style="list-style-type: none"> • Provided a narrative response that describes and explains how the Vendor, and/or any proposed sub-contractors, meet, and/or exceed the Experience Requirements as laid out in Section V of the RFP. <p>35. Details of any pertinent judgment, criminal conviction, investigation, or litigation pending against the Vendor or any of its officers, directors, employees, agents or subcontractors of which the Vendor has knowledge, or a statement that there are none.</p> <p>36. Provide a narrative response that describes and explains how the Vendor, and/or any proposed sub-contractors, plan to fulfill the requirements in Table II-52: General Staffing Requirements.</p>	
<input type="checkbox"/>	<p>Tab – 9:</p> <p>37. The Proposal includes required three (3) Corporate Reference Worksheets, with at least one reference for each requirement listed in Section V.B, providing client references for the contractor with all identifying information in specified format and order.</p>	

Appendix B – Contract and Attachments

The following are the documents that must be signed **AFTER** contract award and prior to the meeting of the Legislative Contract Oversight Committee Meeting.

Sample Contract

- Attachment A:* Contract Review Report for Submission to Oversight Committee
- Attachment B:* Business Associate Addendum
- Attachment C:* Immigration Status
- Attachment D:* Instructions for Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion
- Attachment E:* Letter Regarding Reporting to Ethics Commission
- Attachment F:* Disclosure Statement
- Attachment G:* Beason-Hammon Certificate of Compliance
- Attachment H:* Governor’s Additional Contract Questions

CONTRACT
BETWEEN
THE ALABAMA MEDICAID AGENCY
AND
Contractor's Name

KNOW ALL MEN BY THESE PRESENTS, that the Alabama Medicaid Agency, an Agency of the State of Alabama, and Contractor's Name, Contractor, agree as follows:

Contractor shall furnish all labor, equipment, and materials and perform all of the work required under the Enter Request for Proposal or Invitation to Bid (Enter Acronym for Contract Type) Number Enter RFP , dated Enter date of RFP strictly in accordance with the requirements thereof and Contractor's response thereto.

Contractor shall be compensated for performance under this contract in accordance with the provisions of the Enter Acronym for Contract Type and the price provided on the Enter Acronym for Contract Type Cover Sheet response, in an amount not to exceed Enter Not to Exceed Amount.

Contractor and the Alabama Medicaid Agency agree that the initial term of the contract is Enter Begin Date to Enter End Date.

This contract specifically incorporates by reference the Enter Acronym for Contract Type, any attachments and amendments thereto, and Contractor's response.

In the event of any dispute between the parties, senior officials of both parties shall meet and engage in a good faith attempt to resolve the dispute. Should that effort fail and the dispute involves the payment of money, a party's sole remedy is the filing of a claim with the Board of Adjustment of the State of Alabama.

For any and all other disputes arising under the terms of this contract which are not resolved by negotiation, the parties agree to utilize appropriate forms of non-binding alternative dispute resolution including, but not limited to, mediation. Such dispute resolution shall occur in Montgomery, Alabama, utilizing where appropriate, mediators selected from the roster of mediators maintained by the Center for Dispute Resolution of the Alabama State Bar.

All services rendered by Contractor shall be as an independent contractor and not as an employee (merit or otherwise) of the State of Alabama, and Contractor shall not be entitled to or receive Merit System benefits.

By signing this contract, the contracting parties affirm, for the duration of the agreement, that they will not violate federal immigration law or knowingly employ, hire for employment, or continue to employ an unauthorized alien within the state of Alabama. Furthermore, a contracting party found to be in violation of this provision shall be deemed in breach of the agreement and shall be responsible for all damages resulting therefrom.

In compliance with Act 2016-312, the contractor hereby certifies that it is not currently engaged in, and will not engage in, the boycott of a person or an entity based in or doing business with a jurisdiction with which this state can enjoy open trade.

In compliance with Ala. Act No. 2023-409, by signing this contract, Contractor provides written verification that Contractor, without violating controlling law or regulation, does not and will not, during the term of the contract engage in economic boycotts as the term “economic boycott” is defined in Section 1 of the Act.

Failure to comply with these requirements may result in termination of the agreement or subcontract.

Contractor Name

Alabama Medicaid Agency

This contract has been reviewed for and is approved as to content.

Contractor Signature

Stephanie McGee Azar
Commissioner

Tax ID: _____

Date Signed: _____

Date Signed: _____

This contract has been reviewed for legal form and complies with all applicable laws, rules, and regulations of the State of Alabama governing these matters.

Legal Counsel

Chief Procurement Officer
State Purchasing

APPROVED:

Kay Ivey
Governor, State of Alabama

Contract Review Permanent Legislative Oversight Committee
Alabama State House -- Montgomery, Alabama 36130

CONTRACT REVIEW REPORT
(Separate review report required for each contract)

Contractor Information

Name of Governmental Body or Purchasing Agency: _____

Name of Contractor: _____

Contractor's Physical Street Address (No P.O. Box Accepted) _____ City _____ State _____

Is Contractor a Sole Source? YES _____ NO _____ (If Yes, Attach Sole Source Approval from the Chief Procurement Officer)

Is Contractor organized as an Alabama Entity in Alabama? YES _____ NO _____

If No, is Contractor Registered with Alabama Secretary of State to do Business in Alabama? YES _____ NO _____

List the Members/Owners (e.g. John Smith) of the Contracting Entity _____

Is Contractor a minority-owned business? YES _____ NO _____ Is Contractor a woman-owned business? YES _____ NO _____

Does Contractor have current member of Legislature or family member of Legislator employed? YES _____ NO _____

Is a Lobbyist/Consultant Affiliated with this Contractor OR Used to Secure this Contract? YES _____ NO _____

If Yes, Give Name: _____

Contract Information

Contract Number: _____ (See Fiscal Policies & Procedures Manual)

Contract Amount: \$ _____ (Put Amount You Are Asking For Today Only; See Fiscal Policies & Procedures Manual)

% State Funds: _____ % Federal Funds: _____ % Other Funds: _____ **

**Please Specify Source of Other Funds (Fees, Grants, etc.) _____

Date Contract Effective: _____ Date Contract Ends: _____

Type of Contract: NEW: _____ RENEWAL: _____ AMENDMENT: _____

If AMENDMENT or RENEWAL, Complete A through C: If AMENDMENT, will it extend time? YES _____ NO _____

[A] ORIGINAL contract amount total \$ _____

[B] Contract Amount Total prior to this amendment or renewal \$ _____

[C] Contract Amount Total after this amendment or renewal \$ _____

RFP:

Was Contract Secured through RFP Process? YES _____ NO _____ If RFQ, Answer RFQ Questions Below.

Date the RFP was solicited: _____ AND Date the RFP was awarded: _____

Was Contract Posted to Statewide RFP Database at <http://rfp.alabama.gov/Login.aspx>? YES _____ NO _____

If NO, give a brief explanation, including any statutory exemption, as to why not: _____

RFQ:

Was Contract Secured through RFQ Process? YES _____ NO _____ Date RFQ was solicited: _____ Date RFQ awarded: _____

Posted to Division of Construction Management Website? http://dcm.alabama.gov/ae_qualifications.aspx YES _____ NO _____

If NO, give a brief explanation as to why not: _____

Summary of Contract Services to be Provided: _____

Why Contract Necessary AND why this service cannot be performed by merit employee: _____

I certify that the above information is correct.

Signature of Governmental or Agency Head

Signature of Contractor

Printed Name of Governmental or Agency Head

Printed Name of Contractor

Governmental or Agency Contact: _____ Phone: _____

ALABAMA MEDICAID AGENCY
BUSINESS ASSOCIATE AGREEMENT

Revised 06/2019

This Agreement is made effective the _____ day of _____, 20____, by and between the Alabama Medicaid Agency (“Covered Entity”), an agency of the State of Alabama, and _____ (“Business Associate”) (collectively the “Parties”).

1. BACKGROUND

- 1.1. Business Associate agrees to perform the following services for or on behalf of Covered Entity: [Enter a description below of the service(s) to be provided with sufficient detail to ensure clarity. Delete this parenthetical guidance from the document prior to execution.]
-
-

- 1.2. The relationship between Covered Entity and Business Associate is such that the Parties believe Business Associate is or may be a “business associate” within the meaning of the HIPAA Rules (as defined below).
- 1.3. The Parties enter into this Business Associate Agreement with the intention of complying with the HIPAA Rules allowing a covered entity to disclose protected health information to a business associate, and allowing a business associate to create or receive protected health information on its behalf, if the covered entity obtains satisfactory assurances that the business associate will appropriately safeguard the information.

2. DEFINITIONS

2.1 General Definitions

The following terms used in this Agreement shall have the same meaning as those terms in the HIPAA Rules: Breach, Data Aggregation, Designated Record Set, Disclosure, Electronic Protected Health Information, Health Care Operations, Individual, Minimum Necessary, Notice of Privacy Practices, Protected Health Information, Required By Law, Secretary, Security Incident, Subcontractor, Unsecured Protected Health Information, and Use.

2.2 Specific Definitions

2.2.1 Business Associate. “Business Associate” shall generally have the same meaning as the term “business associate” at 45 C.F.R. § 160.103

2.2.2 Covered Entity. “Covered Entity” shall generally have the same meaning as the term “covered entity” at 45 C.F.R. § 160.103.

2.2.3 HIPAA Rules. “HIPAA Rules” shall mean the Privacy, Security, Breach Notification, and Enforcement Rules at 45 C.F.R. Part 160 and Part 164 of the Health Insurance Portability and Accountability Act of 1996, as amended by the Health Information Technology for Economic and Clinical Health (HITECH) Act of 2009, and the implementing regulations promulgated thereunder from time to time by the U.S. Department of Health and Human Services (HHS).

3. OBLIGATIONS OF BUSINESS ASSOCIATE

Business Associate agrees to the following:

- 3.1 Use or disclose PHI only as permitted or required by this Agreement or as Required by Law.
- 3.2 Use appropriate safeguards to prevent use or disclosure of PHI other than as provided for by this Agreement. Further, Business Associate will implement administrative, physical and technical safeguards (including

written policies and procedures) that reasonably and appropriately protect the confidentiality, integrity and availability of electronic PHI that it creates, receives, maintains or transmits on behalf of Covered Entity as required by Subpart C of 45 C.F.R. Part 164.

- 3.3** Mitigate, to the extent practicable, any harmful effect that is known to Business Associate of a use or disclosure of PHI by Business Associate in violation of the requirements of this Agreement.
- 3.4** Report to Covered Entity within five (5) business days any use or disclosure of PHI not provided for by this Agreement of which it becomes aware.
- 3.5** Ensure that any subcontractors that create, receive, maintain, or transmit protected health information on behalf of the Business Associate agree to the same restrictions, conditions, and requirements that apply to the Business Associate with respect to such information in accordance with 45 C.F.R. § 164.502(e)(1)(ii) and § 164.308(b)(2), if applicable.
- 3.6** Provide Covered Entity with access to PHI within thirty (30) business days of a written request from Covered Entity, in order to allow Covered Entity to meet its requirements under 45 C.F.R. § 164.524, access to PHI maintained by Business Associate in a Designated Record Set.
- 3.7** Make amendment(s) to PHI maintained by Business Associate in a Designated Record Set that Covered Entity directs or agrees to, pursuant to 45 C.F.R. § 164.526 at the written request of Covered Entity, within thirty (30) calendar days after receiving the request.
- 3.8** Make internal practices, books, and records, including policies and procedures and PHI, relating to the use and disclosure of PHI received from, or created or received by the Business Associate on behalf of, Covered Entity, available to Covered Entity or to the Secretary within five (5) business days after receipt of written notice or as designated by the Secretary for purposes of determining compliance with the HIPAA Rules.
- 3.9** Maintain and make available the information required for Covered Entity to respond to a request by an individual for an accounting of disclosures of PHI as necessary to satisfy the Covered Entity's obligations under 45 C.F.R. § 164.528.
- 3.10** Provide to the Covered Entity, within thirty (30) days of receipt of a written request from Covered Entity, the information required for Covered Entity to respond to a request by an Individual or an authorized representative for an accounting of disclosures of PHI in accordance with 45 C.F.R. § 164.528.
- 3.11** Maintain a comprehensive security program appropriate to the size and complexity of the Business Associate's operations and the nature and scope of its activities as defined in the Security Rule.
- 3.12** Notify the Covered Entity within five (5) business days following the discovery of a breach of unsecured PHI on the part of the Contractor or any of its sub-contractors, and
 - 3.12.1** Provide the Covered Entity the following information:
 - 3.12.1(a)** The number of recipient records involved in the breach.
 - 3.12.1(b)** A description of what happened, including the date of the breach and the date of the discovery of the breach if known.
 - 3.12.1(c)** A description of the types of unsecure protected health information that were involved in the breach (such as whether full name, social security number, date of birth, home address, account number, diagnosis, disability code, or other type information were involved).
 - 3.12.1(d)** Any steps the individuals should take to protect themselves from potential harm resulting from the breach.
 - 3.12.1(e)** A description of what the Business Associate is doing to investigate the breach, to mitigate harm to individuals and to protect against any further breaches.
 - 3.12.1(f)** Contact procedures for individuals to ask questions or learn additional information, which shall include the Business Associate's toll-free number, email address, Web site, or postal address.
 - 3.12.1(g)** A proposed media release developed by the Business Associate.

- 3.12.2 Work with Covered Entity to ensure the necessary notices are provided to the recipient, prominent media outlet, or to report the breach to the Secretary of Health and Human Services (HHS) as required by 45 C.F.R. Part 164, Subpart D.;
- 3.12.3 Pay the costs of the notification for breaches that occur as a result of any act or failure to act on the part of any employee, officer, or agent of the Business Associate;
- 3.12.4 Co-ordinate with the Covered Entity in determining additional specific actions that will be required of the Business Associate for mitigation of the breach.

4. PERMITTED USES AND DISCLOSURES

Except as otherwise limited in this Agreement, Business Associate may

- 4.1. Use or disclose PHI to perform functions, activities, or services for, or on behalf of, Covered Entity as agreed to, provided that such use or disclosure would not violate the Subpart E of 45 C.F.R. Part 164 if done by Covered Entity;
- 4.2. Use PHI for the proper management and administration of the Business Associate or to carry out the legal responsibilities of the Business Associate.
- 4.3. Disclose PHI for the proper management and administration of the Business Associate, provided that:
 - 4.3.1 Disclosures are Required by Law; or
 - 4.3.2 Business Associate obtains reasonable assurances from the person to whom the information is disclosed that it will remain confidential and used or further disclosed only as Required by Law or for the purpose for which it was disclosed to the person, and the person notifies the Business Associate of any instances of which it is aware in which the confidentiality of the information has been breached.
- 4.4 Use PHI to provide data aggregation services to Covered Entity as permitted by 42 C.F.R. § 164.504(e)(2)(i)(B).

5. REPORTING IMPROPER USE OR DISCLOSURE

The Business Associate shall report to the Covered Entity within five (5) business days from the date the Business Associate becomes aware of:

- 5.1 Any use or disclosure of PHI not provided for by this agreement
- 5.2 Any Security Incident and/or breach of unsecured PHI

6. OBLIGATIONS OF COVERED ENTITY

The Covered Entity agrees to the following:

- 6.1 Notify the Business Associate of any limitation(s) in its notice of privacy practices in accordance with 45 C.F.R. §164.520, to the extent that such limitation may affect Business Associate's use or disclosure of PHI.
- 6.2 Notify the Business Associate of any changes in, or revocation of, permission by an Individual to use or disclose PHI, to the extent that such changes may affect the Business Associate's use or disclosure of PHI.
- 6.3 Notify the Business Associate of any restriction to the use or disclosure of PHI that Covered Entity has agreed to in accordance with 45 C.F.R. § 164.522, to the extent that such restriction may affect the Business Associate's use or disclosure of PHI.

- 6.4 Not request Business Associate to use or disclose PHI in any manner that would not be permissible under the Privacy Rule if done by Covered Entity.
- 6.5 Provide Business Associate with only that PHI which is minimally necessary for Business Associate to provide the services to which this agreement pertains.

7. TERM AND TERMINATION

- 7.1 **Term.** The Term of this Agreement shall be effective as of the effective date stated above and shall terminate when the Business Associate no longer provides agreed upon services to the Covered Entity.
- 7.2 **Termination for Cause.** Upon Covered Entity's knowledge of a material breach by Business Associate, Covered Entity may, at its option:
 - 7.2.1 Provide an opportunity for Business Associate to cure the breach or end the violation, and terminate this Agreement if Business Associate does not cure the breach or end the violation within the time specified by Covered Entity;
 - 7.2.2 Immediately terminate this Agreement; or
 - 7.2.3 If neither termination nor cure is feasible, report the violation to the Secretary as provided in the Privacy Rule.
- 7.3 **Effect of Termination.**
 - 7.3.1 Except as provided in paragraph (2) of this section, upon termination of this Agreement, for any reason, Business Associate shall return or destroy all PHI received from Covered Entity, or created or received by Business Associate on behalf of Covered Entity. This provision shall apply to PHI that is in the possession of subcontractors or agents of Business Associate. Business Associate shall retain no copies of the PHI.
 - 7.3.2 In the event that Business Associate determines that the PHI is needed for its own management and administration or to carry out legal responsibilities, and returning or destroying the PHI is not feasible, Business Associate shall provide to Covered Entity notification of the conditions that make return or destruction not feasible. Business Associate shall:
 - 7.3.2(a) Retain only that PHI which is necessary for Business Associate to continue its proper management and administration or to carry out its legal responsibilities;
 - 7.3.2(b) Return to Covered Entity or, if agreed to by Covered Entity, destroy the remaining PHI that the Business Associate still maintains in any form;
 - 7.3.2(c) Continue to use appropriate safeguards and comply with Subpart C of 45 C.F.R. Part 164 with respect to electronic protected health information to prevent use or disclosure of the protected health information, other than as provided for in this Section, for as long as Business Associate retains the PHI;
 - 7.3.2(d) Not use or disclose the PHI retained by Business Associate other than for the purposes for which such PHI was retained and subject to the same conditions set out at Section 4, "Permitted Uses and Disclosures" which applied prior to termination; and
 - 7.3.2(e) Return to Covered Entity or, if agreed to by Covered Entity, destroy the PHI retained by Business Associate when it is no longer needed by Business Associate for its proper management and administration or to carry out its legal responsibilities.

7.4 Survival

The obligations of Business Associate under this Section shall survive the termination of this Agreement.

8. GENERAL TERMS AND CONDITIONS

- 8.1 Any ambiguity in this Agreement shall be resolved to permit Covered Entity to comply with the HIPAA Rules.
- 8.2 A breach of this Agreement by Business Associate shall be considered sufficient basis for Covered Entity to terminate the services of the Business Associate.

8.3 The Parties agree to take such action as is necessary to amend this Agreement from time to time for Covered Entity to comply with the requirements of the HIPAA Rules.

IN WITNESS WHEREOF, Covered Entity and Business Associate have executed this Agreement effective on the date as stated above

ALABAMA MEDICAID AGENCY

Signature

Date

Clay Gaddis

Printed Name

Privacy Officer

Title

BUSINESS ASSOCIATE

Signature

Date

Printed Name

Title

IMMIGRATION STATUS

I hereby attest that all workers on this project are either citizens of the United States or are in a proper and legal immigration status that authorizes them to be employed for pay within the United States.

Signature of Contractor

Witness

**Instructions for Certification Regarding Debarment, Suspension,
Ineligibility and Voluntary Exclusion**

(Derived from Appendix B to 45 CFR Part 76--Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions)

1. By signing and submitting this contract, the prospective lower tier participant is providing the certification set out therein.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this contract was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the Alabama Medicaid Agency (the Agency) may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the Agency if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, and voluntarily excluded, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this contract is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this contract that, should the contract be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this contract that it will include this certification clause without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the Agency may pursue available remedies, including suspension and/or debarment.



KAY IVEY
Governor

Alabama Medicaid Agency

501 Dexter Avenue
P.O. Box 5624
Montgomery, Alabama 36103-5624
www.medicaid.alabama.gov
e-mail: almedicaid@medicaid.alabama.gov

Telecommunication for the Deaf: 1-800-253-0799
334-242-5000 1-800-362-1504



STEPHANIE MCGEE AZAR
Commissioner

MEMORANDUM

SUBJECT: Reporting to Ethics Commission by Persons Related to Agency Employees

Section 36-25-16(b) Code of Alabama (1975) provides that anyone who enters into a contract with a state agency for the sale of goods or services exceeding \$7500 shall report to the State Ethics Commission the names of any adult child, parent, spouse, brother or sister employed by the agency.

Please review your situation for applicability of this statute. The address of the Alabama Ethics Commission is:

100 North Union Street
RSA Union Bldg.
Montgomery, Alabama 36104

A copy of the statute is reproduced below for your information. If you have any questions, please feel free to contact the Agency Office of General Counsel, at 242-5741.

Section 36-25-16. Reports by persons who are related to public officials or public employees and who represent persons before regulatory body or contract with state.

- (a) When any citizen of the state or business with which he or she is associated represents for a fee any person before a regulatory body of the executive branch, he or she shall report to the commission the name of any adult child, parent, spouse, brother, or sister who is a public official or a public employee of that regulatory body of the executive branch.
- (b) When any citizen of the State or business with which the person is associated enters into a contract for the sale of goods or services to the State of Alabama or any of its agencies or any county or municipality and any of their respective agencies in amounts exceeding seven thousand five hundred dollars (\$7500) he or she shall report to the commission the names of any adult child, parent, spouse, brother, or sister who is a public official or public employee of the agency or department with whom the contract is made.
- (c) This section shall not apply to any contract for the sale of goods or services awarded through a process of public notice and competitive bidding.
- (d) Each regulatory body of the executive branch, or any agency of the State of Alabama shall be responsible for notifying citizens affected by this chapter of the requirements of this section. (Acts 1973, No. 1056, p. 1699, §15; Acts 1975, No. 130, §1; Acts 1995, No. 95-194, p. 269, §1.)



State of Alabama Disclosure Statement

Required by Article 3B of Title 41, Code of Alabama 1975

ENTITY COMPLETING FORM

ADDRESS

CITY, STATE, ZIP

TELEPHONE NUMBER

STATE AGENCY/DEPARTMENT THAT WILL RECEIVE GOODS, SERVICES, OR IS RESPONSIBLE FOR GRANT AWARD

Alabama Medicaid Agency

ADDRESS

501 Dexter Avenue, Post Office Box 5624

CITY, STATE, ZIP

Montgomery, Alabama 36103-5624

TELEPHONE NUMBER

(334) 242-5833

This form is provided with:

Contract

Proposal

Request for Proposal

Invitation to Bid

Grant

Proposal

Have you or any of your partners, divisions, or any related business units previously performed work or provided goods to any State Agency/Department in the current or last fiscal year?

Yes

No

If yes, identify below the State Agency/Department that received the goods or services, the type(s) of goods or services previously provided, and the amount received for the provision of such goods or services.

STATE AGENCY/DEPARTMENT

TYPE OF GOODS/SERVICES

AMOUNT RECEIVED

Have you or any of your partners, divisions, or any related business units previously applied and received any grants from any State Agency/Department in the current or last fiscal year?

Yes

No

If yes, identify the State Agency/Department that awarded the grant, the date such grant was awarded, and the amount of the grant.

STATE AGENCY/DEPARTMENT

DATE GRANT AWARDED

AMOUNT OF GRANT

3. List below the name(s) and address(es) of all public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

NAME OF PUBLIC OFFICIAL/EMPLOYEE
DEPARTMENT/AGENCY

ADDRESS

STATE

2. List below the name(s) and address(es) of all family members of public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the public officials/public employees and State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

NAME OF FAMILY MEMBER EMPLOYED	ADDRESS	NAME OF PUBLIC OFFICIAL/ PUBLIC EMPLOYEE	STATE DEPARTMENT/ AGENCY WHERE
--------------------------------	---------	---	-----------------------------------

If you identified individuals in items one and/or two above, describe in detail below the direct financial benefit to be gained by the public officials, public employees, and/or their family members as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)

Describe in detail below any indirect financial benefits to be gained by any public official, public employee, and/or family members of the public official or public employee as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)

List below the name(s) and address(es) of all paid consultants and/or lobbyists utilized to obtain the contract, proposal, request for proposal, invitation to bid, or grant proposal:

NAME OF PAID CONSULTANT/LOBBYIST	ADDRESS
----------------------------------	---------

By signing below, I certify under oath and penalty of perjury that all statements on or attached to this form are true and correct to the best of my knowledge. I further understand that a civil penalty of ten percent (10%) of the Amount of the transaction, not to exceed \$10,000.00, is applied for knowingly providing incorrect or misleading information.

Signature	Date
-----------	------

Notary's Signature	Date	Date Notary Expires
--------------------	------	---------------------

Article 3B of Title 41, Code of Alabama 1975 requires the disclosure statement to be completed and filed with all proposals, bids, contracts, or grant proposals to the State of Alabama in excess of \$5,000.

State of _____)

County of _____)

CERTIFICATE OF COMPLIANCE WITH THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT (ACT 2011-535, as amended by Act 2012-491)

DATE: _____

RE Contract/Grant/Incentive (describe by number or subject): Enter brief contract description by and between Enter Contractor Name (Contractor/Grantee) and Alabama Medicaid Agency (State Agency or Department or other Public Entity)

The undersigned hereby certifies to the State of Alabama as follows:

1. The undersigned holds the position of _____ with the Contractor/Grantee named above, and is authorized to provide representations set out in this Certificate as the official and binding act of that entity, and has knowledge of the provisions of THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT (ACT 2011-535 of the Alabama Legislature, as amended by Act 2012-491) which is described herein as "the Act".
2. Using the following definitions from Section 3 of the Act, select and initial either (a) or (b), below, to describe the Contractor/Grantee's business structure.

BUSINESS ENTITY. Any person or group of persons employing one or more persons performing or engaging in any activity, enterprise, profession, or occupation for gain, benefit, advantage, or livelihood, whether for profit or not for profit. "Business entity" shall include, but not be limited to the following:

- a. Self-employed individuals, business entities filing articles of incorporation, partnerships, limited partnerships, limited liability companies, foreign corporations, foreign limited partnerships, foreign limited liability companies authorized to transact business in this state, business trusts, and any business entity that registers with the Secretary of State.
- b. Any business entity that possesses a business license, permit, certificate, approval, registration, charter, or similar form of authorization issued by the state, any business entity that is exempt by law from obtaining such a business license, and any business entity that is operating unlawfully without a business license.

EMPLOYER. Any person, firm, corporation, partnership, joint stock association, agent, manager, representative, foreman, or other person having control or custody of any employment, place of employment, or of any employee, including any person or entity employing any person for hire within the State of Alabama, including a public employer. This term shall not include the occupant of a household contracting with another person to perform casual domestic labor within the household.

____ (a) The Contractor/Grantee is a business entity or employer as those terms are defined in Section 3 of the Act.

____ (b) The Contractor/Grantee is not a business entity or employer as those terms are defined in Section 3 of the Act.

3. As of the date of this Certificate, Contractor/Grantee does not knowingly employ an unauthorized alien within the State of Alabama and hereafter it will not knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama;
4. Contractor/Grantee is enrolled in E-Verify unless it is not eligible to enroll because of the rules of that program or other factors beyond its control.

Certified this _____ day of _____ 20_____.

Name of Contractor/Grantee/Recipient

By: _____

Its _____

The above Certification was signed in my presence by the person whose name appears above, on

this _____ day of _____ 20_____.

WITNESS: _____

Print Name of Witness

**GOVERNOR'S ADDITIONAL CONTRACT QUESTIONS
FOR PROFESSIONAL AND PERSONAL SERVICES CONTRACTS**

PART I. Procurement method. Mark boxes as appropriate.

- Competitive sealed bids/ITBs (§ 41-4-132)**
 - This is a professional-services contract; CPO approval for use of ITB is attached.
Alabama Buys/STAARS solicitation number: _____
 - This is not a professional-services contract; no CPO approval for use of ITB required.
 - Adequate public notice of ITB was given for a reasonable time prior to bid opening.
 - Bids were opened publicly in the presence of one or more witnesses at time and place designated in the ITB.
- Competitive sealed proposals/RFPs (§ 41-4-133)**
 - Number of providers the RFP was distributed to: _____
 - Number of responses/proposals the agency reviewed: _____
 - RFP was posted to online database as required by § 41-4-66
Alabama Buys/STAARS solicitation number: _____
 - A written determination was made that accepted proposal is "most advantageous to the state."
 - Public notice of award was given promptly after contract award.
 - This is a contract for services governed by a DCM fee schedule.
 - Contract fees are within the approved DCM fee schedule.
 - DCM Director's approval for exceeding DCM fee schedule is attached.
 - This is a contract for an architect, landscape architect, engineer, land surveyor, or geoscientist.
 - A competitive, qualifications-based process was used per § 41-4-133(j).
- Small purchases (§ 41-4-134)**
 - Contract fees are below the small-purchase thresholds set forth in [Rule 355-4-3-05](#).
 - Lowest acceptable quote chosen from three written quotes solicited.
Solicitation number in Alabama Buys/STAARS is: _____
 - Per [Rule 355-4-3-05](#), no quotes required because: _____
- Sole-source procurement (§ 41-4-135)**
 - Written determination by CPO that there is only one source for the required professional service is attached.
- Emergency procurements (§ 41-4-136)**
 - Written determination for basis of the emergency and selection of the contractor attached.
 - Approval attached from CPO or agency head (not subject to delegation).
- Special procurements (§ 41-4-137)**
 - Written determination for basis of the emergency and selection of the contractor attached.
 - Approval attached from CPO or agency head.
- Physicians (§ 41-4-125.01)** – provider selected from Medical Licensure Commission list.
- Attorneys (§ 41-4-125)**
 - Litigation (Hourly)
 - DAG appointment letter attached.
 - Governor's rate approval letter attached. (See [EO 726](#), ¶ 3.b.)
 - Litigation (Contingency Fee)
 - DAG appointment letter attached.
 - Written determination attached as required by § 41-4-125(d)(1).
 - Fee within limits prescribed by § 41-4-125(d)(2)-(3) or AG/Governor written authorization for exceeding limits is attached as required by § 41-4-125(d)(5).
 - AG's standard contract addendum attached per § 41-4-125(d)(7).
 - Non-litigation
 - Justification letter attached for not using in-house counsel or AG.

Appendix C – Pricing

This section provides detailed instructions to completing the Appendix C – Pricing. **Appendix C – Pricing Schedule is available via the Alabama Medicaid Procurement website (https://medicaid.alabama.gov/content/2.0_Newsroom/2.4_Procurement.aspx)**

Inclusion of additional information not requested in Appendix C or alteration of the forms, in any way, may be grounds for Vendor proposal disqualification. Include all costs for furnishing the product(s) and/or service(s) included in this proposal. Failure to provide any requested information in the prescribed format may result in disqualification of the proposal. Appendix C must be signed (as designated on the Cover Page) and dated by an authorized Vendor signatory.

1. Pricing Schedules Package

Vendors must enter in the Pricing Schedule, their firm fixed prices and rates representing the fixed, not estimated, prices and rates that the Vendor will charge to complete this project according to the requirements and parameters of the schedules. Estimated prices and rates responses will not be evaluated, will not be considered, and will be deemed non-responsive. The Vendor must enter all required price information in schedules A through D. A signature on a printed copy of each pricing schedule is required. The electronic, soft copy file must also be included with the Vendor's submission.

Pricing Schedules that do not meet all of the above criteria will be considered non-responsive and not evaluated any further. Payments will be based upon contracted services actually performed in accordance with the proposed Firm Fixed Prices and Rates as indicated in the following documents:

1. RFP Cover Sheet
2. Pricing Schedule A – Total Evaluated Price
3. Pricing Schedule B – Deliverables Evaluated Price
4. Pricing Schedule C – Operations Evaluated Price
5. Pricing Schedule D – Extra Contractual Services Price
6. Pricing Schedule E – Pass Through Costs

The file PM RFP Appendix C – Pricing Schedule.xlsx for this RFP is available for download with the RFP in Alabama Medicaid Procurement website. This workbook was created and tested using Microsoft Excel 2016, but Vendors are responsible for verifying all of their entries and their totals. These workbook forms must be completed, printed, and submitted in paper form to the Agency. Vendors must also save a copy of the workbook file to include identification in the filename (*short or abbreviated corporate/company name*, for example: PM RFP Appendix C – Pricing Schedules – *Acme* PM.xlsx). This electronic, soft copy file must also be included with the Vendor's submission. Do not protect the file from reading, copying, or printing; unusable files will be considered non-responsive.

Where a signature block is indicated, the pricing schedule must be printed, complete, correct, signed, and dated by an appropriate corporate official.

2. Pricing Schedule A – Total Evaluated Price

To complete Schedule A, Vendors must adhere to the following Notes:

- Vendors must enter on Cost Proposal Schedule A the name of the corporation or other legal entity as entered on the Transmittal Letter, in cell D-E6, in the green shaded cell.
- The pricing data from schedules B through D will be auto filled into Schedule A.
- The sum of the values populated in cells E11 through E18 should equal the value displayed in cell E10. These eight values in cells E11 through E18 must be used to populate the "Firm and Fixed Price" on

the RFP Cover Sheet.

- The value displayed in cell E8, TOTAL EVALUATED PRICE, will be the maximum contract value. It must equal the value displayed in cell E10. The contract cannot exceed this value.
- The TOTAL EVALUATED PRICE in cell E8 will be used to calculate the Cost Proposal score in RFP Section VII.E. – Evaluation and Selection Process – Scoring.
- When the Vendor has completed all schedules, verify that all entries are accurate and complete, and verify your totals. This pricing schedule workbook was created and tested only in Microsoft Excel 2016®.
- Print out Schedule A. A printed Schedule A must be signed and dated and returned with the proposal submission.
- The electronic "soft copy" file must also be included with the Vendor's submission.

3. Pricing Schedule B – Deliverables Price

To complete Schedule B, Vendors must adhere to the following Notes:

- Pricing Schedule B must be completed by all Vendors. The workbook will transfer values to Schedule A, but Vendors must verify that the totals are correct.
- Enter data in green shaded cells.
- Enter the bid price for the required Design, Development, and Implementation contract items.
- Deliverables will be paid at the package level. Once all deliverables contained in a package have been approved the vendor can invoice the package to receive payment.
- The sum of each individual Design, Development, and Implementation contract item will be added to the TOTAL EVALUATED PRICE on Schedule A.
- The TOTAL EVALUATED PRICE will be used to calculate the Pricing Schedule score in RFP Section VII.E. – Evaluation and Selection Process – Scoring.
- The winning Vendor's prices on Schedule B will become part of the firm fixed contract price. The detailed timing and invoicing of individual Design, Development, and Implementation contract items will be agreed upon in the Initiation and Planning Phase.
- When Schedule B has been completed, verify that all entries are accurate and complete, and verify your totals. This pricing schedule workbook was created and tested only in Microsoft Excel 2016®.
- Print out Schedule B. A printed Schedule B must be signed and dated and returned with the bid submission.

4. Pricing Schedule C – Operations Evaluated Price

To complete Schedule C, Vendors must adhere to the following Notes:

- Cost Proposal Schedule C must be completed by all Vendors. The workbook will transfer values to Schedule A, but Vendors must verify that totals are correct.
- Enter data in green shaded cells.
- Enter the monthly proposal price to operate each of the required Design Development and Implementation (DDI) elements, outlined in the table. The Vendor's cost for operations needs to account for cost of items such as hardware, software, staffing, and deliverable updates. Examples of deliverable updates include; Training Curriculum, System Security Plan (SSP), Authorization Package, Test Evaluation and Management Plan (TEMP), Detailed Test Plan, Testing Phase Acceptance, PM Implementation Management Plan, Deployment Plan, Environmental Monitoring Plan (EMP), Systems Operations Manual, Systems User Manuals, System Operation Management Plan, Service Desk Management Plan, and Turnover Management Plan. All operational costs should be included in the firm and fixed price for Operations (Schedule C).
- Enter the price of each yearly operational component, which will be added to the Firm and Fixed Total Price on Schedule A.
- The Firm and Fixed Total Price will be used to calculate the Cost Proposal score in RFP Section VII.E. – Evaluation and Selection Process – Scoring.

- The winning Vendor's prices on Schedule C will become part of the firm fixed contract price. The detailed timing and invoicing of operational components will be agreed upon in the Initiation and Planning Phase.
- When Schedule C has been completed, verify that all entries are accurate and complete, and verify our totals. This pricing schedule workbook was created and tested only in Microsoft Excel 2016®.
- Print out Schedule C. A printed Schedule C must be signed and dated and returned with the proposal submission.

5. Pricing Schedule D – Extra Contractual Services Price

To complete Schedule D, Vendors must adhere to the following Notes:

- Cost Proposal Schedule D must be completed by all Vendors. The workbook will transfer values to Schedule A, but Vendors must verify that totals are correct.
- Enter data in green shaded cells.
- Enter an Hourly Personnel Rate for Extra Contractual services -- the single firm fixed aggregate hourly rate for personnel to develop and execute extra contractual services.
- For proposal evaluation only, the Agency will use 8,400 personnel-hours expended in each year in contract years one (1) through eight (8) to calculate the extra contractual services evaluated price. The extra contractual services evaluated price will be added to the Firm and Fixed Total Price on Schedule A.
- The Firm and Fixed Total Price will be used to calculate the Cost Proposal score in RFP Section VII.E. – Evaluation and Selection Process – Scoring.
- The number and scope of extra contractual services to be issued has not been determined by the Agency. The Vendor's proposal is ceiling value, but not a guaranteed contract amount. The amount to be paid by the Agency--if any--will be determined as required for each extra contractual service that may be required in the future.
- When Schedule D has been completed, verify that all entries are accurate and complete, and verify your totals. This pricing schedule workbook was created and tested only in Microsoft Excel 2016®.
- Print out Schedule D. A printed Schedule D must be signed and dated and returned with the proposal submission.

6. Pricing Schedule E – Pass-through Costs

To complete Schedule E, Vendors must adhere to the following Notes:

- The Agency has established an annual maximum pass-through expense. Vendors do not provide any additional price quotes.
- The workbook will transfer values to Schedule A, but vendors must verify that the totals are correct.
- The Firm and Fixed Total Price will be used to calculate the Cost Proposal score in RFP Section VII.E. – Evaluation and Selection Process – Scoring.
- This pricing schedule workbook was created and tested only in Microsoft Excel 2016®.
- Print out Schedule E. A printed Schedule E must be signed and dated and returned with the proposal submission.

Appendix D – Contract Deliverables Table

The following contract deliverables table provides the list of deliverables required for submission under the AMMP – PM Contract. The table provides fields that designate the following:

1. Deliverable Unique Identifier
2. Deliverable Name
3. (Brief) Deliverable Description
4. RFP Sectional Reference (Requirement ID)
5. (Expected) Delivery & Update Frequencies

As previously discussed in the [Section II. Scope of Work PM Deliverable](#), the Agency reserves the right to make deliverable template updates, changes, or additions at any time over the course of the contract engagement. Additionally, the PM Services Contractor shall attest to the following deliverable expectations:

- a) Submission of all deliverable templates/ Deliverable Expectation Documents (DEDs) for Agency review/approval prior to usage
- b) Sole responsibility for keeping PM-related documentation current as changes occur through the Change Management process
- c) Continuous (previously approved) deliverable maintenance, updates, and revisions (as necessary and requested by the Agency) over the term of the Contract

Master ID	Req. ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
AMA_01	4970	AMA Attestation and Agreement document	The Contractor shall, within four (4) weeks from the Contract start date, sign and submit the AMA Attestation and Agreement Document that states they understand the AMMP plans, guides, and templates and they agree to follow them.	Four (4) weeks from Contract Start	One time submission
SEC_01	6458	System Security Plan	The Contractor shall submit a System Security Plan (SSP) through the Agency GRC Management Tool twelve (12) weeks after Contract Start. The Contractor shall maintain and update the SSP (as submitted and approved) through the Agency GRC Management Tool, updating the PM SSP no more than twelve (12) months after prior submittal (as per NIST SP 800-18 Rev 1 Guide for Developing Security Plans for Federal Information Systems).	Twelve (12) weeks after contract start	Every twelve (12) months

Master ID	Req. ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
SEC_02	6453	Authorization Package	The Contractor shall develop and submit and Authorization Package to the Agency for review and approval . The Authorization Package shall be kept current with a formal review every twelve (12) months. The Contractor shall develop the Authorization Package using Authorization Process (PM-10) as a template.	Ninety (90) calendar days prior to the start of the Implementation Phase	Every twelve (12) months
COOP_01	6434	Continuity of Operations Plan	The Contractor shall develop and submit a Continuity of Operations Plan (COOP) to the Agency for review and approval sixty (60) calendar days after contract start. The COOP shall be kept current with a formal review every six (6) months and at the start of the Implementation Phase.	Sixty (60) calendar days after contract start	Every six (6) months and at the start of the Implementation Phase
DRP_01	6438	Disaster Recovery Plan	The Contractor shall develop and submit a Disaster Recovery Plan to the Agency within sixty (60) calendar days of contract start for review and approval. The DRP shall be kept current with an update every six (6) months and at the start of the Implementation Phase.	Sixty (60) calendar days after contract start	Every six (6) months and at the start of the Implementation Phase
PFM_01	6463	System Health Dashboard	The Contractor shall provide a System Health Dashboard at the start of the Implementation Phase that presents a near real-time, consolidated display of health and performance of the PM module.	Start of the Implementation Phase	Near real-time
PFM_02	6362	CMS Metrics, SLAs, and KPIs Dashboard	The Contractor shall provide a configurable and interactive dashboard that provides real-time information that is used to track CMS-required metrics, Service Level Agreements (SLAs) and Key Performance Indicators (KPIs) that are agreed upon by the Agency.	Ninety (90) calendar days prior to the start of the Implementation Phase	Monthly

Master ID	Req. ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
DAT_01	6063	Data Management Plan	The Contractor shall develop and submit a Data Management Plan (DMP) to the Agency for review and approval two (2) months after Contract Start. The DMP shall align with the DGO Data Management Plan and describe how the Contractor handles data, ensures data quality and consistency, increases accountability, improves data security, and optimizes data usage. The Contractor shall keep current the DMP with a formal review every six (6) months.	Two (2) months after contract start	Every six (6) months
DAT_02	6049	Data Transfer and Conversion Management Plan	The Contractor shall develop and submit a Data Transfer and Conversion Management Plan to the Agency for review and approval six (6) months after contract start. The Data Transfer and Conversion Management Plan shall use the Cleanup and Conversion Management Template (COM-15-02). The Data Transfer and Conversion Management Plan shall be updated every ninety (90) calendar days until the end of the Post Implementation Phase.	Six (6) months after Contract Start	Every ninety (90) calendar days until the end of the Post Implementation Phase
DAT_03	6497	Data Models	The Contractor shall provide the data models for the Provider Management solution to the Agency for review and approval six (6) months after Contract Start. The data models shall be kept current with a formal review every six (6) months.	Six (6) months after Contract start	Every six (6) months

Master ID	Req. ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
DAT_04	6062	Interface Control Document	The Contractor shall develop and submit Interface Control Documents (ICDs) for all interfaces between modules and outside entities to the Agency for review and approval six (6) months after contract start. The Contractor shall develop the ICDs using the Interface Control Document Template (EA-k-7). The Contractor shall keep current the ICDs with a formal review every six (6) months.	Six (6) months after contract start	Every six (6) months
PM_01	5982	CHOW Transition Plan Template	The Contractor shall develop and submit a CHOW Transition Plan Template to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The CHOW Transition Plan Template shall be kept current with a formal review every six (6) months.	Ninety (90) calendar days prior to the start of the Implementation Phase	Every six (6) months
PM_02	6352	Provider Disenrollment Package Template and Documentation	The Contractor shall develop and submit a Provider Disenrollment Package Template to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Provider Disenrollment Package Template shall be kept current with a formal review every six (6) months.	Ninety (90) calendar days prior to the start of the Implementation Phase	Every six (6) months
PM_03	5984	Provider Management Operations Manual and Desk Procedures	The Contractor shall develop and submit a Provider Management Operations Manual and Desk Procedures to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Provider Management Operations Manual and Desk Procedures shall be kept current with a formal review every six (6) months.	Ninety (90) calendar days prior to the start of the Implementation Phase	Every six (6) months

Master ID	Req. ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
PM_04	6389	Standard Correspondence Templates	The Contractor shall develop and submit standard correspondence templates for letters, forms, and alerts to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The standard correspondence templates shall be kept current with formal review every six (6) months.	Ninety (90) calendar days prior to the start of the Implementation Phase	Every six (6) months
PM_05	5705	Targeted Provider Enrollment Outreach Plan	The Contractor shall develop and submit a Targeted Provider Enrollment Outreach Plan to the Agency for review and approval prior to the end of September of the first year of the Operations Phase. The Targeted Provider Enrollment Plan shall be kept current with a formal review every ninety (90) calendar days.	End of September of the first year of the Operations Phase	Every ninety (90) calendar days
PM_06	5706	Outreach Summary Report	The Contractor shall provide an Outreach Event Summary Report to the Agency for review and approval within seven (7) business days after the provider outreach event.	Seven (7) business days after the provider outreach event	Each Provider Outreach Event
PM_07	5913	Annual Outreach Review and Assessment Report	The Contractor shall develop and submit an Outreach Review and Assessment Report to the Agency for review and approval each July, starting the first year of the Operations Phase. The Contractor shall collaborate with the Agency and the Fiscal Agent Contractor to develop the Annual Outreach Review and Assessment Report documenting and evaluating the effectiveness of the steps executed from the previous twelve (12) months' Targeted Provider Enrollment Plans.	July of first year of Operations Phase	Every twelve (12) months

Master ID	Req. ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
PM_08	6400	Performance Improvement Action Plan Template	The Contractor shall create and submit a Performance Improvement Action Plan (PIAP) Template to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The PIAP Template shall be kept current with a review every six (6) months.	Ninety (90) calendar days prior to the start of the Implementation Phase	Every six (6) months
PM_09	5919	Provider Application Quality Assurance Plan	The Contractor shall develop and submit a Provider Application Quality Assurance Plan to the Agency six (6) months prior to module go-live as part of the Provider Management Operations Manual. The Provider Application Quality Assurance Plan will outline the Contractor's approach to operating the Contractor's Provider Application Quality Assurance Program. The Provider Application Quality Assurance Plan shall be kept current and reviewed every six (6) months with the Agency.	Six (6) months prior to module go-live	Every six (6) months
PRJ_01	6448	Project Progress Report	The Contractor shall develop and submit a Weekly Project Progress Report to the Agency for review and approval by Close of Business (COB) each Friday, beginning four (4) weeks after Contract Start.	Four (4) weeks after contract start	Weekly
PRJ_02	6440	Project Status Report	The Contractor shall develop and submit a Monthly Project Status Report to the Agency for review and approval four (4) weeks after the contract start. The Contractor shall develop the Monthly Project Status Report using the AMMP Status Report Template (COM-12-1).	Four (4) weeks after contract start	Monthly
PRJ_03	6439	Kick-off Presentation	The Contractor shall develop and submit a Kick-off Presentation, for each phase of the project, to the Agency for review and approval five (5) business days prior to the phase Kick-off Meeting.	Five (5) business days prior to the Kick-off Meeting	With each Phase Kick-off

Master ID	Req. ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
PRJ_04	4745, 4746	Project Schedule	The Contractor shall provide a Project Schedule that uses the approved AMMP Program Wide Integrated Master Schedule Template (PMO-2-q-02) and follows the expectations defined within the Integrated Master Schedule Management Plan (PMO-2-q) to be submitted to the Agency twelve (12) weeks from the contract start date. If the schedule is not approved fourteen (14) weeks from the contract start date, then daily meetings will occur until the project schedule is approved. The Contractor shall submit weekly (close of business Thursday) schedule updates to the Agency utilizing the Agency-approved documentation storage solution (e.g., SharePoint).	Twelve (12) weeks after contract start	Weekly
PRJ_05	4950	Contract Discovery Document	The Contractor shall use AMMP Contract Discovery Template (PMO-2-w-01) to record the Contractor's questions in any aspect of the Contract and submit it to the Agency five (5) business days before the first contract discovery session.	Five (5) business days prior to the first contract discovery session	One time submission
PMP_01	4776	Project Management Plan	The Contractor shall develop and submit a Project Management Plan (PMP) to the Agency within eight (8) weeks from Contract Start for review and approval. The Contractor shall update the PMP every six (6) months through the term of the Contract.	Eight (8) weeks after contract start	Every six (6) months
PMP_02	4766	Project Initiation and Approach Plan	The Contractor shall develop and submit Project Initiation and Approach Plan to the Agency within six (6) weeks from Contract Start for review and approval. The Contractor shall update the Project Initiation and Approach Plan every six (6) months through the term of the Contract.	Six (6) weeks after contract start	Every six (6) months

Master ID	Req. ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
PMP_03	4750	Quality Management Plan	The Contractor shall develop and submit a Quality Management Plan to the Agency within six (6) weeks from Contract Start for review and approval. The Contractor shall update the Quality Management Plan every six (6) months through the term of the Contract.	Six (6) weeks after contract start	Every six (6) months
PMP_04	4754	Communication Management Plan	The Contractor shall develop and submit a module-specific Communication Management Plan and a Responsibility Assignment Matrix to the Agency within eight (8) weeks from Contract start for review and approval. The contractor shall update the module specific Communication Management Plan and Responsibility Assignment Matrix every six (6) months through the term of the Contract.	Eight (8) weeks after contract start	Every six (6) months
PMP_05	4779	Stakeholder Management Plan	The Contractor shall develop and submit a Stakeholder Management Plan to the Agency within six (6) weeks from Contract Start for review and approval. The Contractor shall update the Stakeholder Management Plan every six (6) months through the term of the Contract.	Six (6) weeks after contract start	Every six (6) months
PMP_06	6443	Resource Management Plan	The Contractor shall develop and submit a Resource Management Plan to the Agency for review and approval eight (8) weeks from Contract Start. The Resource Management Plan shall be kept current with a formal review every six (6) months. The Resource Management Plan shall include personnel, position/contract area, and responsibilities.	Eight (8) weeks after contract start	Every six (6) months

Master ID	Req. ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
REQ_01	4967	Requirements Validation Plan	The Contractor shall develop and submit a Requirements Validation Plan to the Agency within two (2) weeks after the last Contract Discovery session for review and approval.	Two (2) weeks after the last Contract Discovery Session	One time submission
REQ_02	4734	Gap Analysis Document	The Contractor shall develop a Gap Analysis Document and submit to the Agency within three (3) weeks after the requirement validation sessions are complete for review and approval.	Three (3) weeks after Requirement Validation Sessions	One time submission
REQ_03	4965, 4966	Requirement Traceability Matrix	The Contractor shall develop and submit an initial weekly extract of requirements using the REQ-2-a3-4-01 template format to the Agency three (3) weeks after the RMT Overview meeting. The Contractor shall develop and submit weekly extracts of requirements using the REQ-2-a3-4-01 template format to the Agency through the term of the Contract.	Three (3) weeks after the RMT Overview Meeting	Weekly
RPT_01	6385	Report Library Reconciliation Document	The Contractor shall develop and submit a Report Library Reconciliation Document to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase.	Ninety (90) calendar days prior to the start of the Implementation Phase	One time submission
RPT_02	6361	Report Catalog	The Contractor shall develop and submit an online Report Catalog to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Report Catalog shall be kept current with a formal review every six (6) months	Ninety (90) calendar days prior to the start of the Implementation Phase	Every six (6) months

Master ID	Req. ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
RPT_03	6350	Report Usage Metrics Document	The Contractor shall develop and submit a Report Usage Metrics Document to the Agency for review and approval three (3) months after the Implementation Date. The Report Usage Metrics Document shall be kept current with a formal review every twelve (12) months. The Report Usage Metrics Document will include, but not be limited to, system-generated report usage metrics and suggestions for report creation and report archival.	Three (3) months after the Implementation Date	Every twelve (12) months
TUR_01	6451	Initial Turnover Management Plan	The Contractor shall develop and submit an initial Turnover Management Plan to the Agency for review and approval six (6) months after the Contract Start.	Six (6) months after contract start	One time submission
TUR_02	6499	Updated Turnover Management Plan	The Contractor shall submit an updated Turnover Management Plan to the Agency for review and approval ninety (90) calendar days prior to the beginning of the Turnover and Closeout Phase.	Ninety (90) calendar days prior to the beginning of the Turnover and Closeout Phase	One time submission
TUR_03	4783	Turnover Status Report	The Contractor shall provide a Turnover Status Report monthly during the first three quarters of the turnover period, with weekly updates thereafter until the term of the Contract. The Turnover and Closeout phase is defined as the last twelve (12) months before to the end of the Contract.	Twelve (12) months prior to the term of the contract	Monthly for the first three (3) quarters of the Turnover and Closeout Phase; weekly for the fourth quarter of the Turnover and Closeout Phase
TUR_04	6437	Turnover and Closeout Phase Schedule	The Contractor shall develop and submit a detailed Turnover and Closeout Phase schedule to the Agency for review and approval ninety (90) calendar days prior to the start of the Turnover and Closeout Phase.	Ninety (90) calendar days prior to the start of the Turnover and Closeout Phase	Six (6) weeks after the new contract start; weekly through the term of the contract

Master ID	Req. ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
DDI_01	5294	Detailed Technical Architecture Package	The Contractor shall develop and submit a Detailed Technical Architecture Package (DTAP) to the Agency six (6) months after the contract start for review and approval. The Contractor shall update the DTAP every six (6) months through the term of the contract.	Six (6) months after contract start	Every six (6) months
DDI_02	4732	Concept of Operations	Alabama Medicaid has developed a Concept of Operations (CONOPS) document (EA-f) for the Alabama Medicaid Management Information System. In support of the effort, the Contractor shall provide an PM CONOPS, using the AMMP CONOPS template (EA-f-01).	Eight (8) weeks after contract start	Every six (6) months
DDI_03	6433	Configuration Management Plan	The Contractor shall develop and submit a Configuration Management Plan (CMP) to the Agency for review and approval six (6) months after contract start. The CMP shall align with the AMMP Configuration Management Plan (PMO-2-r) and conform to industry project management standards and sufficiently address the challenges represented within a multi-Contractor, integrated systems solution. The CMP shall be kept current with a formal review every six (6) months.	Six (6) months after contract start	Every six (6) months
DDI_04	6399	Configuration Management Summary Report	The Contractor shall develop and submit a Configuration Management Summary Report to the Agency for review and approval with the first release. The Configuration Management Summary Report shall be kept current and submitted with every release.	With first release	With every release

Master ID	Req. ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
DDI_05	5286	Detailed Product Design	The Contractor shall produce a Detailed Product Design (DPD) document eight (8) weeks after the requirement validation sessions have been completed. When there are sub-functional areas, the Contractor must produce a Sub Detailed Product Design (Sub-DPD) document. The Contractor must use the Agency-provided templates for the DPD and Sub-DPD. Once operational, the DPD or Sub-DPD will need to be updated prior to system changes being released.	Eight (8) weeks after Requirement Validation Sessions	With every release
DDI_06	6450	Implementation Management Plan – System	The Contractor shall develop and submit an IM Plan – System to the Agency for review and approval ninety (90) calendar days prior to the start of the implementation phase. The IM Plan – System shall be kept current with a formal review with every release.	Ninety (90) calendar days prior to the start of the Implementation Phase	With every release
DDI_07	6449	Implementation Management Plan – Operations	The Contractor shall develop and submit an IM Plan – Operations to the Agency for review and approval ninety (90) calendar days prior to the start of the implementation phase. The IM Plan – Operations shall be kept current with a formal review with every release.	Ninety (90) calendar days prior to the start of the Implementation Phase	With every release
DDI_08	6435	Deployment Plan	The Contractor shall develop and submit a Deployment Plan to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Deployment Plan shall be kept current with a formal review with every release.	Ninety (90) calendar days prior to the start of the Implementation Phase	With every release

Master ID	Req. ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
DDI_09	6441	Post Implementation Summary Report	The Contractor shall develop and submit a Post Implementation Summary Report to the Agency for review and approval thirty (30) calendar days after the implementation date. A Post Implementation Summary Report shall be provided for each release.	Thirty (30) calendar days after implementation date	With every release
DDI_10	6442	Release Listing Document	The Contractor shall develop and submit a Release Listing Document to the Agency for review and approval five (5) business days prior to the release being applied to the environment. The Release Listing Document shall be finalized no later than noon of the business day following the release, including verified changes that were applied.	Five (5) business days prior to each release for the term of the Contract	Four (4) business hours after each release
TST_01	6446	Test Evaluation and Management Plan	The Contractor shall develop and submit a Test Evaluation and Management Plan (TEMP) to the Agency for review and approval four (4) months after the contract start. The TEMP shall be kept current with a formal review every six (6) months.	Four (4) months after contract start	Every six (6) months
TST_02	6436	Detailed Test Plan	The Contractor shall develop and submit a Detailed Test Plan to the Agency for review and approval four (4) months after the contract start. The Detailed Test Plan shall be kept current with a formal review every six (6) months and ninety (90) calendar days prior to the start of the Test Phase.	Four (4) months after contract start	Every six (6) months and ninety (90) calendar days prior to the start of the Test Phase
TST_03	5311	Test Phase Acceptance Package	The Contractor shall develop and submit a Test Phase Acceptance (TPA) Package to the Agency at the end of each test phase (SIT, End-to-End, and UAT) for review and approval.	Five (5) business days after the end of each Test Phase	One time submission with each Test Phase

Master ID	Req. ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
OPS_01	6026	Environmental Monitoring Plan	The Contractor shall develop and submit an Environmental Monitoring Plan (EMP) to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The EMP shall be kept current with a formal review annually.	Ninety (90) calendar days prior to the start of the Implementation Phase	Every twelve (12) months
OPS_02	6406	Environmental Monitoring Dashboard	The Contractor shall develop and submit an Environmental Monitoring Dashboard to the Agency for review and approval sixty (60) calendar days after the approval of the EMP.	Sixty (60) calendar days after the approval of the EMP	One time submission
OPS_03	6452	Operations Management Plan	The Contractor shall develop and submit an Operations Management Plan to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Operations Management Plan shall be kept current with a formal review every six (6) months.	Ninety (90) calendar days prior to the start of the Implementation Phase	Every six (6) months
OPS_04	6444	System Operations Manual	The Contractor shall develop and submit a System Operations Manual to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The System Operations Manual shall be kept current with a formal review annually.	Ninety (90) calendar days prior to the start of the Implementation Phase	Every twelve (12) months
OPS_05	6445	System User Manual	The Contractor shall develop and submit a System User Manual to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The System User Manual shall be kept current with a formal review with every release.	Ninety (90) calendar days prior to the start of the Implementation Phase	With every release
OPS_06	5908, 5909	Monthly Operations Status Report	The Contractor shall provide a Monthly Operations Status Report, using a template approved by the Agency, three (3) business days in advance of the monthly Operations Status Meeting.	Three (3) business days prior to the first monthly Operations Status Meeting	Monthly

Master ID	Req. ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
CRT_01	6422	Certification Management Plan	The Contractor shall develop and submit a Certification Management Plan to the Agency for review and approval ninety (90) calendar days after the Contract Start. The Contractor shall develop the Certification Management Plan to align with the AMMP Certification Support Management Plan (COM-16). The Certification Management Plan shall be kept current with a formal review every six (6) months.	Ninety (90) calendar days after contract start	Every six (6) months
CRT_02	6465	Alabama Operational Report Workbook	The Contractor shall complete and submit the Alabama Operational Report Workbook for the module solution to the Agency for submission to CMS at all phases required by CMS.	Thirty (30) calendar days prior to ORR	As required by CMS
CRT_03	4554, 4555, 4558, 4561, 4562, 4563, 5284, 6465, 6467	Operational Readiness Review Evidence, Documentation, and Support	Develop and provide necessary evidence needed to prepare for the Operational Readiness Review with CMS/MITRE. Includes advance preparation support, presentation support, and follow-up responses to CMS provided to the Agency before, during, and following the ORR for PM, culminating in Operational Readiness approval from CMS.	Three (3) months prior to the start Implementation Phase	One time submission
CRT_04	4554, 4555, 4558, 4561, 4562, 4563, 5284, 6465, 6467	Certification Review Evidence, Documentation, and Support	Develop and provide necessary evidence and metrics needed to prepare for the Certification Review with CMS/MITRE. Includes advance preparation support, presentation support, and follow-up responses to CMS provided to the Agency before, during, and following the CR for PM, culminating in Certification approval from CMS.	Six (6) months after Implementation date	One time submission

Master ID	Req. ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
CRT_05	6466	Certification Support and Turnover Plan	The Contractor shall develop and submit a Certification Support and Turnover Plan to the Agency for review and approval ninety (90) calendar days after the Contract Start. The Contractor shall develop the Certification Support and Turnover Plan using the Certification Support and Turnover Plan Template (COM-16-01). The Certification Support and Turnover Plan shall be kept current with a formal review every six (6) months.	Ninety (90) calendar days after contract start	Every six (6) months
CHG_01	4753	Change Management Plan	The Contractor shall develop and submit to the Agency a module-specific Change Management Plan that aligns with the AMMP Change Management Plan, within eight (8) weeks from Contract start for review and approval. The Contractor shall update the module-specific Change Management Plan every six (6) months through the term of the Contract.	Eight (8) weeks after contract start	Every six (6) months
CHG_02	6426	Annual Report of Suggested Improvements	The Contractor shall produce an annual report of suggested improvements with high-level estimates of effort to any system, maintenance, modification, or other work requests. A meeting shall be scheduled with the Agency one (1) week after delivery of the report.	Thirty (30) calendar days prior to the Implementation Date	Every twelve (12) months
TUS_01	6460	Service Desk Management Plan	The PM Services Contractor shall develop and submit a Service Desk Management Plan (SDMP) ninety (90) calendar days prior to the start of the Implementation Phase. The Service Desk Management Plan shall be kept current with a formal review annually.	Ninety (90) calendar days prior to the start of the Implementation Phase	Every twelve (12) months

Master ID	Req. ID	Deliverable Name	Deliverable Description	Initial Delivery Date	Frequency
TUS_02	5800	Service Desk Standard Operating Procedures	The Contractor shall develop and submit a Service Desk Standard Operating Procedures to the Agency ninety (90) calendar days prior to the start of the implementation period for review and approval. The Service Desk Standard Operating Procedures shall be kept current with an update every six (6) months.	Ninety (90) calendar days prior to the start of the Implementation Phase	Every six (6) months
TUS_03	6496	Service Desk User Manual	The Contractor shall develop and submit a Service Desk User Manual to the Agency for review and approval ninety (90) calendar days prior to the start of the Implementation Phase. The Service Desk User Manual shall be kept current with a formal review every six (6) months.	Ninety (90) calendar days prior to the start of the Implementation Phase	Every six (6) months
TRG_01	6447	Training and Knowledge Plan	The Contractor shall develop and submit a Training and Knowledge Plan to the Agency for review and approval eight (8) weeks after Contract Start. The Training and Knowledge Plan shall be kept current with a formal review every six (6) months.	Eight (8) weeks after contract start	Every six (6) months
TRG_02	6481, 6454, 4686	Training Materials	The Contractor shall develop and submit Training Materials to the Agency for review and approval at the start of the Implementation Phase. The Training Materials shall be kept current with a formal review with every release.	At start of the Implementation Phase	With every release
TRG_03	4697	Training Curriculum	The Contractor shall provide a Training Curriculum developed in collaboration with the OCM team, finalized, and submitted to the Agency for review and approval a minimum of sixty (60) calendar days before any scheduled training delivery.	Sixty (60) calendar days prior to scheduled training delivery	Prior to scheduled training delivery

Appendix E – Requirements Response Matrix

Inclusion of additional information not requested in Appendix E, or alteration of the forms, in any way, may be grounds for Vendor proposal disqualification. Vendors must enter the name of the corporation or other legal entity as entered on the Transmittal Letter, in the green shaded cells in the cost proposal spreadsheet.

Download and save a copy of the Requirements Response Matrix (RRM) workbook as “RFP_AMMP_PM_RRM_VENDOR NAME,” inserting your organization's name in place of VENDOR NAME.

Requirements have been pre-loaded and numbered to align with the Agency's requirement management software, and cross referenced to the applicable RFP Section/Sub-Section.

Vendors are to make selections of pre-populated answers for columns F – K within the “System Requirements” tab, columns F – G within the "Non-System Requirements" tab, and columns F – G within the "Deliverable Requirements" tab contained in this Excel workbook, in accordance with the instructions below and as informed by the RFP narrative document.

System Requirements Response Matrix Tab Categorical Legend (Columns F - K):
Column F - Proposal Status
A - Included in the base release of the proposed solution; no configuration or custom development necessary.
B - Is an integrated third-party product (COTS); requires no configuration or custom development to satisfy RFP requirements.
C - Requires configuration of the base solution or integrated third party product (COTS).
D- Requires customization of an integrated third-party product (COTS) or base solution.
Column G – Production Status
P1 - This functionality is currently offered, and in use by other customers/clients.
P2 - This functionality is currently offered, but not in use by other customers/clients.
P3 - This functionality is not currently offered, but under development and will be available by the time of system go live or within 12 months.
P4 - This functionality is not currently offered, but will develop to fulfill.
P5 - This functionality is not offered and will not be part of the proposed solution.
Column H – Product Type
SaaS – Software as a Service
PaaS – Platform as a Service
COTS – Commercial Off the Shelf
OS – Open Source Solution
CS – Custom Solution
Column I – Hosting
T – Third Party Hosting
F – FedRAMP Moderate Cloud Hosted
O – Other
Column J – Security Tested
Y – The functionality has been security tested based on NIST 800-53. (NOTE: The “Y” value can be applied to Hosting and Environment requirements when the security testing that indicates that the solution is Federal Risk and Authorization Management Program (FedRAMP) Compliant, has a FedRAMP Risk Assessment that indicates compliance, or has a documented NIST 800-53 at a “moderate” system risk assessment designation).
N – The application has not been security tested based on NIST 800-53.
Column K – Requirements Response Notes:

System Requirements Response Matrix Tab Categorical Legend (Columns F - K):

Vendors are to provide a short, narrative explanation in Column L of the "System Requirements" to further explain and/or justify the selections made in Columns F - J.

Non-System Requirements Response Matrix Tab Categorical Legend (Columns F & G):

Column F - Vendor Experience

E1 - Have performed this in previous engagements with define procedures

E2 - Have performed this in previous engagements without define procedures

E3 - Have not performed this in previous engagements

Column G – Requirements Response Notes:

Vendors are to provide a short, narrative explanation in Column G of the "Non-System Requirements" to further explain and/or justify the selections made in Column F.

Print out all requirements tabs including "System Requirements", "Non-System Requirements", and "Deliverable Requirements" (all pages). All must be signed, dated, and returned with the bid submission.

Alabama Medicaid Procurement website

https://medicaid.alabama.gov/content/2.0_Newsroom/2.4_Procurement.aspx

Appendix F – RFP Documentation

Procurement Library Contents

Alabama Medicaid Procurement website

(https://medicaid.alabama.gov/content/2.0_Newsroom/2.4_Procurement.aspx)

1. PL01_2023 Holiday Schedule
2. PL02_Medicaid Enterprise Security Policy - Full Set - Moderate v1.4
3. PL03_AMMP Attestation and Agreement Document
4. PL04_AMA Data Governance Memo 918
5. PL05_AMA Data Management Plan Document
6. PL06_Data Governance Vendor Compliance
7. PL07_MMIS Concept of Operations
8. PL08_AMMP Plans Guides and Templates
9. PL09_MES Technical Reference Architecture - EA-k-1
10. PL10_AMMP Roadmap
11. PL11_Introduction to the Data Governance Framework
12. PL12_PM-9 AMA ISO Medicaid Risk Management Strategy
13. PL13_2019 AMA MITA Maturity Matrix
14. PL15_Vendor Question Template
15. PL16_AMA IST Governance SharePoint Site Request Form
16. PL17_AMA Intent to Attend Mandatory PM RFP Pre-Proposal Vendor Conference Notification Form
17. PL18_Response to Narrative Questions Template
18. PL19_FY2022 MMIS Stats
19. PL20_Provider Management Interfaces
20. PL21_MES DEL OCM2a OCM Approach
21. PL22_2020 Alabama Annual Medicaid Report
22. PL23_AMA Enterprise Software List
23. PL24_Incident and Service Desk Data for Medicaid Ops (zip file)
24. PL25_March 2023 Call Volume Historical Data
25. PL26_Vendor Start Up Checklist
26. PL27_AMMP Acronyms and Glossary
27. PL28_Alabama Site Visit Checklists & Report
28. PL29_2022 Revalidation Statistics
29. PL30_Provider Management Master Data Elements Reference Guide
30. PL31_Speciality and Provider Type Listing
31. PL32_Provider Management Reports

Access Controlled SharePoint Contents

32. IT Project Governance – Approved Policies, Procedures, and Artifacts
33. Security Governance – Approved Policies, Procedures, and Artifacts
34. Data Governance – Approved Policies, Procedures, and Artifacts

Appendix G – Corporate Reference Worksheet

The State reserves the right to contact any former client or employer with which the Contractor is known to have done business, whether provided as a reference or not.

As part of the response to this proposal, references must meet the criteria outlined in RFP Section V – Corporate Background and References.

Vendor Name	
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Reference 1

Entity Name		
Contact Name		
Contact Title		
Contact Telephone		
Contact Email		
Contact Address		
Contract Description		
Describe how this reference meets the requirement in Section V.B		
CAPs, Penalties, Discounts or CMS issues		
Contract Type	Contract Size	Contract Duration
Primary on Contract	Vendors Percentage of Contract	Certifications Received & Date

Reference 2

Entity Name	
Contact Name	
Contact Title	
Contact Telephone	
Contact Email	
Contact Address	
Contract Description	
Describe how this reference meets the requirement in Section V.B	

CAPs, Penalties, Discounts or CMS issues		
Contract Type	Contract Size	Contract Duration
Primary on Contract	Vendors Percentage of Contract	Certifications Received & Date

Reference 3

Entity Name		
Contact Name		
Contact Title		
Contact Telephone		
Contact Email		
Contact Address		
Contract Description		
Describe how this reference meets the requirement in Section V.B		
CAPs, Penalties, Discounts or CMS issues		
Contract Type	Contract Size	Contract Duration
Primary on Contract	Vendors Percentage of Contract	Certifications Received & Date

Appendix H – Key Personnel Resume Sheet

This form must be used to respond to key positions. For each named individual, a separate Key Personnel Resume Sheet must be submitted.

Vendor Organization: _____

Key Position: _____

Candidate:

Full Name: Last Name First Name MI

Address Street: City: State: Zip:

U.S. Citizen Non-U.S. Citizen Visa Status:

Status: Employee Self Employed Subcontractor (Name: _____)

Other:

Education:

Mark highest level completed.	Some HS	HS/GED	Associate	Bachelor	Master	Doctoral
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
List most recent first, all secondary and post-secondary education (high school, GED, colleges, and universities) attended. Do not include copies of transcripts unless requested. Add additional rows if necessary						
School Name			Degree/Major	Degree Earned	Year Received	

Work Experience:

Describe your work experience related specifically to the Request for Proposal to which you are responding. Please list most recent job first. To add work experience, copy the format below and add additional sheets as needed.

Work Experience #:			
Job Title:			
From	To	Reason for Leaving:	Hours per week
Describe your duties and responsibilities as they relate to the Request for Proposal:			

Professional References:

List 3 Professional References below.

Reference 1		
Name	Title	Organization

Address	Phone () -	E-mail Address
---------	----------------	----------------

Reference 2		
Name	Title	Organization
Address	Phone () -	E-mail Address

Reference 3		
Name	Title	Organization
Address	Phone () -	E-mail Address

Candidate and Vendor Certification

By submitting this data sheet to Alabama Medicaid Agency, the Candidate and Vendor certify that, to the best of their knowledge and belief, all of the information on and attached to this data sheet is true, correct, complete, and made in good faith. The candidate further authorizes the release of all relevant prior employment, military service, academic/school, and criminal records. False or fraudulent information on or attached to this data sheet may be grounds for disqualifying a candidate or firing a candidate once work has begun. Any information provided to Alabama Medicaid Agency may be investigated.

By submitting this data sheet to Alabama Medicaid Agency, the Candidate and Vendor certify that both parties understand the entire scope of requirements for this position as defined in the RFP and the Candidate agrees to be submitted for consideration exclusively by this Vendor. Any candidate that is submitted by more than one Vendor for a line item will be considered disqualified.

Candidate Data Sheets must be signed below by the Vendor.

Authorized Vendor Signature

Date

Sample Key Personnel Resume Sheet

Vendor Organization: Auburn University Montgomery
 Key Position: Technical Team – Communications Manager

Candidate:

Full Name: JacksonHewlettM
 Address Street: 6760 Happy Lane Circle City: Oklahoma State: OK Zip: 54671
 U.S. Citizen Non-U.S. Citizen Visa Status:
 Status: Employee Self Employed Subcontractor (Name: __) Other:

Education:

Mark highest level completed.	Some HS <input type="checkbox"/>	HS/GED <input type="checkbox"/>	Associate <input type="checkbox"/>	Bachelor <input type="checkbox"/>	Master <input checked="" type="checkbox"/>	Doctoral <input type="checkbox"/>
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List most recent first, all secondary and post-secondary education (high school, GED, colleges, and universities) attended. Do not include copies of transcripts unless requested. Add additional rows if necessary

School Name	Degree/Major	Degree Earned	Year Received
Harvard University	Master Business Administration	Yes	2001
Yale University	Bachelor of Science in Information Technology	Yes	2000
Princeton University	Associate in Data Processing Technology	Yes	1997

Work Experience:

Describe your work experience related specifically to the Request for Proposal to which you are responding. Please list most recent job first. To add work experience, copy the format below and add additional sheets as needed.

Work Experience #: 1			
Job Title: Sr. SQL Administrator			
From 02/2001	To Present	Reason for Leaving:	Hours per week 40
Describe your duties and responsibilities as they relate to the Request for Proposal. Maintain and develop employee database, supply database, clientele databases, and administer programming for these databases, Keep all records up to date in hard copies and soft on a network. Keep general knowledge of network in order to coordinate employee computers. Keep clientele in a secure intranet database.			

Work Experience #: 2

Job Title: Software Application Engineer			
From 03/1995	To 01/2001	Reason for Leaving: New Job Opportunity	Hours per week 40
<p>Describe your duties and responsibilities as they relate to the Request for Proposal. Designs, develops, debugs, modifies, and tests software programs by using current programming languages, methodologies and technologies.</p> <p>Documents software development and/or test development by writing documents, reports, memos, change requests. Methods used are determined by approved procedures and standards Tracks software development effort by creating and maintaining records in the approved tracking management tool. Analyzes, evaluates, and verifies requirements, software and systems by using software engineering practices.</p>			

Professional References:

List 3 Professional References below.

Reference 1		
Name Bob Thornton	Title CEO	Organization Bob Thornton Enterprise
Address 3245 Grey Hat Drive	Phone (123) 456 - 7589	E-mail Address bob@greyhat.com

Reference 2		
Name Henry Ford	Title CEO	Organization Humpfrey Corp.
Address 234 Humpfrey St.	Phone (123) 456 - 7589	E-mail Address hford@humpfrey.com

Reference 3		
Name Jack Smith	Title Software Director	Organization Red Brick Software Services
Address 987 Daniels Dr.	Phone (123) 456 - 7589	E-mail Address j@daniels.com

Candidate and Vendor Certification

By submitting this data sheet to Alabama Medicaid Agency, the Candidate and Vendor certify that, to the best of their knowledge and belief, all of the information on and attached to this data sheet is true, correct,

complete, and made in good faith. The candidate further authorizes the release of all relevant prior employment, military service, academic/school, and criminal records. False or fraudulent information on or attached to this data sheet may be grounds for disqualifying a candidate or firing a candidate once work has begun. Any information provided to Alabama Medicaid Agency may be investigated.

By submitting this data sheet to Alabama Medicaid Agency, the Candidate and Vendor certify that both parties understand the entire scope of requirements for this position as defined in the RFP and the Candidate agrees to be submitted for consideration exclusively by this Vendor. Any candidate that is submitted by more than one Vendor for a line item will be considered disqualified.

Candidate Data Sheets must be signed below by the Vendor.

[SIGNATURE]

Appendix I – Services Level Agreements and Key Performance Indicators

1. SLAs and KPIs: RFP Section II.D. Technical Architecture and Environments

The PM Services Contractor shall provide in the Service Level Agreement (SLA) Plan how they will follow their best practices and tools for providing the PM solution. Unless otherwise noted, a threshold of 100% to SLAs and Key Performance Indicators (KPI)s is expected.

The PM Services Contractor shall coordinate with the Agency to schedule all required system downtime that must occur during business hours and that would cause the PM Services solution to be unavailable for normal use. Routine maintenance must be scheduled during non-business hours. Scheduled downtime windows will be documented in the Concept of Operations (CONOPS).

Discount Calculations: If for any one month, any one or more of the SLAs measurements do not meet the SLA standards, the Contractor shall discount by 3% (three percent) against the amount invoiced for monthly PM Operations Fee the same month in which the SLA standards were not met. If the Contractor consistently fails to meet the SLA standards, the Agency may request a Corrective Action Plan (CAP). If the Contractor is still unable to meet SLA standards after the CAP has been executed, then the Agency may notify the Contractor of failure to meet contract requirements, and the Contractor may be subject to liquidated damages as described in [Section VIII.MM Breach of Contract / Liquidated Damages](#). KPIs are excluded from discount calculations.

a. Service Level Agreement – System Availability

The PM Services Contractor shall submit the System Availability metrics for each month as part of the Monthly Operations Status Report.

- 1) **Measurement Description.** Measurement of system availability to indicate a minimum of 99.5% system availability threshold is met. System availability measurement excludes agreed upon System Maintenance. Measurements are based on clock and calendar: twenty-four (24) hours per day, seven (7) days per week, and 365 days per year (or 366 days in those years that are leap years). The system is considered available when the system and all components are available for normal operations.
- 2) **Method of Measurement.**
 - a) System Availability – The PM Services Contractor shall record the time in minutes that the PM solution is running and available to perform all their required service outside of Agency-approved scheduled maintenance time (Uptime). The Uptime calculation for AS is:

$$A_s = \frac{(Uptime\ Minutes)}{(Minutes\ in\ the\ Month - Scheduled\ Maintenance\ Minutes)}$$

- 6) Minutes in the Month = thirty (30) day continuous time span x twenty-four (24) hours x sixty (60) minutes
 - 7) Maintenance Minutes = Approved Scheduled Maintenance Hours x sixty (60) minutes
 - 8) Available Minutes = Minutes in the Month – Maintenance Minutes
 - 9) Uptime Minutes = Available Minutes – Unscheduled/Unavailable Minutes
- Example:* For one thirty (30) day continuous time span, there was one eight-hour scheduled maintenance window. The PM system was unavailable for 55 minutes outside of this window.
- Minutes in the month = thirty (30) day continuous time span x twenty-four (24) hours/day x sixty (60) minutes/hour = 43,200 minutes

- Minutes of scheduled maintenance = eight (8) hours x sixty (60) minutes/hour = 480 minutes
- Minutes in month not including scheduled maintenance (time the PM should have been up) = 43,200 – 480 = 42,720 minutes

$$A_S = \frac{42665}{42720} = 99.9\%$$

- 3) **Measurement Interval.** The measurement interval shall be thirty (30) day continuous time span, corresponding to the month of the Project Management Status Report.
- 4) **Measurement Period.** System Availability – The Measurement Period system availability is measured over a thirty (30) day continuous time span.
- 5) **Source of Measurement Data.** The source of the measurement data shall be the capability that captures and reports metrics as described in [RFP Section II.F Performance](#) and Performance Requirements (see [RFP Section II.F.2 Requirements – Performance](#)).
- 6) **Agency Audits.** The PM Services Contractor shall make available the uptime records and the metrics reported in the Project Management Status Report for audits by the Agency or its third-party designee.
- 7) **Assumptions and Conditions.** The PM Services Contractor shall have a process and/or tool for recording the availability of the solution.
- 8) **Exceptions.** In the event of a disaster outside of the control of the PM Services Contractor, the PM Services Contractor will not be subject to discounted payments during any month in which services operate from the Disaster Recovery environment. The PM Services Contractor shall be subject to discounted payments if the disaster was caused by the PM Services Contractor, its subcontractors, or partners.

2. SLAs and KPIs: RFP Section II.E. Security

The PM Services Contractor shall provide in the Service Level Agreement (SLA) Plan how they will follow their best practices and tools for providing the PM solution. Unless otherwise noted, a threshold of 100% to SLAs and Key Performance Indicators (KPI)s is expected.

Discount Calculations: If for any one month, any one or more of the SLAs measurements do not meet the SLA standards, the Contractor shall discount by 3% (three percent) against the amount invoiced for monthly PM Operations Fee the same month in which the SLA standards were not met. If the Contractor consistently fails to meet the SLA standards, the Agency may request a Corrective Action Plan (CAP). If the Contractor is still unable to meet SLA standards after the CAP has been executed, then the Agency may notify the Contractor of failure to meet contract requirements, and the Contractor may be subject to liquidated damages as described in RFP [Section VIII.MM. Breach of Contract / Liquidated Damages](#). KPIs are excluded from discount calculations.

a. Service Level Agreement – Escalation

- 1) **Monitoring.** The PM Services Contractor shall provide a 24/7 security and event management or equivalent solution to aggregate logs, monitor system activity, identify suspect behavior/anomalies, security events, file integrity, evaluate logs, and provide an alerting capability. The PM Services Solution shall provide the ability to audit/track all activity specific to each user and process, including at minimum, date and time of last login, invalid login attempts, system errors, and all transaction activities, including inquiries. The PM Services Solution shall also provide a user interface for the Agency to review activity and alerts. Access and authentication reports shall be provided daily to the Agency, and the Agency shall have the ability to view access logs in real-time. Logs shall be kept and archived on a schedule as approved by the Agency.

- 2) Security Operations Center / Managed Detection and Response (MDR). Alerts and events shall be actively monitored on a 24/7 basis by a Security Operations Center/MDR or equivalent team.
 - 3) Alerts/Escalation. Alerts must include ability to alert appropriate staff of potential violations of privacy safeguards, such as inappropriate access or attempted access to confidential information and preserve and report specified audit data when a potential security violation is detected.
 - a) **Measurement Item.** 24/7 security and event management
 - b) **Measurement Description.** Continuous auditing and tracking of all activity
 - c) **Measurement Logic.** Requires State approval
-
- a) **Measurement Item.** 24/7 security and event management log retention
 - b) **Measurement Description.** Logs kept and archived on schedule
 - c) **Measurement Logic.** Requires State approval

b. Key Performance Indicator – Security Incident Response

- 1) Security Incident Response. When reporting a security issue to the Contractor, the Agency shall identify the issue by its Security Level as described below. If the Contractor identifies a security issue, the Contractor shall immediately notify the Agency and identify the issue security level based on Contractor’s initial evaluation.
 - Security Level 1 (S1) – Incident affecting critical systems, information, or data (e.g., Distributed Denial of Service (DDoS), active hacking, virus outbreak, breach)
 - Security Level 2 (S2) – Incident affecting non-critical systems, information, or data. Employee investigations should typically be classified at this level (e.g., improper access, non-active hacking, policy violations)
- 2) Time to Response and Resolution. Immediately upon identifying a security issue or receiving notice from system users of a security issue, the Contractor shall respond and resolve the issue in alignment with the guidelines outlined below, as applicable. If the Contractor cannot meet any of these guidelines, the Contractor shall describe in writing to the Agency to explain why and propose new Response and Resolution Times for state approval.
 - a) Initial Response (Stopgap Measure):
 - Security Level 1 (S1) – Response Time/Target: thirty (30) clock minutes / 100%
 - Security Level 2 (S2) – Response Time/Target: one (1) business hour / 100%
 - b) Investigation
 - Security Level 1 (S1)– Response Time/Target: once per clock hour / 100%
 - Security Level 2 (S2) – Response Time/Target: once per business day / 100%
 - c) Full Resolution:
 - Security Level 1 (S1) – Resolution Time/Target: four (4) clock hours / 100%
 - Security Level 2 (S2) – Resolution Time/Target: two (2) business days / 100%
- 3) Updates. For Security Level 1 (S1) incidents, the Contractor shall provide status updates every one (1) hour to the Agency until the security issue is resolved. For Security Level 2 (S2) incidents, Contractor shall provide status updates daily to the Agency in writing until the security issue is resolved.
 - a) **Measurement Item.** Security incident initial response (Security Level 1)
 - b) **Measurement Logic.** The measurement logic is Time <= thirty (30) clock minutes
 - c) **Measurement Period.** Episodic
 - a) **Measurement Item.** Security incident initial response (Security Level 2)
 - b) **Measurement Logic.** The measurement logic is Time <= one (1) business hour

- c) **Measurement Period.** Episodic
 - a) **Measurement Item.** Security incident investigation response (Security Level 1)
 - b) **Measurement Logic.** The measurement logic is Time <= once per clock hour
 - c) **Measurement Period.** Episodic

- a) **Measurement Item.** Security incident investigation response (Security Level 2)
- b) **Measurement Logic.** The measurement logic is Time <= once per business day
- c) **Measurement Period.** Episodic

- a) **Measurement Item.** Security incident full resolution (Security Level 1)
- b) **Measurement Logic.** The measurement logic is Time <= four (4) clock hours
- c) **Measurement Period.** Episodic

- a) **Measurement Item.** Security incident full resolution (Security Level 1)
- b) **Measurement Logic.** The measurement logic is Time <= two (2) business days
- c) **Measurement Period.** Episodic

c. Key Performance Indicator – Breach

Privacy and Security Breach Notification. The PM Services Contractor must adhere to all applicable Federal, State, and local laws and regulations regarding privacy and information security. The PM Services Contractor must notify the Agency immediately, but in no case in more than twenty-four (24) clock hours, upon becoming aware of any actual or reasonably suspected unauthorized access to or disclosure of Agency data or security incident affecting any State component or supporting infrastructure. The PM Services Contractor must support investigation, take prompt corrective action and remediation steps, and provide notification as required per the Business Associate Agreement (BAA). The PM Services Contractor must provide a written report to the Agency within thirty (30) calendar days of discovery of the breach.

- a) **Measurement Item.** Privacy and Security Breach
- b) **Measurement Description.** Requires initial notification to the Agency
- c) **Measurement Logic.** The measurement logic is Time <= twenty-four (24) hours of the breach
- d) **Measurement Period.** Episodic

- a) **Measurement Item.** Privacy and Security Breach
- b) **Measurement Description.** Requires written breach report to the Agency
- c) **Measurement Logic.** The measurement logic is Time <= thirty (30) calendar days of the breach
- d) **Measurement Period.** Episodic

d. Key Performance Indicator – Disaster Recovery

The PM Services Contractor shall meet the Recovery Time Objective (RTO) and Recovery Point Objective (RPO) requirements listed below in the case of disaster recovery. The PM Services Contractor shall test and document the disaster recovery process at least annually (once a year) to ensure compliance with the RTO and RPO.

- Recovery Time Objective (RTO): < 6.0 clock hours
- Recovery Point Objective (RPO): < 1.0 clock hours

- 1) **Measurement Item.** Recovery time objective testing
- 2) **Measurement Description.** Disaster recovery completed
- 3) **Measurement Logic.** The measurement logic is Time < six (6) hours

- 4) **Measurement Period.** Annually
 - 1) **Measurement Item.** Recovery point objective testing
 - 2) **Measurement Description.** Disaster recovery completed
 - 3) **Measurement Logic.** The measurement logic is Time < one (1) hour
 - 4) **Measurement Period.** Annually

3. SLAs and KPIs: RFP Section II.F. Performance

The PM Services Contractor shall provide in the Service Level Agreement Plan how they will follow their best practices and tools for providing the PM solution. Unless otherwise noted, a threshold of 100% to SLAs and KPIs is expected.

Discount Calculations: If for any one month, any one or more of the SLAs measurements do not meet the SLA standards, the Contractor shall discount by 3% (three percent) against the amount invoiced for monthly PM Operations Fee the same month in which the SLA standards were not met. If the Contractor consistently fails to meet the SLA standards, the Agency may request a Corrective Action Plan (CAP). If the Contractor is still unable to meet SLA standards after the CAP has been executed, then the Agency may notify the Contractor of failure to meet contract requirements, and the Contractor may be subject to liquidated damages as described in RFP [Section VIII.MM MM. Breach of Contract / Liquidated Damages](#). KPIs are excluded from discount calculations.

a. Service Level Agreement - Maintenance/Updates/Upgrades

- 1) **Maintenance/Updates.** All recurring planned maintenance must be scheduled and performed outside of working hours (M-F, 6:00 a.m. - 7:00 p.m. Central Time, non-holidays) with advance Agency approval. Urgent planned maintenance may be scheduled and performed during working hours with advance Agency approval if non-working hours are nonviable. Planned downtime should occur between 11:00 p.m. - 5:00 a.m. Central Time.
 - 2) **Upgrades.** When there is a major release of operating system, database, or applications, the Contractor will upgrade to the new release on a schedule approved by the Agency. The PM Services Contractor is responsible to maintain functionality, backwards compatibility, and interoperability. The PM Services Contractor is responsible to ensure that there will be no data loss.
 - a) **Measurement Item.** Recurring maintenance
 - b) **Measurement Description.** To maintain functionality, backwards compatibility, and interoperability and to ensure that there will be no data loss
 - c) **Measurement Logic.** The measurement logic is Time > 7:00 p.m. CT, < 6:00 a.m. CT
 - d) **Measurement Period.** Ongoing through the end of the contract.
-
- a) **Measurement Item.** Urgent maintenance
 - b) **Measurement Description.** To maintain functionality, backwards compatibility, and interoperability and to ensure that there will be no data loss
 - c) **Measurement Logic.** Requires Agency approval
 - d) **Measurement Period.** Ongoing through the end of the contract.
-
- a) **Measurement Item.** Planned downtime
 - b) **Measurement Description.** To maintain functionality, backwards compatibility, and interoperability and to ensure that there will be no data loss
 - c) **Measurement Logic.** The measurement logic is Time > 11:00 p.m. CT, < 5:00 a.m. CT
 - d) **Measurement Period.** Ongoing through the end of the contract.

- a) **Measurement Item.** Upgrades
- b) **Measurement Description.** To maintain functionality, backwards compatibility, and interoperability and to ensure that there will be no data loss
- c) **Measurement Logic.** Requires Agency approval
- d) **Measurement Period.** Ongoing through the end of the contract.

- a) **Measurement Item.** Data loss during upgrades
- b) **Measurement Description.** To maintain functionality, backwards compatibility, and interoperability and to ensure that there will be no data loss
- c) **Measurement Logic.** No data loss.
- d) **Measurement Period.** Ongoing through the end of the contract.

b. Service Level Agreement – System Response Time

The PM Services solution provides capability for system response time to be consistent for all users directly interacting with the production environment, based on a common PM Services Solution access for network access point, processed and returned to the network access point. During DDI, the contractor shall work with the Agency to establish a baseline set of system response times. Adjustments to the baseline system response times must be agreed upon by the Agency. Ninety-five percent (95%) of responses occur within the baseline system response time. Ninety-nine percent (99%) of response occur within the baseline system response time + 50%.

Response time shall be measured both at the Agency and PM Business Office. The PM Services Contractor shall report on this monthly by the 5th business day of the month following month end. Variances of more than twenty percent (20%) in response time between the two (2) locations shall be researched and documented by the PM Services Contractor and Agency staff for improvement. The documentation shall be in a format determined by the Agency.

- 1) **Measurement Item.** PM Services solution system response time
- 2) **Measurement Description.** 95% of system response
- 3) **Measurement Logic.** The measurement logic is Time <= baseline system response time
- 4) **Measurement Period.** Monthly, previous Month

- 1) **Measurement Item.** PM Services solution system response time
- 2) **Measurement Description.** 99% of system response
- 3) **Measurement Logic.** The measurement logic is Time <= baseline system response time + 50%
- 4) **Measurement Period.** Monthly, previous Month

- 1) **Measurement Item.** PM Services solution system response time reporting
- 2) **Measurement Description.** Requires Contractor reporting on web portal system response time
- 3) **Measurement Logic.** The measurement logic is Time <= 5th of month following quarter end
- 4) **Measurement Period.** Monthly, previous Month

- 1) **Measurement Item.** PM Services solution system response time research
- 2) **Measurement Description.** Requires research for variances in web portal system response times
- 3) **Measurement Logic.** The measurement logic is Time > 20%
- 4) **Measurement Period.** Monthly, previous Month

c. Key Performance Indicator – Downtime Notifications

- 1) Scheduled Downtimes. Obtain Agency approval before scheduling planned downtimes, keeping Central Time in mind, and maximizing uptime during normal business hours in Alabama. Notify users of status of planned downtimes with Agency approval of channels, messaging, and timing (e.g., publication in portal; email notification in advance, at start, and upon completion).
 - a) **Measurement Item**. Scheduled downtime
 - b) **Measurement Description**. Requires Agency approval
 - c) **Measurement Period**. Ongoing

- 2) Unplanned Downtimes. Upon the occurrence of any unplanned downtime, the Contractor shall immediately notify the Agency and follow up within one (1) business day with a written explanation and documentation. Documentation shall include, but not be limited to, dates, times, and duration of system non-availability and dates and times of downtime events.
 - a) **Measurement Item**. Unplanned downtime
 - b) **Measurement Description**. Requires immediate Agency notification
 - c) **Measurement Logic**. The measurement logic is Time immediate
 - d) **Measurement Period**. Ongoing
 - a) **Measurement Item**. Unplanned downtime
 - b) **Measurement Description**. Requires contractor follow-up with written explanation and documentation
 - c) **Measurement Logic**. The measurement logic is Time <= one (1) business day
 - d) **Measurement Period**. Ongoing

d. Key Performance Indicator – Backup Restoration

- 1) Short-Term Storage. Backup restorations from short-term storage, including transaction logs and testing, shall complete within eight (8) hours.
 - a) **Measurement Item**. Short-term backup restoration
 - b) **Measurement Description**. Completed backup restoration
 - c) **Measurement Logic**. The measurement logic is Time <= eight (8) hours
 - d) **Measurement Period**. Episodic; backup restoration

- 2) Long-Term Storage Backup restorations from long-term storage shall complete within five (5) calendar days. This would be used for finding something in a point in time; this would not occur within the Production environment.
 - a) **Measurement Item**. Long-term backup restoration
 - b) **Measurement Description**. Completed backup restoration
 - c) **Measurement Logic**. The measurement logic is Time <= five (5) calendar days
 - d) **Measurement Period**. Episodic; backup restoration

4. SLAs and KPIs: RFP Section II.G. Data Integration and Management Services

The PM Services Contractor shall provide in the Service Level Agreement Plan how they will follow their best practices and tools for providing the PM solution. Unless otherwise noted, a threshold of 100% to SLAs and KPIs is expected.

Discount Calculations: If for any one month, any one or more of the SLAs measurements do not meet the SLA standards, the Contractor shall discount by 3% (three percent) against the amount invoiced for monthly PM Operations Fee the same month in which the SLA standards were not met. If the Contractor consistently fails to meet the SLA standards, the Agency may request a Corrective Action Plan (CAP). If the Contractor is still unable to meet SLA standards after the CAP has been executed, then the Agency may notify the Contractor of failure to meet contract requirements, and the Contractor may be subject to liquidated

damages as described in RFP [Section VIII.MM. Breach of Contract / Liquidated Damages](#). KPIs are excluded from discount calculations.

a. Service Level Agreement – Data Availability

The PM Services Contractor shall meet the agreed upon specifications in the Interface Control Document for each interface.

- 1) **Measurement Item.** Data availability
 - 2) **Measurement Description.** Average data availability timeframes missed
 - 3) **Measurement Logic.** The measurement logic is Time < agreed upon time from ICD
 - 4) **Measurement Period.** Monthly
-
- 1) **Measurement Item.** Master data management (MDM) file failures
 - 2) **Measurement Description.** Average of failed data file occurrences resulting from errors in master data elements data quality checks on data in motion between PM and the SIP that result in a failed file delivery
 - 3) **Measurement Logic.** The measurement logic: The ratio of MDM file failures to the total number data files submitted to the SIP from PM
 - 4) **Measurement Period.** Monthly

5. SLAs and KPIs: RFP Section II.H. Tools and Capabilities

The PM Services Contractor shall provide in the Service Level Agreement (SLA) Plan how they will follow their best practices and tools for providing the PM solution. Unless otherwise noted, a threshold of 100% to SLAs and Key Performance Indicators (KPI)s is expected.

a. Key Performance Indicator – Validation of Provider Directory Information by Providers

The PM Services Contractor shall provide a report to the Agency that provides insight into the percentage of providers who validate their Provider Directory information via the Provider Portal. The baseline percentage, including a yearly increase in that percentage, of providers who validated their information shall be agreed upon with the Agency.

- 1) **Measurement Item.** Providers who updated their Provider Directory Information
- 2) **Measurement Description.** Percentage with yearly increase of providers who validated their information
- 3) **Measurement Logic.** The measurement logic is Percentage >= baseline percentage agreed upon by the Agency
- 4) **Measurement Period.** Monthly

6. SLAs and KPIs: RFP Section II.I. Provider Enrollment

The PM Services Contractor shall provide in the Service Level Agreement Plan how they will follow their best practices and tools for providing the PM solution. Unless otherwise noted, a threshold of 100% to SLAs and KPIs is expected.

Discount Calculations: If for any one month, any one or more of the SLAs measurements do not meet the SLA standards, the Contractor shall discount by 3% (three percent) against the amount invoiced for monthly PM Operations Fee the same month in which the SLA standards were not met. If the Contractor consistently fails to meet the SLA standards, the Agency may request a Corrective Action Plan (CAP). If the Contractor is still unable to meet SLA standards after the CAP has been executed, then the Agency may notify the Contractor of failure to meet contract requirements, and the Contractor may be subject to liquidated damages as described in RFP [Section VIII.MM. Breach of Contract / Liquidated Damages](#). KPIs are excluded from discount calculations.

a. Service Level Agreement – Process Provider Application

Process Provider Application. The PM Services Contractor shall accept and process to approve, deny, or provide all applicable information to the Agency for all provider applications within fifteen (15) calendar days of receipt of completed applications unless a site visit is required, then within twenty (20) calendar days of receipt of completed applications.

- 1) **Measurement Item.** Process Provider Application
- 2) **Measurement Description.** Time to accept and process provider applications
- 3) **Measurement Logic.** The measurement logic is Time <= fifteen (15) calendar days, Time <= twenty (20) calendar days if site visit is required
- 4) **Measurement Period.** Episodic; from date of receipt or site visit

b. Service Level Agreement – Notification of Exclusions to CPMS via the SIP

Notification of CPMS. The PM Services Contractor shall monitor State licensure, certification, and exclusion data every business day. The PM Services Contractor shall notify CPMS via the SIP daily of the findings, even if there are no exclusions found.

- 1) **Measurement Item.** Notification to CPMS via the SIP
- 2) **Measurement Description.** Sanction Information Current
- 3) **Measurement Logic.** The measurement logic is Time <= one (1) business day
- 4) **Measurement Period.** Daily

c. Key Performance Indicator – Notification of Program Integrity

Notification of Program Integrity. The PM Services Contractor must use automated screening and monitoring processes and tools to verify provider enrollment eligibility based on State and Federal Regulations. If a potential provider is identified as being on any exclusion list, the Agency must be notified within two (2) business days.

- 1) **Measurement Item.** Notification via Workflow
- 2) **Measurement Description.** Time to notify the Agency of providers identified on any exclusion list
- 3) **Measurement Logic.** The measurement logic is Time <= two (2) business days
- 4) **Measurement Period.** Episodic; notification of providers identified on exclusion list

d. Key Performance Indicator – Complete Site Visit

Complete Site Visit. The PM Services Contractor shall complete 100% of all on-site visits within fifteen (15) calendar days from the date an application is received. Site visit verification for moderate and high-risk providers is also required for address changes, tax identification number changes, and providers that cannot be verified in the Provider Enrollment, Chain, and Ownership System (PECOS). Additional screening may also be requested by the Agency.

- 1) **Measurement Item.** Complete Site Visit
- 2) **Measurement Description.** Time to complete site visits
- 3) **Measurement Logic.** The measurement logic is Time <= fifteen (15) calendar days
- 4) **Measurement Period.** Episodic; completion of site visit

e. Key Performance Indicator – Upload Site Visit Information

Upload Site Visit Information. The PM Services Contractor will upload all site visit information into the Contractor's system within five (5) business days of completion of a site visit.

- 1) **Measurement Item.** Upload of Site Visit Information
- 2) **Measurement Description.** Time to upload all site visit information
- 3) **Measurement Logic.** The measurement logic is evaluating all site visits in a given month and confirming that all related information was uploaded in five (5) business days

4) **Measurement Period.** Monthly

7. SLAs and KPIs: RFP Section II.J. Provider Maintenance

The PM Services Contractor shall provide in the Service Level Agreement Plan how they will follow their best practices and tools for providing the PM solution. Unless otherwise noted, a threshold of 100% to SLAs and KPIs is expected.

Discount Calculations: If for any one month, any one or more of the SLAs measurements do not meet the SLA standards, the Contractor shall discount by 3% (three percent) against the amount invoiced for monthly PM Operations Fee the same month in which the SLA standards were not met. If the Contractor consistently fails to meet the SLA standards, the Agency may request a Corrective Action Plan (CAP). If the Contractor is still unable to meet SLA standards after the CAP has been executed, then the Agency may notify the Contractor of failure to meet contract requirements, and the Contractor may be subject to liquidated damages as described in RFP [Section VIII.MM. Breach of Contract / Liquidated Damages](#). KPIs are excluded from discount calculations.

a. Service Level Agreement – Provider Notification

Provider Notification. The PM Services Contractor shall notify all providers via the Message Center of revalidation within one (1) business day of Agency approval of the Revalidation Report.

- 1) **Measurement Item.** Provider Revalidation Notification
- 2) **Measurement Description.** Time to notify providers
- 3) **Measurement Logic.** The measurement logic is Time <= one (1) business day
- 4) **Measurement Period.** Episodic

b. Service Level Agreement – Online Disenrollment Package

- 1) Create Online Disenrollment Package.

The PM Services Contractor shall be responsible for researching and associating all NPIs, provider IDs, and Tax IDs associated with a disenrollment for a provider within one (1) hour of receipt, creating an online disenrollment package.

- a) **Measurement Item.** Create Online Disenrollment Package
- b) **Measurement Description.** Time to disenroll providers
- c) **Measurement Logic.** The measurement logic is Time <= one (1) hour
- d) **Measurement Period.** Episodic; hour of receipt

- 2) Perform Appropriate Action.

The PM Services Contractor shall send the online disenrollment package to the Agency for review. Upon Agency approval, the Contractor shall perform the appropriate action within one (1) hour.

- a) **Measurement Item.** Perform Appropriate Action
- b) **Measurement Description.** Time to perform Agency approved action
- c) **Measurement Logic.** The measurement logic is Time <= one (1) hour
- d) **Measurement Period.** Episodic; upon Agency approval

c. Key Performance Indicator – Notification of ACHN

Notification of ACHN. The PM Services Contractor shall ensure ACHNs are notified in a secure manner within one (1) business day of the completion of all additions and updates of provider ACHN participation information.

- 1) **Measurement Item.** Notification of ACHN
- 2) **Measurement Description.** Requires ACHN notification
- 3) **Measurement Logic.** The measurement logic is Time <= one (1) business day
- 4) **Measurement Period.** Episodic; completion of additions and updates

d. Key Performance Indicator – Update Provider Contract

Update Provider Contract. The PM Services Contractor shall update information received electronically from the Agency that relates to provider contracts within one (1) business day of receipt.

- 1) **Measurement Item.** Provider Contract
- 2) **Measurement Description.** Time to update provider contracts
- 3) **Measurement Logic.** The measurement logic is Time <= one (1) business day
- 4) **Measurement Period.** Episodic; date of receipt of contract information

e. Key Performance Indicator – Automated Report

Automated Report. The PM Services Contractor shall provide a solution that produces an automated report at the beginning of each month, for the Agency to review, that lists providers scheduled to revalidate their enrollment information within sixty (60) calendar days and the revalidation deadline.

- 1) **Measurement Item.** Automated Report
- 2) **Measurement Description.** Time to report providers scheduled to revalidate enrollment
- 3) **Measurement Logic.** The measurement logic is Time = one (1) month
- 4) **Measurement Period.** Monthly

f. Key Performance Indicator – Submit and Implement CHOW Transition Plan

Submit CHOW Transition Plan.

The PM Services Contractor shall submit the CHOW Transition Plan to the Agency for review and approval within two (2) day of the submission of the CHOW application.

- 1) **Measurement Item.** Submission of CHOW Transition Plan
- 2) **Measurement Description.** Time to submit CHOW Transition Plan to Agency
- 3) **Measurement Logic.** The measurement logic is Time <= two (2) business days
- 4) **Measurement Period.** Episodic

Implement Chow Transition Plan.

The PM Services Contractor shall implement the CHOW Transition Plan within two (2) business days of Agency approval.

- 1) **Measurement Item.** Implement CHOW Transition Plan
- 2) **Measurement Description.** Time to implement CHOW Transition Plan
- 3) **Measurement Logic.** The measurement logic is Time <= two (2) business days
- 4) **Measurement Period.** Episodic

8. SLAs and KPIs: RFP Section II.K. Provider Management Operations and Support Services

The PM Services Contractor shall provide in the Service Level Agreement Plan how they will follow their best practices and tools for providing the PM solution. Unless otherwise noted, a threshold of 100% to SLAs and KPIs is expected.

Discount Calculations: If for any one month, any one or more of the SLAs measurements do not meet the SLA standards, the Contractor shall discount by 3% (three percent) against the amount invoiced for monthly PM Operations Fee the same month in which the SLA standards were not met. If the Contractor consistently fails to meet the SLA standards, the Agency may request a Corrective Action Plan (CAP). If the Contractor is still unable to meet SLA standards after the CAP has been executed, then the Agency may notify the Contractor of failure to meet contract requirements, and the Contractor may be subject to liquidated damages as described in RFP [Section VIII.MM. Breach of Contract / Liquidated Damages](#). KPIs are excluded from discount calculations.

a. Service Level Agreement – Average Speed to Answer

Average Speed to Answer. The PM Services Contractor shall provide staffing levels for the Provider Management Call Center necessary to achieve an average speed to answer that is less than or equal to sixty (60) seconds, after a caller selects an option in the IVR.

- 1) **Measurement Item.** Average Speed to Answer
- 2) **Measurement Description.** Time it takes to answer call received by the Provider Management Call Center.
- 3) **Measurement Logic.** The measurement logic is Time <= sixty (60) seconds
- 4) **Measurement Period.** Monthly; after a caller selects an option in the IVR

b. Service Level Agreement – Call Center Response

Call Center Response. The PM Services Contractor shall provide staffing levels for the Provider Management Call Center to achieve a 5% or less abandonment rate after fifteen (15) seconds and an answer rate of 95%. The PM Services Contractor shall work with the Agency to define a monthly report of the Provider Management Call Center statistics.

- 1) **Measurement Item.** Abandonment Rate
- 2) **Measurement Description.** Time calls are abandoned after fifteen (15) seconds
- 3) **Measurement Logic.** The measurement logic is Time <= 5% after fifteen (15) seconds
- 4) **Measurement Period.** Monthly

c. Service Level Agreement – Response to Initial Live Chat

Response to Initial Live Chat. The PM Services Contractor shall respond to all live chat comments utilizing live operator response. The PM Services Contractor shall respond to 98% of all live chat comments, including the initial comment that initiated the chat, within thirty (30) seconds. Any automated responses shall be excluded from the SLA calculation.

- 1) **Measurement Item.** Response to Initial Live Chat
- 2) **Measurement Description.** Time it takes to respond to live chat comments
- 3) **Measurement Logic.** The measurement logic is Time <= thirty (30) clock seconds
- 4) **Measurement Period.** Monthly

d. Service Level Agreement – Provider Application Quality Assurance Accuracy

Provider Application Quality Assurance Accuracy. The PM Services Contractor shall perform a Provider Application Quality Assurance Assessment weekly to audit the randomly selected enrollment and revalidation transactions that occurred through the end of business on Friday of the current week. The weekly assessment shall include, but not be limited to, the following:

- Quality audits to verify 98% accuracy rate for approved transactions and the associated supporting documentation that has or is to be entered in the provider management system
- Quality audits to verify 98% of approved transactions have all CMS required documentation provided by the provider during the application process and that the information on the CMS required documentation matches the information on the provider's application
- Quality audits to verify 98% accuracy rate for denied enrollment and revalidation transactions including, but not limited to, validating the reasons for the decision to deny a transaction, the documentation supporting the denials of the transaction, the condition/reason code assigned to the transaction, and that all notifications to the provider and other entities have been completed.

- 1) **Measurement Item.** Provider Application Quality Assurance Accuracy
- 2) **Measurement Description.** Percentage accuracy rate for approved transactions
- 3) **Measurement Logic.** The measurement logic is Percentage >= 98%
- 4) **Measurement Period.** Weekly

e. Key Performance Indicator – Max Speed to Answer

Max Speed to Answer. The PM Services Contractor shall answer all calls to the Provider Management Call Center in less than five (5) minutes.

- 1) **Measurement Item.** Max Speed to answer calls to the Provider Management Call Center
- 2) **Measurement Description.** Time it takes to answer calls received
- 3) **Measurement Logic.** The measurement logic is Time < 5 minutes
- 4) **Measurement Period.** Episodic

f. Key Performance Indicator – Callback

Callbacks. The PM Services Contractor shall respond to providers who leave a message on the IVR voice messaging system with a callback within (1) business day.

- 1) **Measurement Item.** Callbacks responding to provider messages
- 2) **Measurement Description.** Time it takes to return calls received
- 3) **Measurement Logic.** The measurement logic is Time < one (1) business day
- 4) **Measurement Period.** Episodic

g. Key Performance Indicator – Respond to Inbound Correspondence

Respond to Inbound Correspondence. The PM Services Contractor shall provide a solution that facilitates the research and response to inbound provider correspondence in a timeframe agreed upon by the Agency.

- 1) **Measurement Item.** Respond to Inbound Correspondence
- 2) **Measurement Description.** Timeframe to respond to inbound provider correspondence
- 3) **Measurement Logic.** The measurement logic is Time <= agreed upon time in Communication Plan
- 4) **Measurement Period.** Weekly

h. Key Performance Indicator – Distribute Agency-Approved Communications

Distribute Agency-approved Communications. The PM Services Contractor shall distribute Agency-approved communications to Agency staff, the providers, and other MES contractors regarding updates, regulation changes, and improvements in provider enrollment and provider management processes within a timeframe agreed upon by the Agency.

- 1) **Measurement Item.** Distribute Agency-Approved Communications
- 2) **Measurement Description.** Time to distribute Agency-approved communications
- 3) **Measurement Logic.** The measurement logic is Time <= timeframe agreed upon by the Agency
- 4) **Measurement Period.** Episodic

9. SLAs and KPIs: RFP Section II.L.1 Enterprise and General Services Management

The PM Services Contractor shall provide in the Service Level Agreement Plan how they will follow their best practices and tools for providing the PM solution. Unless otherwise noted, a threshold of 100% to SLAs and KPIs is expected.

a. Key Performance Indicator – Key and Lead Personnel Substitute

The PM Services Contractor will ensure that staff positions named in the RFP are not vacant for more than ten (10) business days without a qualified substitute (temporary replacement).

- 1) **Measurement Item.** Key Personnel Substitute
- 2) **Measurement Description.** Time position is vacant without a qualified substitute
- 3) **Measurement Logic.** The measurement logic is Time <= ten (10) business days
- 4) **Measurement Period.** Episodic; date of vacancy

10. SLAs and KPIs: RFP Section II.L.2 Enterprise and General Services DDI OPS and Maintenance

The PM Services Contractor shall provide in the Service Level Agreement Plan how they will follow their best practices and tools for providing the PM solution. Unless otherwise noted, a threshold of 100% to SLAs and KPIs is expected.

Discount Calculations: If for any one month, any one or more of the SLAs measurements do not meet the SLA standards, the Contractor shall discount by 3% (three percent) against the amount invoiced for monthly PM Operations Fee the same month in which the SLA standards were not met. If the Contractor consistently fails to meet the SLA standards, the Agency may request a Corrective Action Plan (CAP). If the Contractor is still unable to meet SLA standards after the CAP has been executed, then the Agency may notify the Contractor of failure to meet contract requirements, and the Contractor may be subject to liquidated damages as described in RFP [Section VIII.MM. Breach of Contract / Liquidated Damages](#). KPIs are excluded from discount calculations.

a. Service Level Agreement – User Support/Ticketing

- 1) **Measurement Item.** User Support Communication
 - 2) **Measurement Description.** The PM Services Contractor shall provide assistance and support to users through a Service Desk or similar function. Service Desk shall include support for end users as well as technical/operational staff. Service Desk shall be able to be contacted via a ticketing system and over the phone. Ticketing system shall be used for any issue report or support requests. Phone support shall at a minimum be used for critical and major issues (Priority Level 1-2, Security Level 1-2), but also be an option to escalate Priority Level 3-4 issues. After hours emergency telephone support shall be made available to the Agency twenty-four (24) hours a day, seven (7) days a week for critical support issues for resolution by the Contractor.
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- 1) **Measurement Item.** Ticketing
 - 2) **Measurement Description.** Contractor shall maintain a ticketing system for all system users to submit issue resolution tickets. Regardless of method of communication (ticketing system, email, phone), Contractor shall issue or update tickets for issues reported in the ticketing system for tracking purposes.
-
- 1) **Measurement Item.** Response Priority
 - 2) **Measurement Description.** All tickets shall be responded to in a timely manner and issues resolved in accordance with the Priority Level and Security Level Time to Response, and Resolution requirements in this SLA shall maintain a ticketing system for all system users to submit issue resolution tickets. Regardless of method of communication (ticketing system, email, phone), Contractor shall issue or update tickets for issues reported in the ticketing system for tracking purposes.

b. Key Performance Indicator – Response Priority

When reporting an issue or error to the Contractor, the Agency shall identify the issue/error by its priority level as described below. If the Contractor identifies an issue/error, the Contractor shall immediately notify the Agency and identify the issue/error priority level based on the Contractor's initial evaluation.

- Priority Level 1 (P1) – A complete system unavailability, unavailability of a critical system component.
- Priority Level 2 (P2) – A major component of the Agency's ability to operate is affected, including identified vulnerabilities. Some aspects of the business can continue, but it is a major problem.
- Priority Level 3 (P3) – The Agency's core business is unaffected, but the issue is affecting

efficient operation by one or more person, including identified vulnerabilities.

- Priority Level 4 (P4) – The issue is a background or planned task and will be addressed when time permits or on the planned schedule for implementation, including identified vulnerabilities.

Time to Response and Resolution

Immediately upon identifying a system issue or error or receiving notice from system users of an issue or error, the Contractor shall respond and resolve the issue or error according to the times and targets outlined below, as applicable. If the Contractor cannot meet any of these guidelines, the Contractor shall describe in writing to the Agency to explain why and propose new Response and Resolution Times for Agency approval.

- 1) **Measurement Item.** Issue/Error Notification
 - 2) **Measurement Description.** Requires agency notification
 - 3) **Measurement Logic.** The measurement logic is Time > Immediate
 - 4) **Measurement Period.** Episodic
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- 1) **Measurement Item.** Resolution notification – P1
 - 2) **Measurement Description.** Complete system unavailability
 - 3) **Measurement Logic.** The measurement logic is Time <= thirty (30) calendar minutes
 - 4) **Measurement Period.** Monthly
-
- 1) **Measurement Item.** Resolution notification – P2
 - 2) **Measurement Description.** Major component of the Agency's ability to operate is affected
 - 3) **Measurement Logic.** The measurement logic is Time <= one (1) calendar hour
 - 4) **Measurement Period.** Monthly
-
- 1) **Measurement Item.** Resolution notification – P3
 - 2) **Measurement Description.** Issue is affecting efficient operation by one or more person, including identified vulnerabilities
 - 3) **Measurement Logic.** The measurement logic is Time <= three (3) business hours
 - 4) **Measurement Period.** Monthly
-
- 1) **Measurement Item.** Resolution notification – P4
 - 2) **Measurement Description.** The issue is a background or planned task
 - 3) **Measurement Logic.** The measurement logic is Time <= eight (8) business hours
 - 4) **Measurement Period.** Monthly
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- 1) **Measurement Item.** Resolution – P1
 - 2) **Measurement Description.** Complete system unavailability
 - 3) **Measurement Logic.** The measurement logic is Time <= two (2) calendar hours
 - 4) **Measurement Period.** Monthly
-
- 1) **Measurement Item.** Resolution – P2
 - 2) **Measurement Description.** Major component of the Agency's ability to operate is affected
 - 3) **Measurement Logic.** The measurement logic is Time <= six (6) calendar hours
 - 4) **Measurement Period.** Monthly
-
- 1) **Measurement Item.** Resolution – P3
 - 2) **Measurement Description.** Issue is affecting efficient operation by one or more person, including identified vulnerabilities
 - 3) **Measurement Logic.** The measurement logic is Time <= two (2) business days

4) **Measurement Period.** Monthly

1) **Measurement Item.** Resolution – P4

2) **Measurement Description.** The issue is a background or planned task

3) **Measurement Logic.** The measurement logic is Time <= five (5) business days

4) **Measurement Period.** Monthly

c. Key Performance Indicator – User Support

The PM Services Contractor must use at least 65% of the modification hours on Agency priority Change Order Requests and Agency Support. The Agency shall review the time on a “rolling” quarter. If the current month and the previous two (2) months do not have at least 65% of the modification hours allocated to Priority Change Order Requests and Agency Support, then the Agency shall request a Corrective Action Plan (CAP). See [RFP Section II.L.1.b. Contract Management](#) for more information on Corrective Action Plans.

1) **Measurement Item.** Modification hour user on priority Change Order Requests and Agency Support

2) **Measurement Description.** Modification hours allocated to Priority Change Order Requests

3) **Measurement Logic.** The measurement logic is Time > = 65%

4) **Measurement Period.** Monthly

d. Key Performance Indicator – Service Desk Operations

The Service Desk must be staffed appropriately to allow incidents/problems to be entered into the tool while on call with State staff and persons or if received via email within thirty (30) minutes.

1) **Measurement Item.** Service Desk incident/problem entered into system

2) **Measurement Description.** Time for incidents/problems to be entered into the tool

3) **Measurement Logic.** The measurement logic is Time <= thirty (30) minutes

4) **Measurement Period.** Episodic