



**First Data**  
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**State of Arkansas  
Department of  
Human Services**

***Request for Proposal (RFP) for:  
Independent Verification and  
Validation Services for the  
Integrated Eligibility and  
Benefit Management***

**Bid Number: 710-19-1021R**

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***Technical Proposal Packet  
COPY***

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October 1, 2019

2:00 PM CST



## Title Page

Technical Proposal Packet	
<b>RFP Title:</b>	Arkansas Department of Human Services Independent Verification and Validation Services
<b>Solicitation:</b>	710-19-1021R
<b>Vendor Name:</b>	First Data Government Solutions, LP
<b>Address:</b>	5565 Glenridge Connector NE Suite 2000 Atlanta, GA, 30342
<b>Opening Date:</b>	October 1, 2019
<b>Opening Time:</b>	2:00 PM CST

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## Proposal Signature Page

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First Data provides the signed Proposal Signature Page on the following page.

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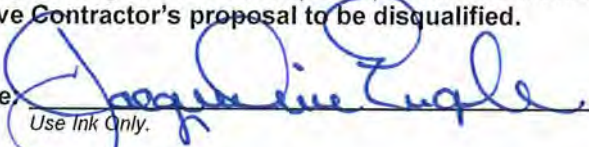
**PROPOSAL SIGNATURE PAGE**

Type or Print the following information.

PROSPECTIVE CONTRACTOR'S INFORMATION					
Company:	First Data Government Solutions, LP				
Address:	5565 Glenridge Connector NE, Suite 2000				
City:	Atlanta	State:	Georgia	Zip Code:	30342
Business Designation:	<input type="checkbox"/> Individual <input checked="" type="checkbox"/> Partnership	<input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Corporation	<input type="checkbox"/> Public Service Corp <input type="checkbox"/> Nonprofit		
Minority and Women-Owned Designation*:	<input checked="" type="checkbox"/> Not Applicable <input type="checkbox"/> African American	<input type="checkbox"/> American Indian <input type="checkbox"/> Hispanic American	<input type="checkbox"/> Asian American <input type="checkbox"/> Pacific Islander American	<input type="checkbox"/> Service Disabled Veteran <input type="checkbox"/> Women-Owned	
	AR Certification #: _____		* See <i>Minority and Women-Owned Business Policy</i>		
PROSPECTIVE CONTRACTOR CONTACT INFORMATION					
<i>Provide contact information to be used for bid solicitation related matters.</i>					
Contact Person:	Jacqueline Engle	Title:	Vice President		
Phone:	513-878-8123	Alternate Phone:	513-713-7152		
Email:	Jacie.Engle@Fiserv.com				
CONFIRMATION OF REDACTED COPY					
<input type="checkbox"/> YES, a redacted copy of submission documents is enclosed. <input checked="" type="checkbox"/> NO, a redacted copy of submission documents is <u>not</u> enclosed. I understand a full copy of non-redacted submission documents will be released if requested. <i>Note: If a redacted copy of the submission documents is not provided with Prospective Contractor's response packet, and neither box is checked, a copy of the non-redacted documents, with the exception of financial data (other than pricing), will be released in response to any request made under the Arkansas Freedom of Information Act (FOIA). See Bid Solicitation for additional information.</i>					
ILLEGAL IMMIGRANT CONFIRMATION					
By signing and submitting a response to this <i>Bid Solicitation</i> , a Prospective Contractor agrees and certifies that they do not employ or contract with illegal immigrants. If selected, the Prospective Contractor certifies that they will not employ or contract with illegal immigrants during the aggregate term of a contract.					
ISRAEL BOYCOTT RESTRICTION CONFIRMATION					
By checking the box below, a Prospective Contractor agrees and certifies that they do not boycott Israel, and if selected, will not boycott Israel during the aggregate term of the contract. <input checked="" type="checkbox"/> Prospective Contractor does not and will not boycott Israel.					

An official authorized to bind the Prospective Contractor to a resultant contract shall sign below.

The signature below signifies agreement that any exception that conflicts with a Requirement of this *Bid Solicitation* will cause the Prospective Contractor's proposal to be disqualified.

Authorized Signature:  Title: Vice President  
Use Ink Only.

Printed/Typed Name: Jacqueline Engle Date: September 27, 2019



## **Agreement and Compliance Pages**

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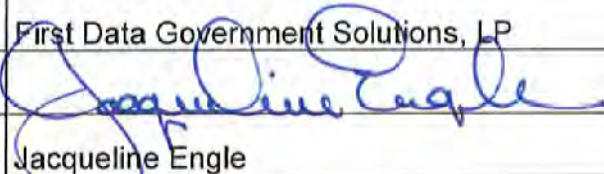
First Data provides the signed Vendor Agreement and Compliance Pages for Sections 1, 2, 3, 4, and 5 on the following pages.

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**SECTION 1 - VENDOR AGREEMENT AND COMPLIANCE**

- Any requested exceptions to items in this section which are NON-mandatory must be declared below or as an attachment to this page. Vendor must clearly explain the requested exception, and should label the request to reference the specific solicitation item number to which the exception applies.
- Exceptions to Requirements shall cause the vendor's proposal to be disqualified.

By signature below, vendor agrees to and shall fully comply with all Requirements as shown in this section of the bid solicitation.

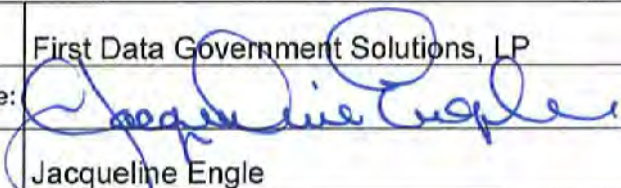
Vendor Name:	First Data Government Solutions, LP	Date:	September 27, 2019
Authorized Signature:		Title:	Vice President
Print/Type Name:	Jacqueline Engle		



**SECTION 2 - VENDOR AGREEMENT AND COMPLIANCE**

- Any requested exceptions to items in this section which are NON-mandatory must be declared below or as an attachment to this page. Vendor must clearly explain the requested exception, and should label the request to reference the specific solicitation item number to which the exception applies
- Exceptions to Requirements shall cause the vendor's proposal to be disqualified.

By signature below, vendor agrees to and shall fully comply with all Requirements as shown in this section of the bid solicitation.

Vendor Name:	First Data Government Solutions, LP	Date:	September 27, 2019
Authorized Signature:		Title:	Vice President
Print/Type Name:	Jacqueline Engle		

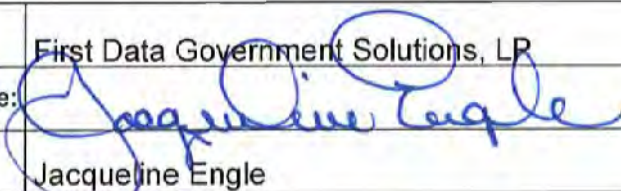




**SECTIONS 3, 4, 5 - VENDOR AGREEMENT AND COMPLIANCE**

- *Exceptions to Requirements shall cause the vendor's proposal to be disqualified.*

By signature below, vendor agrees to and **shall** fully comply with all Requirements as shown in this section(s) of the bid solicitation.

Vendor Name:	First Data Government Solutions, LP	Date:	September 27, 2019
Authorized Signature:		Title:	Vice President
Print/Type Name:	Jacqueline Engle		



## **Proposed Subcontractors Form**

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First Data provides the signed Proposed Subcontractors Form on the following page.

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## Signed Addenda

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First Data provides the two Signed Addenda on the following pages.

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State of Arkansas  
DEPARTMENT OF HUMAN SERVICES  
700 South Main Street  
P.O. Box 1437 / Slot W345  
Little Rock, AR 72203

**ADDENDUM 1**

**TO:** All Addressed Vendors  
**FROM:** Chorsie Burns, Buyer  
**DATE:** August 12, 2019  
**SUBJECT:** 710-19-1021R Independent Verification and Validation Services for the Integrated Eligibility and Benefit Management Solution (IV&V for IEBM)

The following change(s) to the above referenced RFP have been made as designated below:

- Change of specification(s)
- Additional specification(s)
- Change of bid opening date and time
- Cancellation of bid
- Other

**CHANGE OF SPECIFICATIONS**

- Replace 1.7 Response Documents item C 1a with the following:
  - a. Five (5) completed hard copies (marked "COPY") of the Technical Proposal Packet.

**ADDITIONAL SPECIFICATIONS**

- Please add the below to Section 1 of the RFP:

**1.33 INTEGOVERNMENTAL/COOPERATIVE USE OF PROPOSAL AND CONTRACT**

In accordance with Arkansas Code §19-11-249, this proposal and resulting contract is available to any State Agency or Institution of Higher Education that wishes to utilize the services of the selected proposer, and the proposer agrees, they may enter into an agreement as provided in this solicitation.

- Please add the below chart at the end of the following section: 4.5 PERFORMANCE BONDING

Service Criteria	Acceptable Performance	Damages
<p><b>PERFORMANCE BONDING</b></p> <p>A. The Contractor shall be required to obtain performance bonds to protect the State's interest as follows:</p> <p>1. The amount of the performance bonds shall be one hundred percent (100%) of the original contract price, unless the State determines that a lesser amount would be adequate for</p>	<p>Acceptable performance is defined as one hundred percent (100%) compliance with Service Criteria at all times throughout the contract term as determined by DHS.</p>	<p>The Vendor will be fined five hundred dollars (\$500) per day for each day Vendor fails to meet the Performance Bonding Requirements specified in Service Criteria.</p> <p>In addition, Vendor's continued failure to meet Service Criteria, may result in a below standard Vendor Performance Report (VPR) maintained in the vendor file and contract termination.</p>



<p>the protection of the State.</p> <p>2. The State shall require additional performance bond protection when a contract price is increased or modified.</p> <p>3. The performance bond must be delivered to the Arkansas Department of Human Services Chief Procurement Officer within fourteen (14) days of contract execution.</p> <p>4. The contractor shall notify the State of any changes, modification, or renewals for the performance bond during the term of the contract. The performance bond documentation must be provided to the State with each required notice.</p> <p>5. Failure to provide is a breach of contract and may result in immediate contract termination</p> <p>B. The Contractor shall submit documentation to the satisfaction of the State that a performance bond has been obtained. The contractor shall notify the State of any changes, modification, or renewals for the performance bond during the term of the contract.</p>		
---	--	--

The specifications by virtue of this addendum become a permanent addition to the above referenced RFP. Failure to return this signed addendum may result in rejection of your proposal.

If you have any questions, please contact Chorsie Burns at [chorsie.burns@dhs.arkansas.gov](mailto:chorsie.burns@dhs.arkansas.gov) or (501) 682-6327.





A handwritten signature in blue ink, appearing to read "Josephine Eagle", written over a horizontal line.

Vendor Signature

September 27, 2019

Date

First Data Government Solutions, LP

Company



State of Arkansas  
DEPARTMENT OF HUMAN SERVICES  
700 South Main Street  
P.O. Box 1437 / Slot W345  
Little Rock, AR 72203

**ADDENDUM 2**

**TO:** All Addressed Vendors  
**FROM:** Chorsie Burns, Buyer  
**DATE:** September 6, 2019  
**SUBJECT:** 710-19-1021R Independent Verification and Validation Services for the Integrated Eligibility and Benefit Management Solution (IV&V for IEBM)

The following change(s) to the above referenced RFP have been made as designated below:

- Change of specification(s)
- Additional specification(s)
- Change of bid opening date and time
- Cancellation of bid
- Other

**CHANGE OF BID OPENING**

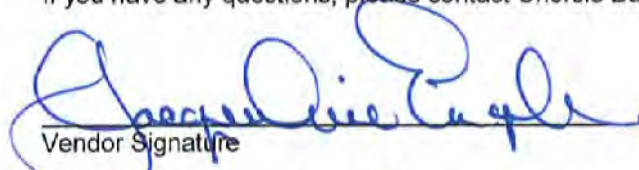
Bid Opening Date and Time: **October 1, 2019 at 2:00pm CST**

**OTHER**

Response to Written Questions: September 11, 2019 by close of business.

The specifications by virtue of this addendum become a permanent addition to the above referenced RFP. Failure to return this signed addendum may result in rejection of your proposal.

If you have any questions, please contact Chorsie Burns at [chorsie.burns@dhs.arkansas.gov](mailto:chorsie.burns@dhs.arkansas.gov) or (501) 682-6327.



Vendor Signature

September 27, 2019  
Date

First Data Government Solutions, LP  
Company





## **Attachment A – E.O. 98-04 – Contract Grant and Disclosure Form**

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First Data provides the signed Attachment A – Contract Grant and Disclosure Form on the following page.

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Contract Number \_\_\_\_\_  
 Attachment Number \_\_\_\_\_  
 Action Number \_\_\_\_\_

**CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM**

Failure to complete all of the following information may result in a delay in obtaining a contract, lease, purchase agreement, or grant award with any Arkansas State Agency.

SUBCONTRACTOR: SUBCONTRACTOR NAME:

Yes  No

IS THIS FOR:

TAXPAYER ID NAME: First Data Government Solutions, LP

Goods?  Services?  Both?

YOUR LAST NAME: Engle

FIRST NAME: Jacqueline

M.I.: M

ADDRESS: 5565 Glenridge Connector NE, Suite 2000

CITY: Atlanta

STATE: Georgia

ZIP CODE: 30342

COUNTRY: USA

**AS A CONDITION OF OBTAINING, EXTENDING, AMENDING, OR RENEWING A CONTRACT, LEASE, PURCHASE AGREEMENT, OR GRANT AWARD WITH ANY ARKANSAS STATE AGENCY, THE FOLLOWING INFORMATION MUST BE DISCLOSED:**

**FOR INDIVIDUALS \***

Indicate below if: you, your spouse or the brother, sister, parent, or child of you or your spouse is a current or former: member of the General Assembly, Constitutional Officer, State Board or Commission Member, or State Employee:

Position Held	Mark (✓)		Name of Position of Job Held [senator, representative, name of board/ commission, data entry, etc.]	For How Long?		What is the person(s) name and how are they related to you? [i.e., Jane Q. Public, spouse, John Q. Public, Jr., child, etc.]	
	Current	Former		From MM/YY	To MM/YY	Person's Name(s)	Relation
General Assembly							
Constitutional Officer							
State Board or Commission Member							
State Employee							

None of the above applies

**FOR AN ENTITY (BUSINESS) \***

Indicate below if any of the following persons, current or former, hold any position of control or hold any ownership interest of 10% or greater in the entity: member of the General Assembly, Constitutional Officer, State Board or Commission Member, State Employee, or the spouse, brother, sister, parent, or child of a member of the General Assembly, Constitutional Officer, State Board or Commission Member, or State Employee. Position of control means the power to direct the purchasing policies or influence the management of the entity.

Position Held	Mark (✓)		Name of Position of Job Held [senator, representative, name of board/ commission, data entry, etc.]	For How Long?		What is the person(s) name and what is his/her % of ownership interest and/or what is his/her position of control?		
	Current	Former		From MM/YY	To MM/YY	Person's Name(s)	Ownership Interest (%)	Position of Control
General Assembly								
Constitutional Officer								
State Board or Commission Member								
State Employee								

None of the above applies



Contract Number \_\_\_\_\_  
Attachment Number \_\_\_\_\_  
Action Number \_\_\_\_\_

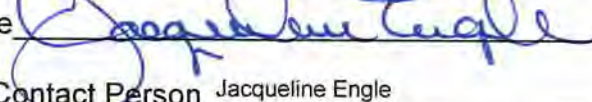
## Contract and Grant Disclosure and Certification Form

**Failure to make any disclosure required by Governor's Executive Order 98-04, or any violation of any rule, regulation, or policy adopted pursuant to that Order, shall be a material breach of the terms of this contract. Any contractor, whether an individual or entity, who fails to make the required disclosure or who violates any rule, regulation, or policy shall be subject to all legal remedies available to the agency.**

**As an additional condition of obtaining, extending, amending, or renewing a contract with a state agency I agree as follows:**

1. Prior to entering into any agreement with any subcontractor, prior or subsequent to the contract date, I will require the subcontractor to complete a **CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM**. Subcontractor shall mean any person or entity with whom I enter an agreement whereby I assign or otherwise delegate to the person or entity, for consideration, all, or any part, of the performance required of me under the terms of my contract with the state agency.
2. I will include the following language as a part of any agreement with a subcontractor:  
*Failure to make any disclosure required by Governor's Executive Order 98-04, or any violation of any rule, regulation, or policy adopted pursuant to that Order, shall be a material breach of the terms of this subcontract. The party who fails to make the required disclosure or who violates any rule, regulation, or policy shall be subject to all legal remedies available to the contractor.*
3. No later than ten (10) days after entering into any agreement with a subcontractor, whether prior or subsequent to the contract date, I will mail a copy of the **CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM** completed by the subcontractor and a statement containing the dollar amount of the subcontract to the state agency.

**I certify under penalty of perjury, to the best of my knowledge and belief, all of the above information is true and correct and that I agree to the subcontractor disclosure conditions stated herein.**

Signature  Title Vice President Date September 27, 2019  
Vendor Contact Person Jacqueline Engle Title Vice President Phone No. (513) 878-8123

*Agency use only*  
Agency Number 0710 Agency Name Department of Human Services Agency Contact Person \_\_\_\_\_ Contact Phone No. \_\_\_\_\_ Contract or Grant No. \_\_\_\_\_



# Equal Opportunity Policy

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## Equal Employment Opportunity Policy 41 C.F.R. §§§ 60-741.44(a); -250.44(a); and -300.44(a).

First Data (hereinafter “the Company”) pursues a policy of equal employment opportunity. Equal employment opportunity is not only a legal and economic necessity, but is also an extension of the Company’s desire to fulfill its role as a responsible citizen in the community. To provide equal employment and advancement opportunities to all individuals, employment decisions at the Company will be based on merit, qualifications, and abilities.

The Company does not discriminate in employment opportunities or practices on the basis of race, color, religion, creed, sex (including pregnancy, childbirth or related medical conditions), gender identity/expression, citizenship, national origin, ancestry, age, disability, family care status, Protected Veteran and military status, marital status, sexual orientation, genetic information, or any other characteristic protected by law.

The Company will not discharge or in any other manner discriminate against any employee or applicant for employment because such employee or applicant has inquired about, discussed, or disclosed the compensation of the employee or applicant or another employee or applicant.<sup>1</sup>

The Company will make reasonable accommodations for qualified individuals with known disabilities unless doing so would result in an undue hardship. The Company prohibits harassment of any individual on the basis of any characteristic listed above. For information regarding the Company’s internal policies for addressing complaints of harassment, please refer to the Company’s Global Mutual Respect Policy.

This policy governs all aspects of employment, including selection, job assignment, promotion, compensation, discipline, termination, layoffs, return from layoff, and access to benefits and training.

Any employees with questions or concerns about any type of discrimination in the workplace are encouraged to bring these issues to the attention of their immediate supervisor or Human Resources, or by calling the FDC Ethics Helpline at 1-800-337-3366. Employees can raise concerns and make reports without fear of reprisal, harassment, intimidation, threats, coercion or discrimination because they: (1) file a complaint with the Company or with federal, state, or local agencies; (2) assist or participate in any investigation, compliance review, hearing, or any other activity related to the administration of any federal, state or local equal employment opportunity or affirmative action statute; (3) oppose any act or practice made unlawful by federal, state or local law requiring equal employment opportunity or affirmative action; or (4) exercise any other employment right protected by federal, state or local law or its implementing regulations.

The Company maintains an audit and reporting system to determine overall compliance with its equal employment opportunity mandates.

The Company and its management intend to insure that its workforce is free from unlawful discrimination and will work diligently to further the principles of affirmative action and equal employment opportunity, and to ensure the full and best utilization of our entire workforce.

The Company, at the request of contracting agencies, shall request each applicable employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such

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<sup>1</sup> This provision does not apply to employees with access to the compensation information of other employees or applicants as a part of their essential job functions who discloses the compensation of such other employees or applicants to individuals who do not otherwise have access to such information, unless such disclosure is in response to a formal complaint or charge, in furtherance of an investigation, proceeding, hearing, or action, including an investigation conducted by the employer or is consistent with the contractor’s legal duty to furnish information.”

employment agency, labor union, or representative will not discriminate on the basis of race, color, religion, creed, sex (including pregnancy, childbirth or related medical conditions), gender identity/expression, citizenship national origin, ancestry, age, disability, family care status, Protected Veteran and military status, marital status, sexual orientation, genetic information, or any other characteristic protected by law and that such union or representative will affirmatively cooperate in the implementation of the organization's obligations herein.

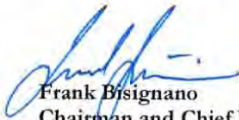


**ANNUAL REAFFIRMATION OF  
EQUAL EMPLOYMENT OPPORTUNITY POLICY**

Each year we reaffirm the policy of First Data to provide equal employment opportunity to all employees and applicants for employment regardless race, color, religion, creed, sex (including pregnancy, childbirth or related medical conditions), gender identity/expression, citizenship, national origin, ancestry, age, disability, family care status, Protected Veteran and military status, marital status, sexual orientation, genetic information, or any other characteristic protected by law.

All decisions concerning personnel activities and actions will be consistent with the requirements of state, federal, or local law. Anthony Marino, Executive Vice President of Human Resources is responsible for the implementation and maintenance of the Equal Employment Opportunity Policy.

If you should have any questions concerning the policy, please contact your HR Representative or the HR Service Center via the Employee Resource Line at 1-888-348-4835 or [HRServiceCenter@firstdata.com](mailto:HRServiceCenter@firstdata.com).



Frank Bisignano  
Chairman and Chief Executive Officer  
First Data Corporation

255 Fiserv Drive  
Brookfield, WI 53045  
www.fiserv.com



### The President's Statement

Fiserv's Affirmative Action Plan, a commitment to Equal Employment Opportunity, and recognition of the value of diversity are essential parts of Fiserv's business practices and principles. Together they provide direction that promotes Affirmative Action progress, as well as respect for and among the many individuals who contribute to the success of our fine company.

The responsibility for meeting the company's Affirmative Action objectives is one all members of management share. Every Fiserv location is included in an Affirmative Action Plan. The 2015 Plan Document is available for review by all Fiserv associates and applicants. Associates who wish to review the Plan Document may contact their local Human Resources Manager. Applicants who wish to view the plan may do so by contacting the HR Department during normal business hours, Monday through Friday.

Fiserv does not permit or condone any form of discrimination or harassment based on race, color, religion, national origin, gender, disability, protected veteran status, sexual orientation and gender identity by the Company's managers, associates or vendors. In addition, Fiserv does not permit or condone any form of retaliation resulting from, or based on the good faith reporting of, such discrimination or harassment, whether experienced first-hand or witnessed happening to other associates, applicants for employment or vendors. Fiserv associates who believe they may have been subjected to such conduct are strongly encouraged to bring their concerns to the attention of management, directly to their Human Resources Manager or by contacting the Fiserv Alertline at 877-FISV-111, option 2 (+1 262-879-3879 from outside the United States and Canada).

Individuals with disabilities have the opportunity to identify reasonable accommodations that Fiserv can make to assist them in applying for Fiserv jobs for which they are qualified and in successfully and safely performing the duties of their jobs. Applicants and associates also have the opportunity to identify their veteran status.

Fiserv takes pride in its commitment to Affirmative Action and Equal Employment Opportunity. Our accomplishments in these areas contribute to Fiserv's business success, and as we continue to seek ways to strengthen our competitive position, we will benefit from the new ideas that valuing diversity brings.



---

Jeff Yabuki  
President and Chief Executive Officer

## Other Documents/Information Required in the Bid Solicitation

---

Per RFP Section 1.8.B, First Data provides other documents and/or information expressly required for this bid solicitation in this section. Required documents include:

- **Letter of Bondability (RFP 2.3.A)** from an admitted Surety Insurer.
- **Financial Statements (RFP 2.3.B)** (provided electronically only per Question #58 of responses released on September 11, 2019). The Statements attached are those of First Data Government Solution's parent company, First Data Corporation, because First Data Government Solutions is a disregarded entity for financial reporting purposes as a wholly owned subsidiary and has no separate statements.
  - Financial statements include our 2019 Proxy Statement and the most recent last three (3) fiscal years' of our corporate audited financial statements showing annual revenues of at least fifty million dollars (\$50M). As discussed in the State response to questions, these statements are including as part of the electronic submission.
- **Resumes (RFP 2.3.E)** for First Data proposed key personnel and IV&V Team
- **Sample IV&V Assessment Reports (RFP 2.4.D)** as required in the fourth requirement under Technical Solution and Scope of Work in the Information for Evaluation table.

Additionally, per Responses to Questions released September 11, 2019, First Data includes the following required statements:

- Per Question #26, First Data agrees to follow the current Medicaid Eligibility and Enrollment Life Cycle (MEELC) and completing all IV&V portions of the Medicaid Eligibility and Enrollment Toolkit (MEET) checklists published at <https://www.medicaid.gov/medicaid/data-and-systems/meet/index.html>. We shall deliver the quarterly reports required and work with the State to review evidence, annotate review findings, and annotate resolutions in each of the MEET checklists.
- Per Question #61, First Data has reviewed and accepts and agrees to the terms and conditions set out in the applicable sections of the RFP and in Attachment D. We have not taken any exceptions to the terms and conditions and have signed all Agreement and Compliance pages as part of our Technical Response Packet.

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## **Letter of Bondability (RFP 2.3.A)**

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First Data provides our signed Letter of Bondability on the following page.

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September 11, 2019

State of Arkansas  
Department of Human Services  
Office of Procurement  
700 Main Street  
Little Rock, AR 72201

RE: First Data Government Solutions, LP  
Bid Number 710-19-1021R, Independent Verification and Validation Services for the Integrated Eligibility and Benefit Management Solution (IV&V for IEBM)

Dear Sir or Madam:

We understand you are considering a relationship with First Data Government Solutions, LP and have requested information concerning the company's surety bond program.

The surety for First Data Government Solutions, LP is Fidelity and Deposit Company of Maryland (F&D), a member of the Zurich family of companies. F&D is rated "A+" as rated by the A.M. Best Company, and is listed in the Department of the Treasury's Listing of Approved Sureties (Department Circular 570).

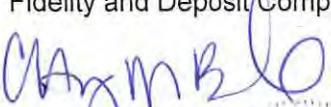
F&D stands ready to support bid bonds, as well as performance and payment bonds for First Data Government Solutions, LP, in excess of \$10,000,000 for single projects with an aggregate program of \$15,000,000. We would look favorably on supporting a bond at the request of our client; however, our support is conditioned upon completion of the underwriting process, including satisfactory review of contract documents, confirmation of financing and our ongoing review of the operational and financial capacity of First Data Government Solutions, LP.

Please understand, this letter is not to be construed as an agreement to provide bonds for any particular project, but it is offered as an indication of our past experience and confidence in First Data Government Solutions, LP. Any arrangement to provide final bonds is a matter between Fidelity and Deposit Company of Maryland and First Data Government Solutions, LP and we assume no liability to third parties if we do not execute said bonds.

We highly recommend First Data Government Solutions, LP to you. They are well managed, financed, and truly capable of meeting your requirements. If you have any questions in regards to this letter, do not hesitate to call.

Sincerely,

Fidelity and Deposit Company of Maryland

  
Christy M. Braile  
Attorney-in-Fact





ZURICH AMERICAN INSURANCE COMPANY  
COLONIAL AMERICAN CASUALTY AND SURETY COMPANY  
FIDELITY AND DEPOSIT COMPANY OF MARYLAND  
POWER OF ATTORNEY

KNOW ALL MEN BY THESE PRESENTS: That the ZURICH AMERICAN INSURANCE COMPANY, a corporation of the State of New York, the COLONIAL AMERICAN CASUALTY AND SURETY COMPANY, a corporation of the State of Illinois, and the FIDELITY AND DEPOSIT COMPANY OF MARYLAND a corporation of the State of Illinois (herein collectively called the "Companies"), by Robert D. Murray, Vice President, in pursuance of authority granted by Article V, Section 8, of the By-Laws of said Companies, which are set forth on the reverse side hereof and are hereby certified to be in full force and effect on the date hereof, do hereby nominate, constitute, and appoint Debra J. SCARBOROUGH, Megan L. BURNS-HASTY, Christy M. BRAILE, Mary T. FLANIGAN, Laura M. BUHRMESTER, Charissa D. LECUYER, Rebecca S. LEAL, C. Stephens GRIGGS and Tahitia M. FRY, all of Kansas City, Missouri, EACH, its true and lawful agent and Attorney-in-Fact, to make, execute, seal and deliver, for, and on its behalf as surety, and as its act and deed: any and all bonds and undertakings, and the execution of such bonds or undertakings in pursuance of these presents, shall be as binding upon said Companies, as fully and amply, to all intents and purposes, as if they had been duly executed and acknowledged by the regularly elected officers of the ZURICH AMERICAN INSURANCE COMPANY at its office in New York, New York, the regularly elected officers of the COLONIAL AMERICAN CASUALTY AND SURETY COMPANY at its office in Owings Mills, Maryland, and the regularly elected officers of the FIDELITY AND DEPOSIT COMPANY OF MARYLAND at its office in Owings Mills, Maryland, in their own proper persons.

The said Vice President does hereby certify that the extract set forth on the reverse side hereof is a true copy of Article V, Section 8, of the By-Laws of said Companies, and is now in force.

IN WITNESS WHEREOF, the said Vice-President has hereunto subscribed his/her names and affixed the Corporate Seals of the said ZURICH AMERICAN INSURANCE COMPANY, COLONIAL AMERICAN CASUALTY AND SURETY COMPANY, and FIDELITY AND DEPOSIT COMPANY OF MARYLAND, this 15th day of July, A.D. 2019.



ATTEST:

ZURICH AMERICAN INSURANCE COMPANY  
COLONIAL AMERICAN CASUALTY AND SURETY COMPANY  
FIDELITY AND DEPOSIT COMPANY OF MARYLAND

By: Robert D. Murray  
Vice President

By: Dawn E. Brown  
Secretary

State of Maryland  
County of Baltimore

On this 15th day of July, A.D. 2019, before the subscriber, a Notary Public of the State of Maryland, duly commissioned and qualified, Robert D. Murray, Vice President and Dawn E. Brown, Secretary of the Companies, to me personally known to be the individuals and officers described in and who executed the preceding instrument, and acknowledged the execution of same, and being by me duly sworn, deposed and saith, that he/she is the said officer of the Company aforesaid, and that the seals affixed to the preceding instrument are the Corporate Seals of said Companies, and that the said Corporate Seals and the signature as such officer were duly affixed and subscribed to the said instrument by the authority and direction of the said Corporations.

IN TESTIMONY WHEREOF, I have hereunto set my hand and affixed my Official Seal the day and year first above written.



Constance A. Dunn, Notary Public  
My Commission Expires: July 9, 2023

EXTRACT FROM BY-LAWS OF THE COMPANIES

"Article V, Section 8, Attorneys-in-Fact. The Chief Executive Officer, the President, or any Executive Vice President or Vice President may, by written instrument under the attested corporate seal, appoint attorneys-in-fact with authority to execute bonds, policies, recognizances, stipulations, undertakings, or other like instruments on behalf of the Company, and may authorize any officer or any such attorney-in-fact to affix the corporate seal thereto; and may with or without cause modify or revoke any such appointment or authority at any time."

CERTIFICATE

I, the undersigned, Vice President of the ZURICH AMERICAN INSURANCE COMPANY, the COLONIAL AMERICAN CASUALTY AND SURETY COMPANY, and the FIDELITY AND DEPOSIT COMPANY OF MARYLAND, do hereby certify that the foregoing Power of Attorney is still in full force and effect on the date of this certificate; and I do further certify that Article V, Section 8, of the By-Laws of the Companies is still in force.

This Power of Attorney and Certificate may be signed by facsimile under and by authority of the following resolution of the Board of Directors of the ZURICH AMERICAN INSURANCE COMPANY at a meeting duly called and held on the 15th day of December 1998.

RESOLVED: "That the signature of the President or a Vice President and the attesting signature of a Secretary or an Assistant Secretary and the Seal of the Company may be affixed by facsimile on any Power of Attorney...Any such Power or any certificate thereof bearing such facsimile signature and seal shall be valid and binding on the Company."

This Power of Attorney and Certificate may be signed by facsimile under and by authority of the following resolution of the Board of Directors of the COLONIAL AMERICAN CASUALTY AND SURETY COMPANY at a meeting duly called and held on the 5th day of May, 1994, and the following resolution of the Board of Directors of the FIDELITY AND DEPOSIT COMPANY OF MARYLAND at a meeting duly called and held on the 10th day of May, 1990.

RESOLVED: "That the facsimile or mechanically reproduced seal of the company and facsimile or mechanically reproduced signature of any Vice-President, Secretary, or Assistant Secretary of the Company, whether made heretofore or hereafter, wherever appearing upon a certified copy of any power of attorney issued by the Company, shall be valid and binding upon the Company with the same force and effect as though manually affixed.

IN TESTIMONY WHEREOF, I have hereunto subscribed my name and affixed the corporate seals of the said Companies, this \_\_\_\_\_ day of SEP 11 2011.



Brian M. Hodges,  
Vice President

**TO REPORT A CLAIM WITH REGARD TO A SURETY BOND, PLEASE SUBMIT A COMPLETE DESCRIPTION OF THE CLAIM INCLUDING THE PRINCIPAL ON THE BOND, THE BOND NUMBER, AND YOUR CONTACT INFORMATION TO:**

Zurich Surety Claims  
1299 Zurich Way  
Schaumburg, IL 60196-1056  
[www.reportsclaims@zurichna.com](mailto:www.reportsclaims@zurichna.com)  
800-626-4577

## **Financial Statements (RFP 2.3.B)**

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Per response to Question #58 where the State indicated it is acceptable to provide Financial Statements in electronic form only, First Data provides our 2019 Proxy Statement and audited Form 10K's for years 2016-2018 in our electronic copies on USBs.

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## **Resumes (RFP 2.3.E)**

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Detailed resumes for First Data's Project Team for the Arkansas IV&V for IEBM follow. The Resumes for the proposed IV&V Lead and the proposed IV&V SMEs are within the page limits outlined in the RFP.

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## Delden Fane, IV&V Lead



### Human Services Expertise

- Medicaid, CHIP, SNAP, TANF Eligibility IT Business Rules
- Child Welfare IT Oversight
- Child Support IT Oversight

### Specializations

- Independent Validation and Verification for CMS
- Medicaid Modernization & Integrated Eligibility Projects
- CMS MITA 3.0 Framework
- Federal Certification (CMS MECL & FNS 901 Handbook)
- MEELC and MEET 1.1
- IT Project Management
- Solutions Architect

### Education

- Bachelor of Science, Business Services, University of Toledo

### Professional Summary

Mr. Fane is an experienced Information Technology consultant in multi-tiered State Government Health and Human Service programs including Medicaid, CHIP, SNAP, and TANF programs. He has more than 30 years of experience performing public sector IT disciplines ranging from federal and state eligibility policy software automation (that is, Business Rules), Vendor Management, Eligibility Program Operations, Project Management, and Independent Validation and Verification. Mr. Fane has spent the last seven years specializing in IV&V and Risk Management for five separate state government Medicaid Modernization and Integrated Eligibility and Enrollment initiatives governed by CMS. Mr. Fane brings a broad interdisciplinary background in CMS MITA framework, which fosters integrated business and information technology transformation across the Medicaid enterprise to improve Medicaid program efficiency.

### Qualifications for this Role

- Over 20 years of experience within State Government HHS agencies delivering integrated program eligibility systems
- Seven years of providing CMS ACA IV&V oversight for State Governments
- One year with First Data and five years of experience with competing IV&V firms and subcontractors
- Extensive experience on large-scale multi-program eligibility systems in multiple states
- In-depth understanding of processes and procedures associated with enterprise architecture, system design, functional requirements, development, testing, and implementation from the following perspectives: software development, state government management, SI prime vendor management (that is, four years as a Deloitte Manager/Sr. Manager), subcontractor to SI prime vendor, as well as an IV&V manager and business analyst.

## Experience

Project #1	Reference #1
Client Organization Name: State of New York	Name: JP Scullin
Project Name: NY Integrated Eligibility and New York State of Health (NYSOH)	Position: Operations Deputy Director
Time Period Worked: 04/22/2019 to Present	Phone Number: (518) 419-3656
System Programs: Medicaid, LIHEAP, TANF, SNAP, WIC, CHIP	Email: jp.scullin@its.ny.gov
Experience	
Individual's Project Role: IV&V Business Lead	
<p>Project Scope Summary: New York's all-in-one mainframe systems are working side-by-side with modular, cloud-based systems. The state's current Integrated Eligibility and Enrollment (IES) Program initiative involves replacing the exiting Medicaid eligibility systems still functioning on the UpState and DownState legacy systems to comply with state and federal mandates and expectations. First Data's IV&amp;V approach is to provide full-time teams, embedded in the activities of the over-arching programs to report findings and alert stakeholders of potential negative events which may impact program initiative success. First Data's team includes staff specifically dedicated to the IES Program and the NYSOH marketplace exchange system. The team observes state and vendor meetings, reviews project artifacts, conducts research, documents outcomes, performs assessments and submit reports and deliverables to both Federal and State stakeholders to increase project success. Mr. Fane's responsibilities include coordinating work efforts and collaborating with the project team, including IES Program Office, DOH and ITS staff, the IES Solution Contractor, and NYSOH contractors/subcontractors. He guides and supports all monthly and weekly status reports and reviews. He also reviews all CMS MEET 1.1 E&amp;E Checklists and IV&amp;V Progress Reports for accuracy and completeness and supports milestone reviews.</p>	

Project #2	Reference #2
Client Organization Name: State of Indiana	Name: Michael Gargano
Project Name: FSSA Medicaid Modernization IV&V/OV&V Project	Position: Deputy Secretary
Time Period Worked: 12/2018 – 04/2019	Phone Number: (317) 234-6309
System Programs: Medicaid, CHIP TANF, SNAP	Email: Michael.Gargano@fssa.IN.gov
Experience	
Individual's Project Role: IV&V Manager	
<p>Project Scope Summary: The First Data Team was hired by State of Indiana Department of Family Resources (DFR) to perform IV&amp;V oversight for the Indiana Eligibility Determination Services System (IEDSS) DDI and M&amp;O phases. The IV&amp;V Team focused on review and</p>	



evaluation of vendor deliverables, conducted attestations, assessed technical designs, and submit reports to the State, CMS, and FNS regional representatives. The role of IV&V Manager was to immediately assess the outcomes from the MEELC and MEET 1.1 Project Initiation Milestone Review (R1) and collaborate with DFR to plan for MEET 1.1 Operational Milestone Review (R2). The IV&V Team effectively addressed CMS concerns and provided DFR with actionable recommendations. After CMS granted DFR permission to perform MEET 1.1 Operational Milestone (R2), the IV&V Team performed comprehensive reviews, and evaluations for all six MEET 1.1 Eligibility and Enrollment checklists (which contained 147 business and technical criteria). At the same time, the IV&V Team completed R2 the Programmatic Checklist and General Summary tab. These artifacts were included in the Second Quarter MEET 1.1 (R2) Progress Report and simultaneously submitted to CMS and DFR for review.

Project #3	Reference #3
Client Organization Name: States of Alabama and Louisiana	Name: Keith Wright (AL)/Carrie Poushe (LA)
Project Name: Medicaid Modernization IV&V Project Oversight	Position: Director(AL)/Project Manager (LA)
Time Period Worked: 11/2016 – 10/2018	Phone Number: (334) 206-5300 (AL)
System Programs: Medicaid, TANF, SNAP	Email: keith.wright@adph.state.us
Experience	
Individual's Project Role: Senior Consultant	
<p>Project Scope Summary: The states of Alabama and Louisiana each undertook Medicaid modernization projects during which Mr. Fane:</p> <ul style="list-style-type: none"> <li>• Performed IV&amp;V project oversight for Medicaid Modernization software development projects at the State of Alabama and the State of Louisiana to conduct MEELC and MEET 1.0 and MEET 1.1 Project Initiation Milestone Reviews (R1) and Operational Milestone Reviews (R2).</li> <li>• Observed Agile Scrum Ceremonies, which include the following sessions: Sprint Backlog Refinement, Sprint Planning, Daily Stand-ups, Sprint Reviews, and Sprint Retrospective meetings.</li> <li>• Reviewed, researched, and assessed System Integrator project plans, deliverables, processes, and documentation to communicate variances to the State and CMS.</li> <li>• Conducted Risk Management activities by documenting and communicating inefficiencies and ineffectiveness and making suggested recommendations to mitigate risk to the project.</li> <li>• Submitted monthly and quarterly deliverable reports to CMS, FNS, and State key stakeholders.</li> <li>• Collected lessons learned by documenting things that were performed effectively as well as processes and practices that needed improvement and leveraged the use of industry practices and standards as evidence to support IV&amp;V findings</li> </ul>	

Project #4	Reference #4
Client Organization Name: State of Ohio (and others)	Name: Angelo Serra
Project Name: Consulting Services including IV&V	Position: Program Manager
Time Period Worked: 04/2013 – 04/2016	Phone Number: (614) 466-0396
System Programs: SNAP, TANF, Medicaid	Email: N/A
Experience	
Individual's Project Role: Senior Managing Partner	
<p>Project Scope Summary: As a Senior Managing Partner, Mr. Fane was involved in numerous projects and activities the scope of which included but was not limited to:</p> <ul style="list-style-type: none"> <li>• Consulting services to leverage technology solutions for client organizations to address short-term and long-term projects by leveraging Agile, Waterfall, and Hybrid SDLC methodologies.</li> <li>• Consulting on government modernization and business process improvement engagement using technology integration to implement software solutions for Human Service applications like SNAP, TANF, and Medicaid, including Eligibility and Enrollment systems. <ul style="list-style-type: none"> <li>▪ In the state of Ohio specifically, performed IV&amp;V consulting services that consisted of oversight for vendors including: System Integration of Medicaid, TANF, and SNAP. Organizational Change Management. Enterprise Data Warehouse/Business Intelligence.</li> </ul> </li> <li>• Project management responsibilities for client engagements.</li> <li>• CMS Hub testing assessments writing attestation letters outcomes and submitting it to the State and CMS</li> <li>• Observing Medicaid and Integrated Eligibility meetings including JADs, sprint planning, daily standups</li> <li>• Assessments to produce findings and generate reports for improvement in project effectiveness and efficiencies with the goal of meeting or exceeding stakeholder expectations.</li> </ul>	
Project #5	Reference #5
Client Organization Name: State of North Carolina	Name: Teresa C. Bryant
Project Name: SNAP Application Intake/Electronic Document Management	Position: Sr. Supervisor
Time Period Worked: 11/2009 – 06/2011	Phone Number: (336) 703-3800
System Programs: SNAP	Email: N/A
Experience	
Individual's Project Role: Director/IT Project Manager	
Project Scope Summary: This project was for the delivery of a paperless system for SNAP Application Intake, Electronic Document Management in the State of North Carolina county-	

based Case Management business functions. As IT Manager, he: worked with Forsyth County Health and Human Services agency to deliver a SNAP eligibility and case management system; led efforts to ensure software development programs met the goals and expectations of the stakeholders; and coordinated efforts for software development, quality assurance, quality control, user acceptance testing, as well as training. The application architecture was based on Service Oriented Architecture best practices, which included FileNet rules-based engine to capture FNS and Forsyth County SNAP program policy eligibility requirements.

Project #6	Reference #6
Client Organization Name: States of Florida and Minnesota, District of Columbia	Name: Juanda Roberts
Project Name: Multiple HHS State Government Public Assistance Projects	Position: Vice President
Time Period Worked: 11/2005 – 06/2009	Phone Number: (404) 631-2000
System Programs: SNAP, TANF, Medicare, Child Welfare	Email: N/A
Experience	
Individual's Project Role: IT Project Manager	
Project Scope Summary: As an IT PM for Deloitte the scope of Mr. Fane's duties included: <ul style="list-style-type: none"> <li>• Managing Health and Human Services State Government public assistance projects in State of Florida, District of Columbia, and the State of Minnesota</li> <li>• Managing off-shore software development team to deliver Dot.Net web case management and data analytics for the Child Welfare (SACWIS) application</li> <li>• Working with the contractor to perform FACE.NET IV&amp;V for ACF</li> <li>• Collaborating with client leadership of state government public assistance programs to deliver information technology integration solutions to Medicaid and leading and mentoring junior consultants to develop their knowledge and skills for advancement</li> </ul>	

Project #7	Reference #7
Client Organization Name: Georgia Dept. of Human Resources	Name: Lajoyce Trotter
Project Name: Ongoing Operations	Position: IT Manager
Time Period Worked: 09/2003 – 09/2005	Phone Number: (404) 656-5680
System Programs: TANF, SNAP, Medicaid	Email: N/A
Experience	
Individual's Project Role: Director of Applications Management	
Project Scope Summary: As the director of applications management for Georgia DHR, Mr. Fane:	

- Directly reported to CIO and CTO within the Office of Information Technology and created 8 State Management job positions and hired the managers as direct reports and managed over 200 FTEs and outsource technical resources
- Led several social program technical teams to manage over 150 customer software and data analysis applications residing on Mainframe, Client/Server, and Web platforms, which use COBOL, JAVA, and Microsoft .Net, residing on DB2, Oracle and Microsoft SQL Server database repositories for TANF, Food Stamps, Medicaid programs
- Worked closely with the CTO in an effort to implement an ESB to integrate the following Divisions: Interacted with Family and Child Services, Mental Health, Public Health and Aging, MMIS and Dept. of Community Health.

Project #8	Reference #8
Client Organization Name: Deloitte Subcontractor at Ohio Department of Jobs and Family Services	Name: David Doyle
Project Name: Ohio Client Register Information System Enhanced (CRIS-E)	Position: Principal
Time Period Worked: 08/1989 – 09/2002	Phone Number: (404) 656-5680
System Programs: TANF, SNAP, Medicaid, Child Care, Child Welfare, Child Support, and MMIS	Email: N/A

**Experience**

Individual's Project Role: Software Developer and IT Manager

Project Scope Summary: As the Software Developer and IT Manager for Deloitte and Ohio Mr. Fane:

- Performed as a software developer and project manager as a subcontractor to Deloitte Consulting.
- Implemented initial software COBOL/IMS code to the CRIS-E Non-Financial Standard Filing Unit (SFU) subsystem, which performed eligibility determination for TANF, SNAP, and Medicaid public assistance programs.
- Responsible for requirements gathering, design, software construction, and system testing of the SFU subsystem. The SFU subsystem was a component of the CRIS-E system.
- Led a software development team made up of State employees and contractors to deploy enhanced COBOL/IMS database software to explore Non-Financial public assistance policy and determine eligibility.
- Provided system maintenance automated public assistance system CRIS-E system and interfaced with MMIS, Child Care, Child Welfare, Child Support, and Public Health systems.
- After joining the State of Ohio, employed as Bureau Chief, managed over 75 technical resources
- Collaborated with State Government management staff to develop strategic plans and Enterprise Architecture frameworks to service over 15,000 users and was responsible for managing the CRIS-E system to process welfare eligibility and issued benefits to over 5 million citizens/recipients

## Willard Starlard, IV&V Technical Analyst



### Program Expertise

- Eligibility
- Child Welfare
- Child Support

### Specializations

- Independent Verification and Validation
- Business Analysis
- Application Design, Development, and Implementation
- ACA, Medicaid Modernization & Integrated Eligibility Project
- CMS MITA 3.0 Framework
- Federal Certification (ACF-SACWIS)
- MEELC and MEET 1.1
- IT Design, Development and Implementation Leadership
- System Requirements

### Education

- BS, Computer Science

### Professional Summary

Mr. Starlard brings over 30 years of Information Technology experience in state government, military, and public utilities. He has had comprehensive involvement in the complete system development lifecycle at both project management and technical levels including analysis, design, development, conversion, testing, and implementation. Mr. Starlard has extensive experience in team leadership, independent verification and validation, business analysis, Joint Application Design planning, and business requirements documentation. He has broad application experience in analysis, design, development, and implementation for accounting, eligibility, child welfare, inventory management, and other State services.

### Qualifications for this Role

- Twenty-four years of experience with State Human Services Eligibility Systems
- Six years providing IV&V services
- Six years with First Data
- Multiple program system experience including Medicaid/MAGI, Child Support, TANF, SNAP, Child Care, and Family Services, and Veterans Health
- Over 20 years of experience working with State of Arkansas programs, processes, and executive, supervisory and worker staff
- In-depth understanding of processes and procedures associated with Medicaid and Children and Family
- Extensive experience on large-scale multi-program system

## Experience

Project #1	Reference #1
Client Organization Name: WJB Dorn Medical Center	Name: Lamar Alexander
Project Name: AuthentiCare	Position: Program Analyst
Time Period Worked: 06/2019 – Present	Phone Number: (803) 776-4000 Ext. 5106
System Programs: Veterans Health Administration	Email: Vassilis.Alexander@va.gov
Experience	
Individual's Project Role: Business Analyst. Mr. Starlard gathers, reviews, and documents requirements for the AuthentiCare VA Dorn project. He participates in JADS and interacts with project administration.	
Project Scope Summary: First Data has implemented the Electronic Visit Verification for the Dorn VAMC to reduce fraud from providers and help manage the use of Home Health Aide services effectively. This project is to make modifications to the implemented system requested by the client.	

Project #2	Reference #2
Client Organization Name: Alabama Medicaid Agency	Name: LaQuita Robinson
Project Name: AuthentiCare Alabama	Position: Associate Director, LTC Project Management/Program Support Unit
Time Period Worked: 07/2019 – Present	Phone Number: (334) 353-5153
System Programs: Medicaid	Email: LaQuita.Robinson@medicaid.alabama.gov
Experience	
Individual's Project Role: Business Analyst. Mr. Starlard gathered, reviewed, and documented requirements for the AuthentiCare Alabama Medicaid project. He participated in JADS and interacted regularly with project administrators, operation agencies, and vendors responsible for the administration of self-directed services.	
Project Scope Summary: Addition of new self-directed service program to the current AuthentiCare Alabama EVV system.	

Project #3	Reference #3
Client Organization Name: State of Texas	Name: Nan Sookiasian
Project Name: OAG Child Support Division IV&V Project	Position: Test Manager (T2 Project)
Time Period Worked: 02/2017 – 05/2019	Phone Number: (512) 799-7965
System Programs: Child Support	Email: nsookiasian@gmail.com
Experience	
<p>Individual's Project Role: Technical Consultant. Mr. Starlard performed review and assessment activities for the project in the areas of testing, conversion, reporting, and interface. He created tools that tracked testing defects and progress.</p>	
<p>Project Scope Summary: First Data was contracted by the State of Texas, Office of Attorney General, Child Support Division to perform Independent Verification and Validation services for the TXCSES 2.0 Child Support Development Project. The First Data Team is a full-time, on-site embedded team.</p>	

Project #4	Reference #4
Client Organization Name: State of Arkansas	Name: Kerry Bass
Project Name: DHS-DCO Division, Eligibility & Enrollment Framework	Position: Project Manager
Time Period Worked: 01/2013 – 12/2015	Phone Number: (404) 493-9050
System Programs: Medicaid, TANF, SNAP	Email: N/A
Experience	
<p>Individual's Project Role: IV&amp;V Technical Manager/Project Lead. Mr. Starlard managed the IV&amp;V staff work and maintained the IV&amp;V budget and creation of monthly invoices to client. He created the SOW and Project Management Plan for the IV&amp;V responsibilities. He met monthly with executive sponsors and with CMS to discuss project status, concerns, and issue mitigation. In the technical manager role Mr. Starlard assessed the quality of SNAP and Medicaid products as they were planned and developed.</p>	
<p>Project Scope Summary: The State of Arkansas contracted with First Data to monitor and assess the Software Development Life Cycle and the products that define the Eligibility and Enrollment Framework Project to make sure it fulfilled federal and state project requirements.</p>	

Project #5	Reference #5
Client Organization Name: State of Arkansas	Name: Tonya Williams
Project Name: DHS Decision Support System (Child Care Data Warehousing) Project & DoD Supplemental Nutrition Assistance Program	Position: Director of Child Care
Time Period Worked: 07/2003 – 03/2012	Phone Number: (501) 320-8953
System Programs: Child Care, SNAP	Email: tonya.l.williams@dhs.arkansas.gov
Experience	
Individual's Project Role: Business & Technical Analyst	
Project Scope Summary: The State of Arkansas Child Care Department requested a strategic system to report on and support departmental decisions for child care. The system included a data warehouse generated by imported systems data and reporting was generated by Business Intelligence reporting which allowed users to dynamically generate personalized reports.	

Project #6	Reference #6
Client Organization Name: State of Arkansas	Name: Ken Benson
Project Name: DHS Children's Reporting and Information System (CHRIS) Project	Position: Retired
Time Period Worked: 10/1993 – 07/2003	Phone Number: (501) 247-1839
System Programs: Family Services	Email: N/A
Experience	
Individual's Project Role: Project Manager/Technical Manager/Technical Analyst/Lead Developer	
Project Scope Summary: The CHRIS Project was developed to meet the needs of family service workers. The system reduces paperwork and provides tools to track children and families while increasing the probability that the information being collected is correct.	



## Lisa Doyle, Business Analyst/MITA SME



### Human Services Expertise

- Medicaid and Medicare Business Rules

### Specializations

- IV&V for CMS
- Medicaid Modernization & Integrated Eligibility Projects
- CMS MITA 3.0 Framework
- Federal Certification (CMS MECL)
- Solutions Architect

### Program Expertise

- Medicaid and Medicare
- Long Term Care

### Specializations

- MITA Architecture
- ACA
- HIPAA

### Education

- Nursing Assistant, Madison Technical College

### Professional Summary

Ms. Doyle is a Senior Consultant and brings over 25 years of experience in business analysis, requirements gathering, training and meeting facilitation, systems testing, implementation, program policy analysis, and project and employee management. She is an experienced professional with extensive accomplishments in Medicaid Information Technology Architecture, HIPAA Administrative Simplification, the Affordable Care Act, and Medicaid and Medicare programs.

Ms. Doyle has participated in multiple industry organizations including co-chairing the NMEH HIS/Eligibility Modernization sub-workgroup and the WEDI 5010 276/277 sub-workgroup. She served as the First Chair of the NMEH HIPAA workgroup and was the NASMD representative for the X12N and WEDI Strategic National Implementation Process (SNIP) workgroup.

### Qualifications for this Role

- Over 25 years of experience within state government HHS agencies delivering systems enhancements
- Twenty years providing CMS Medicaid IV&V, Project Management, and QA oversight for states
- Two years with First Data and fifteen years with other IV&V consulting firms
- Extensive experience on large-scale, multi-program systems in multiple states
- Provided MITA oversight, guidance, and analysis for four state Medicaid programs
- In-depth understanding of processes and procedures associated with Medicaid and Medicare programs, functional requirements, development, testing, and implementation from the following perspectives: software development, state government management, SI prime vendor management, subcontractor to SI prime vendor, as well as IV&V, QA and Project Management as a lead and business analyst.

## Experience

Project #1	Reference #1
Client Organization Name: State of Nebraska HHS	Name: Michael Lawson
Project Name: Nebraska Enterprise IV&V	Position: First Data DMA Project Manager
Time Period Worked: 02/2017 – Present	Phone Number: (608) 572-8596
System Programs: Medicaid	Email: Michael.lawson@fiserv.com
Experience	
Individual's Project Role: Senior Government Business Analyst. Ms. Doyle's role specifically supports the Data Management & Analytics component of the Nebraska Enterprise IV&V project.	
Project Scope Summary: First Data provides Enterprise IV&V services to continue supporting the Eligibility and Enrollment Solution implementation and for multiple implementation projects related to Nebraska's Medicaid Management Information System modernization strategy. Nebraska Medicaid is administered by the Medicaid and Long Term Care (MLTC) division within the Department of Health and Human Services. MLTC, deemed the single state agency by CMS, is transitioning to a mandatory managed care model where most beneficiaries receive health care services through a Managed Care Organization within the Heritage Health managed care delivery system. The legacy MMIS is being transitioned to support the MCO model to a new, component-based MMIS. IV&V services aligned with and supporting the CMS Medicaid Enterprise Life Cycle and Toolkit apply to all components of the new MMIS. Initial scope includes: Eligibility and Enrollment Solution, Data Management and Analytics, Claims Broker Subsystem, Enrollment Broker Capitation, Central Provider Management, EDI Platform Migration, and IV&V services for additional components within the Medicaid Enterprise MMIS replacement that become identified later.	

Project #2	Reference #2
Client Organization Name: CSG Government Solutions for the State of Wisconsin and others	Name: Adnan Ali
Project Name: Multiple projects	Position: CSG Project Manager
Time Period Worked: 02/2012 – 06/2015	Phone Number: (608) 886-4464
System Programs: Medicaid	Email: syed_a_adnan@yahoo.com
Experience	
Individual's Project Role: Senior Consultant	

Project Scope Summary: Ms. Doyle functioned in IV&V Analyst, Project Manager, and Lead Business Analyst roles involving leadership of MITA workshops (80 in a 6-week timeframe), requirements documentation, and implementation of large healthcare initiatives, including health insurance exchange and MMIS system services implementations. She participated in ongoing IV&V assessments of the Wisconsin Medicaid fiscal agent. She established, developed, and maintained a quality assurance process to verify and validate the activities of the project. She was responsible for policy remediation and delivery of MITA 3.0 workshop and Requirements Development training. Ms. Doyle interacted directly with the Department, the fiscal agent, and other support agencies as authorized to work on behalf of the department. She documented all aspects of the design, development, and implementation phases to maintain an accurate record of all decisions, issues, risks, and timelines for potential audit purposes.

Project #3	Reference #3
Client Organization Name: States of Alaska, Colorado, Montana, New Mexico, North Dakota, Tennessee, and Wyoming under Affiliated Computer Services	Name: Gayle Lowery
Project Name: Various projects	Position: Project Manager
Time Period Worked: 12/2008 – 03/2013 and 11/2000 – 04/2004	Phone Number: (601) 259-6099
System Programs: Medicaid	Email: glowery@cambriasolutions.com
<b>Experience</b>	
Individual's Project Role: Senior Operations Consultant/Managing Director	
Project Scope Summary: Ms. Doyle participated in MITA assessments for Alaska and New Mexico Medicaid programs and led the MITA assessment for Tennessee. She also reviewed and participated in industry organizations related to the January 16, 2009 Final Rules for Transaction and Code Set Modifications for HIPAA (including X12N and WEDI call and meeting participation). Ms. Doyle participated in proposal development, developed operational expertise touring and assessing various ACS Medicaid accounts, trained staff on local and national HIPAA information, and provided oversight of HIPAA gap analyses for Montana, Wyoming, New Mexico, and Colorado Medicaid accounts. Ms. Doyle also provided EDI related training for the state of North Dakota.	

Project #4	Reference #4
Client Organization Name: State of Wisconsin, DHS	Name: Kristine Weinberger
Project Name: Ongoing system and business process support	Position: Senior Information Specialist/Program Area Liaison
Time Period Worked: 05/1996 – 11/2000	Phone Number: (920) 319-0266
System Programs: Medicaid	Email: N/A
Experience	
Individual's Project Role: Senior Information Specialist/Program Area Liaison	
<p>Project Scope Summary: The Department of Health Services (DHS) is one of the largest and most diverse state agencies in Wisconsin, with an annual budget of roughly \$11.5 billion and more than 6,100 employees. DHS oversees Medicaid, the single largest program in the state budget, and other health and social service programs. Ms. Doyle provided oversight of fiscal agent EDI functions for the State, led the Wisconsin Medicaid Y2K workgroup, analyzed operations and policy, oversaw system modifications, and served as National Association of State Medicaid Directors representative. She provided oversight for system changes for the home health, inpatient, and outpatient hospital programs due to legislative program changes, yearly fees, DRG updates, and associated testing. She also provided oversight for system modifications to the Prior Authorization subsystem due to legislative program changes. She provided Quality Assurance oversight for system testing and implementation of multiple projects.</p>	

## Alejandro Pessano, Policy SME



### Program Expertise

- SNAP (CalFresh)
- Medicaid (Medi-Cal)

### Specializations

- Project/Program Management
- UAT and System Testing
- Quality Assurance
- Policy/Program Analytics

### Education and Memberships

- Masters, Public Administration, CSU Northridge
- BA, Sociology, UC Santa Barbara

### Certifications

- Amazon Web Services (AWS) Cloud Practitioner Certification

### Professional Summary

Mr. Pessano has multi-program expertise gained during five years of eligibility experience in California. He has both practical and policy experience in programs such as Foster Care, SNAP, TANF, General Assistance, Child Care, and Medicaid. He has experience with CMS certification and holds a master's degree in Public Administration which includes policy analysis. Mr. Pessano is a goal-oriented, dedicated professional with skills and training in public administration, health care, IT project management, and sociological research. Mr. Pessano's four years as an analyst and project manager on public programs built on his eligibility background, enhancing his ability to continuously analyze programs and policies to determine ways of streamlining procedures to increase efficiency.

### Qualifications for this Role

- Nine years of experience with large-scale State Human Services Eligibility Systems handling multiple programs
- Two years providing IV&V services
- System design, development, and implementation experience throughout all phases of the SDLC
- Extensive education and experience around the review, analysis, and interpretation of government rules, regulations, and policy

## Experience

Project #1	Reference #1
Client Organization Name: First Data	Name: Angela Osborne
Project Name: Proposal Development	Position: Director, Professional Services
Time Period Worked: 09/2019 – Present	Phone Number: (310) 613-9527
System Programs: N/A	Email: N/A
Experience	
Individual's Project Role: Government Project Manager	
Project Scope Summary: Mr. Pessano is working with the government solutions team at First Data to formulate the most accurate and efficient solutions for presentation to government entities seeking them.	

Project #2	Reference #2
Client Organization Name: Infiniti Consulting Group	Name: John Gray
Project Name: Multiple projects (list in project scope summary)	Position: Chief Technology Officer (CTO)
Time Period Worked: 08/2017 – 09/2019	Phone Number: (916) 833-1618
System Programs: Veterans Affairs, Security, Medicaid, Cloud Services	Email: N/A
Experience	
Individual's Project Role: IT Project Manager	
<p>Project Scope Summary: Mr. Pessano managed multiple projects including those listed below. The scope of his duties included: Managing the delivery of information technology-based projects, including but not limited to the implementation and configuration of enterprise cloud environments, machine learning applications, management of DevOps teams, and NIST/GDPR Information Security Assessments, producing project plans and deliverables, reviewing team documentation, and managing time, quality, and cost metrics. His duties also included planning and directing the daily activities of teams focused on a particular system or technology, facilitating requirements gathering and analysis, and obtaining consensus from Executive Staff and Program Managers regarding project priorities, scope, schedule, and budget.</p> <ul style="list-style-type: none"> <li>• California State University Northridge: Single Sign-On and AWS – Enterprise Architecture</li> <li>• MAXIMUS: Health Care Options AWS Migration Assessment</li> <li>• California Department of Veterans Affairs: CalVet Technology Recovery Plan</li> <li>• CalExpo: Information Security Assessment</li> </ul>	

- California Secretary of State: Website Migration Project
- California Department of Pesticide Regulation: AWS Migration Project
- South Orange County Community College District: AWS Architecture Assessment
- Health Net: Encounter Data Improvement Project
- California Dept. of Health Care Services: Medicaid Information Technology Architecture

Project #3	Reference #3
Client Organization Name: California Welfare Client Data System (WCDS) Consortium	Name: Joy Ferraez
Project Name: CalWIN	Position: Business Analysis Manager
Time Period Worked: 02/2015 – 08/2017	Phone Number: (916) 846-7383
System Programs: Medicaid/CalHEERS, CalWORKs/TANF, CalFresh/SNAP, Foster Care, and General Assistance	Email: joy.ferraez@dxc.com
<b>Experience</b>	
Individual's Project Role: Senior Business Analyst	
<p>Project Scope Summary: The WCDS Consortium is the largest of the three California consortia managing 38 percent of the State's caseload. It consists of 18 California counties. In 1995, the Consortium began to plan for, procure, develop, and implement the California Statewide Automated Welfare System, CalWIN. CalWIN is a client-based, integrated system that determines client eligibility and employability, calculates and issues benefits, exchanges information with several other State systems, and provides management support for Medicaid, TANF, SNAP, Foster Care, and General Assistance programs. The CalWIN system supports approximately 2 million public clients and has a total cost (including hosting, maintenance, and operations) of more than \$900 million. Full Consortium-wide implementation was successfully completed in July 2006 at which time it moved into maintenance and operations. Mr. Pessano provided analyst services related to the ongoing M&amp;O operations of CalWIN.</p>	

Project #4	Reference #4
Client Organization Name: Santa Barbara County Department of Social Services, Santa Barbara, CA	Name: Carmen Rodarte
Project Name: Ongoing processes	Position: Eligibility Supervisor
Time Period Worked: 01/2014 – 02/2015	Phone Number: (805) 259-5708

System Programs: Medicaid/CalHEERS, CalWORKs/TANF, CalFresh/SNAP, Foster Care, and General Assistance	Email: c.rodarte@sbcsocialserv.org
<b>Experience</b>	
Individual's Project Role: Eligibility Supervisor	
<p>Project Scope Summary: As an Eligibility Supervisor for Santa Barbara County, Mr. Pessano:</p> <ul style="list-style-type: none"> <li>• Supervised and evaluated the work of Eligibility Workers engaged in determining the eligibility of clients for Medicaid and CalFresh (SNAP), ensuring they were complying with applicable regulations, policies, and procedures governing eligibility grant determination and other matters related to line operation of public assistance programs.</li> <li>• Provided direction and guidance in the appropriate application of policies and procedures to complex or unusual case circumstances, as well as guidance in the use of automated systems to meet processing and reporting.</li> <li>• Worked to troubleshoot issues related to MEDS and CalHEERS transactions.</li> <li>• Provided User Acceptance Testing to the CalWIN consortium through multiple System Development Life Cycles.</li> </ul>	

Project #5	Reference #5
Client Organization Name: Santa Barbara DSS	Name: Carmen Rodarte
Project Name: Ongoing processes	Position: Eligibility Supervisor
Time Period Worked: 05/2010 – 12/2013	Phone Number: (805) 259-5708
System Programs: Medicaid/CalHEERS, CalWORKs/TANF, CalFresh/SNAP, Foster Care, and General Assistance	Email: c.rodarte@sbcsocialserv.org
<b>Experience</b>	
Individual's Project Role: Eligibility Worker	
<p>Project Scope Summary: As an Eligibility Worker for Santa Barbara County, Mr. Pessano:</p> <ul style="list-style-type: none"> <li>• Interviewed clients of diverse socioeconomic backgrounds to determine eligibility for Medicaid and CalFresh through the CalWIN system.</li> <li>• Provided training to county eligibility staff based on new policies and regulations as described in All County Welfare Directors Letters and Medi-Cal Eligibility Division Information Letters.</li> <li>• Performed outreach work at multiple hospitals, clinics, and other public organizations within Santa Barbara County assisting clients in the completion of applications and declaration forms.</li> <li>• Provided User Acceptance Testing to the CalWIN consortium through multiple System Development Life Cycles, including the initial implementation of the Affordable Care Act and its interface with CalHEERS.</li> <li>• Organized caseloads to ensure that necessary work was completed in accordance with regulations relating to eligibility and timeliness.</li> </ul>	



## Noah Braiterman, Certification SME



### Program Expertise

- Medicaid

### Specializations

- Independent Verification and Validation
- Testing and Quality Management
- Federal Certification SME
- Process Improvement/ Business Process Re-engineering
- Requirements Development/Management

### Education

- BA, Politics, Brandeis University

### Certifications

- Lean Six Sigma Green Belt

### Professional Summary

Mr. Braiterman has been involved in Medicaid Enterprise system development and certification processes for over five years. He brings expertise in requirements development and management, modeling and design, process improvement, testing and quality management, and statistical analysis, including use of Statistical Package for Social Science (SPSS) software used for social science and health science analytics. He is familiar with the latest Independent Verification and Validation services guidelines and is a federal certification Subject Matter Expert within both the Medicaid Enterprise Certification Life Cycle and Medicaid Eligibility and Enrollment Life Cycle.

### Qualifications for this Role

- Three years of experience with State Human Services Eligibility Systems
- Three years of providing IV&V services
- Two years with First Data
- Two years working with First Data subcontractors
- Regular MESC speaker, his presentations have included:
  - *Medicaid Enterprise Certification Life Cycle (2016)*
  - *Certification Lifecycle Evolution Spectrum (2016)*
  - *Modularity, Certification, and IV&V (2017)*
  - *CMS Certification: You Can Get There, here's How: Stakeholder Partnerships (2018)*
- Extensive Medicaid and federal certification knowledge and expertise

## Experience

Project #1	Reference #1
Client Organization Name: State of New York	Name: Laura Killebrew
Project Name: NY Integrated Eligibility System IV&V	Position: Senior Consultant
Time Period Worked: 10/2018 – Present	Phone Number: (601) 668-8599
System Programs: Medicaid, SNAP, TANF, HEAP	Email: N/A
Experience	
<p>Individual's Project Role: IV&amp;V Analyst and Federal Guidelines Subject Matter Expert</p> <p>Mr. Braiterman's duties and responsibilities include: Providing analysis and recommendations supporting alignment with federal guidelines for Medicaid eligibility systems. Reviewing system documentation for conformance to federal guidelines. Developing and contributing to IV&amp;V deliverables, including project plan and schedule, status and progress reports, and recommendations and observations.</p>	
<p>Project Scope Summary: New York's HHS programs are comprehensive and diverse, and the IT environment that supports them is even more so. New York's all-in-one mainframe systems are working side-by-side with modular, cloud-based systems. The state's current Integrated Eligibility and Enrollment Program initiative involves replacing the existing Medicaid eligibility systems still functioning on the Up State and Down State legacy systems to facilitate innovation and comply with state and federal mandates and expectations. First Data's IV&amp;V approach is to provide full-time teams, embedded in the activities of the overarching programs to report findings and alert stakeholders of potential negative events which may impact the success of the program initiative. First Data has provided an experienced team that includes staff specifically dedicated to the IES Program and the New York State of Health marketplace exchange system. The IV&amp;V team observes state and vendor meetings, review project artifacts, conduct research, document outcomes, perform assessments, and submit reports and deliverables to both Federal and State stakeholders to increase project success.</p>	

Project #2	Reference #2
Client Organization Name: State of Nebraska	Name: Laura Killebrew
Project Name: IV&V on modular MMIS replacement	Position: Senior Consultant
Time Period Worked: 03/2017 – Present	Phone Number: (601) 668-8599
System Programs: Medicaid	Email: N/A
Experience	
<p>Individual's Project Role: Federal Certification Subject Matter Expert</p> <p>Mr. Braiterman serves as the Certification Subject Matter Expert. He is responsible for advising on the Medicaid Enterprise Certification Toolkit use and serves as a subject matter expert for IV&amp;V reviews in support of project milestones. He identifies and escalates risks and issues on an ongoing basis. He develops management tools for use in IV&amp;V review and oversight and conducts verification and validation on MECT criteria.</p>	
<p>Project Scope Summary: First Data is contracted to the State of Nebraska to provide Independent Verification and Validation (IV&amp;V) Services for a variety of Medicaid Enterprise projects, including Eligibility &amp; Enrollment Solution and MMIS replacement modules Data Management &amp; Analytics, Provider Screening and Enrollment, EDI Platform Migration, Capitation Processing, Centralized Provider Management, and Long Term Support Services Redesign.</p>	

Project #3	Reference #3
Client Organization Name: West Virginia Department of Health and Human Resources PMO	Name: Laura Killebrew
Project Name: Expedited Certification Process Pilot	Position: Senior Consultant
Time Period Worked: 04/2014 – 10/2016	Phone Number: (601) 668-8599
System Programs: Medicaid	Email: N/A
Experience	
<p>Individual's Project Role: Project Lead</p> <p>As Project Lead, Mr. Braiterman facilitated milestone reviews, planned meetings, and documented risks, issues, status, and lessons learned for reporting to state and federal stakeholders. His reviews and lessons learned were used to facilitate process improvements.</p>	

Mr. Braiterman developed the deliverable approach, deliverable expectation documents, and milestone review materials, and conducted deliverable reviews with federal, state, and vendor stakeholders for all three certification milestone reviews. He managed client and vendor engagement for certification deliverable production, risk and issue management, and milestone review preparation. Mr. Braiterman collaborated with the CMS review team to demonstrate and refine the certification process subsequently released as Medicaid Enterprise Certification Toolkit v2.1. Mr. Braiterman also led MMIS implementation tracks for third-party liability, operations management, waiver programs, service level agreements, and enterprise resource planning system integration. He developed MMIS User Acceptance Testing case bed for finance, third-party liability, waivers, and care management, and developed acceptance criteria and reviewed MMIS design, testing, and certification software development lifecycle deliverables.

Project Scope Summary: West Virginia's Bureau for Medical Services sought to re-procure and implement a monolithic MMIS. A Project Management Office vendor was procured to support the implementation. During the project, West Virginia entered the CMS Certification Transformation Pilot, piloting the precursor to the Medicaid Enterprise Certification Toolkit. The PMO vendor provided verification and validation in addition to coordination and facilitation on the certification process. West Virginia's MMIS went live on schedule and on budget and CMS certified the system six months after go-live.

## Jay Edmondson, IV&V Advisor



### Program Expertise

- TANF, SNAP, Medicaid

### Specializations

- Independent Verification and Validation

### Education and Memberships

- Business Management, Marion College

### Certifications and Licenses

- Hadoop Essentials Certification

### Professional Summary

Mr. Edmondson is a solution and project manager with 15+ years of information technology (IT) and public sector experience, including over 10 years in the state of Indiana. He focuses on quality, solution development, implementation, and deliverables. His assignments have included program and technical procurements, contract management, and small to mid-level software implementation for both private and public sectors. Mr. Edmondson brings particular expertise in IV&V, Project Management, Procurement, Requirements Development and Management, Business Process Modeling and Design, and Testing and Quality Management. His skills include a variety of analysis, technology, and development tools. He is experienced in Agile, waterfall and hybrid SDLC methodologies.

### Qualifications for this Role

- Four years of experience with State Human Services Eligibility Systems
- Two years of experience providing IV&V services
- Two years with First Data
- One year with First Data subcontractors
- Eleven years of State of Indiana Government experience

## Experience

Project #1	Reference #1
Client Organization Name: First Data/Fiserv for State of Indiana, Division of Family Resources (DFR)	Name: Joe Montgomery
Project Name: IV&V for Indiana Eligibility Determination Services System (IEDSS)	Position: DFR Executive Consultant, former State of Indiana project Manager
Time Period Worked: 09/2017 – Present	Phone Number: (765) 620-6401
System Programs: TANF, SNAP, Medicaid	Email: jjmontgo@comcast.net
Experience	
Individual's Project Role: IV&V Project Manager/IV&V Testing Manager	
Project Scope Summary: IEDSS is a \$550,000,000 project that is expected to process more than 1,525,000 Medicaid, SNAP and TANF applications annually. Mr. Edmondson is responsible for project deliverables and risk analysis as well as testing and production data surrounding incidents, defects, and workarounds for the IEDSS NextGen system.	

Project #2	Reference #2
Client Organization Name: Missouri Department of Social Services and Ohio Department of Medicaid	Name: Kevin Maloney
Project Name: Project Management Offices (PMO Services) for Eligibility Determination and Enrollment System (MEDES) and ODM Procurement for System Integrator (SI) Module	Position: CSG Principal Consultant
Time Period Worked: 08/2016 – 8/2017	Phone Number: (317) 902-4991
System Programs: TANF, SNAP, Medicaid	Email: maloney_kevin@hotmail.com
Experience	
Individual's Project Role: Business/Technical Analyst	
Project Scope Summary: For the State of Missouri, Mr. Edmondson supported the project manager and PMO activities. He participated in stakeholder and project interviews covering many aspects of the IBM Cúram eligibility system project. For the State of Ohio, Mr. Edmondson provided technical support in aligning SI RFP requirements to the Medicaid Enterprise Certification Toolkit. This included writing and validation RFP material content, as	

well as a contributor for Data Management Strategy and primary author of Technical Architectural Strategy MITA documentation.

Project #3	Reference #3
Client Organization Name: States of Indiana and New Mexico	Name: Chris Ogden
Project Name: Indiana Office of Technology (IOT) Machine Data and Event Correlation and State of New Mexico Human Services Department Child Support and MMIS Project Management Office	Position: Project analyst at eimagine, formerly netlogx Resource Coordinator
Time Period Worked: 03/2015 – 08/2016	Phone Number: (317) 429-6813
System Programs: MMIS (Medicaid Management Information Sys.)	Email: cktogden@gmail.com
Experience	
Individual's Project Role: Project Manager/Subject Matter Expert	
Project Scope Summary: For Indiana, Mr. Edmondson served as Project Manager for the Hadoop Platform and ELK Stack Implementation project to implement enhanced data analytics. He served as the liaison between the prime vendor and IOT. For the State of New Mexico, Mr. Edmondson served as procurement SME in the Child Support System and MMIS replacement. He developed the RFP scope of work and supporting documentation for the procurement of the System Integrator module. Mr. Edmondson also supported business and technical requirements activity for MMIS replacement procurement.	

Project #4	Reference #4
Client Organization Name: State of Indiana Family and Social Services Administration	Name: Joe Montgomery
Project Name: Various	Position: DFR Executive Consultant
Time Period Worked: 02/2006 – 05/2015	Phone Number: (765) 620-6401
System Programs: Contracting process	Email: jjmontgo@comcast.net
Experience	
Individual's Project Role: Technology Coordinator/Divisional Contract Manager/Senior Developer	
Project Scope Summary: Mr. Edmondson monitored technology solutions and standards for six state psychiatric hospitals and served as chair of the Technology Subcommittee for the	

Indiana State Hospital System Integration Council. As the Contract Manager he monitored the integrity of the contracting process and conducted contract planning, including requests for information, RFPs, bid quotes, and ongoing policy and financial management. In addition, Mr. Edmondson served as a Senior Application Systems Developer.

Project #5	Reference #5
Client Organization Name: State of Indiana, DLGF	Name: Michael Williamson
Project Name: Field & School Budget Applications	Position: CSCI Sr. Oracle Developer
Time Period Worked: 01/2004 – 02/2006	Phone Number: (317) 670-8432
System Programs: VB, Oracle, MS Access, Crystal Reports	Email: MichaelWWilliamson@alumni.iu.edu
Experience	
Individual's Project Role: Senior Application Systems Developer	
Project Scope Summary: Mr. Edmondson supported local government and school budget applications for Division of Local Government Finance.	

Project #6	Reference #6
Client Organization Name: Creative Logistics Solutions (CLS)	Name: Sue Anderson
Project Name: CLS InfoShip Product	Position: VP Operations
Time Period Worked: 05/2001 – 01/2004	Phone Number: (410) 793-0708
System Programs: CLS InfoShip Product	Email: sanderson@creativelogistics.com
Experience	
Individual's Project Role: Senior System Engineer	
Project Scope Summary: Mr. Edmondson was responsible for the installation and customization of the CLS InfoShip product in various customer locations. Mr. Edmondson developed impact analysis and technical specifications for new customer systems and modifications of current systems.	



## **Sample IV&V Assessment Reports (RFP 2.4.D)**

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First Data provides two Sample IV&V Assessment Reports on the following pages as required under Technical Solution and Scope of Work in the Information for Evaluation table and Scope of Work Section 2.4.D.

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## IV&V Services for Arkansas Department of Human Services Integrated Eligibility and Benefit Management Solution (IEBM)

*Note: All data in this report is manufactured*

Monthly IV&V Report  
*August 2020*

Arkansas Department of Human Services (DHS)  
Integrated Eligibility & Benefit Management Solution (IEBM) IV&V Project

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## Document History

This document is controlled through the Document Management Process. To verify the document is the latest version, please contact the First Data Team.

Date	Version	Reason for Revision
9/4/2020	0.1	J Doe
9/8/2020	0.2	C Doe
9/9/2020	0.3	M Doe
9/10/2020	0.4	S Doe
9/12/2020	1.0	IV&V Team

Arkansas Department of Human Services (DHS)  
Integrated Eligibility & Benefit Management Solution (IEBM) IV&V Project

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## 1.0 Introduction and Purpose

First Data has been engaged to perform Independent Verification and Validation (IV&V) for the State of Arkansas, DHS IEBM project since February 1, 2020.

On 4/18/2020, the State submitted the 2020 Implementation Advance Planning Document Update (IAPDU) for the IEBM Project to CMS and FNS for review and approval. On May 28, 2020, FNS reviewed the IAPDU and identified 20 comments that require action. The State submitted the revised IAPDU and a response to all of the comments to FNS on 7/2/2020. By the end of July, the State also addressed CMS clarification questions. CMS approved the IEBM IAPDU on 8/13/2020. FNS completed their review of the revised IEBM IAPDU on 8/22/2020 and had four outstanding comments that require State action. The State provided responses to the comments to FNS on 8/30/2020. FNS conditionally approved the IEBM IAPDU on 9/6/2020. The State will be doing an IAPDU as-needed in alignment with the new rollout schedule shared with both CMS and FNS in late August 2020.

The State submitted the MARS-E 2020 ATC renewal packet to CMS on 6/28/2020. CMS reviewed the artifacts by 7/30/2020 and requested that the State clarify a couple of findings regarding security controls implementation. The State submitted a response and an updated System Security Plan to CMS on 8/1/2020. On 8/8/2020, CMS confirmed that they are satisfied with the State's response on those findings. On 09/12/2020, the State received 2020 Authority to Connect (ATC) Notification Letter from CMS. CMS signed Interconnection Security Agreement (ISA) on August 30, 2020, which fully authorizes the interconnection between the FSSA and the CMS Federal Data Services Hub (DSH). The ATC will remain in effect for a three (3) year period from the signature date of the ISA.

This report supplies an overall project view as well as the data, statistics, and IV&V observations for August 2020.

### 1.1 Report Objectives

In alignment with Federal and State requirements, this report provides the following:

- The overall project status
- An independent assessment of the IEBM project as of August 2020
- An independent assessment of project strengths as well as opportunities for improvement
- An independent assessment of project Risks and Issues, including:
  - IV&V findings regarding Issues that are currently impacting the project, risks that may ultimately impact the project, and their actual or potential level of impact
  - IV&V recommendations for corrective actions for Issues and mitigation strategies for Risks

*Arkansas Department of Human Services (DHS)  
Integrated Eligibility & Benefit Management Solution (IEBM) IV&V Project*

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- Consistent and continuous communication with stakeholders
- A summary of completed, in progress, and planned IV&V activities

Arkansas Department of Human Services (DHS)  
Integrated Eligibility & Benefit Management Solution (IEBM) IV&V Project

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## 2.0 Summary

As of August 31, 2020, the IV&V Team has determined the IEBM Project is at an Overall Project Status of "Red" and trending upward. This was due to the pending updates for the IEBM Integrated Project Plan, IAPDU as-needed, and submittal to Federal partners starting with 9/30 Wave 1 rollout date. As of the writing of this report, IV&V projects a status of Yellow due to the September updates for the Integrated Project Plan and anticipated FNS acceptance of the Wave 1 go-live packet.

- Overall project status "Red" was due to the pending updated IEBM Integrated Project Plan, IAPDU as-needed, and submittal to Federal partners starting with 9/30 Wave 1 rollout date
- Trending upward due to the following:
  - The updated IEBM Rollout Plan was submitted to Federal partners and the same was communicated to vendor partners and field staff
  - The State incorporating new rollout schedule in readiness packets and related artifacts (e.g. Integrated project schedule)
  - Number of open production defects and incidents were trending down in Pilot
  - Number of active IBPs were trending down in Pilot
  - 2020 IEBM IAPDU was approved by Federal partners
  - The State was reviewing, prioritizing and scheduling IEBM defects, requested enhancements and site visit feedback from Pilot regions in a single consolidated tracker as a guidance for Wave 1 rollout
  - Wave 1 refresher training planning and registration was under progress
  - SNAP Application and Medicaid Pending ad hoc System Integrator reports in use in Pilot regions
- Following were neutral compared to the previous month:
  - Low IEBM program performance (e.g. increase in application backlog, decline in application timeliness and redetermination timeliness in pilot). However, SNAP application timelines improved in August compared to previous month
  - Low success rate for interim conversion requests in pilot
  - Late Release 7 SDLC tasks (e.g. UAT time travel execution, some design, test case approvals and development tasks). The project management team stated that the late tasks are not affecting the overall timeliness of the R7 release.



*Arkansas Department of Human Services (DHS)  
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- IEBM usability issues (e.g. scheduling, slowness in processing cases, correspondences, task management, design improvement requests)

After making the decision to delay Wave 1 rollout, the State reviewed and presented the revised rollout plan and schedule during the Weekly Readiness Review meeting with FNS on August 28, 2020. FNS verbally indicated the new plan seemed promising and would be looking forward to the readiness packet for the 9/30 date. However, FNS expressed concern with only 60 days between Waves 2 and 3 and then Waves 3 and 4. They will also be looking for an IAPDU plus detailed schedule for all the details following the 9/30 rollout.

IV&V continues to monitor pilot Maintenance and Operations (M&O) activities and Wave 1 readiness, to include Command Center, Site Support, biweekly and patch releases, incidents, defects, data fixes, and Interim Business Processes (IBPs) that develop during the pilot period.

In the month of August, the open IEBM defect number decreased 51.7% (from 327 to 158) when compared to July. The defects resolution trend dipped to 30.9% (from 431 to 298) and defects creation remained nearly the same with a 1% decrease (from 264 to 261) when compared to July. In the month of August, the open IEBM Help Desk incidents number decreased 23.9% (from 461 to 351), as per the data provided for 9/3/2020, when compared to July. The incidents resolution trend increased nearly 4.9% (from 1353 to 1419), and the incidents creation trend increased almost 4.7% (from 1230 to 1288) when compared to July. At the time of the writing of this report, there have been no verifiable critical incidents, data fixes, or defects.

The M&O team continues the Stop and Go process for batches. The Stop and Go processes are used to hold the business prioritized batches and any batch that requires data fixes to verify respectively, the batches and the data fixes are processed as expected. The number of holds of the Stop and Go processes count remained three (pre and post mass updates and correspondences generation) during batch cycle execution as of August 31, 2020. The count did not include the number of holds for ongoing data fixes and it varied on a daily basis. System Integrator maintained the correspondence file delivery time (3-4 hours earlier than 2:00 am) to Post Masters (the bulk mailing vendor) for Pilot-- with the only exception occurring during the special batch cycle (e.g. last business day of month). Post Masters has been currently complying with SLAs. IV&V will continue to monitor the batch timeliness.

System Integrator met M&O SLAs (availability and release management) in August. The State continued to work with System Integrator and other vendor partners to incorporate the lessons learned (e.g. IEBM training, usability issues) from Pilot Implementation and the FNS recommendations (e.g. training suggestions) for Wave 1 Implementation.

In August, Wave 1 refresher training (2 Day IEBM Next Level Course) registrations began. Regions 8 and 10 additional training planning and registrations process was in progress. Training team was working with regional managers and SEMs to gather additional case scenarios to add to the "Next Level" training. Training team was also collaborating with

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functional leads and incident triage teams to identify additional opportunities to improve training.

In August, the State made a decision to move weekend conversion sweeps to Saturday night / Sunday morning so that the IEBM System would be available on Saturdays at 7:00AM for case processing effective 9/14/2020. It shifts the unavailability of IEBM to Sunday mornings.

In an effort to better prioritize the resolution of incidents, System Integrator proposed a new severity matrix on 8/29/2020, and a prioritization plan specific to incidents reported from the field based on business impact.

The IV&V Team also used the following August activities in making its Overall Project Status determination:

- Project Management Tasks/Activities
  - Scope Management document reviews such as Deliverables and Change Requests
  - Schedule Management document reviews such as IEBM Integrated Project Plan (IPP), System Integrator Project Plan and late task reports
  - Quality Management assessments such as UAT Testing and Security Scans
  - Communications Management
  - Risk/Issue Management reviews including participating in Risk/Issue identification, mitigation strategizing, and tracking
  - Action Items/Decisions Management
  - Operational Readiness activities
  - IEBM project meetings
  - Weekly Readiness Review meeting FNS & State
  - Proposed IEBM Interim Business Processes
  - CMS and FNS review of the Arkansas IEBM Wave 1 Go live
- Key Artifacts Referenced:
  - IEBM Master Test Plan
  - IEBM PAPD, PAPDUs, IAPD, IAPDUs, OAPD, and OAPDUs
  - IEBM IAPD Monthly Report

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- Operational Readiness Review (ORR) artifacts and deliverables
- IEBM Integrated Project Plan
- FNS Pilot Exit Requirements and evidence for FNS Go Packet
- IEBM Test Reports and defect analysis
- Project Partnership Understanding (PPU)
- Monthly Data Conversion Dry Runs analysis and reports
- Monthly Security Scans
- Updated IEBM Interim Business Processes
- Maintenance and Operations artifacts
- IEBM Service Level Agreement Report
- Command Center Tech Reports from IEBM Production
- Command Center Summary Reports from IEBM Production
- IEBM Help Desk Incident Reports
- IEBM Expedited and Minor Release Notes
- IEBM Wave 1 Operational Readiness Review(ORR) Dashboard
- MARS-E 2.0 ATC Renewal artifacts
- IEBM Release 7.0 Performance Testing scope
- System Integrator IEBM Defect and Incident Trend Analysis
- Updated IEBM Rollout Plan



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## 2.2 Overall Project Status Trend

The following table provides an annual representation of the IV&V project status assessment trend over the past five (5) months.




April 2020	May 2020	June 2020	July 2020	August 2020
				

Note: This table is refreshed to assess Project Status Trends based on the approved re-baselined IEBM project schedule.

Arrow Direction	Meaning
Up	Improving
Right	Neutral
Down	Declining
Status	Meaning
Red	Major Deviation from the Approved Project Plan or Budget
Yellow	Recoverable Deviation from the Approved Project Plan or Budget
Green	Requirements of the Approved Project Plan or Budget were Satisfied

## 2.3 Three Month Overall Project Status Summary

The following table provides a high-level summary of the current project status based on IV&V observations, research, and analysis during the reporting period, as well as the status trend for the previous two months.

August 2020 	As reported in July 2020 	As reported in June 2020 
<b>Trend: "Upward" Status: "RED"</b> <b>IV&amp;V Key Findings:</b> As of August 31, 2020, the IV&V Team has determined the IEBM Project is at an overall project status "Red" was due to the pending updated IEBM Integrated Project Plan, IAPDU as-needed, and submittal to Federal partners starting with 9/30 Wave 1 rollout date. The project health was trending upward due to the following: the updated IEBM rollout plan was sent to Federal partners, vendor partners and	<b>Trend: "Downward" Status: "RED"</b> <b>IV&amp;V Key Findings:</b> Red status is due to the high number of defects and incidents backlog, low IEBM program performance, usability issues, reports issues and low success rate for interim conversion requests in pilot; the readiness for Wave 1; Pilot duration was extended. The Project health was trending downward in July due to a change in status from yellow to red compared to the previous month. There were 85,483 open cases in	<b>Trend: "Neutral" Status: "YELLOW"</b> <b>IV&amp;V Key Findings:</b> Yellow status is due to the pending 2020 IAPDU approval; the consistent number of open defects & incidents in pilot; low program performance in pilot; IEBM usability issues; low success rate for interim conversion requests in pilot; and late Release 7 SDLC tasks. The Project health was trending neutral in June due to a persistent number of production

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<p>field staff; defect and the incident backlog numbers decreased; active IBP numbers decreased; State incorporating new rollout schedule in readiness packets and related artifacts. However, low IEBM program performance and low success rate for interim conversion requests in pilot continued in August. There were 89,594 open cases in an approved status in IEBM as of August 30. Release 7.0 SDLC was in progress. Release 7.0 functional security testing complete and performance testing in progress. HP Fortify Secure Code and IBM Dynamic App Scans continued on the production and the Release 7. Releases 8.0 &amp; 9.0 SDLC not yet started as expected.</p>	<p>an approved status in IEBM as of July 31st. System Integrator and the State conducted monthly dry runs (Wave 2 Phase 1 Dry Run 1 and Wave 1 Phase 1 Dry Run 3) of the conversion processes. Release 7.0 SDLC was in progress, UAT started, functional security testing execution and initial report was complete, and performance testing setup was complete. The State submitted an updated Plan of Action and Milestones (POA&amp;M) to CMS by end of July. HP Fortify Secure Code and IBM Dynamic App Scans continued on the production and the Release 7. Releases 8.0 &amp; 9.0 SDLC not yet started as expected.</p>	<p>defects. IV&amp;V did review the production defects burn-down charts submitted to stakeholders on June 28th, 2020. IV&amp;V continues to monitor pilot Maintenance and Operations (M&amp;O) activities and Wave 1 readiness, to include Command Center, Site Support, biweekly and patch releases, incidents, defects, data fixes, and Interim Business Processes (IBPs) that develop during the pilot period. Pilot Phase 2 conversion was rolled out on 6/10/2020 as planned. A total of 76,244 open cases (Approved status) were in IEBM as of June 28th. The State submitted MARS-E 2020 ATC renewal packet to CMS on 6/28/2020. Release 7.0 SDLC was in progress, the SIT testing was started and the performance testing planning was underway. Releases 8.0 &amp; 9.0 SDLC not yet started as expected. Two (2) high and 1 medium severity security defects were identified during IBM Dynamic App Scan against production code as of June 28<sup>th</sup>.</p>
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### 3.0 IV&V Assessment Summary

In the month of August 2020, the IV&V Team continued ongoing verification and validation of scope, schedule, quality, risk, and implementation activities, including SDLC and IPP progress. The IV&V team continue verification and validation of the M&O activities for Pilot as well as for Design, Development & Implementation (DDI) for Release 7.0. The details of Open findings are provided in Appendix A IV&V Open Findings, and the details of closed findings are found in Appendix B IV&V Closed Findings.

#### 3.1. Scope Management

As of the development of this report, IV&V has verified and validated the Project Scope Management as Yellow and Improving for Pilot based on the following information:

- Scope is being managed according to the Change and the Release Management Process as defined in the Project Management Plan (PMP) and M&O processes:
- There were Three (3) Minor and Three (3) Expedited releases into Pilot production. They include defect fixes and CRs
- Outstanding defects and incidents resolution backlog scope trending lower in August compared to the previous month
  - Seventeen (17) Change requests were created in August
  - More CRs were created in August than in July
- IV&V will continue monitoring the impacts of these changes in regularly held CCB discussions to confirm that Scope and Schedule will be managed with appropriate risk for Major, Minor, Expedited, and Emergency releases throughout DDI and M&O
- Refresher training planning and registration in Wave 1 regions was in progress
- Release 8 scope items are discussed in CCB (Change Control Board) and the scope is not yet locked. Release 9 scoping has not yet started
- IV&V will continue to monitor Release 8 and 9 scope

#### 3.2 Schedule Management

As of the development of this report, IV&V has assessed the schedule against the Integrated Project Plan as Red and improving based on the following:

- As of the writing of this report, IV&V projects a status of Yellow due to the September updates for the Integrated Project Plan and anticipated FNS acceptance of the Wave 1 go-live packet.
- The re-baselined IEBM Integrated Project Plan pending submission to Federal partners starting with 9/30/2020 Wave 1 rollout date

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- The State communicated the updated IEBM rollout schedule to Federal partners, vendor partners, and field staff
- State incorporating new rollout schedule in readiness packets and related artifacts
- Open production defects and incidents numbers were trending down compared to previous month
- Late tasks reported for Release 7. IV&V recommends State to continue to monitor scope and schedule of the expedited, the minor and the major (Release 8, Release 9 etc.); releases into production to mitigate risks and take corrective actions. Per the "Scope Management" section above, IV&V will continue to monitor as well
- Release 8.0 design activities are expected to start in September 2020. Release 9.0 start date is TBD

### 3.3 Quality Management

As of the end of August 2020, IV&V has assessed the Project Quality Management as Yellow and Improving based on the following:

- Incidents in August realized an upturn in the creation of incidents with a weekly average of 282.5 (from 276.5) and a higher weekly number of 312 (from 301) being resolved. IV&V continues to monitor the risk associated with the backlog of unresolved incidents.
- New Production defects in August continued to be logged at a rate lower than those being essentially resolved (with a status of development complete). As of the end of August, there were 158 open defects. Appendix E has been added for updated production defects.
- Interim Business Processes were operationalized for the change requests, as well as high and medium defects. Defects are evaluated during the triage process. At the end of August, there were 47 defects with an IBP status of 'unassigned', which indicates these defects have not been evaluated for IBPs.
- Overall, there were 158 open production defects for all programs at the end of August. This includes 4 high defects, 70 medium defects, and 84 low.
- SIT and UAT process continued parallel for the expedited and the minor releases in August for the timely resolution of production defects.
- Release 7 UAT testing remained on track for August and the late tasks were managed.

### 3.4 Implementation Management

As of the development of this report, IV&V has assessed Wave 1 Operational Readiness Review activities as Yellow and neutral for the month of August:



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- Revised IEBM rollout plan was submitted to CMS and FNS in the last week of August starting with 9/30 Wave 1 rollout date.
- State incorporating new rollout schedule in readiness packets and related artifacts (Integrated Project schedule)
- Wave 1 operational readiness activities resumed and are in progress
- The State continued to meet with FNS and submitted weekly readiness packets, defects reports and incident reports.

### 3.5 Pilot Production Maintenance and Operations (M&O)

The IV&V Team continued monitoring Pilot M&O activities as described in section 8 below. As of the development of this report, Command Center, Site Support, Defect & Incidents triage, expedited and minor releases activities continue and evolve as necessary.

### 3.6 Risk Management

The IV&V Team meets weekly with Project Leadership to review and rank IV&V identified Risks and/or Issues and to discuss the Risk mitigation strategies proposed by the IV&V Team.

#### 3.6.1 Open Risks

The IV&V team continues to monitor four (4) open risks for August. See Open Risk Register, Appendix (A) for further details on these referenced risks.

- Incident Resolution is a medium risk due to the continued number of unresolved incidents. IV&V will monitor this moving forward. Trending information can be found in section 9.1
- Defect Resolution continues to be a medium risk due to the 158 outstanding defects remaining in Production at the end of August. IV&V will monitor continuously for any impact to system partners or operational activities.
- Workarounds and Interim Business Process Timely Documentation with State Approval is a medium risk. IV&V continues monitoring the ongoing workarounds, and operationalization of IBPs for new Pilot Production defects and CRs. There were a total of 119 IBPs retired in the month of August. There were 47 defects with an IBP status of 'unassigned', which indicates these defects had not been evaluated for IBPs as of August 31, 2020.
- UAT Regression testing is a medium risk due to only slight progress regarding the automated regression test process that would detect new defects immediately that may arise after any defect resolution or code changes. During the month of August the State's contracted UAT vendor continued executing manual regression scenarios prior to the minor build releases. Automated UAT regression testing SDLC continues and the vendor completed third sprint of phase 1. On 8/21/2020, the UAT

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automation team sent their plan that includes a high-level timeline, scope, and the number of sprints and phases. Eight (8) business cases and eight (8) technical cases were complete as of August, and they will be used for Release 7 regression testing in mid-September. For the month of August, IV&V had no visibility into this effort. In addition to the automated testing effort, manual regression testing continues.

### 3.6.2 Closed Risks

The IV&V team closed no risks in August as reflected in the Closed Risk Register (Appendix B).

## 4 IV&V Activities

### 4.1 Completed Activities

The IV&V Team completed the following activities in August 2020.

Meeting Participation:

- Weekly Readiness Review meeting FNS & State - Wave 1
- Operations Impact Discussion
- IEBM Bi-Weekly Partners
- IEBM Exec Steering Committee
- IV&V Weekly IEBM Touch Point
- IV&V Monthly Executive Briefing
- IEBM Monthly APD Status Call
- System Integrator & State Security Status
- IEBM Worker Portal Bi-Weekly Discussion on Application Scanning Activities
- Weekly Infrastructure Working Sessions
- Bi-Weekly MARS-E 2.0 Audit Controls/Crypto Controls Security
- Weekly Maintenance Release Status Review
- Weekly IEBM Project Status
- Weekly CCB - Change Control Board
- Daily Data Fix Review & Approval
- Daily Defect Triage & Prioritization
- Daily Command Center Stand-up
- Weekly IEBM Release Planning

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- Bi-Weekly Helpdesk
- Daily Defect Triage Meeting - Release 7.0
- Deployment Planning for Wave 1
- Wave 1 Operational Readiness Review
- Monthly Help Desk and Benefits - Service Level Management
- CRs JAD Sessions & Demos as scheduled
- State and FNS Wave 1 Readiness Follow Up Discussion

Reports submission:

- IV&V Monthly Executive Summary
- IV&V July Monthly Status Report
- IV&V Weekly Trend Analysis

Document/Artifact Reviews:

- Code Scan DDI 7.0 Codebase 3 Report
- Scanning Results of IEBS Workers Portal
- System Integrator's Updated Project Schedule and Late Tasks Listing
- IEBS Updated Integrated Project Schedule
- IEBS Operational Readiness Review (ORR) Dashboard
- Monthly PMD Report for August 2020
- Proposed Interim Business Processes
- Maintenance and Operations (M&O) Reports
- Release 7 Design and Test Scenario Submissions
- Testing Reports
- FNS SNAP Eligibility System Pilot Exit Requirements Packet
- Release 7 Security Testing Report - Iteration - 5 Final

## 4.2 In Progress Activities

The IV&V Team continues tracking Action Items, Decisions, Risks and Issues to support all aspects of Federal and State IV&V requirements.

## 4.3 Upcoming Activities

The IV&V Team anticipates performing the following activities during the next reporting period.

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**Meetings:**

IV&V Team representatives will attend and participate as appropriate in all standing IEBM project meetings, including but not limited to the following:

- Regular meetings cited above in Section 4.1
- Weekly IEBM project meetings
- Bi-weekly IEBM project meetings
- Executive IEBM related project meetings

**The IV&V Team plans to verify and validate the following activities:**

Monitoring Production M&O ( e.g. batches, interfaces & trading partners, accurate reports, accurate client notices, interim conversion, whether training was effective, effectiveness of site support, defects in prod and how they are impacting the business, effectiveness of IBPs and how they are maintained/communicated etc.;

- Monitoring Production System Performance (e.g. is it performing as "quick" as the performance testing said it would for batches and online? etc. ;)
- Monitoring of business handling new IEBM system in combination with still using the old system
- Monitoring of Program timeliness
- Wave 1 Operational Readiness
- Interim Business Processes
- Ongoing Data Conversion Dry Runs
- Release 7.0 SDLC
- Ongoing Security Scans
- Defects Trend Analysis
- Wave 1 Training
- MARS-E 2020 ATC Renewal
- Change Requests
- Regression Testing

In addition, the IV&V Team will collect all data required for the September 2020 Monthly Status Report, which will be submitted in October.

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## 5 Appendix A IV&V Open Findings

During this reporting period, IV&V worked with State Leadership to reevaluate three (2) existing Risks. As a result, the exposure for each Risk was reconsidered based on the current stage of the project.

Ref #	Title	Description	IV&V Recommendation	Category	Exposure	Progress Notes
3	<i>Workarounds and Interim Business Process Timely Documentation with State Approval</i>	The State and the IEBM vendor partners finalized the IBP list and operationalized it prior to Pilot Go Live. Monitoring and maintenance of the ongoing workarounds, and operationalization of IBPs for new Pilot Production defects and CRs is an ongoing medium risk.	IV&V recommends that the State should continue to maintain and update the IBP list in Pilot M&O as new production defects are found and/or an existing defect is closed.	Quality	Medium	8/31/2020 - In August 119 IBPs were retired, the largest amount since pilot began. 7/31/2020 - Progress continues with IBPs, with 46 defects in an unassigned status and 65 defects with an associated IBP. 6/30/2020 - Progress was made in June for evaluating defects for potential IBPs. There were 73 defects with a status of 'unassigned' and 13 confirmed IBPs active at the end of June. 5/31/2020 - There were 195 defects with an IBP status of 'unassigned', which indicates these defects had not been evaluated for IBPs as of May 31, 2020.
9	<i>Defect Resolution</i>	Defect Resolution is an ongoing medium quality risk	Continue to mitigate the critical, high and medium defects. Plan and prioritize test environments and resources for resolution of the M&O defects. IV&V sees no undue impacts to system partners or operational activities in general so long as mitigation for these defects are followed.	Quality	Medium	8/31/2020 - As of the end of August there were 158 open defects 7/31/2020 - Production defects were resolved at a higher rate than were created in July. 6/30/2020 - Production defects were created at a slightly higher rate than were resolved for June.

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## 6 Appendix B IV&V Closed Findings

There were no risks closed in August.

Ref #	Title	Description	IV&V Recommendation	Category	Exposure	Progress Notes

## 7 Appendix C Pilot Production Observations

### 7.1 Command Center

The daily command center calls continued in August and now average fifteen minutes in length or less. The follow-up meeting for program information was suspended in August, and it is unknown if or when these meetings will resume. IV&V continues to have no insight on these discussions.

### 7.2 Training and Site Support

On August 7, 2020 State leadership completed a visit to Region 8 where, similar to Region 10, responses were collected from the field to determine improvements needed for training and site support. The information received from the two regions was compiled and shared with stakeholders.

The training team continues to incorporate the lessons learned from Pilot. There were 19 web-based training demos posted for IEBM to assist staff with completing comprehensive case processing scenarios. Additionally, Region 10 will receive refresher training on the original IEBM course content, and staff from both regions will also receive a “next-level” training course that is designed to provide an in-depth understanding of how to complete the necessary work in IEBM contingent on the role of each staff member.

Site support staff remained in the Pilot regions throughout August, and it is anticipated that experienced site support staff will continue to support the pilot regions through Wave 1 go-live.

### 7.3 Help Desk Incidents

During the month of August, the open incidents number decreased 23.9% (from 461 to 351), as per the data provided from September 3, 2020, when compared to July. The incidents resolution trend increased nearly 4.9% (from 1353 to 1419), and the incidents creation trend increased almost 4.7% (from 1230 to 1288) when compared to July.

Additional resources for triaging the incidents were added on August 21, 2020. The incident triage team is responsible for additional analysis of pending incidents and defects with the role of escalating items that need addressing because of the untenable risk these pending items are providing. The team has provided analysis to see which additional items could be resolved, as well as input to ensure that incidents are the right severity and priority. They play a critical role in escalating items that are presenting significant risk.

The System Integrator proposed a new severity matrix on August 29, 2020, and a prioritization plan specific to incidents reported from the field based on business impact.

A new trend chart will be added in the September report to shows the trends for incidents created, resolved, and those remaining open since Pilot

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## 7.4 Production Defects

The IEBM extended Pilot continues after going live on April 29, 2020. Defect triage and data fix meetings continued in August. IV&V has been monitoring the incidents, defects and data fixes in production since go-live. Sustained progress was continued, resolving more defects than created again this month. In the tables below, you will see the defects remaining open for the IEBM system as well as those created and resolved as of the end of August 2020. A new trend chart will be added in the September report to shows the trends for production defects.

Production Defects open as of August 31, 2020					
Program	Critical	High	Medium	Low	Totals
ALL		1	26	46	73
Medicaid		2	22	28	52
Medicaid/SNAP					0
Medicaid/TANF					0
Non-Eligibility			1	2	3
SNAP		1	10	6	17
SNAP/TANF			5	1	6
TANF			6	1	7
<b>Totals</b>	<b>0</b>	<b>4</b>	<b>70</b>	<b>84</b>	<b>158</b>

Production Defects Created for the month of August 2020					
Program	Critical	High	Medium	Low	Totals
ALL		3	37	75	115
Medicaid		9	33	51	93
Medicaid/SNAP					0
Medicaid/TANF			1	1	2
Non-Eligibility			3	1	4
SNAP		2	20	14	36
SNAP/TANF			5		5
TANF			5	1	6
<b>Totals</b>	<b>0</b>	<b>14</b>	<b>104</b>	<b>143</b>	<b>261</b>

Production Defects Resolved for the month August 2020					
Program	Critical	High	Medium	Low	Totals
ALL		8	44	87	139
Medicaid		10	31	53	94
Medicaid/SNAP					0
Medicaid/SNAP			2	1	3
Non-Eligibility			2	4	6
SNAP		3	18	23	44
SNAP/TANF			10	1	11
TANF			1		1
<b>Total</b>	<b>0</b>	<b>21</b>	<b>108</b>	<b>169</b>	<b>298</b>



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Conclusion (Overall Production Defect Activity) – In August 2020, IV&V observed the following:

- Overall, there have been no critical production defects logged as of the writing of this report
- For August, Open overall defects (165) are down 51.7% (from 327) since July
- Created overall defects are down by 1% since July
- Resolved overall defects were down 30.9% (from 431) since July
- For the month, there continued to be more defects resolved than were created

### 7.5 Production Interim Business Processes (IBPs)

The IBPs continue to be reviewed and approved during the daily defects triage and the operations impact meetings (if time allows reviews are conducted, otherwise IBPs are delayed to the next business day). However, the process of updating IBP training for the field workers, as well as the dates associated have not clearly been visible to IV&V.

An IBP is retired when the defect resolution or change request (CR) is implemented into a production release. According to the releases that occurred in the month of August, there were 76 IBPs created and 119 retired. This is the largest number of retired IBPs that have occurred in any given month since Pilot go-live. The retired duration was 3.61 days.

For the month of August, the IBP approval average duration was 22.7 days with a minimal approval timeframe of one-day to a maximum timeframe of 116-day turnaround. In addition, operational duration for approval was 2.3 days.

IBP Status for production defects open as of August 31, 2020					
IBP Status	Critical	High	Medium	Low	Totals
No		2	30	42	74
Unassigned			19	28	47
Yes		2	21	14	37
<b>Total</b>	<b>0</b>	<b>4</b>	<b>70</b>	<b>84</b>	<b>158</b>

Conclusion (Overall Production IBP Activity) – In August 2020, IV&V observed the following:

- There were 119 retired for the month of August. The largest number of retired IBPs that have occurred in any given month, since Pilot go-live
- The average approval timeframe was 22.7 days, which improved sufficiently from the previously
- There were 47 defects in an unassigned status, which could indicate they have not been evaluated

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Recommendation (Overall Production IBP Activity) – IV&V continues to recommend that one system of record be utilized for capturing the entire IBP lifecycle that could be mapped to streamline updates, stakeholder communication, workers in the field as well as reporting. If this were combined into one location, reconciliation would not be necessary.

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## 8 Appendix D IV&V Testing Details for Release 7

As of August 31, 2020, SDLC for release 7.0 indicates that it is now on track as indicated in the integrated project schedule and the late tasks were under control. There were 84 open defects indicated for release 7.0.

August 2020 Open IEBM Release 7.0 Defects by Testing Effort					
Testing Effort	Critical	High	Medium	Low	Totals
Dev		7	19	9	35
SIT		11	10	5	26
UAT		12	4	7	23
<b>Totals</b>	<b>0</b>	<b>30</b>	<b>30</b>	<b>21</b>	<b>84</b>

In respect to IEBM Release 7.0 defects inflow and outflow activities, there were 102 defects created and 100 defects resolved (closed or cancelled) in August. The two tables below provide the breakdown of those defects.

August 2020 IEBM Defects Created by Testing Effort					
Testing Effort	Critical	High	Medium	Low	Totals
Dev					0
SIT		29	48	11	88
UAT		28	4	2	34
<b>Totals</b>	<b>0</b>	<b>57</b>	<b>57</b>	<b>13</b>	<b>122</b>

August 2020 IEBM Defects Resolved by Testing Effort					
Testing Effort	Critical	High	Medium	Low	Totals
Dev			4	2	6
SIT		16	27	11	54
UAT		31	4	5	40
<b>Totals</b>	<b>0</b>	<b>47</b>	<b>47</b>	<b>18</b>	<b>100</b>

Conclusion (Overall Testing Activity) – In August 2020, IV&V observed the following:

- Release 7.0 Go live date is now on track as indicated in the project schedule and the SDLC late tasks were managed
- UAT testing continued for Release 7.0 in August

Arkansas Department of Human Services (DHS)  
Integrated Eligibility & Benefit Management Solution (IEBM) IV&V Project

## 9 Appendix E - IV&V Production Trend Analysis 9/13/2020

The State continued to manage IEBM production incidents, defects and IBPs effectively as per their plan. The state made a noticeable progress in mitigating the risks identified by IV&V for 9/30 Wave 1 rollout readiness. As of 9/13/2020, there were no critical and high defects in production. In addition, there were no critical incidents. The state has a plan to deal with residual risk and they continue to perform due diligence. IV&V will continue to monitor the effectiveness and efficiency of production incidents & defects resolution and IBPs. As of the writing of this Production Trend Analysis, IV&V projects a status of Yellow due to the September updates for the Integrated Project Plan and anticipated FNS acceptance of the Wave 1 go-live packet.

### 9.1 Defects Trend Data

Defects Remaining Open as of September 13, 2020					
Program	Critical	High	Medium	Low	Totals
ALL			19	48	67
Medicaid			20	28	48
Medicaid/SNAP					0
Medicaid/TANF					0
Non-Eligibility					0
SNAP			6	6	12
SNAP/TANF			2	1	3
TANF			3	1	4
<b>Totals</b>	<b>0</b>	<b>0</b>	<b>50</b>	<b>84</b>	<b>134</b>

- Open overall defects are down 36.2%
- Approximately 35 defects are scheduled for release 7.0

Production Created Defects as of September 13, 2020					
Program	Critical	High	Medium	Low	Totals
ALL			8	11	19
Medicaid			10	9	19
Medicaid/SNAP					0
Medicaid/TANF					0
Non-Eligibility					0
SNAP			3		3
SNAP/TANF			1	1	2
TANF					0
<b>Totals</b>	<b>0</b>	<b>0</b>	<b>22</b>	<b>21</b>	<b>43</b>

- Created weekly overall defects are down by 14%

*Arkansas Department of Human Services (DHS)  
Integrated Eligibility & Benefit Management Solution (IEBM) IV&V Project*

Resolved Production Defects as of September 13, 2020					
Program	Critical	High	Medium	Low	Totals
ALL			7	20	27
Medicaid		2	12	13	27
Medicaid/SNAP				1	1
Medicaid/TANF					0
Non-Eligibility					0
SNAP		2	3	2	7
SNAP/TANF			2	1	3
TANF			2		2
Unassigned					0
<b>Total</b>	<b>0</b>	<b>4</b>	<b>26</b>	<b>37</b>	<b>67</b>

- Resolved weekly overall defects were up 21.8%

## 9.2 Help Desk Incidents

Week Ending	Incidents Created by Week	Incidents Closed by Week	Cumulative Open by Week
4/27/2020	3	1	2
5/4/2020	290	113	179
5/11/2020	231	183	227
5/18/2020	327	222	332
5/25/2020	371	289	414
6/1/2020	217	169	462
6/8/2020	311	321	452
6/15/2020	335	273	514
6/22/2020	366	328	552
6/29/2020	307	274	585
7/6/2020	213	175	623
7/13/2020	291	365	549
7/20/2020	312	357	504
7/27/2020	290	296	498
8/3/2020	260	267	491
8/10/2020	239	275	455
8/17/2020	296	330	421
8/24/2020	329	311	439
8/31/2020	288	365	362
9/7/2020	160	187	335
9/14/2020	197	274	258

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**State of Arkansas**

Department of Human  
Services

**IV&V Services for  
Arkansas Eligibility/Enrollment  
Framework**

**IV&V Status Report  
January 1 -January 31, 2015**

*February 11, 2015*

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 First Data.

## Document History

This document is controlled through the Document Management Process. To verify that the document is the latest version, please contact the First Data Team.

Date	Version	Reason for Revision
2/19/2015	1.0	Initial draft
2/11/2015	1.1	Internal team review
2/17/2015	1.2	External review
2/19/2015	1.3	Final



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## Executive Summary

First Data functions as the Independent Verification and Validation (IV&V) vendor for the Arkansas Eligibility and Enrollment Framework (EEF) System. This system includes MAGI and Traditional Medicaid, SNAP Modernization project and Affordable Care Act (ACA) Medicaid expansion project. First Data's purpose is to provide an objective, unbiased assessment of project status, work products, processes and outputs throughout the implementation life cycle in an environment organizationally free from the influence, guidance and control of the development effort.

The First Data Monthly Status Reports contain observations (findings and risks) as well as follow-up reporting on findings and risks from previous reports. This report covers implementation activities performed from January 1 – January 31, 2015.

In addition to our meeting participation, observations, analyses and recommendations, our on-going structured activities include reviews of the following areas:

- EEF MAGI Medicaid Transition
- EEF MAGI Release 1.5
- EEF MAGI Release 1.6
- EEF MAGI Release 1.7
- EEF MAGI Production Service Packs
- EEF MAGI Account Transfer
- EEF MAGI Project Attestation
- EEF MAGI Project Management
- EEF Traditional Medicaid
- EEF SNAP
- EEF Conversion
- EEF Automated Testing
- EEF Architecture Subcommittee

The status of the EEF MAGI Medicaid project remains in an "At Risk" state.

The status of the EEF Traditional Medicaid project is "Not at Risk".

The status of the EEF SNAP project is "Not at Risk".

## EEF MAGI Medicaid Transition

On December 30, 2014, the State Executive sponsor announced the transition of the MAGI Medicaid portion of the EEF project to Maintenance and Operations (M&O).

### Observations

The initial DDI vendor (EngagePoint) staff was released from the EEF project as of January 31, 2015. During this time the following activities took place:

- Release planning sessions were conducted.
- Daily touch base meetings which included verification of knowledge transfer

eSystems was selected to manage the EEF MAGI Medicaid application starting January 1, 2015. During the transition phase the eSystems team identified several resource and knowledge transfer gaps. eSystems has begun to take the appropriate actions to bridge these gaps.

### Recommendations

No recommendations for this section.

### Actions

No actions for this section.

## EEF MAGI Release 1.5

Release 1.5 covers Change of Circumstances (CoC) otherwise known as Life Event Changes. Life Event Changes for all MAGI Medicaid categories can be entered in Cúram and processed through to MMIS. This release uses baseline Cúram 6.0.5.5 iFix1 with code from iFix2 specific for Arkansas.

### Observations

After Release 1.5 moved to production several defects were identified. Some defects require data fixes and other require code changes. These defects are expected to be corrected by future service packs.

### Recommendations

No recommendations for this section.

### Actions

IV&V will continue to monitor the implementation of service packs that correct Release 1.5 defects.

## EEF MAGI Release 1.6

Release 1.6 encompasses the Renewal process. The purpose of the renewal process is to allow renewal of MAGI categories.

### Observations

As stated in previous IV&V monthly reports the following events must occur prior to the implementation of Release 1.6. The following lists of events were in progress in December:

1. All of Release 1.5 implementation and pre-requisite activities must be successfully completed.
2. DDI completed a contingency plan to renew MAGI Medicaid outside the Curam application, by sending a file to close coverage December 31. The file to start coverage on January 1 was sent in December.
3. UAT for Release 1.6 is expected to take 45 days to complete.

### Recommendations

No recommendations for this section.

### Actions

IV&V will continue to monitor the Release 1.6 status.

## EEF MAGI Release 1.7

Release 1.7 is also known as Single Sign-On (SSO). This process allows internal or external users to logon once and access different programs using their stored password.

### Observations

This release is tentatively scheduled for deployment to production at the end of March 2015.

For this release it is important to have the correct environment setup with the appropriate Curam code bases. In January, the environment needed to conduct testing was not available. This environment is not expected to be available until late February 2015.

A risk was identified regarding testing due to experienced testers departing the project.

### Recommendations

No recommendations for this section.

### Actions

No actions for this section.

## EEF MAGI Production Service Packs

Service Packs (SP) was established to deploy resolutions for production defects. The original plan was to deploy a Service Pack every week or every other week. After Release 1.4, Service Packs became separate projects in order to reduce the number of known defects not directly affecting the on-going releases.

### Observations

SP 12 was deployed to production on January 15, 2015. This service pack allowed account transfer (State to HUB) to be functional at the BSD 2.3.2 version.

Pending Service Pack statuses as of the end of January 2015 are:

- SP-12.1 will address issues for Release 1.5/MMIS reconciliation
  1. Text isn't getting displayed on Curam last page
  2. Closure record no updated in MEC
  3. Discrepancy in APT# between staging table and application
  4. No pending verification on changed SSN evidence
  5. PCR to Arkids a retro defect
  6. PCR retro defect
  7. Overlapping coverage
  8. Member request closure
  9. No pending verification for citizenship when citizen status is added.
- SP-13 currently there are 15 production defects fixes. Below is a list of defects being fixed:
  1. Production Fuse error "AnonType\_PersonMiddleNameType"
  2. Production Fuse error "'AnonType\_LocationCityNameType"
  3. Remove Retro text from the Denial notice due to Verification not Provided
  4. Production Fuse error "'AnonType\_PersonGivenNameType"
  5. Production Fuse Error: Invalid content was found starting with element 'ns3:LocationCityName'
  6. Production Fuse error "The content of element 'vlp:DHSID' is not complete"
  7. PW and PCR may be eligible even if they also have Medicare
  8. Supporting document details page for Naturalization Number is not a mandatory item
  9. Discrepancy in DOB when Alien applying for benefits
  10. Applicant is getting eligible for PW even when Applicant is disqualified alien
  11. Homeless clients are not being issued Medicaid IDs
  12. Application filler issue: 1 example below
  13. Curam Passing Special Characters in Name
  14. Integration - Wrong Status is Displaying in Medicaid Benefit History Screen
  15. Curam - Wrong Status is Displaying in Medicaid Benefit History Screen
- SP-14 and SP-15 will be defect fixes post Release 1.5 and Release 1.6 if needed
- SP-16 will incorporate requirements pertaining to VLP v.33 planned for late February implementation into production.



*AR DHS EEF IV&V Status Report for January*

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## Recommendations

The project team should closely monitor the schedule and dependencies for Service Pack deployments.

## Actions

No actions for this section.

## EEF MAGI Account Transfer

A critical success factor for the EEF system is to have bi-directional account transfer between FFM and State for Health Care Reform.

### Observations

During January, with the release of SP-12 account transfer from (State to HUB) became functional at the BSD 2.3.2 level. The team is currently working with CMS to correct (HUB to State) transmission issues.

The State will clarify with CMS if backlogged State to HUB records will be transferred to FFM. A backlog batch process is scheduled for production with the deployment of SP-12.1 contingent upon CMS response.

### Recommendations

No recommendations for this section.

### Actions

No actions for this section.

## EEF MAGI Project Attestation

The Attestation practice helps to satisfy compliance assurance requirements and demonstrate the integrity of environment control as mandated by CMS.

### Observations

Verify Lawful Presence (VLP) v33 – CMS gave the State a waiver to convert to version 33 by March 2015. At the end January VLP v33 did not have a scheduled deployment date.

### Recommendations

IV&V will continue to monitor the account transfer process until it is implemented into production.

### Actions

IV&V will certify the solution when it successfully meets the Exit Criteria requirements for the VLP v33 service.

## EEF MAGI Project Management

This section contains items that fall under the project management domain. The information below deals directly with artifacts and/or processes being used to manage the EEF project.

### Observations

During January, the primary focus was transition and knowledge transfer activities.

#### EEF Consolidated Project Schedule

During January the project schedule was still being maintained.

#### EEF Project Issues and Risks

EEF MAGI Medicaid transition risks were noted and discussed during transition phase for each work area.

The overall EEF project issues and risks touch base meetings were not conducted in January.

#### EEF Communications Management

During January, the transition activities were documented and communicated effectively to the project team.

In January, EPMT initiated the creation of meeting minutes from the Governance meetings and posted them to the SharePoint site.

### Recommendations

- The current project schedule should be updated to identify dependencies and capabilities to support multiple release strategies.
- A standard project management communication practice should be implemented.

### Actions

IV&V will continue to monitor the project management documentation and activities of the EEF project.

## EEF Traditional (Non-MAGI) Medicaid

The Arkansas Traditional Medicaid program is being developed to move the functionality of Traditional Medicaid (excluding MAGI Medicaid) eligibility from a mainframe legacy system to a new Cúram system.

### Observations

IV&V attended a kick-off meeting for Traditional Medicaid with State staff and RedMane on December 2, 2014. The kick-off meeting detailed the expectations of the team and outlined how further information gathering sessions would be performed. The kick-off meeting had the appropriate high level management team in attendance as well as the RedMane Project Manager and Sponsor.

During the second week of December, a high level scoping session lasting three days was performed with RedMane and State staff. This session is to establish the direction of the RedMane team to make traditional Medicaid (Non-MAGI) functional in the new Curam system.

The high level plan at this point is to perform a gap analysis of what is Out of the Box (OOTB) compared to what is necessary for the State to perform their book of business. It is hoped that this gap analysis will be completed by the end of February. Then detailed JAD sessions will occur to further define the functionality. The gap analysis will be revisited as functionality is defined to ensure it meets the State requirements.

In January, RedMane began JAD sessions with State staff during January for Traditional Medicaid. These JAD sessions are to develop requirements, determine functionality needed, and perform a gap analysis between what is Out of the Box (OOTB) and what will need to be custom coded. It is currently projected to take through the end of March to complete the JAD sessions.

The State of Arkansas requested RedMane and IBM to consider changing the SNAP application to be integrated with the Medicaid application and to share data where appropriate to prevent duplicate keying by the member and/or the caseworker. RedMane began working with IBM on possible solutions to this recommendation.

### Recommendations

No recommendations apply for this report.

### Actions

No actions apply for this report.

## Risks

High level risks were identified in the kick-off meeting and will be monitored by RedMane, the State and IV&V.

## EEF SNAP

The Arkansas SNAP Modernization program is being developed to move the functionality of SNAP eligibility from a mainframe legacy system to a new Cúram system.

### Observations

The SNAP Modernization Pilot is currently scheduled for April 1, 2015. Full statewide implementation is currently scheduled for July 1, 2015, with FNS approval.

During the month of January, RedMane continued development of reports and interfaces. RedMane also continued working with the conversion team, forms and notices, overpayments, and dashboards. Interface sessions have begun with the EBT vendor. RedMane also worked on the design of the universal access landing page during December.

During January FNS approved the required testing plan.

During the month of January, the State of Arkansas requested a major change to the application to integrate the SNAP and Medicaid applications into one application sharing as much data as possible. RedMane along with IBM and the State have begun analysis of the impact of this change and possible solutions. If the State decides to accept the change, there is a possibility the start date of the Pilot will be delayed.

### Recommendations

No recommendations apply for this report.

### Actions

No actions apply for this report.

### Risks

The following risks apply to SNAP as of the end of January. These risks are not critical as of January 31, 2015. IV&V will continue to monitor the project for these risks in the upcoming months.

- Training readiness (includes creation of UAT team)
- Data Conversion
- Pilot Strategy
- Integrated Medicaid and SNAP Application Change Request

## EEF Conversion

The Arkansas Conversion effort is being designed to pull SNAP data from the legacy mainframe system and populate that data into the new Curam system to prevent manual keying by state eligibility workers.

## Observations

During January, the conversion team completed design and development on the Curam Base Case Level (Application, Person, Relationships and 9 evidence types). Base case is the minimum amount of data needed to work a case in Curam. For SIT purposes the entire Base Case data conversion was run using the merged SNAP-HCR code and merged SNAP-HCR Production database. During January, the conversion team successfully deployed conversion of test data into the UAT environment so State staff could begin to review the results and identify any issues with the data conversion.

As of today, the conversion project is scheduled for SNAP conversion first and Traditional Medicaid second. SNAP conversion must occur prior to the SNAP Pilot project which is currently scheduled for April 1, 2015. During the month of January, the State of Arkansas requested a major change to the application to integrate the SNAP and Medicaid applications into one application sharing as much data as possible. RedMane along with IBM and the State have begun analysis of the impact of this change and possible solutions. If the State decides to accept the change, there is a possibility the start date of the Pilot will be delayed.

## Recommendations

No recommendations apply for this report.

## Actions

No actions apply for this report.

## Risks

The following risks apply to Conversion as of the end of January. These risks are not critical as of January 31, 2015. IV&V will continue to monitor the project for these risks in the upcoming months.

- SNAP Development
- SNAP and HCR Code Merge



## EEF Automated Testing

The development of an automated testing process for this project would create a standardized testing process allowing an automated system to run test scenarios and reduce the manual keying impact on the testers. Setting up automated test scripts is labor intensive on the front-end but will save testers time and manual intervention in the future.

### Observations

The use of an automated testing tool and process could improve UAT/Training environments efficiency as follows:

- Consistent load testing
- Faster regression testing
- Reduce the amount of the repetitive manual testing by the tester
- More efficient use of resources

IV&V is concerned the State does not presently have the capability to create new scripts or modify existing scripts after the EEF MAGI Medicaid transition phase.

### Recommendations

IV&V recommends that the State pursue training in creation and modification of automated test scripts.

### Actions

No actions for this section.

## EEF Architecture Subcommittee

The EEF Architecture Subcommittee oversees technology implementation across the Arkansas EEF project. This Board is chartered with ensuring that the Arkansas EEF solution is architected and designed for maximum performance and supportability.

### Observations

During the month of January the Subcommittee items of discussion were:

- Purging
- Archiving
- Audit trail logging
- Review the reporting DataMart and data warehouse solutions

### Recommendations

No recommendations for this section.

### Actions

No actions for this section.

## Technical Proposal Response to the Information for Evaluation Section

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First Data Government Solutions, LP (“First Data”) is pleased to respond to the Independent Verification and Validation (IV&V) services request in support of the Arkansas Integrated Eligibility and Benefit Management Solution (IEBM). Our powerful combination of deep Integrated Eligibility and Arkansas knowledge, coupled with our practical experience with planning, procuring, and supporting the development of complex projects like the one you are about to embark upon, reduces risk for Arkansas Department of Human Services (AR DHS). We understand your current system, and we have already built respectful relationships with your current Project Management Office (PMO), NTT Data, formerly Cognosante, and System Integrator (SI) vendor Deloitte. We will work proactively with both of them to achieve the goals of a successful implementation of the NextGen system, a Hybrid Integration Platform offering. We are actively supporting the states of Indiana, California, New York, and Nebraska with similar projects. First Data’s depth of experience in human service modernization projects provides us unmatched insight into the unique needs and business processes of the end users of the system under development and a holistic view of the importance of a positive system rollout for the clients served by these programs.

First Data understands how challenging organizing and implementing large and all-encompassing modular “system of systems” can be. Our IV&V experience spans over 25 years and includes some of the largest, most complex, and highest-profile projects in the country. We bring a unique combination of extensive IV&V expertise, experience collaborating with states to successfully manage simultaneous projects, strong Human Services and Medicaid credentials, and a deep understanding of Arkansas’s technological and business landscape.



First Data has a long history of working collaboratively with government clients as they plan and manage the replacement of legacy information systems. We have been through this transformative process and understand how to navigate the Medicaid Eligibility and Enrollment Life Cycle (MEELC) and Medicaid Eligibility and Enrollment Toolkit (MEET) processes because we have extensively aligned to these tools in our client engagements since their introduction by CMS. We offer honest and constructive feedback, not just a description of issues. Our teams pride themselves on not just simply showing up periodically with a checklist and rating projects as pass or fail, but instead working closely with the state leadership to set the program up for successful certification reviews and certifications. Our proposal demonstrates how our First Data Team, processes, and engagement philosophy are superior.

First Data will bring Arkansas valuable lessons learned from its previous Arkansas engagements, and from other states, that can help achieve success in both implementation and transformation. First Data works routinely with federal oversight agencies and understands their preference for processes like MEELC and the MEET toolkit.

Our clients find our value as their trusted advisor, not simply as an auditor. We are a leader in implementing MEELC and we are currently working with the State of Nebraska to provide timely and constructive feedback to position them for success. This partnership was featured during the 2017 Medicaid Enterprise Systems Conference (MESCC) in the “Modularity, Certification and IV&V (Oh My!)” session. The presentation illustrated our shared experiences and lessons learned from both a State and IV&V perspective, outlining how best to leverage IV&V services in a modular transition.

You can rely on First Data to:

- Bring experience, tools, templates, and a comprehensive IV&V methodology aligned to MEELC and tailored to the IEBM engagement.
- Manage concurrent projects as a comprehensive enterprise IV&V program, not as individual IV&V projects.
- Know the complexities of the MEET toolkit and the impact of the changes it creates in the delivery of IV&V services.
- Identify areas of potential business improvements.
- Manage the complexities of system development coupled with the ongoing maintenance and upgrades to the legacy systems.
- Maintain compliance with federal regulations to maximize enhanced program funding.
- Set your teams up for success and reduce project risk through proactive educational events and project oversight.

First Data has a long history of partnering with government clients in its efforts to plan and manage the replacement of large legacy eligibility systems, including several recent, large-scale, complex HHS projects.

## 1.1 Background and Qualifications

The Background and Qualifications section provides our response to the following requirements:

- Experience with IV&V Services Provided for Medicaid
- Experience Providing IV&V for SNAP
- Experience with Other IV&V Services
- Knowledge and Experience with Deloitte’s NextGen Solution

### 1.1.1 Experience with IV&V Services Provided for Medicaid

Background and Qualifications	Maximum Available RAW Score
Describe your company’s level of experience with IV&V services provided for Medicaid (Sec 2.1)	5
First Data was formed to bring business and technical expertise in IT solutions and consulting services to government agencies. We have successfully delivered IV&V, Quality Assurance	

(QA), PMO, and Technical Assessments for Medicaid projects for more than 30 years. First Data brings a team of consultants focused solely on helping government clients effectively perform their mission by providing a seamless approach to business, technology, and consulting services. Our seasoned professionals, including subject matter specialists, business analysts, technical analysts, project managers, and quality assurance analysts, provide a perfect combination of governmental business experience and strong technical expertise.

We have a long history of working collaboratively with government clients as they plan and manage the replacement of legacy information systems. Our First Data Team has in-depth knowledge and experience working on many state Medicaid Modernization Projects and understands how to navigate through the MEELC and the MEET processes. We offer honest and constructive feedback and we recommend solutions, rather than simply providing the State with a list of problems.

Our national IV&V and Medicaid experience, suite of tools, and experienced and knowledgeable IV&V practitioners provide added value to health and human services agencies across the nation. We are a focused partner that understands Medicaid programs and policies and brings clarity and knowledge of MEELC specific requirements. Our independence, flexibility, and attention to Arkansas' needs are what DHS can depend on from the First Data Team for this engagement.

### **IV&V Services for Medicaid in Arkansas**

First Data brings strong knowledge of the Arkansas programs from our previous IV&V contract for the Arkansas Eligibility and Enrollment Framework (EEF) project. From March 2013 through December 2015, First Data monitored and assessed the Software Development Life Cycle (SDLC) and the products that defined the EEF Project to make sure it fulfilled federal and state requirements. First Data assisted DHS and the Enterprise Program Management Team (EPMT) with the Center for Medicare and Medicaid Services (CMS) attestation and gate review process.

From our previous work with DHS providing IV&V services, we can use our knowledge of the State and lessons learned from the experience to better serve Arkansas in the IEBM project.

For example, First Data supported the testing process by providing a tool our team developed to extract specific test data supplied by CMS as part of the required attestations. As another example, although our contract required the Team to provide only monthly reports, CMS requested that First Data report observations weekly. Because our team was invested in your project's success, we went beyond the standard reporting requirement to fulfill CMS' request.



Our proposed staff for this project provides subject matter expertise that offers insight and experience both from an Arkansas-specific perspective and from a wide range of health and human services programs.

First Data functioned as the IV&V vendor for the EEF System, including MAGI and Non-MAGI Medicaid, and Affordable Care Act (ACA) Medicaid expansion. First Data's purpose was to provide an objective, unbiased assessment of project status, work products, processes, and outputs throughout the implementation life cycle in an environment organizationally free from the influence, guidance, and control of the development effort. Willard Starlard led this team, which was recognized by CMS for providing high quality deliverables. Mr. Starlard is bid here as Technical Analyst. He is local to Little Rock and will be onsite daily to support Arkansas IV&V for IEBM.

The First Data Team successfully performed the following tasks for the Arkansas EEF project:

#### **Quality Assurance/IV&V**

- Assessed product quality as it was developed through formal review
- Assessed design deliverables to identify potential discrepancies from established requirements and standards
- Reviewed testing procedures and results from the design, development, and implementation (DDI) team and State testing teams to determine completeness and compliance with pre-defined test criteria, identify deficiencies, and confirm cohesive interaction between required project teams
- Collaborated with Arkansas DHS and the EPMT to prepare for and navigate through CMS-required system attestation and gate review process successfully by following the CMS Enterprise Life Cycle

#### **Technical Quality Assurance Support**

First Data provided dedicated resources to observe the EEF project technical team operation by:

- Serving as advisor to the Technical Review Board
- Providing technical consultative input as necessary
- Providing specialized assessment focused on security compliance:
  - Reviewed existing security documentation for conformance to National Institute of Standards and Technology (NIST) and Minimal Acceptable Risk Standards for Exchanges (MARS-E) standards
  - Noted gaps and attempted to resolve them
  - Noted any remaining documentation or practice gaps
  - Performed data center walkthroughs and interviewed personnel
  - Prepared final reports on findings and recommendations (NIST format)
- Providing specialized test planning and test management.

#### **Business Process Reengineering Quality Assurance Support**

First Data provided dedicated resources to observe the EEF project teams by:

- Concentrating on rapidly reengineering operational service delivery processes to monitor ACA compliance and adherence to the business architecture selected by the business review board
- Providing specialized independent assessment focused on:
  - Client and user support contact center design and implementation
  - Organization Change Management (OCM) implementation

### **Project Integration IV&V/Quality Assurance Support**

The EEF project sponsor requested IV&V specialized services for monitoring the development and implementation of the accounts transfer process both inbound and outbound. First Data was charged with keeping the sponsor informed on the progress for meeting projected milestones.

The EEF project sponsor requested that the IV&V team conduct an assessment of the current EEF reporting operations, processes, and procedures. To accomplish this, the EEF IV&V team interviewed the EEF Reporting team and single reporting resource. These interviews were short—just 15 to 30 minutes long—to reduce the potential impact to the project. Our report included a high-level description of current reporting responsibilities for both resources and the data extraction methods.

The First Data Team attended or facilitated the following meetings to proactively support the project.

- **Governance Review Board** (weekly): this board was designed to be the decision-making body for all program requirements.
- **Technical Review Board** (weekly): this board was designed to be the decision-making body for all technical requirements.
- **Architecture Review Board** (bi-weekly): the EEF Architecture Subcommittee technology implementation across the Arkansas EEF project. This Board is chartered with validating the Arkansas EEF solution is architected and designed for maximum performance and supportability.
- **Risk and Issues** (bi-weekly): this committee was established to continually evaluate the condition of the project and develop options and fallback positions.
- **IV&V/State Executive Monthly Meeting** (monthly): IV&V-facilitated meetings with State executives to review findings and propose recommendations that would support and enhance project effectiveness.
- **IV&V/Project Team Meeting** (weekly): IV&V-facilitated meetings with project team leaders to review and confirm status of “units of work” to review our findings and to propose recommendations that would support their assignments.

### **IV&V Services for HHS systems in the United States**

First Data's experience providing IV&V services for Medicaid extends beyond the State of Arkansas. We exceed the minimum requirement of 5 years of experience performing IV&V services—we have performed IV&V on 13 large-scale health and human services projects

within the last 5 years—and all of those IV&V projects were specifically for integrated eligibility or Medicaid systems. Table 1 provides a comprehensive list of First Data’s IV&V projects throughout the U.S.

*Table 1 – FDGS’s IV&V Experience in the Last Five Years*

Project	Timeframe	IV&V	Health Care/Medicaid	TANF/CA	SNAP (formerly Food Stamps)	Child Support	Long Term Clients
Arkansas – Department of Human Services Eligibility System	05/2013 – 12/2015	✓	✓	✓	✓		
California – C-IV Statewide Automated Welfare System	08/1997 – Present	✓	✓	✓	✓		✓
Colorado – Health Benefit Exchange IV&V	11/2012 – 02/2014	✓	✓				
Connecticut – Department of Social Services Modernization	09/2008 – Present	✓	✓	✓	✓	✓	✓
Connecticut – Health Insurance Exchange IV&V	04/2013 – 06/2016	✓	✓				
Idaho – Health Insurance Exchange (HIX) IV&V	04/2014 – 12/2016	✓	✓				
Indiana – Eligibility Modernization Program	05/2007 – Present	✓	✓	✓	✓		✓
Indiana – MMIS Operational Verification and Validation (OV&V)	11/2009 – Present	✓	✓				✓
Indiana – Eligibility Determination Services System (IEDSS) IV&V	12/2012 – Present	✓	✓	✓	✓		✓
Louisiana – MMIS IV&V	02/2012 – 03/2013	✓	✓				
Nebraska – Eligibility and Enrollment System IV&V	01/2014 – 09/2018	✓	✓				✓
Nebraska – Data Management and Analytics IV&V	02/2017 – Present	✓	✓	✓	✓		✓
New York – IES& NYSOH	10/2018 – Present	✓	✓	✓	✓		
Texas – Child Support Enforcement IV&V	01/2017 – Present	✓			✓		



Our Subject Matter Experts (SMEs) keep abreast of the trends, anticipate changes, and analyze impacts to our clients and future projects. We work collaboratively with our state clients and CMS regional directors to confirm that state planning and upcoming activities align with CMS' direction to facilitate the review and approval of required certification. First Data is an active member of the Public Sector Technology Group (PSTG) and attends all member calls with CMS regularly to stay informed about changes to systems, processes, and policy.

First Data staff are active at industry conferences in the areas of public policy and systems, including:

- **The American Public Human Services (APHSA):** The APHSA is a bipartisan, nonprofit membership organization representing state and local health and human service agencies through their top-level leadership. Through their member network and three national Collaborative Centers, APHSA seeks to influence modern policies and practices that support the health and well-being of all children and families and that lead to stronger communities. First Data has had staff named as emerging leaders by this organization and has attended work sessions focused on integration of systems, data and monitoring of Social Determinants of Health (SDOH) to improve health outcomes in holistic systems.
- **The Medicaid Enterprise Systems Conference (MESC):** The annual MESC (formerly known as the Medicaid Management Information System [MMIS] Conference) brings together thought leaders from the public and private sectors to share ideas and information related to Medicaid systems and initiatives. First Data staff have presented, facilitated, and participated in this conference with their state clients on topics such as Agile, Modularity, and Certifications Management.

We will collaborate with all stakeholders involved with the IEBM project. As your IV&V contractor, we will monitor all project activities, artifacts, and the project schedule to provide observations, identify risks and issues, and provide recommendations to assist DHS in achieving CMS certification for the Arkansas IEBM project.

The First Data Team will bring Arkansas valuable lessons learned from other states that can help achieve success in both business and technology transformations. We routinely work with federal oversight agencies and understand the importance for processes like Medicaid Information Technology Architect (MITA), MEELC, MEET, and the Food and Nutrition Service (FNS) 901 Handbook.

First Data has a long history of partnering with government clients in its efforts to plan and manage the replacement of large, legacy eligibility systems, including several recent, large-scale, complex HHS projects. We offer examples of our experience in the Background Qualifications section of our response. The following are some of the advantages the extensive experience that we bring to the IEBM Project.

- **We understand Medicaid Enterprise Systems:** First Data has helped many Medicaid agencies plan, procure, and implement complex systems, providing a deep and broad understanding of various Medicaid enterprise administrations, the corresponding programs, and the interrelations between the programs and various interfaces. This planning experience helps us to complete Advanced Planning Documents (APD) and CMS reviews accurately and with obvious tracking to the artifacts requested by oversight agencies.

- **We understand the programs and the data:** First Data has knowledge of all the major health and human services programs, and while the IEBM Project supports Medicaid eligibility and enrollment, we understand how the various related programs intersect and support DHS's overarching vision. We have an understanding of the programs, policies, and business processes associated with Medicaid, SNAP and Temporary Assistance for Needy Families (TANF) and can bring best practices from other states. First Data brings the right skills and experience to support the State vision that Arkansas citizens are healthy, safe, and enjoy a high quality of life. The team proposed for this IV&V engagement has knowledge of the MITA framework, its Standards and Conditions, and how to apply to the IEBM Project.
- **We are fiercely independent:** First Data has extensive experience and a strong reputation as an independent advisor on system development and implementation projects. We do not have a preference for any solution or solution provider, nor methodology (Agile, waterfall, or hybrid). Our agenda is to assist in providing a successful design, development, and implementation of the IEBM components.
- **We are industry leaders in IV&V:** The First Data Team has many successful IV&V projects involving government information systems. Our list of clients includes 50 government IV&V/QA projects, including some of the largest projects in the country. Our experience has enabled us to learn valuable lessons in projects with other states. This experience can help Arkansas as it makes a significant transformation to the new IEBM to replace Arkansas' current solutions for managing eligibility and enrollment for Medicaid and other human services programs that DHS administers. We have seen what works well and we know what to watch for as the project progresses. We have always maintained our commitment to meeting the needs of the project with dedicated staff and proven tools and methodologies.



**First Data's methodology brings the IV&V framework Arkansas needs.**

- It accommodates a portfolio of projects
- It identifies cross-project risks
- It streamlines review processes
- It reinforces relationships with Stakeholders

### **First Data: A Team Worth Keeping**



First Data is proud of its history of successful projects. Perhaps the greatest recognition of the quality of our work is the number of clients that have asked us to continue supporting their projects after the conclusion of our original contract. We recognize that states have options when selecting a partner for their projects, and we are honored that our clients recognize the quality of our work by continuing to select us to provide services at the conclusion of our initial contract. The long-term nature of our client engagements and the continued selection of First Data through multiple procurement cycles demonstrate the trust our clients have in us, as a partner that delivers on its commitments.

### ***First Data: Experience and Independence***

The First Data Team has the experience and independent verification and validation background to be the partner Arkansas needs to help DHS achieve its goal of improving the quality of life of all Arkansans by protecting the vulnerable, fostering independence, and promoting better health.

Our involvement, as evidenced through our successful long-term IV&V engagements, will be a key element of success for all your projects. We bring a proven IV&V methodology that we have successfully adapted to align with MEELC and address a program portfolio of interdependent projects such as those proposed. In addition, you will benefit from our position as a national leader in the area of Medicaid systems, allowing us to bring many years of experience and “in the trenches” lessons learned to support key DHS decision making throughout the IEBM project.

These are the key aspects for DHS to consider: thought leadership, commitment to your success, and independence founded on the principles of agility and flexibility. First Data is the partner that will help you achieve successful CMS and FNS acceptance of your IEBM solution.

### ***First Data: The Right Choice for Arkansas***

We understand the requirements set forth in this RFP. We look forward to working with you to verify that your SI and PMO staff is making systematic and steady progress toward implementing the necessary solutions, tools, and technology for the IEBM Project. We know that it is important to examine the software and its interactions with the system of which it is a part, and necessary to develop an understanding of the system, its goals, and operational environment. We will help you identify potential gaps in your existing MITA and Concept of Operations documentation that may impact system certification. The First Data Team will create an IV&V project technical reference that will be documented and maintained for use throughout this IV&V project lifecycle.

***Don't just take it from us; here is what CMS has to say about our IV&V teams in Arkansas.***

**From:** Pittman, David A. (CMS/CMCS) [<mailto:David.Pittman@cms.hhs.gov>]  
**Sent:** Wednesday, June 10, 2015 6:55 PM  
**To:** Dick Wyatt  
**Subject:** RE: NG CHRIS Contract for Information Support Services

Dick,

I am now in charge of all account transfers for the FFM focused on Medicaid agencies. I am hoping that by bringing the perspective of what the states are seeing, I will be able to change things for the better. I told them that I can't do that and 3 states. Since Arkansas is doing a reboot of sorts it will be easier to bring in a fresh perspective. I plan to have the state well documented. **By the way, I need to commend your IV&V team. Their reports are an excellent snapshot of what is going on with the state. Please give them my thanks for helping me to come up to speed and stay there with Arkansas.**

Dave

David A. Pittman  
 Center for Medicaid & CHIP Services  
 Account Transfer POC  
 Data Systems Group, Division of State Systems  
 410-786-2596 Work (forwards to Cell)  
 443-293-3336 Home Office Monday-Thursday  
 717-578-7844 Cell  
[david.pittman@cms.hhs.gov](mailto:david.pittman@cms.hhs.gov)

### 1.1.2 Experience Providing IV&V for SNAP

Background and Qualifications	Maximum Available RAW Score
Describe your company's level of experience with IV&V services provided for SNAP (Sec 2.1)	5
<p>First Data has experience providing multi-program IV&amp;V services for Health and Human Services projects including SNAP in Arkansas, Indiana, Nebraska, and New York. We take a big-picture approach to conducting IV&amp;V for Eligibility and Enrollment systems, which typically includes SNAP. We have learned from our extensive work in Eligibility and Enrollment services (including TANF and child support) to apply our expertise specifically to SNAP.</p> <p>The First Data IV&amp;V Team bases its approach to verifying and validating SNAP services on the United States Department of Agriculture's FNS Handbook 901 <i>The Advance Planning Document Process: A State Systems Guide to America's Food Programs</i>. Our team has knowledge and understanding of the evidence FNS looks for to satisfy requirements and can</p>	

use that experience to help Arkansas through the FNS project life cycle criteria. Our expertise can assist Arkansas through FNS and CMS reviews readily and efficiently.

The First Data Team always goes one step further to support its clients. We use our experience in conducting IV&V for SNAP projects to carefully observe activities and provide actionable, realistic recommendations that mitigate risks and maximize opportunities. First Data consultants throughout the U.S. store their best practices and templates in a repository that we call our Center of Excellence (CoE). Our Team in Arkansas will access the CoE for templates and outlines for your assessments, which saves time and gets you the recommendations you need sooner, rather than later.

The following describes First Data's specific state project experience conducting IV&V for SNAP.

### **Arkansas**

First Data functioned as the IV&V vendor for the Arkansas EEF Project. First Data's purpose was to provide an objective assessment of project status, work products, processes, and outputs throughout the implementation life cycle in an environment organizationally free from the influence, guidance, and control of the development effort. The SNAP DDI was Redmane and their development was offsite in Chicago. The team observed the following:

- Pilot scheduled for Jan 1, 2015 then April 1, 2015
- Recommendation of the overall EEF base lined schedule that included other project teams for completion of the SNAP development.
- Forms development
- Notices development
- Interface development with EBT vendor
- Reports
- Architecture capacity to hold SNAP and Medicaid members
- State communication with FNS concerning testing and pilot implementation
- Set SNAP project to RED (March 2015) because development and testing for interfaces and reports were not completed prior to Pilot date of 4/1/15.

### **Indiana**

First Data worked on the Indiana Eligibility Determination Service System (IEDSS) project throughout the full life cycle of SNAP project activities over a seven-year period. The First Data IV&V Team was actively involved from project management, requirements gathering meetings, the SNAP Pilot, and prior to Go-Live deployment. The team contributed to project success by performing document reviews, interviewing key stakeholders, conducting assessments, providing deliverable reports, and managing risks and issues until ultimate resolution.

### **Nebraska**

The Nebraska Eligibility Enrollment System (EES) project included IV&V services for the SNAP component of the project. First Data as the IV&V contractor was instrumental in reporting project status as it was and the Team objectively assessed project progress and deliverables. First Data was a key partner in the State's decision to pause the overall EES project that included SNAP due to schedule and cost challenges and review options. First

Data's IV&V assessment provided the State an opportunity to pause development, assess the schedule, determine spending priorities, and eventually make a determination of the continuance of the project engagement. We will provide the same type of valuable information in our IV&V assessments and reports that can save substantial funds and resource time for Arkansas DHS.

**New York**

First Data is the IV&V vendor for the Integrated Eligibility Services (IES) project for the State of New York. This project includes SNAP as major program feature and includes an internally developed IV&V MEELC-based MS project schedule. The following list provides a sample of the First Data Team responsibilities for the IES project:

- Monitor the IES contractors/subcontractors' project plans and project management processes; review and comment on the plans and processes; recommend changes to improve effectiveness of plans and processes
- Review all of the IES Contractor's project deliverables for completeness and compliance with the project quality plan and documentation of deliverable deficiencies
- Prepare summaries of overall project progress
- Identify and document findings and recommend solutions continually throughout the project
- Observe and verify that testing was completed according to IES Contractors' test plans

**1.1.3 Experience with Other IV&V Services**

<b>Background and Qualifications</b>	<b>Maximum Available RAW Score</b>
Describe your company's level of experience with other IV&V services (Sec 2.1)	5
<p>First Data has extensive experience providing other IV&amp;V services. Table 2 includes all of our IV&amp;V experience for statewide Integrated Eligibility and Enrollment systems. As this experience demonstrates, we have been a long-term partner to many of our clients. We have worked with them to build new, robust IT infrastructures, adjust to the constant influx of new policies and regulations, and manage the complex web of old and new systems required to administer benefits.</p> <p>Our IV&amp;V experience has taught us how best to observe and report on key project milestones that can help Arkansas keep its project on track and on time. In our work in Nebraska, our team developed its Evidence Tracker Tool to assist the State with evidence collection and the assessment process. This innovation will support Arkansas during R1, R2, and R3 with an easy and collaborative means for the State to deliver checklist evidence to the IV&amp;V Team.</p> <p>To simplify the evidence collection process, First Data also developed the Certification Evidence Documents (CEDs) to store the evidence the State has captured throughout the</p>	

certification process. The state compiles the evidence, places it in the appropriate CED, and then submits it to IV&V for its assessment. The Evidence Tracker also expedites the preparation of checklist evidence for submission as a package to CMS for R1, R2, and R3 for certification of State-developed modules. This is an aid to CMS as it provides checklist evidence that is easily accessible for checklist items in the CMS certification review process.

We have successfully used the First Data Evidence Tracker and associated CEDs for the R1 Initiation and Planning phase of the Nebraska DMA & EVV project, and it is now in use for the R2 Operational Milestone Review phase of the Nebraska DMA project. The Evidence Tracker is also currently in use for the New York Integrated Eligibility System (IES) project where First Data is the IV&V contractor.

The First Data Team is able to offer these tools because we have learned from our experience how to bring our knowledge and skills to each client. Our consultants, tools, and CoE resources will support Arkansas in the same way, working through the six Eligibility and Enrollment checklists, which include over 140 criteria.

*Table 2 – First Data is an industry leader in providing IV&V services for Integrated Eligibility Systems*

<b>First Data has Provided IV&amp;V Services on 15 HHS Projects</b>			
State	Integrated Eligibility IV&V Projects	Years	Programs Covered
<b>Arkansas</b>	Arkansas Department of Human Services Eligibility System	2 years, 8 months	Medicaid MAGI, TANF, SNAP
<b>California</b>	Leader Replacement	3 years, 2 month	Medicaid MAGI, ABD (Medi-Cal), MAGI, ABD, SNAP (CalFresh), TANF (CalWORKs), LIHEAP, Foster Care, Child Care, Homeless Assistance, Employment Services
<b>California</b>	C-IV Statewide Automated Welfare System	17 years, 3 months	Medicaid MAGI, ABD (Medi-Cal), SNAP (CalFresh), TANF (CalWORKs), LIHEAP, Foster Care, Child Care, Homeless Assistance, Employment Services
<b>California</b>	CalWORKs Information Network (CalWIN)	18 years, 2 months	Medicaid MAGI, ABD (Medi-Cal), SNAP (CalFresh), TANF (CalWORKs), LIHEAP, Foster Care, Child Care,

			Homeless Assistance, Employment Services
<b>California</b>	ISAWS Migration Development and Implementation	2 years, 11 months	Medicaid (Medi-Cal), SNAP (CalFresh), TANF (CalWORKs)
<b>California</b>	Los Angeles Eligibility Automated Determination Evaluating and Reporting (LEADER)	14 years	Medicaid (Medi-Cal), SNAP (CalFresh), TANF (CalWORKs)
<b>Connecticut</b>	Department of Social Services Modernization	9 years, 8 months	Child Support Services
<b>Connecticut</b>	Health Information Exchange/EHR, HIX/HBE	8 Years	IV&V, Quality Assurance
<b>Connecticut</b>	ACHSS Testing HIX/HBE	6 years	IV&V
<b>Indiana</b>	Eligibility Determination Services System (IEDSS)	5 years, 5 months	Medicaid MAGI, ABD, SNAP, TANF
<b>Nebraska</b>	Eligibility and Enrollment	2 years, 7 months	Medicaid MAGI, ABD, SNAP, TANF
<b>Nebraska</b>	Optional Projects	2 years, 4 months	EDI Platform Migration (EPM), Social Security Number Replacement Initiate (SSNRI), Electronic Visit Verification (EVV)
<b>New York</b>	Integrated Eligibility Services (IES)	9 months	Medicaid, SNAP, TANF
<b>Rhode Island</b>	Eligibility Code Review	3 months	Medicaid, MAGI, IES, SNAP
<b>Texas</b>	Child Support Enforcement	6 Years	Child Support Enforcement Services

### 1.1.4 Knowledge and Experience with Deloitte's NextGen Solution

Background and Qualifications	Maximum Available RAW Score
Describe your company's knowledge or experience with the Deloitte NextGen Solution IEBM. (Sec 2.1)	5
<p>Deloitte's NextGen platform is a combination of business logic pre-coded in Java and other components that are blended together from several states' systems to provide an integrated system. NextGen's custom Java code has been verified in other states and represents the core business logic necessary to provide significant automation for caseworkers and citizens. With NextGen, Deloitte can substitute products in a way that best meets the State's needs.</p>	



One of the reasons state clients like the NextGen Solution is because it aligns with MITA's Seven Standards and Conditions:

1. Modularity
2. MITA Condition
3. Industry Standards Condition
4. Leverage Condition
5. Business Results Condition
6. Reporting Condition
7. Interoperability Condition

First Data has first-hand experience working with Deloitte and its NextGen solution. We currently are engaged in two projects in Indiana and Connecticut where Deloitte, the SI, uses its NextGen product. From our experience working with Deloitte and the NextGen Solution, we have learned that the State will want to prioritize maintaining a Requirements Traceability Matrix (RTM) and follow a robust change control process—both of which First Data can support as your IV&V vendor. First Data will determine whether all requirements are effectively tracked and followed through to completion. In our experience, this has been challenging for states working with the NextGen system. We are prepared to help Arkansas leverage the positive aspects of the NextGen Solution and mitigate the impact of risks associated with deploying and managing NextGen to achieve a successful outcome.

### 1.1.5 First Data's Experience with Deloitte

Background and Qualifications	Maximum Available RAW Score
Describe your company's prior experience with Deloitte.	5
<p>First Data has experience working collaboratively with Deloitte in the states of Indiana, Connecticut, and California. Additionally, our proposed IV&amp;V Lead, Delden Fane, previously worked for Deloitte in several roles. Having Mr. Fane on our IV&amp;V Team means that First Data provides unique insight and effectiveness in communication with Deloitte. Finally, while First Data Government Solutions LP's parent corporations have expansive relationships for auditing and consulting with various entities affiliated with Deloitte Consulting, LLC, First Data Government Solutions, LP has no actual knowledge of any relationships with Deloitte Consulting, LLC or its related entities related to Arkansas DHS.</p> <p>Our knowledge of Deloitte's internal implementation methods enables us to quickly and accurately assess potential critical project vulnerabilities. Lessons learned from evaluating Deloitte's past practices and performances are invaluable to clients with projects like</p>	

Arkansas IEBM. We have the ability in assessing NextGen solutions in other states allowing us to re-use knowledge as CMS intended.

### **Indiana**

First Data provides IV&V services for Indiana Eligibility Determination Services System (IEDSS) project and Deloitte is the SI vendor. Our IV&V Team focuses on reviews, interviews, and evaluations of project deliverables. Our Indiana team also conducts attestations, provides planning, provides design and technical recommendations, and interacts with CMS and FNS regional representatives.

### **Connecticut**

First Data provides IV&V services for the State of Connecticut and Deloitte is the SI vendor. First Data has enabled the State to realize greater efficiencies and quickly address potential risks, issues, and obstacles. First Data produces weekly and monthly reports to CMS that review and assess vendor performance.

### **California**

First Data provided planning, procurement, and quality assurance services to the Welfare Client Data System Consortia (WCDS) for 18 years. A component of this work included procuring the system development services of Deloitte consulting to provide design, development, and implementation services for the CalWIN system.

CalWIN was developed under a partnership of Electronic Data Systems (EDS) and Deloitte Consulting with Deloitte providing system development, training, organizational change management, and implementation services. EDS was responsible for Maintenance and Operation (M&O) services. First Data provided Quality Assurance reviews, onsite visits, and oversight of all aspects of the Deloitte implementation services this included ongoing monitoring and verification of the status of conditions, methods, procedures, and products, and analysis of associated records to verify that the established requirements were in compliance.

### **Nebraska**

The Nebraska Data Management and Analytics (DMA) project has contracted with Deloitte to provide DMA Services. This project is currently in development of the R2, DDI and Design Integration, Test, and Implementation MECL V 2.3, phase of the project. First Data is contracted as the IV&V entity for this project. The two main factors affecting project health are documented in a critical incident report and vendor performance letter, both issued in April 2019. The First Data Team has been instrumental in monitoring, identifying, and tracking project risks with the goal of continuing all project activities to achieve a successful CMS certification of Nebraska's DMA project. The First Data Team is working closely with the State as a trusted advisor.

### **Rhode Island**

First Data performed code reviews of Deloitte systems using Computer Aided Software Testing (CAST) software. CAST creates a digital image of the internal composition of complex

software using architectural, data flow, and transactional analysis to contextualize system composition (technology layers, data structures, and transactions) and provides unprecedented intelligence into system integrity. Simply stated, CAST assists us in verifying the quality of the source code from the Vendor. Using CAST allowed the team to prioritize and focus executive leadership by drawing attention to critical violations and critical impacts, rather than providing a huge list of small code issues.

For the Rhode Island System, the CAST assessment and our process analysis performed at the end of 2018 identified areas of opportunity where process/development improvements in targeted areas would have the greatest impact. The CAST tool provided insight into how the implemented modules related to each other and how they worked with the database configuration. These findings led to discussions between the state and the implementation team on how transaction speed and additional code clean up and hand-off activities could be completed.

### 1.1.6 Projects Similar in Size, Complexity, and Scope

Background and Qualifications	Maximum Available RAW Score
<p>Describe <b>five (5)</b> examples of projects similar in size, complexity and scope to this RFP your company has completed within the past five (5) years. Response must include the following information: Project name and brief detail of provided services, client name, client contact person(s) name, email address and current phone number of contact person(s), project timeframe and the projected amount. (Sec. 2.3-D)</p>	5
<p>First Data brings decades of experience performing IV&amp;V for health and human services programs. Specifically within the past five years, we have delivered IV&amp;V services on multiple projects similar in size, complexity, and scope to this RFP. This section lists five of these projects in Nebraska, Indiana, and California.</p> <p>First Data's references offer Arkansas DHS the confidence that First Data is the best choice to provide IV&amp;V services under this RFP. Our IV&amp;V Teams have worked with Cúram issues similar to those faced by DHS in Arkansas as well as with Deloitte NextGen systems. For example, First Data continues to support Nebraska through similar issues and has captured that experience and the lessons learned to transfer to the DHS IEBM IV&amp;V Project. Table 3 provides a summary of one project of similar size, complexity, and scope along with the additional project information requested in the RFP.</p>	

*Table 3 –Nebraska DHHS IV&V Project Details*

<b>Nebraska Department of Health &amp; Human Service (DHHS) IV&amp;V</b>			
Name of Organization/ Division or Department	Nebraska Department of Health & Human Service (DHHS)	Contact Person Name and Title	Dr. Larra Petersen-Lukenda, Deputy Director, Healthcare Operations and Business Operations Medicaid & Long-Term Care
Contract Value	\$17MM	Contact Person Address	301 Centennial Mall South, Nebraska State Office Building, PO 95026 Lincoln, NE 68509
Contract Start Date	12/2014	Contact Person Telephone Number	(402) 471-9567
Contract End Date	Present	Contact Person Email Address	Larra.Petersen-Lukenda@nebraska.gov

**Nebraska Eligibility and Enrollment (EES) IV&V** (January 2014 – July 2016): First Data provided a traditional suite of IV&V services for the Nebraska EES Implementation. The IV&V Team was responsible for the production of a number of deliverables throughout the engagement. These deliverables included a monthly project status report, vendor deliverable reviews, and requirement confirmation. The IV&V Team maintained its own risk registry application and produced risk reports based on the information contained within the application.

The First Data Project Manager presented a monthly briefing to the Project Governance Committee and participated in many project standing committee meetings. Team members were in attendance for design review, risk/issue/mitigation review, gap analysis, and proposed solution review meetings. Once the design phase was complete, the IV&V Team was involved in test plan reviews as well as reviewing the test case results. The Team was involved in both System Integration Testing (SIT) and User Acceptance Testing (UAT) phases. The Team provided attestations regarding the new solution’s ability to interface with the Federal Data Services Hub (Federal DSH).

Project Description: First Data is responsible for performing IV&V services associated with the implementation of a new EES.

**Nebraska Enterprise IV&V** (December 2016 – Present): First Data has provided Enterprise IV&V services to continue supporting the EES implementation and for multiple implementation projects related to Nebraska’s MMIS modernization strategy.

Nebraska Medicaid is administered by the Medicaid and Long Term Care (MLTC) division within the Department of Health and Human Services (DHHS). MLTC, deemed the single

state agency by CMS, is transitioning to a mandatory managed care model in which most beneficiaries receive health care services through a Managed Care Organization (MCO) within the Heritage Health managed care delivery system. The legacy MMIS is being transitioned to support the MCO model to a new, component-based MMIS. IV&V services aligned with and supporting the CMS Medicaid Enterprise Life Cycle and Toolkit (MECL/MECT) apply to all components of the new MMIS. Initial scope includes:

- EES: implementation of a Cúram solution by Wipro is continuing from previous First Data IV&V contract. This is not a certification as described by the MECT, but continuing down the path of CMS' previously defined Enterprise Life Cycle (ELC)
- DMA: the central component of the new MMIS
- Claims Broker Subsystem (CBS): a component to adjudicate claims for those members not within a Heritage Health MCO
- Enrollment Broker Capitation (EB Cap): a replacement for the legacy capitation calculation module
- Central Provider Management, including initially Provider Screening and Enrollment (PS&E)
- EDI Platform Migration (EDIPM): a temporary solution to move EDI transaction processing from a legacy Sybase system to EDIFECS. This functionality in its entirety will eventually be contained within the MMIS replacement modules when Go-Live occur
- IV&V services for additional components within the Medicaid Enterprise MMIS replacement

Table 4 provides a summary of the Indiana IEDSS IV&V project, where the First Data Team also delivered services as part of a project of similar size, complexity, and scope.

*Table 4 – Indiana IEDSS IV&V Project Details*

<b>Indiana Eligibility Determination Services System (IEDSS) IV&amp;V</b>			
Name of Organization/ Division or Department	Indiana Family & Social Services Administration (FSSA)	Contact Person 1	Adrienne Shields, FSSA/Department of Family Resources (DFR) Director 402 W. Washington Street, Rm W-392, Indianapolis, IN 46204 Phone Number: (317) 234-2373 Email: Adrienne.Shields@fssa.in.gov
Contract Value	\$8MM		
Contract Start Date	12/01/2012	Contact Person 2	Jared Linder, FSSA CIO 402 W. Washington Street, Rm W-421, Indianapolis, IN 46204 Phone Number: (317) 234-6998 Email: Jared.Linder@fssa.in.gov
Contract End Date	12/31/2019		

The Indiana Family and Social Services Administration (FSSA) provides services to low-income individuals, families, children, senior citizens, and people with mental illness,

addictions, and physical and developmental disabilities. The FSSA is a healthcare and social service financing agency that delivers a variety of services to citizens in need. There are over one million recipients who receive services from FSSA. This represents about one-sixth of the State's population. The agency has undertaken a large, complex project to modernize its eligibility processes.

The goal of the new IEDSS was to create a custom, web-based portal solution accessible by external applicants, social service agencies, caseworkers, and other stakeholders, and integrate with approved tools to support State and county staff, processing, and communication to related State and federal systems. The federal and state programs in the scope of the IEDSS solution included: Cash Assistance, including TANF; Healthcare Assistance, including Medicaid and Children's Health Insurance Program (CHIP); and Supplemental Assistance Programs.

From an IV&V perspective, FNS is a driving force with the IEDSS DDI. Our IV&V Team meets regularly with both FNS and CMS (typically weekly now that IEDSS is in Pilot). From an Operational Verification and Validation (OV&V) standpoint, SNAP is the primary program that we review.

In support of this effort, FSSA contracted with First Data to provide IV&V services to support oversight of the Eligibility Modernization Program. IV&V Services include:

- IV&V planning
- Requirements validation
- System design verification
- Construction and testing
- Data conversion verification
- Integration and system testing
- Pilot and implementation validation
- Federal review support

### **Project Planning**

- Verify that Deloitte Project Management plans are in place and maintained under an appropriate level of control
- Validate that the Deloitte Project Management plans address requirements traceability, escalation procedures, risk analysis, and issue management and that they follow appropriate standards and align with RFP requirements
- Verify appropriate system environments are in place and are maintained in accordance with the appropriate RFP technical foundation requirements, as updated through requirements validation and design phases of the project
- Verify that Deloitte's Detailed Project Work Plan addresses each phase of the SDLC
- Verify that Deloitte's Work Breakdown Structure (WBS) facilitates verifying and controlling project scope

- Verify decisions are documented, archived, and manageable for future reference
- Verify status reporting mechanism is in place which presents different levels of detail appropriate for the various Agency and federal management tiers, including the PMO, DFR, FSSA Executives, FNS, and CMS

#### **Requirements Validation**

- Verify the processes and procedures for managing requirements are in place and appropriate
- Verify requirements can be traced through design, code, configuration, and testing
- Validate requirements of the system satisfy state and federal regulations including, but not limited to, CMS MITA 3.0 requirements
- Verify all business and technical requirements have been allocated to the appropriate Deloitte sub-system or business area

#### **System Design Verification**

- Verify that Deloitte's design and analysis process is in place and used to develop the design
- Verify data interfaces and integration with the overall system design
- Verify business and technical requirements can be traced forward to system and business area design elements
- Verify required processes and tools are in place in accordance with the appropriate RFP business and technical requirements, as updated through requirements validation and design phases of the project
- Verify all Deloitte design products are under configuration control
- Verify Deloitte design standards, methodology, and tools used to develop the design are in place and appropriate for the tasks
- Validate the project policies and procedures for validating that the system is secure and meets the State's IT security requirements, and verifies the privacy of client data is maintained through these policies and procedures
- Verify that Deloitte's project security plan and risk analysis processes comply with the State's IT security requirements
- Verify that Deloitte's processes and equipment are in place to back up client and project data and files and archive them safely at appropriate intervals
- Verify the agency hosting the IEDSS system (Indiana Office of Technology [IOT]) is implementing IT security processes as required, and there are no deficiencies in IOT's security processes for the IEDSS where federal (for example, HIPAA) and state laws might impose security requirements

#### **Construction and Testing**

- Verify the Master Test Plan met IEDSS requirements, is appropriate for the IEDSS project, and is being used by Deloitte to actively guide Deloitte's approach to testing throughout the life cycle of the project

- Verify the software artifacts, system documentation, test data, and the test plan confirms a robust and complete migration capability
- Validate test results are providing solutions as expected
- Verify adherence to Application Architecture Standards as outlined in the RFP
- Verify the contractor is monitoring activities during the Construction and Unit Testing task using technical reviews and audits
- Verify the contractor's prepared comprehensive set of test scenarios, with applicable test cases and expected test results to test the migration, and conversion of all data and files

#### **Data Conversion Verification**

- Verify that Deloitte has demonstrated that all data required to support processing is available, accurate, and ready for operations

#### **Integration and System Testing**

- Validate the plans, requirements, environment, tools, and procedures used for unit, integration, and system testing of system modules

#### **Pilot and Implementation Validation**

- Validate that Deloitte has demonstrated and verified physical security, data security, and fire and disaster prevention and recovery procedures

#### **Federal Review Support**

- Verify that Deloitte is using all appropriate federal guidelines for Medicaid technology and systems projects, including but not limited to, the Enhanced Funding Requirements: Seven Conditions and Standards Medicaid IT Supplement (MITS-11-01-v1.0) throughout the DDI lifecycle
- Develop Federal Review Plan in coordination with the State and Deloitte to outline the processes and procedures that will be used to manage system review activities
- Define requirements for all federal review guidelines during and after system implementation
- Verify the solution meets the criteria for federal compliance by reviewing and providing a written assessment of all gate review and compliance materials produced by Deloitte in advance of federal gate reviews and post-implementation review activities
- Verify documentation for federal gate reviews and system compliance activities, including a Compliance Validation Report validating that all federal requirements have been met and documented

Table 5 provides summaries of three California IV&V projects, where the First Data Team again delivered services as part of a project of similar size, complexity, and scope. The individual projects were historically separate but are now aligned as the state is currently working in partnership with the federal government to consolidate the existing three consortia



systems and functionality into one single system: California Statewide Automated Welfare System (CalSAWS).

*Table 5 – CalSAWS IV&V Project Details*

<b>California Statewide Automated Welfare System (CalSAWS) IV&amp;V</b>			
Name of Organization/Division or Department	California Welfare Client Data System (WCDS) Consortium	Contact Person Name and Title	Holly Murphy, CalSAWS PMO Director
Contract Value	\$98MM	Contact Person Address	11290 Pyrites Way, Suite 150 Rancho Cordova, CA 95670
Contract Start Date	05/1995	Contact Person Telephone Number	(916) 549-5696
Contract End Date	Present	Contact Person Email Address	murphyh@calsaws.org

**Services Rendered:**

- Federal review support
- IV&V
- Quality management
- Requirements validation
- System and acceptance testing oversight

Project Summary: California provides health and human services benefits to more than 13 million Californians using infrastructure managed at the county level. Counties use one of three software systems, CalWIN, C-IV, or LRS, to handle enrollment and eligibility determinations for several core programs, including CalFresh, CalWORKS, and Medi-Cal. California is the only state to maintain multiple systems for this purpose. The State began the complex process of migrating these three applications into one centralized system, referred to as the California Statewide Automated Welfare System (SAWS) consortia or 'CalSAWS'. CalWIN is an online, real-time computer program that supports the administration of Social Services in California. This includes CalWORKs (TANF), CalFresh (SNAP), Medi-Cal (Medicaid), General Assistance/General Relief, Foster Care, and case management functions for employment services. It facilitates accounting and management reports, interfaces with the California state government, and satisfies the United States federal mandate for SAWS. It is managed by the Welfare Client Data System Consortium joint powers authority (WCDS).

As noted, CalSAWS is intended to support the provision of CalFresh, CalWORKS, Medi-Cal, and other public benefits by 2023. This multi-year undertaking, which will cost more than a billion dollars, offers an unprecedented opportunity to examine the strengths and limitations of the current SAWS in order to optimize the new system to best serve California's most vulnerable individuals and households.

First Data teams have participated in several projects under the CalSAWS "umbrella" including the three projects listed: C-IV (August 1997 – Present), CalWIN (1995 – Present) and LRS (April 2015 – Present) delivery IV&V, along with other services. We describe project descriptions of the three projects along with our IV&V deliverables for each below.

#### **California – CalWORKs Information Network (CalWIN) (July 1995 – Present)**

First Data performed extensive independent assessment and testing tasks to validate software development products prior to their release. The First Data assessment approach was based on the framework of internationally accepted standards organizations like the Institute of Electrical and Electronics Engineers (IEEE) and specifically the IEEE 1012-2016, which is the standard for Software IV&V. This included:

- Performance testing and analysis
- Benchmark testing
- User Acceptance Testing (UAT)
- Regression testing
- System availability assessment
- Requirements assessment and validation
- Software change validation
- Software distribution assessment and validation
- Data conversion assessment and validation
- Application and system security reviews
- Batch processing and scheduling reviews
- Capacity planning assessment
- Operational procedure reviews
- Help desk planning and procedures

#### **Maintenance and Operations Support**

First Data provided QA and IV&V support during the M&O phase. This included:

- Assisting the Consortium with analysis relating to application modifications and enhancements. Reviewing and analyzing the change request impact analyses to determine the viability of the scope, level of effort, resources, schedule, cost, and impact on the project's existing work plan.

- Assisting the Consortium with the change request analysis, evaluating the impact on the contract, and participating as a member of the Change Control Board responsible for assessing the impact of each proposed change.
- Performing independent testing to provide an independent verification of key portions of the software to determine that requirements (functional and technical) have been satisfied, and the system functions as intended.
- Developing UAT Plans, in collaboration with WCDS Project Team, for change releases including the activities of witnessing system tests, development of scripts for testing, and the execution of independent tests.
- Reviewing training materials, release notes, and highlights associated with a software release to validate accuracy and quality of materials including identification of deficiencies and recommendations for improvement.
- Reviewing implemented Change Requests to verify implementation of approved changes. A monthly change management report was provided indicating the status of past and present implemented changes being verified.

#### **California – CalSAWS Consortium, C-IV Project (August 1997 – Present)**

In support of this project, First Data has performed Quality Assurance and IV&V services beginning with the development and implementation phase and continuing through the maintenance and operations phase.

- Conducted formal review of deliverables produced by the development/implementation contractor, Accenture, in accordance with IEEE Standard 1012 for Software Verification and Validation. Examples of C-IV deliverables included:
  - Project management deliverables including Project Control Document, Work Plan, and Issue Assessment
  - Functional and technical requirements validation documents that provided the basis for the C-IV design
  - Detailed program specifications that provided technical direction to programmers and advised the need to be maintained in order to be current with the subsequent code
  - Coded programs, procedures, scripts, and applets that need to adhere to program specifications in an efficient and maintainable manner
  - Test plans, scripts, and results that need to confirm the design and its requirements, while testing discrepancies are effectively cured, successfully re-tested and returned to the proper environment
  - Training plans and products that reflect the users' needs and optimal system operation
  - Conversion plans for 34 existing county systems and data conversion software that had to effectively transfer and close cases from existing systems to the new system without introducing duplicate or conflicting data
- Conducted requirements tracking via a Requirements Traceability Matrix (RTM)
- Conducted software verification code reviews

- Validated software products by conducting independent system testing in accordance with IEEE Standard 1012-1998, software integrity level 4. This included:
  - Decision tree testing of key eligibility determination and benefit calculations
  - “White box” testing of MEDS and the financial interfaces. White box testing builds upon the knowledge of the internal workings of the application to test key or critical possible combinations of data that will exercise each line of code within the program
  - Testing key converted cases
  - Performance testing to independently determine if the C-IV System meets all performance requirements. This included evaluating normal and peak processing conditions
  - Regression testing to verify that any changes made to previously examined software products were adequately re-tested
- Provided User Acceptance Test (UAT) support, including developing the UAT Plan, training Consortium testers, defining test scenarios, monitoring the testing, and assisting with test execution
- Provided ongoing project management assistance
- Conducted formal monthly assessment of the prime vendor’s adherence to 13 defined Service Level Agreements (SLAs) regarding all aspects of C-IV System performance and support.
- Performed independent testing of the approved System Change Requests (SCRs), which, grouped together, comprise the bi-monthly System releases, to verify each SCR meets stated requirements and to provide a basis for the recommendation to proceed with the implementation of each release; additionally, both automated and manual regression testing were conducted for each monthly release

**California – Leader Replacement System (LRS) (April 2015 – Present)**

In support of the LRS Project, First Data has been performing both IV&V and Quality Assurance services. These tasks have included:

- Conducting formal reviews of deliverables produced by Deloitte and Accenture, in accordance with IEEE Standard 1012 for Software Verification and Validation
- Performing independent reviews, analysis, and assessments pertaining to the design and development of the LRS
- Assessing requirements tracking via a Requirements Traceability Matrix (RTM)
- Conducting software verification code reviews
- Validating software products by conducting independent system testing in accordance with IEEE Standard 1012, software integrity level 4
- Providing User Acceptance Test support, including assisting with the development of the UAT Plan, monitoring the testing, and assisting with test execution
- Providing ongoing project management advisory services
- Advising Department of Public Social Services (DPSS) of compliance/technical issues, risk mitigation strategies, and corrective action recommendations

- Advising State of potential problems, recommending corrective actions, and serving as an independent source of information on the status of the LRS Project for the County, the State, and federal stakeholders.
- Monitoring the progress of the LRS project, assessing the compliance of all parties with the terms of the LRS Agreement
- Conducting and attending status meetings and providing bi-weekly status reports indicating the progress of the LRS Project Tasks, specifically addressing schedule discrepancies against the baseline plan
- Performing IV&V services for the LRS Contractor’s System Development Plans, Technical Infrastructure Plan, Network Designs, and Conversion and Archiving Plans, determining compliance against state and federal guidelines

## 1.2 Technical Solution and Scope of Work

The Technical Solution and Scope of Work section provides our response to the following requirements:

- First Data’s Knowledge of the Arkansas DHS SI RFP
- First Data’s Understanding of MEELC and MEET
- Sample Reports

First Data’s solution will comply with the State’s shared Technical Architecture programs policies and standards.

### 1.2.1 First Data’s Knowledge of the Arkansas DHS SI RFP

Technical Solution and Scope of Work	Maximum Available RAW Score
Provide in detail your company’s knowledge of the Arkansas DHS System Integrator (SI) RFP (# SP-17-0012)	5
<p>The First Data Team understands both the historical events leading up to the IEBM procurement and the approach taken by the selected SI, Deloitte Consulting, LLP.</p> <p>First Data functioned as the IV&amp;V vendor for the Arkansas EEF Project. The project goal was to implement a system that included MAGI and Traditional Medicaid, SNAP, TANF, the Medicaid expansion population, and other services and programs as they were identified. First Data’s purpose was to provide an objective assessment of project status, work products, processes, and outputs throughout the implementation life cycle in an environment organizationally free from the influence, guidance, and control of the development effort.</p>	

First Data provided its objective assessments of the Arkansas EEF project while the State, with a variety of vendors, tried unsuccessfully to implement an integrated eligibility and enrollment system encompassing a number of State programs.

A key project event was the release of the initial DDI vendor (EngagePoint) staff from the project as of January 31, 2015 at the direction of the State. eSystems was selected to manage the EEF MAGI Medicaid application starting January 1, 2015. Cognosante was contracted to assess the current PMO and project processes. The project was over budget and significantly off of its original scheduled completion date with no viable project completion date in sight. As a result, the EEF project was paused when the State decided to bring in Gartner Group for an independent assessment of the project due to increased concern by State leadership.

One of the key recommendations of the Gartner 2015 DHS assessment of the EEF Project was to contract with a single vendor to establish an IEBM, which resulted in the issuance of the Arkansas DHS System Integrator (SI) RFP (# SP-17-0012) RFP. This was an astute consideration by DHS because the array of vendors working somewhat independently with competing visions and providing pieces to the EEF solution created challenges to an integrated solution approach throughout its brief project history.

An example of First Data's understanding of the challenges in the EEF project was detailed on page four of the Gartner report to the State date November 10, 2015. We include the relevant excerpt here:

"As of April 2015, the IV&V Status Report completed by First Data, assessed the EEF system development efforts at a Yellow Risk level for several reasons:

- MAGI Medicaid project is facing several data fixes; data loads that were not consumed, outstanding bug fixes and data reconciliation still outstanding along with 'change of circumstances' capabilities
- EEF SNAP project team did not complete the development and testing activities needed for interfaces and reports functionality prior to the pilot date of April 1st
- The EEF Traditional Medicaid project was placed on hold as of April 30, 2015"

A second example of a reported IV&V assessment that "IV&V determined that the defect management process in place on February 28, 2014, was not sufficient. The process could not identify, assess, analyze, document, track, and communicate production issues that arose within the EEF project."

Finally, a third example of an IV&V reported assessment was that "IV&V determined that the process of release management was not effective. As a result unintended code was deployed. IV&V recommended a 72 hour code freeze prior to a release deployment, which was announced as a standard by the project State executive."

With its ARIES Timeline, Deloitte provides an approach where it plans two staggered releases (Release 1 and Release 2) for requirements validation, design, development, test, training, rollout, pilot, statewide rollout, and site support. This work is already underway for

Release 1. It is not known what set of programs are included in either release. Running on a parallel track, Deloitte has assumed Maintenance and Operation (M&O) of the legacy system. Deloitte is also responsible for Release 1 and Release 2 M&O as scheduled with a period of transition of impacted programs at the beginning of each M&O release. Finally, Deloitte includes a warranty period for each respective release beginning as scheduled in the ARIES Timeline.

The following specific programs and services are deemed “in-scope” of the IEBM Solution. Presumably combinations of these programs are split out among the defined releases and perhaps some of the programs are deferred to future as yet unplanned releases:

- Medicaid (traditional and MAGI)
- Children’s Health Insurance Program (CHIP)
- Arkansas Works Program (the private option or employer-sponsored insurance)
- Supplemental Nutrition Assistance Program (SNAP)
- Employment and Training program (E&T)
- Low Income Home Energy Assistance Program (LIHEAP)
- Child Care Development Fund program (CCDF)
- Transitional Assistance to Needy Families (TANF)
- Women Infants and Children (WIC)
- Child Support
- Veterans Services

Deloitte is expected to align its project approach with the following State objectives:

- Migrate to a Person/Family-Centric Model of Practice, supported by a single, streamlined application and a single source of truth for all DHS benefits
- Leverage technology to improve consumer satisfaction, and deliver robust self-service and access to benefits
- Increase access to data and information for clients and staff
- Decrease technology risk and/or costs
- Improve operational efficiency and effectiveness
- Establish an Integrated Platform of reusable components that will decrease Total Cost of Ownership (TCO) and support future needs

## 1.2.2 First Data’s Understanding of MEELC and MEET

Technical Solution and Scope of Work	Maximum Available RAW Score
Describe your company’s understanding of MEELC and MEET (Sec 2.4.B. 1.d)	5
<p><b>First Data MEELC and MEET Project Experience</b></p> <p>First Data has been contracted by numerous states to provide IV&amp;V for their Medicaid Eligibility and Enrollment modernization projects. The States that First Data provided or is currently providing IV&amp;V services for include Arkansas, California, Indiana, Nebraska, and New York. For these engagements, First Data has provided its independent project observations, identification and tracking of project risks and issues, review of checklist evidence, participation in project meetings, and reporting to the State and CMS as indicated in CMS’s Medicaid Eligibility and Enrollment Life Cycle (MEELC). Our IV&amp;V services assist states as they work to streamline and modernize their Eligibility and Enrollment (E&amp;E) systems.</p> <p>Our approach is to collaborate consistently with all stakeholders involved in these projects. We emphasize working together to solve problems rather than surprising our clients in our required project status reporting activities. First Data uses an Evidence Tracker tool, developed in-house, to assist with the evidence collection and assessment process (see section 1.1.3).</p> <p>We have successfully used the First Data Evidence Tracker and associated CEDs for the R1 Initiation and Planning phase of the Nebraska Data Management and Analytics (DMA) project and Electronic Visit Verification (EVV) projects, as well as the currently in-progress R2 Operational Milestone Review phase of the Nebraska DMA project. The Evidence Tracker is also in use with the New York Integrated Eligibility System (IES) project where First Data is the IV&amp;V contractor.</p> <p>First Data has developed a MEELC-based project schedule template that is in use for the New York IES project. We can tailor this schedule template for the Arkansas IEBM project to align with Arkansas project activities and tasks.</p> <p><b>First Data’s MEET and MEELC Knowledge</b></p> <p>The First Data Team brings extensive experience working with states to successfully execute projects with MEET and MEELC. We have navigated the ambiguities in adopting and transitioning to the latest CMS guidance on federally funded state HHS IT projects. We will be with you every step of the process to provide objective and independent reporting on risks and issues to support your project oversight. We can also provide recommendations on communication, remediation, and management tactics to help you see around dark corners in a complex environment. We understand that, in our role as IV&amp;V, it is often our job to speak difficult truths to support the State’s long-term goals.</p>	



The First Data Team brings experience spanning the lifecycle of MEET and MEELC. Our experts have led projects that contributed to the development and release of MEET and MEELC. We have designed and developed reusable tools to enhance and streamline our IV&V tracking and review processes. We have helped our clients understand project risks and issues and integrated feedback into process improvements. In some cases, risks and issues have posed critical threats to project continuation. However, difficult situations are an opportunity for stakeholders to innovate. We bring new ideas grounded in relevant experience and can help frame discussions with CMS. We have helped our clients prepare for milestone reviews and supported our clients during milestone reviews with CMS and responded to CMS questions after milestone reviews. We will stand by you as your trusted advisor to provide objective, independent, and actionable intelligence to help your implementation succeed.

First Data understands that there is more to MEET and MEELC than the text of CMS' published guidance. Ambiguities can arise from the proximity of the project's initiation to the release of updated guidance, a state's system architecture, state program and policy, goals and objectives, and other local differences. We have worked with states to enter live systems into MEELC and to adapt MEELC to project in design or test phases. MEET does not prescribe specific steps for projects in transition like this, but we have learned from experience how to collaborate with state and federal stakeholders to fit MEET to suit the state's projects. We view the Project Partnership Understanding (PPU) as a key tool to help the state manage the ambiguities by serving as a decision log between the state and CMS. We have seen the PPU present value as a concrete reference point during staff and policy changes at CMS and state project changes.

MEET requires interpretation and adaptation because no Medicaid program or system is the same. The functional checklists present an example of First Data's approach to adaptation. One of the first steps in First Data's IV&V methodology is to determine the scope of applicable criteria based on the states programmatic and system features. We have a baseline set of criteria that we have seen previously as applicable to similar systems. We update this list based on what we learn about your state's architecture before we present it to you for feedback. We gather your feedback on the scope and analyze any differences. We then present those differences to you and determine how well each item applies to your project. We can help you craft questions to CMS on remaining items about which there is disagreement on scope. After CMS responds to questions, we document the agreed-upon scope in preliminary versions of the checklist, in our tracking tool, and in the PPU. This forms the basis of the MEET functional checklist reviews for the milestones. The goal is to lock in an assessment scope at the outset for a clear, consistent, and achievable end state.

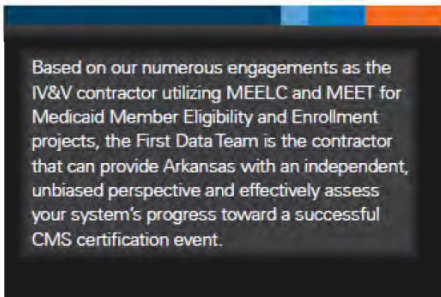
First Data understands that there is more to IV&V than risk management arising from MEET and MEELC. First Data has been on the cutting edge since MEET and MEELC were introduced and has presented a new framework from which we can identify and drive to new value add and improvement opportunities. We work with large states adopting MEET for an upcoming system and with states already in the process of updating a Medicaid E&E system. We also participate in projects and pilots adopting new criteria and even the new outcomes-based model for assessments, currently focused on Electronic Visit Verification. We have

helped states engage with CMS in innovative ways that both advance the state of the art and accommodate specific needs. We look toward the future and offer insights to help you navigate a changing environment to arrive at your destination on time and on budget.

### **IV&V Roles and Responsibilities**

The MEET outlines the roles and responsibilities of each participant in the life cycle process, including the CMS E&E Analyst, the State PMO and contractors, and the IV&V Contractor. Per the MEET, the IV&V Contractor, “provides an independent and unbiased perspective on the progress of E&E development and the integrity and functionality of the system.”

We understand our role, as your IV&V Contractor, is to provide an independent and unbiased



assessment of and recommendations for the development and implementation of the Arkansas IEBM solution. The First Data IV&V Team agrees to follow the current Medicaid Eligibility and Enrollment Life Cycle and complete all IV&V portions of the Medicaid Eligibility and Enrollment Toolkit (MEET Checklists). We will use our independent quality assurance tools and methodologies to perform a technical review and verification of key project

milestones and deliverables to confirm they are well defined, repeatable, and consistent with contract requirements, industry standards, and MEET criteria.

### **Periodic Progress Reports**

As prescribed by MEET, quarterly E&E IV&V Progress Reports should be delivered two weeks prior to a scheduled milestone review. First Data will provide E&E IV&V Progress Reports quarterly. Similar to the progress reports submitted prior to milestone reviews, the quarterly reports illustrate the strengths and weaknesses of the IEBM project and any working modules and provide remedial activities completed since the last Progress Report and an updated risk/issue registry.

First Data's IV&V processes are aligned with the MEELC and MEET checklists, the Project Management Body of Knowledge (PMBOK®), and industry best practices, including IEEE 1012. Our processes support multiple software development life cycles and are adaptable to the State's preferred development methodology.

We are keenly aware of the challenges and complex considerations facing Arkansas and other states in the strategic planning, development, implementation, and operations of large, complex integrated healthcare systems. To meet our clients' needs, we stay abreast of the latest federal guidance through our participation in national committees like Private Sector Technology Group (PSTG), attendance at conferences including the annual MESC, and collaboration with our various state partners.

The MEELC outlines a collaborative interchange between the State and IV&V contractors to prepare for each milestone review. As your IV&V contractor, we assess each portion of the

project’s progress and create an E&E IV&V Progress Report before each milestone review, as well as periodically throughout the IEBM implementation.

For the IV&V portion of the E&E IV&V Progress Report, the First Data Team reviews and provides an objective assessment of project management, artifacts, evidence, and working modules/code applicable to that particular review.

To complete the IV&V and Programmatic Checklist portions of the E&E Progress Report, First Data will:

- Use the most current CMS published version of the report
- Provide an executive-level overview of the project since the last submission of the project’s Progress Report
- Obtain and report the project financial information to monitor the project’s financial health
- Identify current project risks (if there are more risks than the template allows, we add an attachment of additional risks)
- Provide IV&V recommendations that were identified during the reporting period with associated comments/resolutions
- Complete the “IV&V columns” portion of the Programmatic tab with our assessment of each programmatic tab item
- For Milestone Progress Reports, provide our evidence review determinations for all project related Checklist Items
- Perform an internal IV&V quality check of the completed report to provide accuracy and consistency of the report
- Upon completion of the E&E Progress Report, simultaneously send the report to CMS and the State.

**MEET Checklist Items**

The MEET provides checklists to support the certification process, each aligned to a specific Medicaid E&E business function, that describe the business objectives for an Integrated E&E System. As your IV&V Contractor, we will complete the IV&V reviewer portion of the checklist set as determined by the PPU. Although the MEET E&E checklists consist of six standardized checklists that are identical in layout, the State will review the MEET checklist items to determine what is “in scope” for the project and fill out the PPU to outline what checklists will be used for each milestone review. This review will result in one of the checklist item determinations shown in Table 6.

*Table 6 – Checklist Item Determinations*

Scope Indicator	Meaning	Subsection
<b>Yes</b>	Item is applicable to this project/module (this may include items that are partially applicable).	In-Scope Criteria
<b>No</b>	Item is not applicable to the State Medicaid Program.	Out-of-Scope Criteria

N/A	Item is applicable to the State Medicaid Program, however, not applicable to the project/module.	Not Applicable Criteria
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We include a Compliance Statement as the first portion of the checklist evidence gathering process to provide an explanation of how the evidence provided proves compliance with the checklist criterion. The content of the Compliance Statement is also determined by the scope indicator, as shown in Table 7.

*Table 7 – Compliance Scope Indicators*

Scope Indicator	Compliance Statement
<b>Yes</b>	Compliance Statement should indicate <b>how</b> the evidence provided proves Compliance with the System Review Criterion.
<b>No</b>	Compliance Statement should indicate the item is not applicable to the State Medicaid Program.
<b>N/A</b>	Compliance Statement should indicate <b>where</b> in the State Medicaid Program the item is applicable (specifies current and/or future projects/modules).

In addition to the Compliance Statement, the State’s supporting evidence is provided for those items with a Scope Indicator of “Yes”. The evidence provided will originate from many sources. The appropriate protocol to follow for review assessment is determined based upon the scope indicator selected by the State.

**Critical Success Factors**

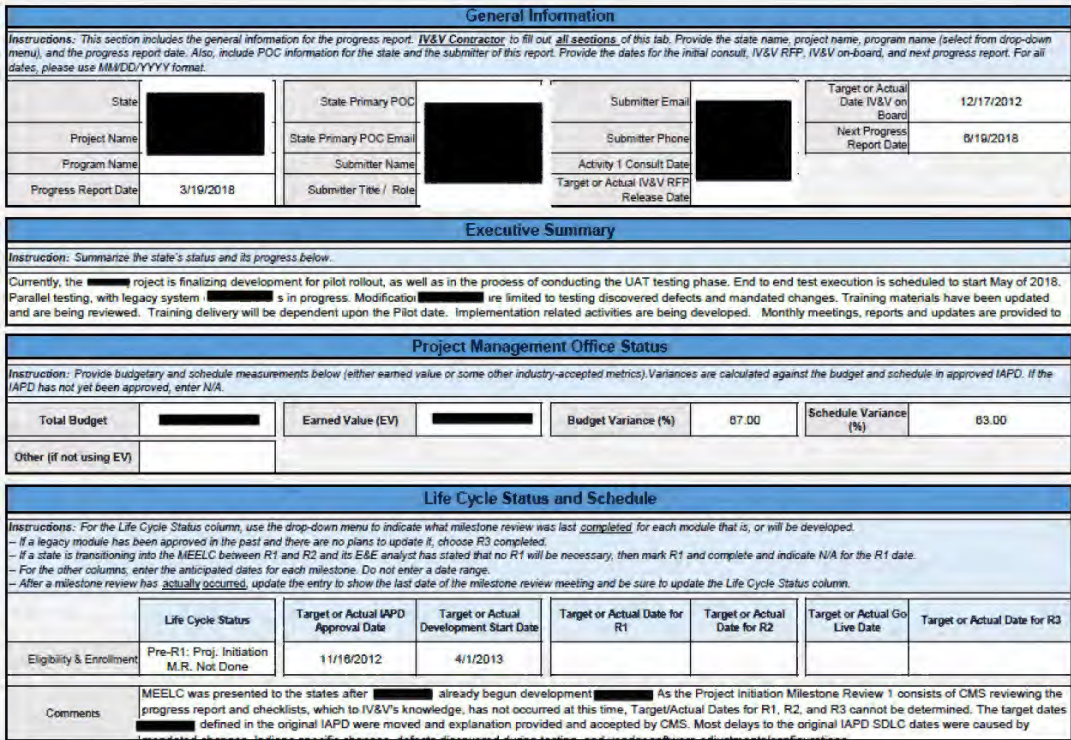
While E&E systems have not been previously required to be “certified” like MMIS, E&E systems have been required to be assessed according to Critical Success Factors (CSF). CMS has tied updated CSFs to the checklists, which have many similarities to the MMIS checklists. This has created a MEET assessment process that parallels the Medicaid Enterprise Certification Lifecycle. This is important for the legislative authority for requiring MEET. Functionally though, CSFs simply roll up sets of criteria, which are the real unit of observation in IV&V assessments of the checklists. These are “functional critical success factors” CMS has determined to be critical to the overall success to an E&E system. During the Requirements, Design, and Development phase, CMS will evaluate each state for compliance with these requirements, including confirming the mapping between these requirements and where they are addressed in artifact documentation is complete. First Data will support you through the use of our evidence tracker to document all of these components have been incorporated into the Medicaid E&E Life Cycle and criteria.

## 1.2.3 Sample Reports

This section includes samples of reports that will be provided by the First Data Team.

- Sample CMS Quarterly Reports
- Sample IV&V Assessment Reports
- Sample Risk Report and Issue Log

### 1.2.3.1 Sample CMS Quarterly Reports

<b>Technical Solution and Scope of Work</b>	<b>Maximum Available RAW Score</b>
Provide two (2) sample reports of the CMS Quarterly Report. (Sec 2.4.M)	5
<p>The following sample reports provide general information that will be provided quarterly throughout the IV&amp;V project engagement. The report includes a general information overview, a summary of the project progress/status, budget, and schedule metrics, lifecycle status and schedule, and risks and issues. The sample reports as shown in Figure 1 through Figure 10 are CMS reports that will deliver the overall IV&amp;V assessment of project status, findings (including risk and issues), critical incidents, opportunities, schedule updates, completed activities, upcoming activities, and required corrective actions/mitigations.</p>	
	

**Figure 1 – Sample CMS Quarterly Report (1)**



MEET 1.0		Programmatic			
Security	TA.SP.64	The system of interest conducts user authentication using public key infrastructure in conformance with MITA Framework, industry standards, and other nationally recognized standards.	2/7/2018		Met
Security	TA.SP.65	For the system of interest's use of Public Key Infrastructure (PKI), the solution follows standard practices such as the use of accepted certification authorities, documented Certificate Policy (CP), and Certification Practice Statement (CPS), which includes key escrow strategy. The System of Interest's PKI implementation uses foundational technical standards such as X.509 Certificate format and Public Key Cryptography Standard (PKCS).	2/7/2018		Met
Security	TA.SP.75	The system of interest employs malicious code protection mechanisms at IT system information system entry and exit points and at workstations, servers, or mobile computing devices on the network to detect and eradicate malicious code. The system of interest utilizes network scanning tools, intrusion detection and prevention systems, and end-point protections such as firewalls and host-based intrusion detection systems to identify and prevent the use of prohibited functions, ports, protocols, and services.	2/7/2018		Met
Security	TA.SP.73	The system allows only authorized staff members to do manual deletes and overrides of alerts/edits.	2/13/2018		Met

Figure 4 – Sample CMS Quarterly Report (1c)

IES\_Program\_MEEF\_Quarterly\_Report\_Q1\_2019

MEET 1.1

General Information							
<i>Instructions: This section includes the general information for the progress report. IV&amp;V contractor is to fill out all sections of this IV&amp;V tab. Please ensure information provided here matches with the Project Partnership Understanding (PPU). For all dates, please use MM/DD/YYYYY format.</i>							
State/Territory		State Primary POC		Submitter Email	Keith.Horton@firstdata.com	PPU Completed & Sent to CMS?	Yes
Project Name		State Primary POC Email		Submitter Phone	404-202-8224	Date PPU Sent to CMS	1/7/2019
Program Name	E&E	Submitter Name	Keith Horton	Submitter Company Name	First Data	Date IV&V on Board	10/1/2018
Progress Report Date	2/11/2019	Submitter Title / Role	IV&V Delivery Director			Next Progress Report Date	4/11/2019
Select Report Type	Quarterly Report						
Summary of Project Progress and Status							
<i>Instructions: Briefly summarize the state's status and its progress. The summary should cover entire project, not just the modules and/or phases which are planned to be reviewed during a milestone review.</i>							
<p>On October 22, 2018, [redacted] submitted an Implementation Advance Planning Document Update (IAPDU) to the Centers for Medicare and Medicaid Services (CMS) and the US Department of Agriculture (FNS) to receive Federal Financial Participation (FFP) to support the design, development and implementation of an Integrated Eligibility System (IES). The IAPDU was an update to the state's IAPD, approved on March 6, 2017, to develop a modular, enterprise Integrated Eligibility solution that will meet the mission, vision and business objectives to transform health and human service delivery and provide a no-wrong-door customer experience for [redacted]. Data began as the Independent Verification and Validation contractor for the IES Program on October 1, 2018. As the first IV&amp;V Progress Report, this document will reflect the program's quarterly progress from October 1, 2018 through December 31, 2018.</p> <p><b>Program Progress</b> During this reporting period, the IES Program was in the Planning Phase of the IES Roadmap and performed the following activities:</p> <p><b>Procurements:</b></p> <ul style="list-style-type: none"> <li>Staff Augmentation Procurement - The Staff Augmentation Hourly Based Information Technology Services (HBIT) procurement was released for responses on November 7, 2018. The procurement seeks qualified resources for the IES Program. During this quarter, one key IES Program Staff member, the Technical Deputy Director was hired and onboarded to the IES Program.</li> <li>IES Innovation Landscape Request for Information (RFI) - An IES Innovation Landscape Request for Information (RFI) was released prior to Q1 2019. Vendor demonstrations were held in November, 2018.</li> <li>Business Advisory Services - Draft Business Advisory Services Tier II Assignments to assist in drafting and updating future APDs and provide ongoing advisory services to the state was sent to CMS and FMS on November 5, 2018.</li> <li>Backdrop Master Service Agreement for a System Integrator - Review of a draft Master Service Agreement for a System Integrator occurred during this reporting period. This procurement is expected to be released Spring 2019.</li> </ul> <p><b>Project Management Office:</b> The IES Program will establish a Project Management Office (PMO) to provide project leadership and ensure the proper execution of the IES Program. In addition, needed resources, deliverables, priorities, and timelines will be established.</p>							
Budget & Schedule Metrics							
<i>Instructions: Provide budgetary and schedule measurements below.</i>							
<p>- Earned Value metrics are the CMS-oriented metrics for budget and schedule. If the state uses Earned Value metrics, enter the information in row #23 for entire project.</p> <p>- However, if the state does not use Earned Value metrics, please enter the metrics the state does use (not every row needs to be filled), variance against the state's expected or target value for each, and the most recent measurement for each state metric (rows # 27 and below).</p> <p>- For each state metric listed, indicate whether that metric is for modules and/or phases of project as a whole.</p> <p>- States are encouraged to discuss with their E&amp;E analysts which metrics they intend to track so that the IV&amp;V contractor can report them here.</p> <p>- Example industry metrics are shown for reference.</p>							
Total Budget	\$88,803,510	Earned Value (EV)		Cost Variance (%)		Schedule Variance (%)	

Figure 5 – Sample CMS Quarterly Report (2)

IES\_Program\_MBEI\_Quarterly\_Report\_Q1\_2019

MBS1.1

Example Metrics for Considerations	Name of State Metric	Value	Variance Against Expected or Target Value	Name of the Applicable Module and/or Phase / E&E Project
Planned value				
Actual cost				
Return on investment				
Cost performance index				
Cost of managing processes				
Planned hours of work vs actual				
Overdue project tasks				
Schedule performance index				
Percentage of missed milestones				
Percentage of tasks complete				

**Comments:** The total budget for FFY 2019 based on the IAPDU submitted to CMS for review is [REDACTED]. The estimated total gross costs for Q1, 2019 [REDACTED]. Actuals for Q1, 2019 and estimates for Q2-Q4, 2019 will be provided in their associated quarterly reports. No earned value has occurred since the IES Program is in the pre-planning phases. The State will provide additional budgetary information after planning has been completed.

**Life Cycle Status and Schedule**

**Instructions:** This section aids CMS in planning milestone reviews. Dates are understood to be approximate and should be updated in future quarterly reports as state schedules become more refined. Start by selecting a Life Cycle Status from the drop-down menu.  
 - If you select Life Cycle Status as "No plans for development" then the R1, R2, R3 date cells will become gray and you do not need to fill out any dates.  
 - If a state is transitioning into a late phase of the MEELC and its CMS E&E analyst has stated that a particular milestone will not be necessary, then select the status dropdown that indicates that milestone as completed and leave the date column for that milestone review and any reviews leading up to that review blank. For example, if the CMS analyst has said that R1 and R2 are not necessary, select "R2: Operational M.R. Completed" and leave the R1 and R2 date cells blank. The anticipated R3 date should be filled in.  
 - For all other cases, use the drop-down menu to indicate the current status of the module and/or phase. Enter the anticipated or actual dates for each milestone, including future milestone reviews. Do not enter a date range. For all dates, please use MM/DD/YYYY.  
 - After a milestone review has actually occurred, be sure to update the entry to reflect the last date of the milestone review (as it may have changed from the anticipated date) and update the Life Cycle Status dropdown selection.

	Life Cycle Status	Target or Actual IAPDU Approval Date	Target or Actual Development Start Date	Target or Actual Date for R1	Target or Actual Date for R2	Target or Actual Go-Live Date	Target or Actual Date for R3
Eligibility & Enrollment	Pre-R1 Proj. Initiation M.R. Not Done	3/6/2017	10/2/2017	7/1/2019	7/1/2020		

**Comments:**  
 On October 22, 2018, [REDACTED] submitted an IAPDU to CMS and FNS for review. The Project Partnership Understanding (PPU) was under development in Q1 and was submitted to CMS and FNS during Q2. Neither document has received federal approval to date. The PPU under review includes the following tentative dates:  
 FFY 2019 - Quarter 4, Project Initiation Milestone Review 1 (R1) - State Goals and Objectives, MITA Self-Assessment, Project Management Plan, Concept of Operations  
 FFY 2020 - Quarter 4, Operational Milestone Review (R2) - Shared Services  
 FFY2022 - Quarter 2, Operational Milestone Review (R2) - Medicaid, Fair Hearings (Phase 1 Pilot), Reports and Analytics (Phase 1 Pilot), Financial Management (Phase 1 Pilot)  
 FFY2023 - Quarter 4, Operational Milestone Review (R2) - Fair Hearings (Phase 2 Pilot), Reports and Analytics (Phase 2 Pilot), Financial Management (Phase 2 Pilot)  
 Post FFY 2024 - Post Operational Milestone Review (R3), All Activities  
 \*Please note: The Eligibility and Enrollment Life Cycle Target Dates are in alignment with the Project Partnership Understanding (PPU) document, pg 6-7, Section 2.1 Project Milestone Reviews Schedule continued and based on the Federal Fiscal Year Calendars for 2018 and 2019. The date for the Operational Milestone Review (R2) for Shared Services is reflected in the "Target or Actual Date for R2" cell on line 43. The date for the Medicaid, Fair Hearings (Phase 1 Pilot), Reports and Analytics (Phase 1 Pilot), Financial Management (Phase 1 Pilot) is January 3, 2022. The

**Figure 6 – Sample CMS Quarterly Report (2a)**



IES\_Program\_MBEIT\_Quarterly\_Report\_Q1\_2019

MBEIT 1.1

Recommendations				
Instructions: List programmatic or technical recommendations for the state regarding the overall project and/or any module in any phase of planning, development, deployment or operation. Recommendations can be based on cost, schedule, technical, risk, or other factors. (Due to Excel limitations, text boxes may not expand when filled with data beyond the size of the cell. Data will be captured even if not completely visible.)				
Recommendation #	Date of Recommendation	Recommendation	Resolved?	Comments / Resolution
Issue #1	10/16/2018	The IES Program is a large and complex endeavor requiring dedicated staff.	No	FNS approved the Staff Augmentation services but it is pending CMS approval. The IES Program is pending the internal state approval for the Business Advisory RFP.
Issue #2	12/4/2018	Defects found in the QA environment have impacted the UAT schedule. This delay will	No	
Issue #3	12/28/2018	Delayed or inconsistent support from parent agency has negatively impacted the schedule	No	
October 2018 Monthly Report	10/31/2018		No	
October 2018 Monthly Report	10/31/2018		Yes	
October 2018 Monthly Report	10/31/2018		Yes	
October 2018 Monthly Report	10/31/2018		Yes	
October 2018 Monthly Report	10/31/2018		Yes	
November 2018 Monthly Report	11/30/2018		Yes	
November 2018 Monthly Report	11/30/2018		Yes	
December 2018 Monthly Report	12/31/2018		Yes	
December 2018 Monthly Report	12/31/2018		Yes	

Figure 7 – Sample CMS Quarterly Report (2b)

IES\_Program\_MBEIT\_Quarterly\_Report\_Q1\_2019

MBEIT 1.1

Risks							
Instructions: List important programmatic or technical risks across the entire project, not just for modules and/or phases to be reviewed during the next milestone review. Use a unique Risk ID and provide the risk title and a description, being sure to indicate if it is a project or module level risk. For previously reported risks, use the same Risk ID, title, and description and update the remaining fields. Pick appropriate values from the probability (1 = Not Likely to 5 = Nearly Certain) and impact (1 = Minimal to 5 = Severe) drop-down menus. Based on your selection, the risk score will be calculated automatically. Provide the resolution date in the Target or Actual Resolution Date column (MM/DD/YYYY format). Provide the mitigation plan information (include details) and its status in the Mitigation Plan and Status column. (Due to Excel limitations, text boxes may not expand when filled with data beyond the size of the cell. Data will be captured even if not completely visible.)							
Risk ID #	Risk Title	Description	Probability	Impact	Risk Score	Target or Actual Resolution Date	Mitigation Plan & Status
4			4	4	16	3/31/2019	Finalize any discussions of the requirements or scope of
5			3	3	9	1/31/2019	Develop a workflow that clearly defines the defect
6			3	3	9	4/1/2019	Develop project and system design documents for a more
7			4	5	20	3/1/2019	I&V recommends Integrating Operational
8			3	5	15	2/15/2019	I&V recommends establishing clear and
9			3	5	15	3/1/2019	I&V recommends including the ADM release process in

Figure 8 – Sample CMS Quarterly Report (2c)

IES\_Programs\_MEEI\_Quarterly\_Report\_Q1\_2019

MEET 11

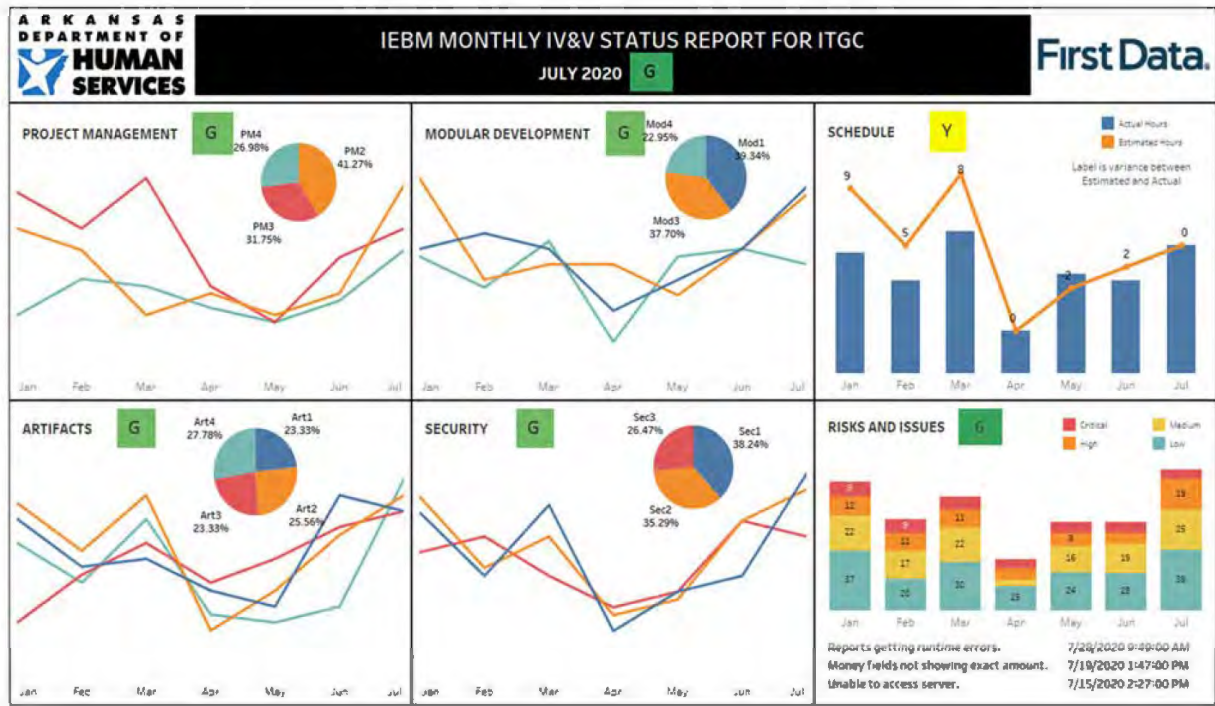
Recommendations				
<i>Instructions: List programmatic or technical recommendations for the state regarding the overall project and/or any module in any status of planning, development, deployment or operation. Recommendations can be based on cost, schedule, technical, risk, or other factors. (Due to Excel limitations, text boxes may not expand when filled with data beyond the size of the cell. Data will be captured even if not completely visible.)</i>				
Recommendation #	Date of Recommendation	Recommendation	Resolved?	Comments / Resolution
Issue #1	10/18/2018	The IES Program is a large and complex endeavor requiring dedicated staff.	No	INS approved the Staff Augmentation services but it is pending CMS approval. The IES Program is pending the internal state approval for the Business Advisory RFP.
Issue #2	12/4/2018	Defects found in the QA environment have impacted the UAT schedule. This delay will be delayed or inconsistent support from parent agency has negatively impacted the schedule.	No	
Issue #3	12/28/2018		No	
October 2018 Monthly Report	10/31/2018		No	
October 2018 Monthly Report	10/31/2018		Yes	
October 2018 Monthly Report	10/31/2018		Yes	
October 2018 Monthly Report	10/31/2018		Yes	
October 2018 Monthly Report	10/31/2018		Yes	
November 2018 Monthly Report	11/30/2018		Yes	
November 2018 Monthly Report	11/30/2018		Yes	
December 2018 Monthly Report	12/31/2018		Yes	
December 2018 Monthly Report	12/31/2018		Yes	

Figure 9 – Sample CMS Quarterly Report (2d)

Programmatic Checklist						
<i>Instructions: Review the state's compliance with each criterion and complete the IV&amp;V columns. For all dates, please use MM/DD/YYYY format. If "Not Assessed" is selected from the Reviewer Assessment column, give a justification for this in the Reviewer Comments column. Due to Excel limitations, text box may not expand when filled with data beyond the size of the cell. Data will be captured even if not completely visible. If you need to review all data in a cell, double click the cell and use the down arrow from your keyboard to navigate.</i>						
Category	Ref #	Review Criteria	IV&V Columns			
			Review Date	Reviewer Name	Reviewer Assessment	Reviewer Comments
Governance	S&C,MS,19	The state uses an SDLC.	1/29/2019		Partially Meets	(scope and word topics) it has a defined state standard for a Secure System Development Lifecycle
Governance	S&C,MC,1	State Medicaid Agency (SMA) develops its MITA Roadmap and uses a completed MITA S&A for evaluation of its As-is and identification of its To-Be capabilities for Business, Information, and Technical Architectures and the Standards and Conditions for Medicaid IT.	1/31/2018		Meets	
Governance	IA,OMS,1	The SMA demonstrates adoption of governance process and structure to promote trusted data governance, data stewards, data owners, data policy, and controls redundancy within the intrastate.	1/31/2019		Meets	
Governance	IA,DS,3	The SMA documents information exchanges in trading partner agreements as specified in 45 CFR 162.915.	2/6/2019		Not Assessed	
Outreach & Support	S&C,BRC,2	The SMA communicates effectively with providers, members, and the public.	1/31/2019		Partially Meets	
Outreach & Support	S&C,BRC,9	The system of interest utilizes web-based person-centric system for outreach where providers, applicants, and members provide feedback and assessment of accessibility, ease of use, and appropriateness of decisions.	1/31/2019		Partially Meets	
Outreach & Support	S&C,RC,3	The SMA demonstrates it provides timely information transaction processing, and ensures high availability and quick response to customer requests.	1/31/2019		Not Assessed	
Outreach & Support	S&C,RC,4	The SMA provides system decision logic and coding used by eligibility to the public.	1/31/2019		Not Assessed	
Outreach & Support	TA,FR,5	The system of interest provides online assistance to users to support effective use of data query, data analysis, and report formatting capabilities.	1/31/2019		Not Assessed	
Outreach & Support	TA,LG,3	The system of interest provides services that manage the delivery of event messages to several business services and people / roles / contexts interested in a condition and change of behavior of interest.	1/31/2019		Partially Meets	

Figure 10 – Sample CMS Quarterly Report (2e)

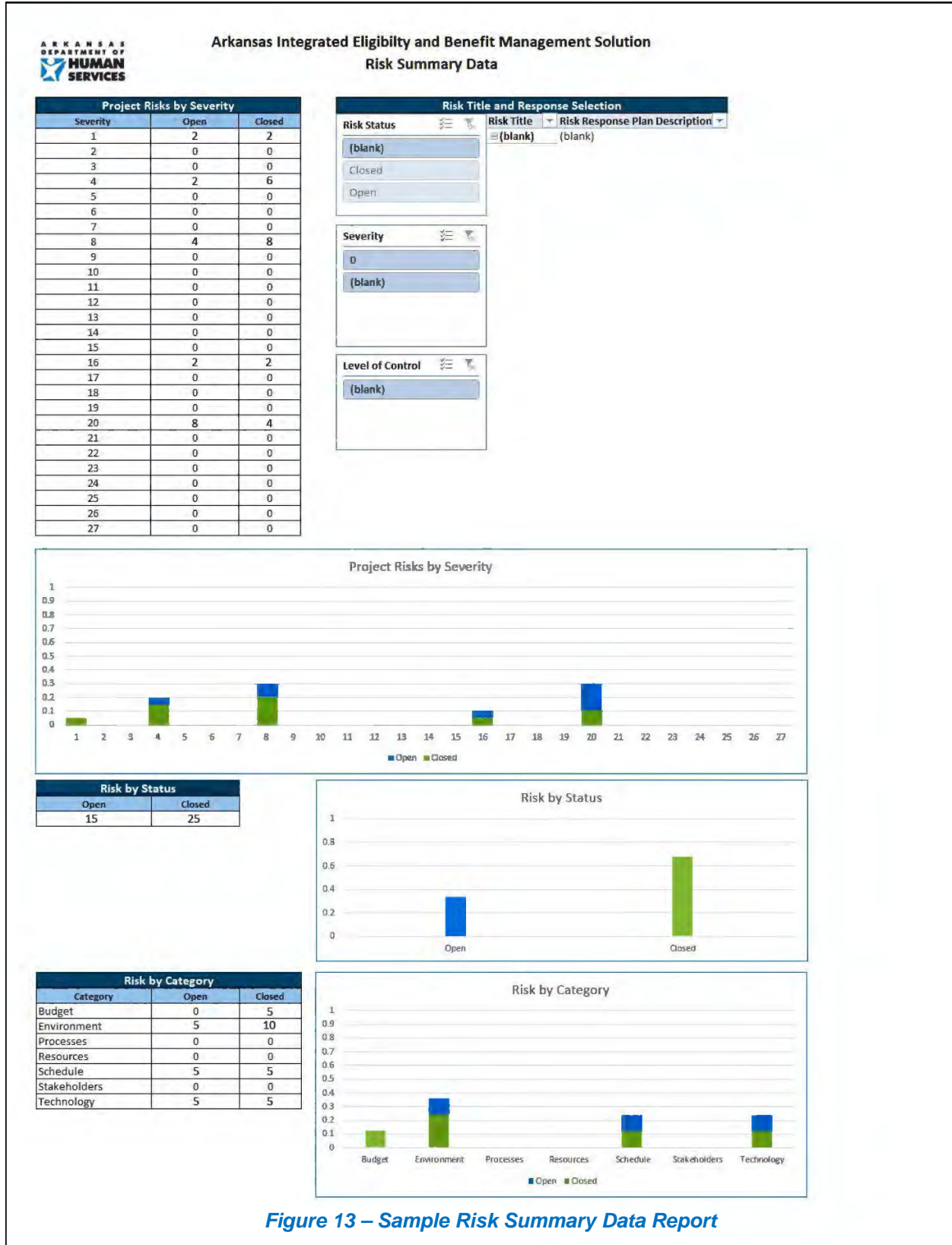
Technical Solution and Scope of Work	Maximum Available RAW Score
<p>Provide two (2) sample IV&amp;V assessment reports</p> <p>First Data has included sample IV&amp;V assessment reports in the “Other Documents/Information Required in the Bid Solicitation” section of our technical response packet to accommodate their size. Below are examples of the IV&amp;V summary assessments that would be provided at the Executive level.</p>	5



**Figure 11 – Sample IV&V Status Report**

The sample report in Figure 11 is an IEBS Solution IV&V Status Report for Information Technology Governance Committee (ITGC). This report is also included in the monthly assessment. The First Data IV&V Team will deliver a dashboard that presents overall project status, findings (including risk and issues), critical incidents, opportunities, schedule updates, completed activities, upcoming activities, and required corrective actions/mitigations.





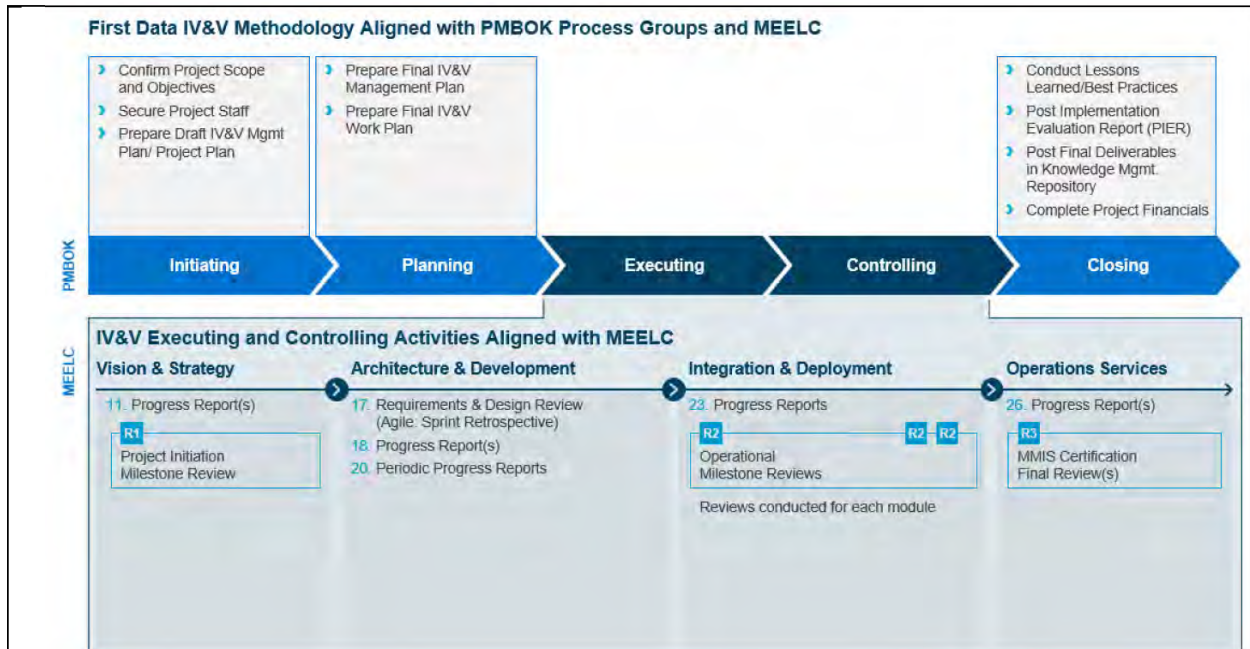
**Figure 13 – Sample Risk Summary Data Report**

## 1.2.4 Approach to Meeting Project Requirements Defined in Scope of Work

<b>Technical Solution and Scope of Work</b>	<b>Maximum Available RAW Score</b>
Describe your company’s overall approach to meeting the project requirements described in the Scope of Work for this RFP (Sec. 2.4.A-Q)	5
<p>The First Data overall approach to meeting the DHS IEBM IV&amp;V project requirements described in the Scope Work (RFP Sections 2.4 A-Q) is to provide effective and efficient professional oversight industry practices. We have compiled an experienced First Data Team to execute all tasks and activities as part of the IV&amp;V for IEBM scope of work and have been described in sections A through Q in Proposal Sections 1.2.4.1 through 1.2.4.17 below.</p>	

### 1.2.4.1 Develop an Initial IV&V Project Plan (A)

<p>First Data will provide an IV&amp;V project plan for Arkansas DHS approval in a format acceptable to DHS. The First Data Team will perform services and produce the required IV&amp;V deliverables by the due dates presented in the DHS-approved IV&amp;V project plan. The initial First Data IV&amp;V project plan will be delivered within 30 calendar days of the contract’s actual start date to allow the outgoing IV&amp;V vendor sufficient time to review and provide feedback.</p> <p>The IV&amp;V Team will work closely with DHS to integrate the IV&amp;V schedule with the IEBM Master Project schedule. The initial First Data IV&amp;V project plan will identify the staffing resources First Data will assign to each project work item and the estimated completion date for each item, and indicate any dependencies (predecessor or successor tasks) associated with each item. Updates to the IV&amp;V schedule will be captured weekly to reflect the current status of IV&amp;V activities. First Data understands and agrees to adhere to the approved IV&amp;V scheduled dates.</p> <p>Figure 14 illustrates a simplified view of how the key elements of standards, development life cycles, and IV&amp;V activities are planned to work as a whole. The following pages detail how the First Data Team will weave these activities into a comprehensive whole to guide and support the DHS IEBM Project successfully.</p>
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**Figure 14 – First Data IV&V/QA Methodology Aligned with PMBOK Process Groups**

As a national leader in providing QA and IV&V services to state health and human services agencies, First Data brings a proven, disciplined approach to the IV&V Services for the IEBM Project. We base our approach on industry standards, including the IEEE 1012 Standard for System and Software Verification and Validation and the PMI’s PMBOK®.

As an IV&V Vendor whose proven processes and best practices scale to the enterprise level, we recognize your dynamic environment must be reflected in our methodology and approach so that DHS does not sacrifice quality in order to achieve your project schedule. We accomplish this by working with you and your partners in a team environment to help support a high-quality product without bottlenecks. By integrating IV&V processes throughout the life cycle, rather than reviewing the results after completion of deliverables, we are able to save time and effort by reducing the need for extensive rework.

First Data will review work products and deliverables that are the outcomes of design, development, and implementation activities to verify that DHS, CMS, and FNS requirements are met. With this understanding, First Data is able to provide recommendations aimed at enhancing the overall quality and robustness of the deliverables to meet project goals. We also focus on identifying risks early and establishing response plans so that when issues do arise, the project can continue moving forward. In this approach, we measure our success as an IV&V partner not by the number of deficiencies we identify, but by the successful attainment of goals of the projects we support.

First Data’s IV&V processes are aligned with the MEELC and MECT checklists, as well as the PMBOK® life cycle. These processes support multiple software development life cycles and are adaptable to Agile methodologies, scaled Agile methodologies, iterative development methodologies, and Waterfall methodologies.

We organize our work around each project phase, making sure the processes are:

- Clearly defined and well documented
- Understood by all appropriate personnel
- Supported and enforced by the DHS Project leadership through both rule and culture

The purpose of an initial IV&V Plan is to provide a comprehensive baseline of the activities that the IV&V Team will plan, define, execute, and manage throughout the IEBM project engagement. In addition, the IV&V Team will review work products and deliverables that are outcomes of design, development, and implementation activities to verify that the SI and other related vendors are meeting state and federal requirements. Armed with this knowledge, we will provide recommendations aimed at enhancing the overall quality and robustness of the deliverables to meet project goals upon discovery. To accurately measure progress and adherence to timeframes, the IV&V Team will analyze work plans, schedules, test plans, and test results to determine project schedule variances.

During the project initiation and planning phase, this IV&V Project Plan is considered a living document that will evolve as the project progresses based on an approved time intervals.

***First Data’s Standards***

Table 8 explains how First Data incorporates several industry standards into the development of its IV&V methodology as well as the day-to-day management of each of our projects.

***Table 8 – Industry Standards in the First Data Project Management Approach***

Standard	Purpose and Benefit
PMBOK® 6th edition	<p>The PMI is project management’s leading global professional association and, as such, it administers a recognized, rigorous, and proven project management methodology.</p> <p>The PMBOK® guides our IV&amp;V teams to properly evaluate and assess the management of the IEBM project, and it also guides how First Data manages the control and delivery of our own services.</p>
IEEE	<p>The IEEE was created to help advance global engineering processes and to foster technological innovation.</p> <p>Many standards from IEEE impact the project lifecycle, but IEEE 1012 is a primary guide to First Data’s IV&amp;V methodology.</p>
CMMI	<p>The Capability Maturity Model Integration (CMMI) was created by Carnegie Mellon University to provide process improvement and integrate traditionally separate organizational functions, set process improvement goals and priorities, provide guidance for quality processes, and provide a point of reference for appraising current processes.</p> <p>First Data quality practices incorporate maturity targets as we conduct related quality assurance activities as part of our IV&amp;V Services.</p>



ITIL	<p>The Information Technology Infrastructure Library (ITIL) was developed to standardize IT development and operational services, which includes multiples IT practices and comprehensive checklists, tasks and procedures.</p> <p>First Data uses the ITIL guides and practices to review and assess the Service Management plans for our clients.</p>
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First Data brings a proven, disciplined approach to the IV&V services required in support of the IEBM Project. Our Medicaid IV&V Framework is based on years of development and lessons learned in our Centers of Excellence (CoE). First Data continues to develop enhancements and additional tools integrated with our previous best practices that specifically address the CMS and requirements of the MEET, MECL, MECT, and the extension of the critical success factors for the project used to identify gaps in integration requirements, transition plans, and enterprise program governance, and testing.

**1.2.4.1.1            *Initiation and Planning Phases***

The initiating and planning phases include the set of processes, procedures, and plans involved in creating and maintaining a structure to accomplish the objectives of the project. There are fundamental items that should be clearly agreed upon at the beginning of a project and which affect the ability for the project to be successful.

The Project Management Plan (PMP) and Project Schedule are the foundation of any project to which all other deliverables are managed. First Data tailors the PMP specifically to document in our IV&V Management Plan the completion of these items and other key processes that occur during the Initiating and Planning Project Phases. The goal of the Initiation and Project Startup phase is to create and maintain a structure to accomplish the IEBM Project objectives and prepare the First Data Team in commencing project tasks.

The main objectives of this phase are to confirm key project and IV&V objectives and prepare a draft IV&V Management Plan and IV&V Project Plan (WBS in Microsoft Project).

The First Data Team will move quickly to understand the current DHS expectations as well as the business and technology landscape. We use the Project Kick-Off Meeting as an opportunity for the project team members to understand the current business objectives and project milestones so that all team members have a common understanding of the goals for DHS Project IV&V activities. First Data Project Kick-Off meetings focus on the following areas:

- **Project Charter:** includes an overview of the project scope, definition and objectives, identification of the project stakeholders, identification of the project management, clarification of team member roles and responsibilities, and a review of the general schedule and activities, including:
  - Deliverable definition and scope
  - Reporting Lines and mechanisms
  - Governance and decision making

- **Project Management Plan (PMP):** provides the management framework for the project and documents First Data’s approach to project management. As with any project of this size and complexity, the initial PMP is developed as the processes, procedures, and standards are defined and is continually refined and enhanced as the project progresses.
- **Project Schedule:** includes an overview of all the tasks needed to complete the project from project initiation to project closure. We use Microsoft Project to create the IV&V Project work schedule.
- **Risk Analysis:** includes an assessment of the potential risks to the project, identification of factors that may jeopardize the project’s success, and development of risk mitigation strategies and corrective and preventive action plans, as appropriate.
- **Operational Rules:** protocols and logistics for the project. These rules includes:
  - Deliverable review process and timelines
  - Communications protocols to confirm that information is properly distributed among project stakeholders
  - Location of activities

Also during project initiation, First Data will prepare a Deliverable Expectation Document (DED) to address the Monthly IV&V Assessment report. The intent of DEDs is to allow DHS sufficient opportunities to provide informal deliverable feedback to First Data throughout work delivery to reduce any risks (“surprises”) when IV&V deliverables are submitted for formal review. The purpose of DEDs is not to establish deliverable acceptance criteria, but to set minimum relevant standards and requirements prior to actual creation of the work product.

#### **1.2.4.1.2 Executing Phase**

First Data brings a proven, disciplined approach to the IV&V services required in support of the IEBM Project. Our Medicaid IV&V Framework is based on years of development and lessons learned that we store in our CoE. In addition, First Data continues to develop enhancements and additional tools integrated with our previous best practices that specifically address the CMS requirements of the MECL, MECT, and the extension of the critical success factors for the Medicaid modular approach to Medicaid Enterprise Solutions (MES) used to identify gaps in integration requirements, transition plans, and enterprise program governance.

It is at this step in the process that the document repository is set up for all IV&V work products produced during the contract. The IV&V repository will include reliable version control and allow for efficient records retrieval to the DHS staff and the initial assessments of data conversion plans, procedures, and software for each program that is migrating to IEBM.

#### **1.2.4.1.3 Monitoring and Controlling Phase**

During the monitoring and controlling phase, First Data verifies that project objectives are met by monitoring and measuring progress and recommending corrective action as necessary. We apply consistent assessment and monitoring processes throughout planning, design, development, and implementation.

First Data will review the DDI vendor's test plans and confirm they are in alignment with both USDA Handbook 901 and CMS requirements and that all testing artifacts are maintained in a manner that the IV&V Team and oversight agencies can readily verify and validate test outcomes.

We will monitor progress of our tasks and deliverables, and assess the progress and performance of the IEBM Suppliers and adherence to the overall schedule and budget.

First Data will monitor and assess IEBM project management activities in the following areas:

- Progress against budget and schedule
- Risk management
- Inclusion of state goals/objectives and all federal Eligibility and Enrollment (E&E) requirements in requests for proposal and contracts
- Adherence to the State's SDLC
- Incorporation of the standards and conditions for Medicaid IT into design and development
- Reasonability, thoroughness, and quality of MITA self-assessment, concept of operations, information architecture, and data architecture
- Reflection of the State's MITA goals and plans into the IEBM design and development
- Configuration management that is robust and includes state or developer configuration audits against configuration baseline
- Change management
- Adherence to service level agreements

#### **1.2.4.1.4 Closing Phase**

The closing phase includes the activities conducted at the end of a project to transition resources back to their normal duties and the activities required to end the phase or project in an orderly manner. The First Data Team will assist DHS in verifying that all deliverables meet the requirements and the products have been tested. We assess and report that the system and DHS are ready for operational readiness. As part of project closeout, First Data reviews all previous tasks and deliverables to confirm all project work has been completed as contractually required, and that the project has met all project objectives. Once we have verified all objectives have been met, we take on two important final tasks: Knowledge Transfer and Lessons Learned.

Providing Lessons Learned and releasing resources to pursue other projects are key benefits resulting from this phase. While knowledge transfer starts well before the project closeout phase, it is completed and verified at this point. A deliberate and consistent knowledge transfer practice implemented at the earliest stages of the project will enhance productivity and the success of the project. The First Data Team works proactively with the customer to develop an effective and appropriate approach for knowledge transfer.

### 1.2.4.2 Knowledge of DHS Functional Requirements (B)

First Data will demonstrate its knowledge of DHS functional requirements during a formal presentation to Arkansas DHS.

First Data will make a formal presentation to AR DHS summarizing Key Personnel’s understanding of the topics addressed in letters a through g under RFP Section 2.4 B.1 and as described in Table 9. To prepare, First Data will request the specific information listed in this table.

*Table 9 – Key Understanding of Scope of Work Requirements*

Knowledge of DHS Functional Requirements	IV&V initial DHS requests for project information (but not limited to)
<b>a. The DHS Program policies, procedures and manuals relevant to IEBM.</b>	<ul style="list-style-type: none"> <li>• Request for DHS access to project shared document repository</li> <li>• Review DHS program policy, procedures, and manuals related to IEBM</li> <li>• Review IEBM project artifacts</li> <li>• Request access to project management tools</li> <li>• Request access project collaboration tool(s) (actions items, issues, risks, requirements, code, test cases, test scenarios, and software releases)</li> <li>• Request for project adopted standards by both State and SI</li> </ul>
<b>b. Health Insurance Portability and Accountability (HIPAA) standards for protecting sensitive patient data.</b>	<ul style="list-style-type: none"> <li>• Access latest release of HIPAA standards</li> <li>• Deliver training for HIPAA to IV&amp;V project resources</li> <li>• Assign IV&amp;V to inspect and monitor compliance of HIPAA practices</li> </ul>
<b>c. MITA requirements for integrating business and information technology.</b>	<ul style="list-style-type: none"> <li>• Evaluate current status of the DHS MITA Mission, Goals, and Objectives along with the recent State Self-Assessment (SS-A)</li> <li>• Request review of the following MITA Business Architecture artifacts: <ul style="list-style-type: none"> <li>▪ Concept of Operations (COO)</li> <li>▪ MITA Maturity Model (MMM)</li> <li>▪ Business Process Model (BPM)</li> <li>▪ Business Capability Matrix (BCM)</li> </ul> </li> <li>• Request review of the MITA Information Architecture artifacts: <ul style="list-style-type: none"> <li>▪ Data Management Strategy (DMS)</li> <li>▪ Conceptual Data Model (CDM)</li> <li>▪ Data Standards</li> <li>▪ Information Capability Matrix (ICM)</li> </ul> </li> </ul>
<b>d. CMS MEELC and MEET.</b>	<ul style="list-style-type: none"> <li>• Request to review prior MEET 1.1 Quarterly Progress Reports submitted to CMS (including General</li> </ul>

	<p>Summary Tab, Programmatic Tab and the six Eligibility and Enrollment Checklists</p> <ul style="list-style-type: none"> <li>Request MEET 1.1 related communications with CMS and FNS</li> <li>Request to review current and past CMS letters related to the IEBM project</li> <li>Request access to document repositories, which were used for to store quarterly report documents</li> </ul>
<b>e. The CMS Expedited Life Cycle Process (XLC) for project oversight and execution.</b>	<ul style="list-style-type: none"> <li>DHS project documentation related to XLC methods and practices adoption on the project</li> <li>DHS existing Agile material and practices used on the project</li> <li>Access to Agile project management tools used on the project</li> </ul>
<b>f. The organizational structure of DHS and DCO.</b>	<ul style="list-style-type: none"> <li>Current DHS organizational chart</li> <li>DCO organizational chart</li> </ul>
<b>g. Medicaid program statistical information including caseloads, claims volume, and prior authorization requests.</b>	<ul style="list-style-type: none"> <li>DHS Medicaid program outcomes, which may include but are not limited to statistics, metrics, eligibility and enrollment intake, case load, case management, benefit issuance, benefit notices, outreach communications, and claims</li> </ul>

The collection of information in the table will assist First Data in producing comprehensive data and material and allow each IV&V Team member to participate in the formal presentation.

First Data agrees to deliver a formal presentation to Arkansas DHS within 45 calendar days of the contract's actual start and each member of the IV&V Team will present a portion of the content.

### 1.2.4.3 Knowledge of the Arkansas IEBM (C)

First Data will make a formal presentation to Arkansas DHS summarizing Key Personnel's understanding of the topics addressed in letters a through g under RFP Section 2.4 C.1 and as shown in Table 10.

*Table 10 – First Data's Knowledge of the Arkansas IEBM*

Knowledge of the Arkansas IEBM	IV&V initial DHS requests for project information (but not limited to)
<b>a. The Medicaid system as implemented in Arkansas.</b>	<ul style="list-style-type: none"> <li>Request for access to current As-Is Medicaid system(s) documentation</li> <li>Request for recent MITA Maturity Levels documentation</li> </ul>

<p><b>b. The intent and scope of work for Arkansas’s IEBM System Integrator RFP # SP-17-0012 as published at <a href="http://www.arkansas.gov/dfa/procurement/bids/bidinfo.php?bid number=SP-17-0012">http://www.arkansas.gov/dfa/procurement/bids/bidinfo.php?bid number=SP-17-0012</a></b></p>	<ul style="list-style-type: none"> <li>• Request for Deloitte’s proposal response to RFP #SP-17-0012 to evaluate their approach to meeting the SOW requirements</li> <li>• Request access to the project Change Management system to review existing project Change Orders</li> </ul>
<p><b>c. The current IEBM system including its architecture and sub-systems.</b></p>	<ul style="list-style-type: none"> <li>• Current IEBM system architecture documentation</li> <li>• System architecture documentation for IEBM sub-systems</li> </ul>
<p><b>d. Internal and external data interfaces with IEBM.</b></p>	<ul style="list-style-type: none"> <li>• Internal data interface system documentation</li> <li>• External data interface system documentation</li> <li>• Data exchange agreements with internal and external entities</li> </ul>
<p><b>e. The IEBM reporting requirements.</b></p>	<ul style="list-style-type: none"> <li>• IEBM reporting requirements elaborations with relationship to Section 3.5.1.3 of RFP # SP-17-0012 and the following functional requirements: <ul style="list-style-type: none"> <li>▪ FR8: Redetermination/Semi-Annual Reporting Requirements</li> <li>▪ FR13: Reporting and Business Intelligence (BI)</li> </ul> </li> </ul>
<p><b>f. DHS’ current strategy for replacing legacy modules with IEBM.</b></p>	<ul style="list-style-type: none"> <li>• Deloitte’s response to Section 3.5.1.3 IEBM System: Systems to be retired within RFP # SP-17-0012.</li> <li>• Any recent Change Orders which may have impacted DHS and/or Deloitte’s approach to Section 3.5.1.3 IES System: Systems to be Retired within RFP # SP-17-0012</li> <li>• The most recent Data conversion design document(s) from Deloitte</li> <li>• Deloitte’s Conversion plan for data extraction to the new IEBM solution</li> </ul>
<p><b>g. Key stakeholder groups within the current DHS organizational structure.</b></p>	<ul style="list-style-type: none"> <li>• Request for latest copy of the DHS Organization Chart, with an understanding that reorganizations are part of the IEBM business transition plan</li> </ul>

The collection of the information in Table 10 will assist First Data in producing comprehensive data and material and allow each IV&V Team member to participate in the formal presentation.

First Data agrees to deliver a formal presentation to AR DHS within sixty 60 calendar days of the contract’s actual start and each member of the IV&V Team will present a portion of the content.

First Data understands DHS Functional Requirements Overview addressed in RFP Section 3.5.1.2. The IV&V Team will provide an approach to effectively and efficiently observe and

assess the SI vendor's performance and capability as they deliver services to meet DHS Functional Requirements for the requested IEBM Solution. The IV&V Team will reference IEBM functional requirements comprised in Template T-6 – Functional RTM document and sub-categorized from FR1 to FR13 as listed below:

- FR1: General Requirements
- FR2: Pre-Screening Requirements
- FR3: Integrated Eligibility Application Requirements
- FR4: Interview Requirements
- FR5: Documentation Requirements
- FR6: Eligibility Determination/Spend-Down Requirements
- FR7: Benefit Issuance Requirements
- FR8: Redetermination/Semi-Annual Reporting Requirements
- FR9: Client Change Requirements
- FR10: Medical Review Team Requirements
- FR11: Overpayment, Audits and Appeals Requirements
- FR12: Appointment and Caseload Management Requirements
- FR13: Reporting and Business Intelligence (BI)

#### 1.2.4.4 Monthly IV&V Assessments (D)

First Data will provide a monthly report on all DDI work provided by Deloitte, the IEBM SI.

1. Monthly IV&V reports will be submitted simultaneously to the CMS, the United States Department of Agriculture Food and Nutrition Service (FNS) and DHS as follows:
  - a. First Data will submit the Monthly IV&V Assessment report no later than 5:00 p.m. Central Time (CT) on the Friday of the first full week of the month following the reporting period.
  - b. First Data will prepare the report following the CMS template and guidance and be in a format approved by DHS.
  - c. The content of the report First Data prepares Data will support all MEELC reviews and the MEELC Quarterly Reports.
  - d. The report First Data prepares will provide an independent assessment of Deloitte, the IEBM system integration, performance that evaluates how well Deloitte applies best practices in project management, in system development life cycle (SDLC) processes, and in work products.
2. Each report prepared by First Data will include, but is not limited to:
  - a. Overall Project Health Assessment

- b. Project Management Assessment
- c. Schedule Assessment
- d. Modular Development Assessment
- e. Artifact Assessments
- f. Security Assessment
- g. Risks Assessment
- h. Issues Assessment

The IV&V Team will produce an IV&V Monthly Status Report, which includes a summary of work activities and major accomplishments achieved during the reporting period in addition to any problems or issues that require management attention.

The First Data Monthly Assessment report includes a project dashboard with key metrics. This indicator will advise if there are potential problems with scope, resources, budget, schedule, or in the feasibility of achieving a project milestone or deliverable across all of the project components. First Data will also provide recommendations for solutions and required follow-up actions.

In addition, each IV&V Monthly Assessment Report will include a current status of all project risks and issues. This Risk Register is the communication mechanism we use to alert key stakeholders of potential threats and vulnerabilities to the project and allow time to prevent an event from occurring. The Issues Log is the method we use to communicate significant events that have occurred and have a negative impact on the project performance and/or a detriment to project success. IV&V issues will be documented, communicated, and monitored through to resolution. The Issue Log provides a synopsis and history of IV&V Issues the project will use for decision making in status meetings, status reporting, and executive meetings, briefings, or reports.

As necessary, the IV&V Team will meet with DHS Management, identified stakeholders, and leadership to review content of the IV&V Monthly Status Report related to both management and technical aspects of the project.

#### 1.2.4.5 Information Technology Governance Committee Reports (E)

First Data will deliver, in a format approved by DHS, a monthly IV&V report for the ITGC of the Governor's Office. This report will be a condensed, executive summary of the monthly IV&V Assessment.

The ITGC report that First Data prepares will be submitted no later than 5:00 p.m. CT on the Friday of the second full week of the month following the reporting period.

Figure 15 and Figure 16 show samples.



### Requirement 1000 Characters or less

The following high-level summary is based on IV&V analysis during the February [ ] reporting period.  
Project Trend: Neutral, Overall Project Status: Red

The [ ] Steering committee continues to provide executive oversight. The [ ] project continues to provide updates to CMS on a regular basis.

[ ] and IV&V worked collaboratively to prepare for federal readiness review efforts.

[ ] Project is managing, controlling and monitoring project tasks according to the approved re-based line integrated project plan. The Development team continues to resolve Critical and High defects at a high rate. The UAT Team is wrapping up Caseworker and [ ] interface testing in UAT. End user training is in progress and activities are reported to be going according to plan and schedule. The readiness team wraps up planning and completed deployment Dry [ ] in February [ ].

**Key Finding:** Active Risks: Four (Three – Existing risks and One – New risk – related to regression testing);  
Project Exposure: Two-High, Two-Medium; Breakdown Three – Quality; One – Technical

**Recommendation(s):**

1. Reiterate to project team members the existing impediments and concerns escalation process

*Figure 15 – Sample Executive Report*

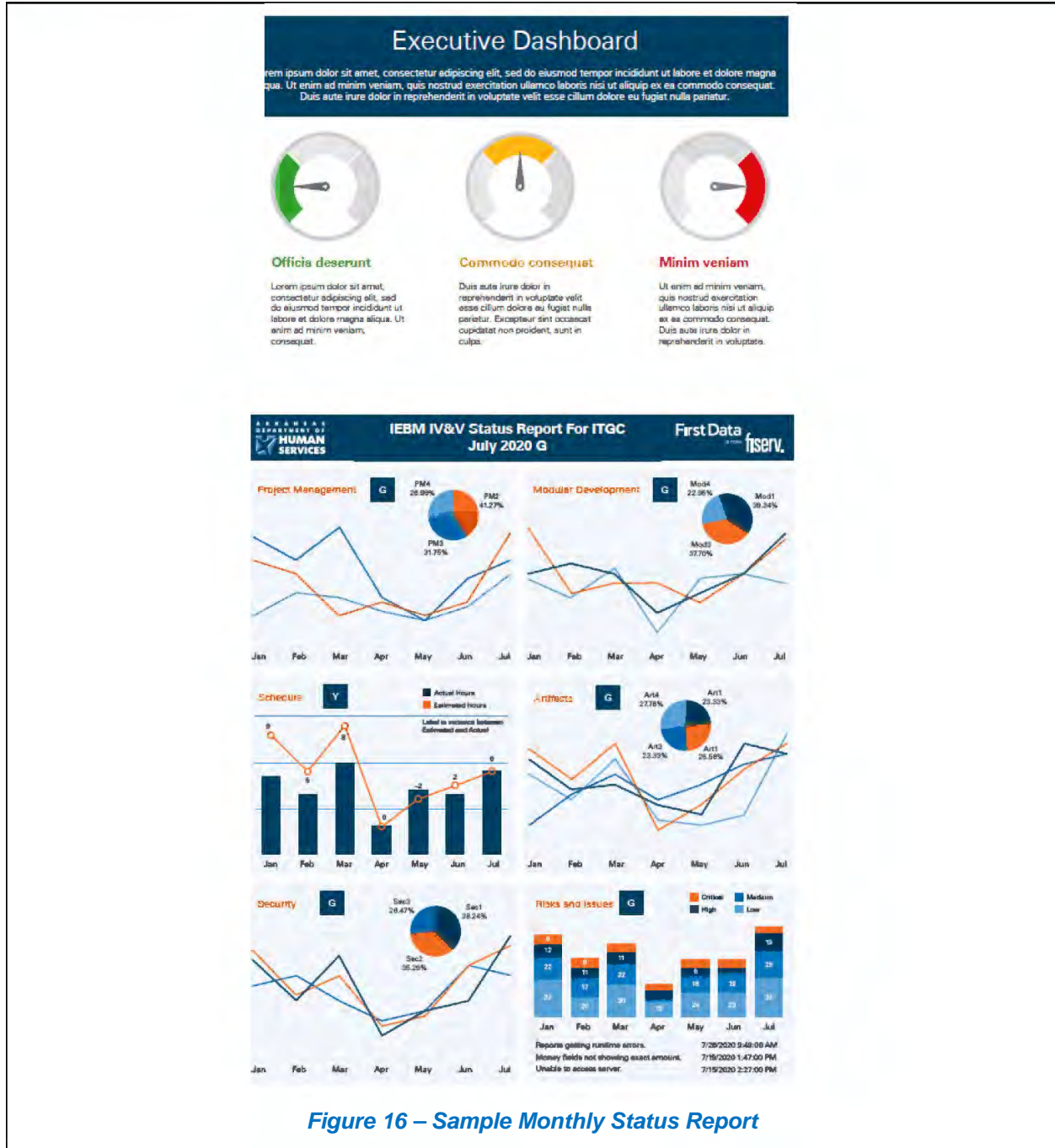


Figure 16 – Sample Monthly Status Report

1.2.4.6 Document Transparency (F)

First Data understands the importance of document transparency for the IEBM project.

First Data documentation procedures will be clear and concise, enabling future contractors to re-create the same reports if needed. Each IV&V document will include without limitation the following document controls:

1. Revision History: Identifying the version of the draft, the date the draft was submitted, deliverable, point of contact/person making change, and a description of changes made
2. Table of Contents: A summary list of the major headings within the document and their page references
3. List of Figures: A list of all figures and their page references
4. List of Tables: A list of all tables and their page references
5. Referenced Documents: A list of other relevant documents, including the document name, and identifying numbers or codes, any web or SharePoint link, and issuance date
6. Decision Log: Provides a summary of decision point and owners
7. Assumptions/Constraints/Risks: Describes any assumptions, constraints, and risks regarding the project that impact deliverables
8. Acronyms: A list of all acronyms identified in the deliverable, their literal translations, and source

#### 1.2.4.7 IV&V Risk Report (G)

First Data will develop and maintain a comprehensive report of all IEBM project risks that the IV&V Team identifies in a format approved in advance by DHS. The IV&V Risk Register will include the following components:

1. The cumulative Risk Report prepared by First Data will be updated at least monthly and will be included with the monthly IV&V assessments.
2. When First Data detects new, high-impact risks, the appropriate Risk Report will be updated and re-submitted by the IV&V Team within two business days of the detection.
3. Risk Reports that First Data prepares will include, but are not limited to:
  - a. Sources of overall project risk
  - b. Assessed severity and impact
  - c. Analysis of which sources are the most important drivers of overall project risk
  - d. Plans for risk mitigation
  - e. The individual responsible for monitoring each risk
  - f. Summary information including the number of risks open and closed, the number of risks distributed across categories, risk trends over time, and any risks that have progressed to issues within the month

During project initiation, First Data will prepare a DED to address the IV&V Risk Report document. The intent of DEDs is to allow DHS sufficient opportunities to provide informal deliverable feedback to First Data throughout work delivery to reduce any risks (“surprises”) when IV&V deliverables are submitted for formal review. The purpose of DEDs is not to

establish deliverable acceptance criteria, but to set minimum relevant standards and requirements prior to actual creation of the work product.

The First Data Team will identify, document, prioritize, assign, and work with DHS to resolve any project-related risks in accordance with the IV&V risk management process. The IV&V Team will work with the State to develop strategies to reduce the consequences of failure for all major milestones and functionality. We will confirm that the mitigation plan aligns with industry standards and that potential risks and strategies to address those risks are managed throughout the system lifecycle. Mitigation plans for major Medicaid E&E systems or MMIS projects should address minimum expected functionality, critical success factors, and risk factors as tied to major milestones identified in the APD. The mitigation plans should also reflect key events and dates that would trigger the mitigation, and projected timeframe for the mitigation sunset.

One of First Data's primary risk management responsibilities is to notify DHS upon either of the following circumstances:

- Any and significant or serious project deficiencies, risks, issues, or concerns with the system or its quality, or the design, development, or implementation of changes
- Any other circumstances that have, or if not remedied will likely have, a significant or serious negative impact on DHS, its system, its design, development efforts or implementation of changes thereof, or the deliverables or services, including without limitation the cost or time for completion

First Data takes this responsibility seriously and will confirm that the appropriate DHS representatives are formally notified of detected risks.

The IV&V Team manages internal risks using a Risk Register. Risks are reviewed with IEBM Management weekly and in accordance with the Risk Management Plan. Table 11 depicts how the IV&V Risk Register is categorized.

*Table 11 – Risk Categories*

Risk Category	Examples
<b>Technical</b>	<ul style="list-style-type: none"> <li>• Reliance on untested or complex technology</li> <li>• Unrealistic performance goals</li> <li>• Changes to the proposed technology</li> <li>• Integration with existing systems</li> <li>• Changes to industry standards during the project</li> </ul>
<b>Schedule</b>	<ul style="list-style-type: none"> <li>• Project team's ability to meet deliverable dates based on scope changes or resource availability</li> <li>• Overall accuracy of the proposed schedule</li> </ul>
<b>Cost</b>	<ul style="list-style-type: none"> <li>• Additional costs for additional staff or staff turnover</li> <li>• Changes to project approach that call for additional resources</li> <li>• Solving problems in design, application, or operations</li> <li>• Cost-related risks linked to schedule risks</li> </ul>
<b>Project Management</b>	<ul style="list-style-type: none"> <li>• Poor allocation of time or resources</li> </ul>

	<ul style="list-style-type: none"> <li>• Low-quality project plan</li> <li>• Lack of robust project management practices</li> </ul>
<b>Quality</b>	<ul style="list-style-type: none"> <li>• Lack of resources allocated to quality assurance tasks</li> <li>• Poorly defined standards and methodology</li> </ul>
<b>Organizational</b>	<ul style="list-style-type: none"> <li>• Internally inconsistent cost, schedule, or scope objectives</li> <li>• Poorly defined priorities</li> <li>• Inadequate or interrupted funding</li> <li>• Resource conflicts with other projects in the organization</li> </ul>
<b>External</b>	<ul style="list-style-type: none"> <li>• Shifting legal or regulatory environment</li> <li>• Labor issues</li> <li>• Changing state or federal priorities</li> <li>• Vendor contract issues</li> </ul>

#### 1.2.4.8 IV&V Issues Log (H)

First Data will develop and maintain a comprehensive log of all IEBM project Issues identified by the IV&V Team in a format approved in advance by DHS. The IV&V Issue Log will include the following components:

1. The Issues Log prepared by First Data will be included with the monthly IV&V Assessments.
2. When First Data detects new, high- or moderate-impact issues, the IV&V Team will update the appropriate Issue Log re-submit it within two business days of the detection.
3. The Issues Log prepared by First Data will include, without limitation, the following:
  - a. Issue type
  - b. Who identified the issue and when
  - c. Whether the issue was previously anticipated in any Risk Report
  - d. Description
  - e. Impact and priority
  - f. Person assigned to lead resolution of the issue
  - g. Target resolution date
  - h. Status
  - i. Final resolution

During project initiation, First Data will prepare a DED to address the IV&V Issues Log document.

The IV&V Team will identify, document, prioritize, assign, and work with Arkansas DHS to facilitate resolution of any IV&V Services or other project-related issues that impact the IEBM Project. The IV&V Team will follow the IEBM Project's issue management process. Any issue

identified will be documented in Status Reports and tracked accordingly in the IEBM Project Document Repository.

#### 1.2.4.9 Meetings and Interviews (I)

First Data will continuously participate in ongoing project meetings and DDI deliverable walkthroughs, and conduct stakeholder interviews to understand the processes, procedures, and tools used in the IEBM project environments.

First Data will provide a list of the meetings attended, and interviews conducted, which will be included in the monthly IV&V assessments.

The IV&V Team will list meetings attended, and interviews conducted in each monthly IV&V Assessment.

The First Data IV&V Specialists will observe and inspect all required deliverables and management plans and processes. Our team will interview State and Deloitte project team members to gather information and conduct analysis to determine inefficiencies within processes, and to determine if these processes conform to industry standards and best practices. The results of these observations and analysis will be discussed in the weekly observation review meetings and included in the monthly IV&V Assessment, which are distributed to the State and CMS concurrently.

As your IV&V Contractor, we are responsible for evaluating DHS and its contractors' documents for thoroughness, accuracy, and consistency. We conduct document reviews in a very structured manner, and conduct necessary stakeholder interviews to clarify or obtain additional information

#### 1.2.4.10 System Development and Lifecycle Gate Reviews (J)

First Data will participate in the state's SDLC gate reviews, and a list of gate reviews completed will be included in the monthly IV&V Assessments. First Data will also supply any IV&V services that CMS may require to bring DHS into compliance with the CMS XLC for the project oversight and execution.

As your IV&V Contractor, we aggressively adopted the CMS XLC SDLC methodology of the IT system lifecycle into the First Data Government Solutions IV&V practice. The XLC was designed by CMS as a methodology agnostic framework for states that can accommodate multiple SDLC approaches to software development. Our IV&V Team will be available throughout each CMS MEET Milestone Review, to provide DHS early recommendations on tailoring an XLC SDLC framework to best align to the IEBM Solution.

First Data along with CMS are committed to continually strengthening XLC SDLC processes, with a focus on responding to MITA Business Architecture demands with value-add, and

flexible approaches to managing IT projects. First Data closely track and monitor CMS advances to transform the way it operates to support and adopt of industry SDLC best practices such as Agile values, principles. First Data supports CMS efforts because we trust these innovative advances will have a positive impact on State government Integrated Eligibility and Enrollment initiatives.

#### 1.2.4.11 Project Management Support (K)

First Data's leadership team includes project professionals well-versed in proven project management and software delivery practices. Our team is committed to creating a collaborative partnership with all stakeholders and especially your System Integrator (SI). By proactively supporting the SI Vendor, there are no surprises. Our approach leads to a more productive working environment and much better solution outcomes.

First Data IV&V services will be part of the larger oversight of the day-to-day operations and management of the Arkansas IEBM project. The First Data IV&V Team will request complete access to documents, facilities, and staff during normal business hours, as required to carry out its oversight role. Willard Starlard shall have access to all key staff on site at the project location(s) daily, as needed to observe meetings, review deliverables and documentation, and conduct interviews, etc., to gain obtain a high level of integrity and confidence in the team's collaborative approach to oversight and monitoring. Delden Fane, the project's IV&V Lead, will also be onsite supporting the project during key meetings with stakeholders, project sponsors and oversight agencies, Delden will be 100 percent dedicated to the project and onsite 50 – 75 percent of the time. He offers Arkansas over 30 years of experience performing systems operations, software development, and project management for private firms, healthcare insurance, and state HHS employers. First Data delivers a comprehensive IV&V project management approach including:

- Proven methodology based on decades of experience
- Promotion of proactive and transparent communications that are timely and clear
- Project tools and processes that help automate and track complete review and analysis of deliverables and work products
- Proactive identification and analysis of risks and issues with corresponding resolutions and mitigation strategies
- Actively participation in governance and committee meetings

Firs Data's Project Management methodology is based on PMBOK standards and we are committed to proactively supporting the State and the DD&I Vendor in producing a quality system. The IV&V Team will review the project and system processes and progress in project management, including:

- Progress against budget and schedule
- Risk management

- Inclusion of state goals/objectives and all federal E&E requirements in requests for proposal and contracts
- Adherence to the State’s SDLC
- Incorporation of the standards and conditions for Medicaid Information Technology (IT) into design and development
- Reasonability, thoroughness, and quality of MITA self-assessment, concept of operations, information architecture, and data architecture
- Reflection of the state’s MITA goals and plans into actual E&E design and development
- Configuration management that is robust and includes state or developer configuration audits against configuration baseline
- Change management
- Adherence to service level agreements (SLAs)

#### 1.2.4.12 Modular Development (L)

First Data will monitor and assess modular development in the areas described in Table 12.

*Table 12 – Modular Development Monitoring Practices*

Modular Development Areas	IV&V Modular Monitoring Practices (examples)
<p>a. Completeness and reasonability of IEBM concept of operations, architecture, and designs.</p>	<ul style="list-style-type: none"> <li>• Monitor DHS annual updates to the State Self-Assessment (SS-A)</li> <li>• Annual assessment of the ADP Checklist, Business Architecture (BA) Profile, Information Architecture (IA) Profile, Technical Architecture (TA) Profile and the Seven Standards and Conditions Profile</li> <li>• Assess DHS Medicaid Strategic Plan and Medicaid Enterprise Architecture (EA) development artifacts</li> <li>• Monitor EA frameworks from National Association of State Chief Information Officers (NASCIO) EA toolkit, State CIO (EA)</li> <li>• Monitor DHS progress with the 5-year to 10-year MITA Maturity Model (MMM)</li> <li>• Analyze external factors like the American Recovery and Reinvestment Act (ARRA), Health Information Technology for Economic and Clinical Health Act (HITECH), Affordable Care Act (ACA), and Children Health Insurance Program Reauthorization Act (CHIPRA) to gain a thorough understanding of the impacts to the IEBM Solution</li> </ul>



<p>b. Accurately capture interfaces and data sharing requirements with systems external to IEBM.</p>	<ul style="list-style-type: none"> <li>• Monitor IEBM activities related to Modularity Standard, within the MITA Seven Standards and Conditions</li> <li>• Assess IEBM Solution for modular, flexible approach to system development, including the use of open interfaces and exposed Application Programming Interfaces (API)</li> <li>• Assess internal interfaces with the IEBM Solution by performing data verification practices</li> <li>• Assess external interfaces with the IEBM Solution by confirming written agreement as well as performing data verification practices</li> </ul>
<p>c. Viability and completeness of the data transition.</p>	<ul style="list-style-type: none"> <li>• Review and monitor MITA SS-A Business Architecture (BA) and Information Architecture (IA) capability artifacts</li> <li>• Conduct periodic assessments on Data Migration, Data Quality, and Data Security practices through the use of Data Management Checklists</li> </ul>
<p>d. Traceability of requirements through design, development, and testing.</p>	<ul style="list-style-type: none"> <li>• Monitor IEBM business and technical requirements are documented and effectively managed</li> <li>• Assess bi-directional traceability of functional and non-functional requirements</li> <li>• Assess IEBM requirements use an effective real-time collaborative software tool to trace requirements from the definition of Initiatives, Epics Stories to Test Cases and Test Scenarios</li> <li>• Assess that IEBM requirements are included and linked to Design and Development artifacts, and User Acceptance Criteria documentation</li> </ul>
<p>e. Adequacy of system security and privacy policies, plans, technical design, and implementations.</p>	<ul style="list-style-type: none"> <li>• Monitor that DHS leverages a System Security Plan</li> <li>• Annual assessments of the IEBM System Security Plan for accuracy and verify application of updates resulting from reviews</li> </ul>
<p>f. Coverage and integrity of all system testing, including stress testing and testing of interfaces between modules and with external partner systems.</p>	<ul style="list-style-type: none"> <li>• Monitor XLC Development and Test Phase</li> <li>• Assess IEBM detailed requirements and design information are verified and validated so system components and data of the IT solutions function to acceptance criteria and interface properly with other internal and external components within system</li> <li>• Assess IEBM Solution undergoes full integration, security and stress testing in pre-production environments</li> <li>• Assess IEBM Implementation Testing is conducted to determine Performance and Stress testing met SLA and SLO requirements</li> </ul>

<p>g. Capacity management, including consideration of future vendors' support and release plans for underlying databases, software, and hardware.</p>	<ul style="list-style-type: none"> <li>• Monitor DHR Capacity Management Plan to validate consideration of future vendors' support and software release plan for underlying database, software, and hardware</li> <li>• Assess IEBM Solution adopt the DHR Capacity Management Plan, policies, processes, and procedures</li> </ul>
<p>h. Adequacy of disaster recovery planning.</p>	<ul style="list-style-type: none"> <li>• Monitor that DHR actively plans, writes, implements, and regularly updates a Disaster Recovery Plan for the Arkansas IEBM Solution</li> <li>• Assess the IEBM Disaster Recovery Plan and compliance with the Disaster Recovery Plan Checklist</li> </ul>
<p>i. Verification that adequate regress testing has been performed to confirm that replaced or enhanced modules do not adversely impact the current functionality and operation of the state's Medicaid Enterprise.</p>	<ul style="list-style-type: none"> <li>• Monitor use of a Testing Framework and/or an IEBM Testing Master Plan</li> <li>• Assess that the IEBM Solution is adequately regression tested to validate the following areas: <ul style="list-style-type: none"> <li>▪ Business functions</li> <li>▪ Applications functions</li> <li>▪ Infrastructure functions</li> </ul> </li> <li>• Verify that system acceptance testing is performed prior to each software release of the IEBM Solution to Arkansas Medicaid Enterprise production operation</li> <li>• Confirm that final integration testing is conducted for the IEBM Solution to verify enhanced modules do not adversely impact the current functionality and the Arkansas Medicaid Enterprise production operation</li> </ul>

#### 1.2.4.13 IV&V Support for the CMS MEELC and MEET (M)

First Data will follow the current MEELC and will fill out the reviewer comment portion of the E&E Checklists and append them to the quarterly E&E IV&V Progress Report. First Data will work with DHS to review evidence, annotate review findings, and annotate resolutions in each of the MEET checklists. During our MEET evidence review, we will collaborate with the State and contractors to:

- Confirm the Project Work Plan is sufficiently resourced to complete the review activities
- Pay close attention to resource allocation as each review is increasingly resource intensive
- Escalate resources' concerns to the appropriate decision makers because insufficient resources affect quality, timeline, and costs
- Conduct informational sessions with evidence producers to provide insight, context, and expectations of the IV&V Review Process:

- Work towards mutual understanding of expectations to improve the opportunity for positive review outcomes
- Convene additional informational sessions to confirm previous review findings and CMS recommendations are addressed prior to the next review cycle
- Designate specific team members, based upon subject matter expertise, to review specific artifacts and checklist evidence, focusing on:
  - Institutional and current industry knowledge to improve the review process
  - Qualified back-ups for primary reviewers
- Conduct internal exercises to better support a consistent artifact and evidence review among team members, including:
  - Calibrating review processes for internal consistency
  - Continually revisiting and improving review processes to enhance our service delivery to the IEBM project
- Store all findings, observations, and recommendations in a secure, centralized repository for peer review and use in the production of the IV&V Progress Report:
  - As a single authoritative information source to allow for improved consistency in subsequent deliverables
  - Aid First Data Team members to spot-check other's findings and draw comparisons

### **Artifact Review Outcomes**

The expected outcomes of the MEET evidence review include:

- Comprehensive documented artifact and evidence reviews contained in each IV&V Progress Report
- Successful CMS verification of the criteria based on federal and state requirements is satisfied
- Inputs to the FNS Go/No-Go Checklists

In preparation for each milestone review in the MEELC (R1 – R3, as applicable), First Data will prepare an IV&V Quarterly Progress Report. Similar to MEET, part of our role as the IV&V Contractor is to represent the interests of CMS and provide an unbiased perspective on the progress of the development, the integrity, and functionality of the system. We understand that CMS will designate each date for each MEELC milestone review session and that all IV&V input required for these reviews will be delivered to DHS in the CMS format no later than 14 calendar days before the milestone review session scheduled with CMS.

Table 13 – First Data's Approach to IEBM Project Tasks outlines how the IV&V Team will approach each of the certification activities where IV&V involvement is required. Evaluation criteria are determined prior to the review of each artifact.

**Table 13 – First Data’s Approach to IEBM Project Tasks**

IV&V Activity	IV&V Approach
MITA (MECL 6)	First Data will review and validate the MITA 3.0 SS-A update to include the MAGI rules and the MITA Roadmap. We will also review and validate additional MITA documentation like the MITA transition plan, technical strategy, and data strategy.
IV&V Progress Report (MECL 11)	First Data will complete the IV&V portion of the CMS MECL Checklists. We will validate the accuracy and completion of the checklists and document the source of evidence, using the approved repository or tool, in the event there is a question as to the accuracy of the assessment (meets, partially meets, or does not meet). These will be submitted prior to the IAPD and Project Initiation milestone review, and in accordance with the Module release schedule.
Business Requirements and Design Review (MECL 17)	We will analyze the requirements to validate that they adhere to state and federal guidelines, regulations, and conditions; meet the expectations of project and agency stakeholders; and include both supplier and system performance standards. This includes verifying that various stakeholders have provided input to and/or participated in usability prototyping and testing of the system look and feel.
Detailed System Design Document (DSD), or interface design if COTS (MECL 17)	First Data will evaluate and make recommendations on detailed design or Commercial-off-the-Shelf (COTS) products to verify that the design is workable, efficient, and satisfies all high-level design requirements. We will verify that all design products follow the control standards and are formally approved prior to the initiation of the actual coding or configuration.
Configuration Management Plan (MECL 17)	<p>First Data will assess each supplier’s configuration management plan to verify it describes what items will be placed under configuration management control and how those items will be managed throughout the SDLC or Sprint, including software code promotion and documentation version control for all environments, including development, training, system test, user acceptance test, and production. We will confirm the configuration management plan addresses:</p> <ul style="list-style-type: none"> <li>• A list of all functional and physical items (configuration items) included in the scope of configuration management, which includes hardware, software, and design</li> <li>• A method and procedure for controlling changes to configuration items</li> <li>• A change status reporting method for configuration items</li> <li>• A reference for the common terminology for configuration management</li> <li>• A method for confirming that control will be maintained over design, development, production, installation, and support configuration items</li> </ul>

	<ul style="list-style-type: none"> <li>• A method for verifying that inspections to demonstrate acceptability of material and services will be performed</li> <li>• Evidence of a disciplined integrated systems development approach</li> </ul>
System Security Plan (MECL 17)	First Data will review the System Security Plan to confirm that it will adequately address security requirements for the equipment, software, network, and facility. We will document any deficiencies in the System Security Plan.
Information System Security Assessment (MECL 17)	First Data will analyze which areas within the IEBM Project would be likely targets of potential threats. We will analyze the conceptual technical architecture and business requirements with a focus on the known security threat landscape to identify risks for each of the functional and architectural areas identified.
System Test Plans (MECL 17)	First Data will conduct a detailed assessment of each module's specific System Test Plan to validate it provides sufficient instructions/guidelines on various testing components to be conducted through the life of the project. We will evaluate the plans, requirements, environment, tools, and procedures used for integration testing of system Modules.
Test Summary/Validation Report (MECL 17)	First Data will verify an appropriate level of test coverage is achieved by the test process, test results are verified, the correct code configuration has been tested, and tests are appropriately documented, including formal logging of errors found in testing.
Interface Control Document (ICD) (MECL 17)	First Data will verify all system interfaces are described, by medium and by function, including input/output control codes, data format, range, units, and frequency as they relate to each module.
Database Design Document (DDD) (MECL 17)	First Data will evaluate new and existing database designs to determine if they meet existing and proposed system requirements. We will recommend improvements to existing designs to improve data integrity and system performance. We will evaluate the design for maintainability, scalability, refresh-ability, concurrence, normalization, (where appropriate), and any other factors affecting performance and data integrity. First Data will evaluate the project's process for administering the database, including backup, recovery, performance analysis, and control of data item creation.
Quality Assessment Plan (MECL 17)	First Data will evaluate and make recommendations on the project's Quality Assessment plans, procedures, and organization. We will verify the quality of project deliverables are monitored by formal reviews and sign-offs.

We have experience working with clients and CMS to adapt and implement modified IV&V Progress Reports in New York, Nebraska, and Indiana and will work with DHS to review evidence, annotate review findings, and annotate resolutions in each of the MEET checklists. We will use the MEELC IV&V Progress Report template as the basis for quarterly IV&V Progress Reports, collaborate with project stakeholders to adapt this template, and implement

the modified template on an ongoing basis with quarterly delivery throughout the duration of the project.

#### 1.2.4.14 Ongoing IV&V Activities (N)

First Data will deliver the following services.

**Document Management:** First Data will provide a document repository for all IV&V work products produced during the contract that includes reliable version control and provides efficient records retrieval to the DHS staff.

IEBM Project documents that require distribution will be posted in the IEBM Project Document Repository accompanied by an email notification to the IEBM Project Management Team announcing its availability and location. Additionally, if a situation dictates a more formal approach, then correspondence will be in the form of a letter, memorandum, or document. Appropriate use of email includes scheduling meetings, forwarding documents, and general questions and answers. If the email contains pertinent or historical information, the E-mail will be given a document tracking number and posted in the IEBM Project Document Repository, for Communication Tracking and Storage. Written communications received by the IV&V Team or generated by the IV&V Team for the project will be posted in the appropriate IEBM Project Document Repository and stored based on the approved retention policy.

**Quality Assurance Surveillance:** First Data will monitor and evaluate the System Integrator's Quality Assurance processes.

The IV&V Team's Quality Management approach to the IEBM Project involves ongoing appraisals and inspections of the project deliverables and activities to verify compliance with the established procedures and standards. While strict technical and deliverable standards will be adhered to, the process and management style will remain flexible to accommodate project changes. The IV&V Team will collaborate with the IEBM Project teams regarding ways to improve processes to get better results.

The IV&V Team considers the following goals as part of the development of deliverables:

- Identify, plan, and schedule QA activities in the project life cycle.
- Implement improved processes.
- Establish acceptance criteria to objectively measure the conformance of products and activities to the established standards, procedures, and requirements.
- Keep the team well informed of QA activities. Implement a communication plan to inform those groups and individuals who are involved in the project of QA activities and findings in a timely manner.
- Define a procedure for noncompliance issues that require escalation to the next appropriate level of IV&V Management.

The IV&V Team Internal Quality Assurance measures include:

- **Self-Review:** Any individual responsible for a work product, deliverable, or deliverable component will use a quality assurance checklist to evaluate the item's readiness. This checklist will contain the standards for that specific deliverable as delineated in the contract or as otherwise identified. The individual will measure the deliverable against the checklist standards until conditions are met.
- **Peer Review:** As a secondary quality assurance review, specific work products and deliverables will undergo a cross-functional peer review that focuses on the item's overall completeness, with an emphasis on observations and recommendations.
- **Project Manager Review:** Project developed deliverables will undergo a Project Director review for acceptability.
- **Additional Review Cycles:** As an additional quality assurance review, specific work products and deliverables will undergo a review that focuses on comprehensive content and overall item completeness, which may be completed by the Project Director, Executive Oversight, and/or SMEs.
- **Change Management:** Review and suggest any improvements required in the IEBM change request process or the change request tracking system.

First Data will conduct a detailed assessment of each module's specific System Test Plan to validate that it provides sufficient instructions/guidelines on various testing components to be conducted through the life of the project. We will evaluate the plans, requirements, environment, tools, and procedures used for integration testing of system modules. This process will include a random sample of the test artifacts that can be verified and validated to create an approved representative sample of unit test results for the program modules and processes before they are integrated and system tested. First Data will validate the results of these and unit tests are fully documented as an exit criterion from unit testing prior to system test start. It is recommended that all test phases have clearly documented entry and exit criteria and agreed-upon acceptance criteria included within the test plans and associated documentation.

The First Data Team will verify and validate an approved representative sample of UAT results for the program modules and processes before release for production. We will verify that high-priority improvements identified in UAT are integrated into the production version of the IEBM.

The First Data Certification Manager will work with the Arkansas IEBM Project Manager to verify and validate that in-depth, process-driven, and fully documented testing is used to certify and demonstrate that the new IEBM system is ready for UAT prior to completion of the Integration and System Testing tasks.

First Data will verify that an appropriate level of test coverage is achieved by the test process, test results are verified, the correct code configuration has been tested, and tests are appropriately documented, including formal logging of errors found in testing. The First Data IV&V Team led by Alejandro Pessano our Policy SME will verify and validate an approved representative sample of UAT results for the program modules and processes before release

for production. The Team will also verify that high-priority improvements identified in UAT tests are integrated into the production version of the IEBM.

#### 1.2.4.15 CMS-requested Testing (O)

First Data will verify that the system has been tested and confirm that it meets Section 508 requirements for accessibility. The Team will also support annual testing of the eligibility systems that CMS requires in accordance all specifications and confirm that the DDI contractor is conducting test scenarios as prescribed by CMS.

The First Data Team will review the DDI contractor's use of the CMS scenarios and evaluate random samples from the daily test results. First Data agrees to report any issues or concerns with the testing quality to both the DDI contractor(s) and DHS within 48 hours of their discovery.

First Data agrees to complete the IV&V inputs required by CMS no later than 21 calendar days before final results are delivered to CMS.

#### 1.2.4.16 Update the IV&V Project Plan (P)

First Data will refine the initial IV&V Project Plan over time. The IV&V work plan and schedule is, to a large extent, driven by the overall work plan/schedule because many of the IV&V tasks are associated with the review and assessment of the DDI Vendor's deliverables and work products. As part of IV&V schedule management, we will document and monitor the IV&V activities and estimated level of effort against the Project Management and System Integrator plans. IV&V verification activities include reviews of the DDI Vendor work plans, milestones, deliverables, and work products with the planned and actual level of effort associated with each task, and the extent of completion reflected as percent complete. At a minimum, this plan will be reviewed, updated, and submitted to DHS for approval by May 15 of each year.

#### 1.2.4.17 United States Food and Drug Administration Requirements (Q)

First Data will comply with the requirements outlined in Appendix A: FNS Required Federal Provisions. In addition to these provisions, the First Data Team will align IV&V activities with the requirements of all federal oversight agencies.

The Go/No-Go decision process serves as the catalyst for Project Sponsors, Agency Executives, Project Team Leaders, and Interface Partners to validate that the system is stable and ready to be operational for implementation, staff are prepared to work in the new system, and they have adequate tools to facilitate the transition. First Data follows the prescriptions for Go/No-Go as they are laid out in the FNS Handbook 901 for testing, specifically the Go/No-Go Decision Checklist. We do this to comply with all Federal Testing



objects and to validate the completeness and integrity of any project in which we participate. First Data will work with state staff to establish measurable and objective Go/No-Go decision criteria that will be submitted to FNS and, as required by FNS, Go/No-Go decision points will occur during the project phase gate of Pre-UAT to UAT, UAT to Pilot, and from Pilot to statewide rollout. The project should not advance to the next phase requiring a Go/No-Go decision until all criteria are met.

First Data will validate that project activities have been documented according to FNS and CMS specifications. We understand the project documentation must align with the department's MITA-related goals and comply with the MEET, as well as meet the requirements of the FNS Handbook. We will work to align CMS' milestone reviews with those required by FNS when possible.

#### **1.2.4.17.1 Go/No-Go Process**

Leading up to a Phase or Release, tasks, activities, and progress are measured, tracked, and reported to monitor project activities using the project plan. A Readiness Checklist is created and provides a succinct list of metrics that comprise both the qualitative and quantitative measures of readiness that will be tracked periodically leading up to the implementation.

Some examples of Go/No-Go Criteria include:

- Is the data converted and migrated from the legacy system accurate and correct? Did the data convert within the acceptable fallout threshold as measured by the Conversion Success Rate?
- Is the data both transmitted and received correctly when interfacing with external systems? This is measured by the Benefits Match Rate (the percent of cases that are successfully converted with benefits matching to the benefits certified in the legacy systems).
- Has a Phased Rollout Plan been developed? We measure this by completion of a Requirements Traceability Matrix, validating that the document describes the details regarding deployment, including identifying storefront offices and virtual eligibility centers in each roll-out, finalizing schedules for business deployment activities in each location, and documenting the deployment support processes
- Have staffed been trained? Prior to UAT? Prior to Pilot? This is measured by percentage of staff that still need to complete a training course to be certified (number of staff certified to date/number of total Eligibility staff)
- Does a Go-Live strategy exist, (including Command Center Plan, Issue ID, Reporting Strategy, Help Desk readiness, and plan for training Go-Live support staff)?
- For each site, have all site preparation activities been completed (each site can be listed separately)?

Prior to each Phase or Release during UAT and Pilot, a Final Go/No-Go Meeting should be held so the Executive Steering Committee can make a Go/No-Go decision for entrance into the implementation phase. The focus of this meeting is to evaluate the metrics that are on the

Readiness Checklist that are not ready and then to measure the impact of proceeding with the implementation.

### **Go/No-Go Inputs**

In a project the size of IEBM, there are many tools that may be used to track project status and readiness. The effective use of these tools leading up to each Release should create transparency regarding existing issues, resource allocation, tasks completed, and tasks not yet completed. Due to the scale of the IEBM Project, there are many moving parts and interdependencies between teams and tasks that require constant oversight and reporting to help prevent the schedule from slipping and impacts to the critical path. The tools used to achieve this may include:

- The Project Plan
- Weekly Status Report
- Readiness Checklist
- Testing Reports and Metrics

### **Project Plan**

**Function:** The Project Work Plan is a document to track the start date, the finish date, and the duration of each task for each of the measures that were identified into the key project areas. Tasks that are falling behind their project finished dates should be identified, as well as resources that are over allocated. The plan should demonstrate the critical path so areas that bear significant impact to the overall project schedule are apparent.

**Audience:** Executive Steering, Executive Management, PMO Management

### **Status Reports**

**Function:** The Status Report provides a summary of risks, issues, tasks that have missed deadlines, and action items. The report provides visibility to Agency executives and project stakeholders about the current state of the Project and brings issues to the forefront for conversation.

**Audience:** Executive Steering, Executive Management, PMO Management, Project Teams

### **Readiness Checklist**

**Function:** For each Phase or Release, the Readiness Checklist indicates individual areas of readiness criteria with specific targets or thresholds, the process by which the measurement is taken, when data associated with the measure is collected, and whether a specific measure is associated with a specific project requirement. These metrics are reviewed at defined intervals and during each review they are assigned a status of red, yellow, or green (stoplight reporting) depending on the progress or status of the metric. There is not an exact science to determining the stoplight status of a metric, as there are both qualitative and quantitative aspects that can impact the effectiveness of the implementation. The status can also change from “green” to “red” depending on the progress, or if a new issue has arisen. While many

projects and vendors do not like to categorize a metric as “red” because of its negative connotation, we ask DHS to not shy away from using the stoplight colors as appropriate. Some examples of reasons a status may be “yellow” or “red” include: an important task that has slipped schedule, a schedule slippage that impacts other tasks, an issue is raised that impacts a large population, or the impact of an issue will have downstream impact on staff.

The fundamental use for the Readiness Checklist is to help the Agency determine if it is ready for a Phase or a Release. The checklist will provide DHS with a mechanism to see at a high level any outstanding items and evaluate the risk of proceeding.

**Audience:** Executive Steering, Executive Management, PMO Management

The Readiness Checklist addresses various criteria which may include items like:

- Test plan(s)
- Test environments
- Training materials
- Critical roles and resources
- UAT support and resources
- Defect tracking and tools
- FNS compliance
- CMS MITA alignment review

The Go/No-Go decision is aided by the final review of the readiness checklist with real-time and retrospective analysis of the Agency and the systems preparedness for Go-Live.

### ***Testing Reports and Metrics***

For the purposes of the Go/No-Go decision-making process, First Data will gather and report on all aspects of testing conducted during System Development, IV&V testing, and UAT. The reporting will measure and compare the actual test results to those expected at each level and determine the degree to which they have been met. This will occur at each level of testing and then be compiled and summarized in preparation for reporting according to the FNS checklist. These metrics will form the foundation upon which the Go/No-Go recommendations will be based and will meet the FNS checklist criteria.

#### **1.2.4.17.2      *Readiness Meetings***

Tracking Project Readiness is not meant to create additional work or meetings for the project teams, rather it functions as a tool to facilitate the process. The Readiness Checklist review should be included in regularly scheduled meetings for the project teams to review. The updates will be presented to the Executive Steering Committee and they will review the metrics as defined by the assessment interval. Prior to a Phase or Release, the Executive Steering Committee should conduct a Go/No-Go meeting with vendor and project staff at a designated point that will evaluate all outstanding metrics and determine whether or not to move forward with the implementation. The Arkansas DHS Integrated Eligibility

implementation and quality assurance vendors should provide a professional recommendation to the Agency justifying a recommendation for the Go/No-Go of a Phase or Release.

### ***Ongoing Steering Committee Review***

The initial creation of the metrics and any ongoing additions will need to be reviewed with the project teams to make sure that the metrics created present a uniform team goal. Once the metrics are reviewed, they will be presented according to the assessment interval to the Executive Steering Committee. The Committee will discuss the stoplight metrics outlined for each metric, and any outstanding issues attributed to a disposition. Action Items may be identified for follow-up to help get a metric back on course.

### ***Final Go/No-Go Meeting***

The Go/No-Go Meeting will be scheduled at a point close to implementation where the Executive Steering Committee feels comfortable evaluating the metrics, completed and outstanding to assess the implementation. The meeting should include the Executive Steering Committee, Project Executives, and relevant project team members.

Risk review can include metrics that have not been fully auctioned or that are incomplete. The Executive Steering Committee will need to address each outstanding metric individually, and then evaluate as a whole whether or not the Agency is willing to incur any potential risk incomplete metrics may present. The Go/No-Go decision can be based on a single metric that is not met, but has a significant enough impact that it jeopardizes the integrity of the implementation, or, it can be that the accumulation of multiple outstanding metrics creates a significant enough risk, that they together cannot easily be mitigated to achieve a successful implementation.

First Data will provide Go/No-Go documentation that the Agency will provide to CMS and FNS. The timeline for production of this documentation will allow for iterative review by FNS and CMS prior to submission of the official Go/No-Go documentation.

The final deliverable will include a report with the following:

1. **Transmittal letter/email:** In conjunction with the agency's governing body, First Data will help to document the project status and justifications necessary for go live or delay. The formalized summary of this information will be generated and available for the Agency to transmit.
2. **Testing Goals achieved:** The development and implementation of complete and thorough test plans and scenarios and the dedicated maintenance of defect logs allows First Data to accurately and completely monitor testing goals throughout the UAT/IV&V testing cycles. By adhering to these standards First Data is aware of the status of testing goals at all times and able to report when they have been achieved.
3. **System Defect Log:** First Data maintains defect logs for all projects monitoring those that until corrected will impact testing as well as those discovered during testing (UAT and IV&V). Prior to the Go/No-Go decision, the logs are reviewed for outstanding defects

which are evaluated for impact to go-live. This is critical to the success of the project and any outstanding defects are thoroughly researched and discussed with all relevant stakeholder groups.

4. **Training Readiness:** First Data Owner Associates who manage UAT and who conduct IV&V testing typically have hands-on experience in eligibility systems in addition to their extensive testing experience. This places First Data in a prime position to assess the effectiveness of training plans and materials as they will be used by management, supervision, line staff, and the public.
5. **Site Readiness:** First Data staffing consists in large part of former eligibility management and line staff, which makes them proficient in the translation of system changes to site and workstation changes. As testers they can assess the readiness of workstations and offices to handle the demands of newly automated functionality or the attendant changes in business process and document the findings for the readiness checklist.
6. **Current Program Performance:** During as-is evaluations of a system or set of systems, a baseline that must be met by the restructured or new systems that are put in place is determined for performance standards. Continued system test performance and capacity testing is measured against those standards up to and through the pilot project. This provides an objective perspective from which to evaluate performance. This is a critical point in that no-go votes for some projects are based on the subjective evaluation of performance failures given by staff that is unfamiliar with a new system. First Data has participated in several major transitions and is adept at assessing the difference and documenting that the appropriate tests are applied to determine performance objectively.
7. **Data Conversion:** The conversion of data is an essential function of the SI vendor and should also be part of the testing conducted during IV&V and UAT. First Data played roles in both testing and monitoring results for the C-IV CalHEERS project for the CalWIN automated eligibility transition data conversions. These projects illuminated the need for extensive review and monitoring at all stages of conversion, a task to which First Data would contribute both historical and recent knowledge when assessing the success for reporting to FNS.
8. **Stakeholder Buy-in and Preparedness:** This is perhaps the most critical factor in the ease of transition and early success of major projects such as the Integrated Eligibility Project and communication is key. First Data brings with it a long history of communication with stakeholders, vendors, and project management from the many agencies listed in the introduction to this section. User Acceptance Testers are a key part of that communication and First Data is adept and experienced in interpreting the communication nuances that indicate a project is being received favorably or not. This expertise allows for a realistic documentation of the levels of buy in and preparedness an agency is experiencing.
9. **Contingency Plan:** The SI vendor should have a developed contingency plan for failed implementation and First Data is skilled at tracking and monitoring the flexibility of that plan during UAT and IV&V testing as well as helping to keep it in place at and immediately after Go-Live.

10. **Escalation Plan:** First Data monitors escalation as performed by the SI vendors at its existing projects and is well versed in the protocols involved with such escalation. Escalation plans are typically in place during all phases of development, testing, and implementation with a known practiced sequence of communications that allow for speedy escalation and correction of system defects.
11. **Communication Plan:** Communication is key at all phases of a project and the explanation of system roll out to stakeholders and the public is one small part that is addressed throughout implementation with regular and significant bilateral communication between First Data and the governing bodies of the project. This communication is typically verbal and written addressed to all participatory levels of a project subject to the existing and/or desired governance structure of the agency. Communication to the Public consumers is typically under the purview of the Agency with First Data playing a secondary and advisory role.
12. **Results of System Test Performance and Capacity Testing:** Provided by the SI vendor and reviewed to determine readiness by First Data and the State Stakeholders the reporting of these results is specific and measurable.
13. **System Integrity Review Tool:** The System Integrity Review Tool provides a stem-to-stern look at the contents of a system and whether or not it meets the FNS requirements. First Data is primed to review the Arkansas Integrated Eligibility system for each and every one of these items. The combination of eligibility experience and attention to detail for which First Data staff are known make the detailed review necessary a matter of course rather than an exception.

## 1.3 Project Organization and Qualifications

The Project Organization and Qualifications Section provide our response to the following requirements:

- Key Personnel
- Justification for Remote Team Members
- Support from Additional IV&V Team Members
- Detailed Organizational Profile
- Staff Continuity Plan

### 1.3.1 Key Personnel

<b>Project Organization and Qualifications</b>	<b>Maximum Available RAW Score</b>
<p>Describe the Key Personnel by position your company proposes to provide to staff this project. Vendor response must include key personnel's knowledge of the Deloitte NextGen Solution IEMB, all prior experience with Deloitte, and all prior IV&amp;V experience including IV&amp;V services provided for Medicaid and SNAP. (Sec 2.5)</p>	5
<p>One of the most important elements of our proposal is our project team. Beyond tools, methodologies, and approaches, it is the quality of the project team that will determine success on this project. For the State of Arkansas IEBM project, First Data proposes a team consisting of three full-time key personnel with an additional team of specialists that will participate as project needs evolve. Members of this team have direct experience working with Deloitte and Deloitte's NextGen Solution. We understand that we will participate in the IEBM requirements gathering and will provide experienced staff to document the analysis results, their minimum acceptance criteria, and other relevant quality factors in a format approved in advance by DHS.</p> <p>The team has a record of supporting the delivery of successful Medicaid, Integrated Eligibility, and SNAP Modernization and Modular Enterprise Systems built by Deloitte and other vendors. First Data will provide additional IV&amp;V Team members upon request by DHS and subject to Federal Financial Participation.</p> <p>Each member offers the experience needed for project success. Your onsite team will include Willard Starlard as your Technical Analyst and Delden Fane as IV&amp;V Lead. This strong duo will be supported by a Business Analyst Lisa Doyle with a specialization in MITA and Medicaid Data exchange. Lisa will be dedicated to the team three-quarter time and onsite 50 percent of the time. Other team members will support the project remotely, offering their expertise as needed when it is most useful to the project. This solution offers value to the IEBM project because we have built-in consulting expertise for specialized information.</p>	

**Jay Edmondson**, IV&V Advisor, has 15+ years of information technology (IT) and public sector experience, including over 10 years in the state of Indiana. He is very familiar with the Deloitte NextGen system, its implementation challenges, and successes and he will be supporting the team in an advisory role. Mr. Edmondson’s focus will be on confirming that the project remains in alignment with the state technical architecture standards and project goals.

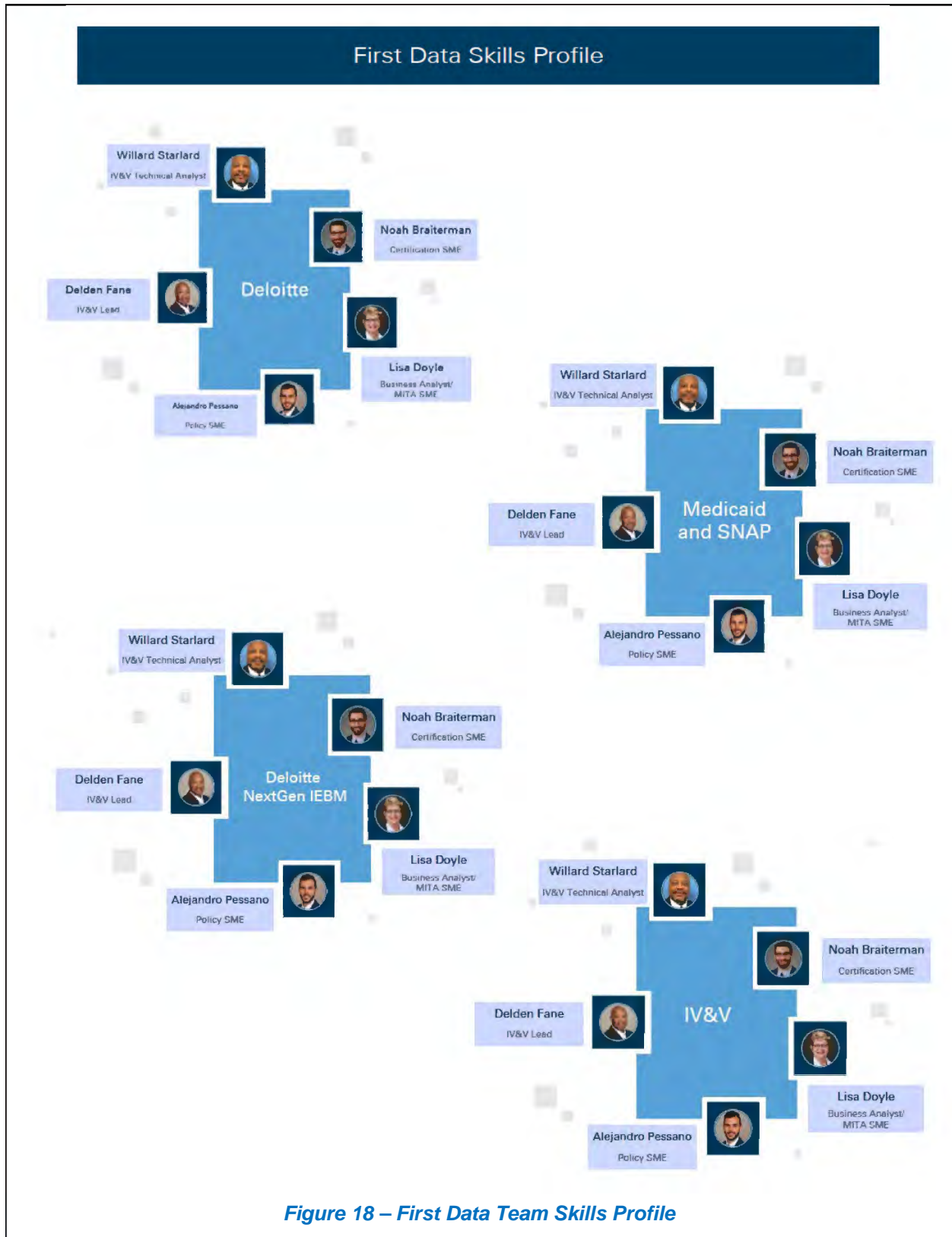
**Noah Braiterman**, Certification Manager, has lead certification efforts in many states including West Virginia, Nebraska, and New York. Mr. Braiterman has worked closely with CMS and has participated in pilot programs for the MECL/MECT process. He will offer the team specialized focus on CMS certification reporting and certification processes.

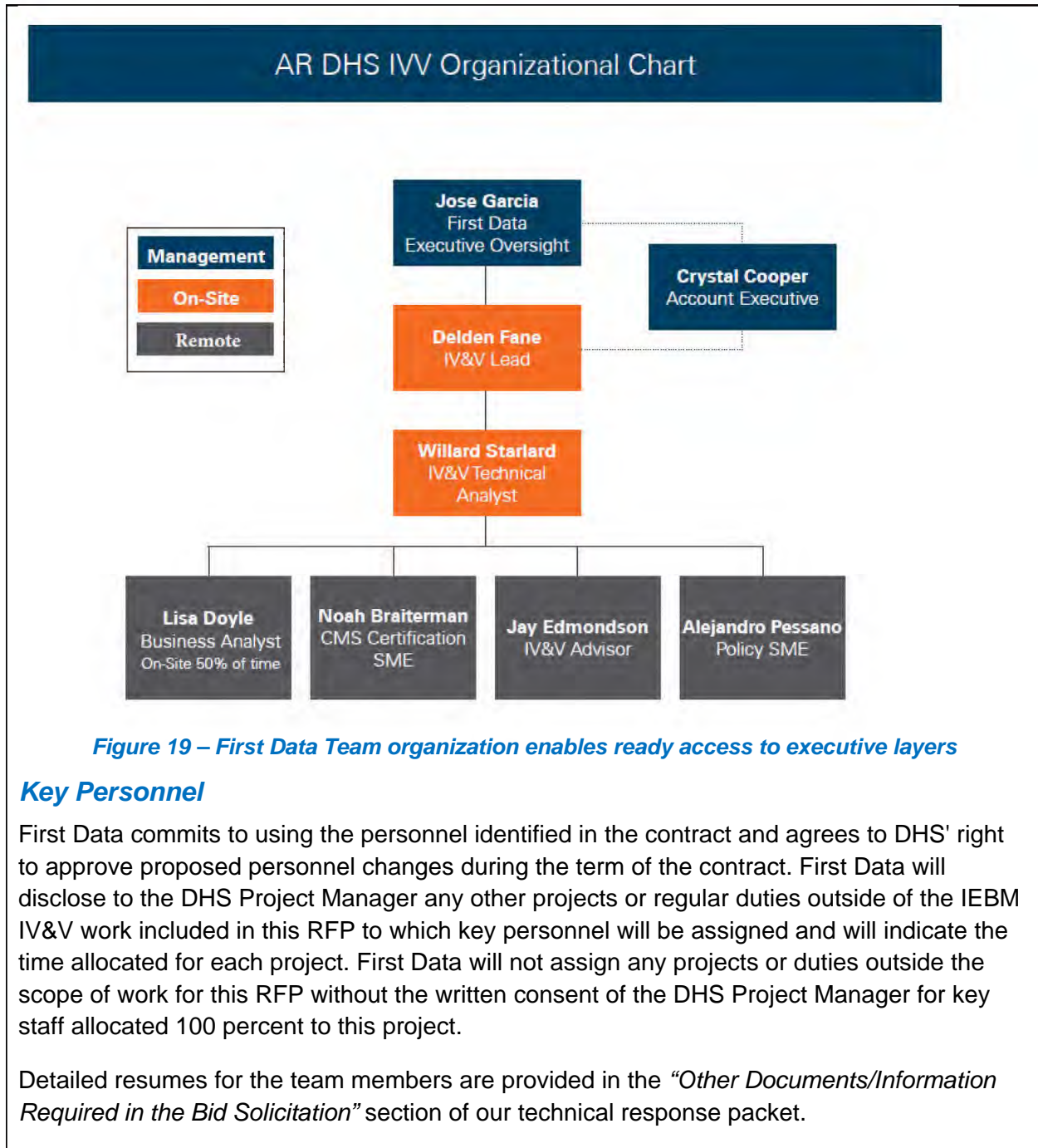
**Alejandro Pessano**, Policy Specialist, has a master’s in public policy, has worked as an Eligibility Worker providing direct services to clients, and as a supervisor in a Health and Human Services agency before serving as a Business Analyst and Program SME for one of the largest and most complex integrated eligibility systems in the nation, CalWIN. Mr. Pessano will focus on confirming alignment with FNS standards and AR Policy.



*Figure 17 – First Data’s Project Team for Arkansas IV&V for IEBM*







**Delden Fane, IV&V Lead.** We propose Mr. Delden Fane as the IV&V Lead/Project Manager on our team. Mr. Fane is IV&V certified with over 30 years of experience performing systems operations, software development, and project management for private firms, healthcare insurance, and state HHS employers. With over 17 years of experience with statewide Human Services Eligibility Systems, Mr. Fane has spent the last 7 years specializing in the performance of IV&V services to oversee HHS/CMS Medicaid Modernization project for several state Medicaid agencies. His efforts led to a successful replacement of the legacy systems and delivery of the benefits systems to support the following: ACA, Federal Marketplace, Medicaid Eligibility, TANF, and SNAP programs. He offers in-depth understanding of the processes and procedures associated with system design, development, and implementation from an IV&V perspective and from that of the SI Vendor, Deloitte. Mr. Fane will be 100 percent dedicated to this contract, and onsite 50 – 75 percent of the time.

**Delden Fane, IV&V Lead**

- ✓ Extensive IV&V experience
- ✓ Multi-program knowledge
- ✓ Former Deloitte employee

**Table 14 – Delden Fane, IV&V Lead: Qualifications**

Requirement	Response
<b>Describe proposed staff’s knowledge of the Deloitte NextGen Solution IEMB, and all prior experience with Deloitte</b>	As a Deloitte employee, Mr. Fane provided IV&V and oversight work for Louisiana and Indiana’s NextGen solution. He also served as an IT project manager for Deloitte in the States of Florida and Minnesota, as well as the District of Columbia.
<b>Describe all prior IV&amp;V experience including IV&amp;V services provided for Medicaid and SNAP</b>	Mr. Fane’s IV&V experience has been focused on Medicaid, CHIP, SNAP, and TANF for federal and state programs. Most recently, he worked on the State of New York Integrated Eligibility IV&V project, and IV&V projects for the States of Indiana, Alabama, and Louisiana Medicaid Eligibility Modernization projects.

**Willard Starlard, Technical Analyst.** Mr. Starlard has over 24 years of experience with State Human Services Eligibility Systems. Mr. Starlard offers more than six years of IV&V experience with multiple program system experience including Veterans Health, Medicaid, Child Support, TANF, SNAP, Child Care, and Family Services. He has direct experience working in and with the State of Arkansas, its programs, and its people.

As an Arkansas resident, and someone who is familiar with Arkansas processes, Mr. Starlard will maintain a full-time, onsite presence and will work on site from 8:30 a.m. to 5:00 p.m. CT Monday through Friday, except for the state holidays listed in RFP Section 1.32, or other mutually agreed-upon times, for the duration of the contract. Mr. Starlard will be 100 percent dedicated to this contract.

**Willard Starlard  
Technical Analyst**

- ✓ 24 years of experience in State Human Services Eligibility Systems
- ✓ IV&V Experience
- ✓ Multiple program system knowledge
- ✓ Local to Arkansas—100% onsite presence

**Table 15 – Willard Starlard, Technical Analyst: Qualifications**

Requirement	Response
<b>Describe proposed staff’s knowledge of the Deloitte NextGen Solution IEMB, and all prior experience with Deloitte</b>	Mr. Starlard has knowledge of the NextGen Solution IEBM provided to him through industry experts and members of the proposed team.
<b>Describe all prior IV&amp;V experience including IV&amp;V services provided for Medicaid and SNAP</b>	Arkansas EEF IV&V: Served as Technical Lead. Assessed the quality of the MAGI Medicaid, SNAP, and traditional Medicaid products as they were planned and developed by formal review and assessment of design deliverables. Identified potential discrepancies from established requirements and standards. Reviewed testing procedures and results from the DDI and State testing teams to determine completeness and compliance with pre-defined test criteria. Identified deficiencies and assessed cohesive interaction between required project teams. Collaborated with ADHS and the EPMT to prepare for and navigate through the CMS gate review process by following the CMS Enterprise Life Cycle. Responsible for all attestation activities performed by the IV&V Team. These attestations included: WAVE 4, Regression and End-to-End, Account Transfer, and Verify Lawful Presence.  Texas Child Support: Performed review and assessment activities for the project in the areas of Testing, Conversion, Reporting, and Interface. Mr. Starlard created a tool that tracked testing defects and progress. This tool used project test data to determine

the quality of each testing phase and projected the date of completion based on documented facts. This tool presented findings in report form and graphical depictions for the IV&V Team and project leadership review.

**Lisa Doyle Business Analyst, MITA SME**

Lisa Doyle is an experienced Business Analyst with a specialization in MITA, she is skilled in Medicaid data exchange and has participated in many industry workgroups. Lisa is an experienced trainer with strong communication skills that will assist AR IEBM overcome organizational change and stakeholder communication challenges.

**Lisa Doyle Business Analyst, MITA SME**

- ✓ Experience providing Medicaid policy analysis and remediation and operational impacts
- ✓ Delivery of MITA workshops and completion of multiple MITA assessments
- ✓ Representative for the X12N and WEDI Strategic National Implementation Process (SNIP) workgroup.

**Table 16 – Lisa Doyle, Business Analyst, MITA SME: Qualifications**

Requirement	Response
<p><b>Describe proposed staffs knowledge of the Deloitte NextGen Solution IEMB, and all prior experience with Deloitte</b></p>	<p>The DHHS in Nebraska is currently replacing its data warehouse and decision support system with an updated data warehouse and business intelligence technology platform. DHHS contracted with Deloitte Consulting LLP to implement their HealthInteractive solution in the state.</p> <p>Lisa Doyle is Senior Government Business Analyst. Ms. Doyle's role specifically supports the Data Management &amp; Analytics component of the Nebraska Enterprise IV&amp;V project.</p>
<p><b>Describe all prior IV&amp;V experience including IV&amp;V services provided for Medicaid and SNAP</b></p>	<p>Since 2017, Lisa Doyle has provided IV&amp;V services as a Senior Government Business Analyst. Ms. Doyle's role specifically supports the Data Management &amp; Analytics component of the Nebraska Enterprise IV&amp;V project.</p>

	<p>From 2012 – 2016, as a Senior Consultant for CSG, Ms. Doyle functioned in IV&amp;V Analyst, Project Manager, and Lead Business Analyst roles involving leadership of MITA workshops (80 in a 6-week timeframe), requirements documentation, and implementation of large healthcare initiatives, including health insurance exchange and MMIS system services implementations. She participated in ongoing IV&amp;V assessments of the Wisconsin Medicaid fiscal agent.</p>
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### 1.3.2 Justification for Remote Team Members

Project Organization and Qualifications	Maximum Available RAW Score
<p>Provide justification for any team members who will support this project from remote offices and explain what methods of communication, travel, and oversight will ensure the remote employee(s) perform their roles effectively. (Sec 2.5.D)</p>	5
<p>As the workforce continues to evolve and more people are working remotely, First Data recognizes that driving value from talent pools that are increasingly independent, mobile, and digitized requires more agile, data-driven, and people-centric approaches to project planning. One of the benefits of a remote workforce is having the opportunity to employ and gain access to some of the industry’s leading professionals available to work with our valued clients. We are able to find the best fit for project roles and client needs regardless of where resources live. First Data thoughtfully selected the proposed Arkansas IV&amp;V Team based on their specific experience and how it aligns with Arkansas’ needs. Our team includes a local Arkansas resident, Willard Starlard who has worked for our other projects in Arkansas and is familiar with the IV&amp;V program. He will be a dedicated onsite employee and will be supported by other key members that will work remotely and/or travel to the project site.</p> <p>The skill sets and experience of all proposed staff will enhance the delivery of the IV&amp;V services for Arkansas IEBM program. We are confident that this team brings the program knowledge, technical skills, and business acumen needed for the project to succeed. Each team member is selected based on their subject matter expertise and in response to the proposal requirements and client needs. Our team members will be fully dedicated to their assigned project involvement, and although off site. Deldan Fane will have an active role in the project as IV&amp;V Lead, he will attend key reviews regular governance meetings and project steering committees, and attend interviews on site.</p> <p>First Data has created proven strategies and processes related to communication, travel, and oversight that support employee roles efficiently and effectively. First Data is accustomed to the remote work force environment and we are confident that our support staff will</p>	

complement the onsite staff and together deliver exceptional results. First Data will provide laptops, any other hardware, and any other software necessary to support our work.

### **Communication Management**

One of the basic principles of sound project management is effective communication. There are a number of tools our teams use to effectively communicate as a distributed team. The IV&V lead will confirm communication platforms for instant messaging and video conferencing integrate with the IEBM Project standards.

The First Data Team employs effective communication techniques and information exchanges by:

- Identifying the roles, responsibilities, and decision-making authority of all sponsors and stakeholders to use in communication planning and management
- Using management reporting techniques to review the project progress
- Interfacing in formal and informal exchanges with State Executives, Project Stakeholders, Project Management, and project vendors
- Engaging the participation of users and stakeholders

Our team will communicate major activities and observations immediately so that appropriate action can be taken before they become findings in official status reports.

The scope of each engagement dictates the frequency and format of the project status meetings and formal status reports. Our communication goals are to keep project team members informed of overall progress and direction of the project efforts. Status meetings delivered as web conferences support the distributed team members and are an excellent venue for interaction between IV&V team members and the project team.

### **Travel Management**

First Data will provide justification for any team member(s) who will support this project from remote offices, and explain which methods of communication, travel, and oversight will confirm the remote employee(s) perform their roles effectively as members of a distributed team. All costs associated with remote work and travel will be First Data's responsibility.

### 1.3.3 Support from Additional IV&V Team Members

Project Organization and Qualifications	Maximum Available RAW Score
Describe how your company will support this project with additional IV&V team members as requested by DHS. (Sec 2.5,F)	5
<p>First Data assigns a team of experienced professionals to each IV&amp;V project. We offer a staffing approach that provides for expertise, resource continuity, and the ability to efficiently add to our Team's capacity at key points in the project. Our commitment to the IEBM Project is to have access to the right resources with the industry knowledge of federal and state standards to respond to the needs of the project.</p> <p>When a need for an additional resource is identified, First Data's dedicated Resource Manager will quickly engage and deploy qualified resources. The Resource Manager has a direct line to some of the nation's most experienced resources. She works closely with our resource professionals to identify the staff with appropriate levels of experience and expertise required to fulfill any needs of our projects. She will quickly identify the right resources for the project based on the requirements set forth in the scope and take the steps necessary to identify who is, or can be, assigned to the IEBM project.</p> <p><b>HHS Programs:</b> HHS Programs are a cornerstone of First Data's business. Our staff is experienced in all of the programs included in IEBM. They have real-life experience in planning, implementation, and administration of HHS Programs.</p> <p>Examples of programs they have supported include:</p> <ul style="list-style-type: none"> <li>• TANF</li> <li>• SNAP</li> <li>• Child Care General Assistance/General Relief</li> <li>• Foster Care</li> <li>• Welfare to Work</li> <li>• Adoption Assistance</li> <li>• LIHEAP</li> </ul> <p><b>Federal Regulations and Guidance:</b> Our HHS resources are continuously informed and trained on new or proposed federal regulations and guidance. We take a proactive approach to our commitment to our customers and the delivery of services. First Data has staff with experience in all of the following: MITA, MEET, MECL, HIPAA, ACA, FNS, Department of Human Services (DHS) Administration for Children and Families (ACF) Feasibility, Alternatives Cost/Benefits Analysis Guide and the Code of Federal Regulations.</p>	



### 1.3.4 Detailed Organizational Profile

<b>Project Organization and Qualifications</b>	<b>Maximum Available RAW Score</b>
<p>Provide a detailed organizational profile for this project which shall include, at a minimum, the following: (Sec 2.6.B)</p> <ul style="list-style-type: none"> <li>• Company Name</li> <li>• Name of Parent Company (if applicable)</li> <li>• All Proposed Personnel by Job Title</li> <li>• Lines of Supervision</li> <li>• Number of Full Time Employees</li> <li>• Number of Years in Business</li> <li>• Number of Years Vendor (Prime) has been providing the type of services specified in the RFP</li> <li>• Number of Employees providing the type of services specified in the RFP</li> <li>• Headquarters in the USA</li> <li>• Locations in the USA</li> <li>• Office Servicing this account location</li> </ul>	5

*Table 17 – First Data Organizational Profile*

Company Information	First Data
<b>Company Name</b>	First Data Government Solutions, LP
<b>Name of Parent Company</b>	First Data Government Solutions, LP operates as a subsidiary of Fiserv Corporation (formerly First Data Corporation). Fiserv conducts operations from 49 U.S. offices located in 19 states.
<b>All Proposed Personnel by Job Title</b>	<ul style="list-style-type: none"> <li>• Delden Fane IV&amp;V Lead</li> <li>• Willard Starlard IV&amp;V Technical Analyst</li> <li>• Lisa Doyle Business Analyst</li> <li>• Noah Braiterman CMS Certification SME</li> <li>• Jay Edmonson IV&amp;V Advisor</li> <li>• Alejandro Pessano Policy SME</li> </ul>
<b>Lines of Supervision</b>	The IV&V Lead reports to Ms. Crystal Cooper, Vice President, Government Solutions. Ms. Cooper reports directly to Mr. Jose Garcia, President.

<b>Number of Full-time Employees</b>	First Data Government Solutions, LP and its subsidiary, First Data Government Solutions, Inc., have approximately 219 employees that form the government business unit of First Data Corporation.
<b>Number of Years in Business</b>	30 (since 1989)
<b>Number of Years Vendor (Prime) has been providing the type of services specified in the RFP</b>	30 (since 1989)
<b>Headquarters</b>	5565 Glenridge Connector NE, Suite 2000, Atlanta, Georgia 30342
<b>Locations</b>	<p>Fiserv conducts operations from 49 U.S. offices located in 19 states.</p> <p>First Data has multiple satellite offices around the United States. Our largest locations are in Cincinnati Ohio, Roseville California, and Atlanta, Georgia:</p> <ul style="list-style-type: none"> <li>• 11311 Cornell Park Drive, Suite 300, Cincinnati, Ohio 45242</li> <li>• 8875 Washington Boulevard, Roseville, California 95678</li> <li>• 5565 Glenridge Connector, Suite 2000, Atlanta, Georgia 30342</li> </ul> <p>In addition to the offices above, First Data maintains data centers in Omaha, Nebraska and Chandler, Arizona where our systems are hosted.</p>
<b>Office Servicing this account location</b>	<p>The Office servicing this account location is located in Atlanta Georgia.</p> <p>5565 Glenridge Connector, Suite 2000, Atlanta, Georgia 30342</p> <p>Willard Starlard Technical Analyst is a resident of Little Rock, Arkansas</p>

### 1.3.5 Staff Continuity Plan

<b>Project Organization and Qualifications</b>	<b>Maximum Available RAW Score</b>
<p>Provide a staff continuity plan outlining the Vendor's approach to maintain the level of staffing proposed. The plan shall include at a minimum the following: (Sec 2.7-D)</p> <ul style="list-style-type: none"> <li>• Vendor's policies and plans for maintaining continuity of personnel assignments throughout the performance of any contract resulting from this RFP</li> <li>• Vendor's contingency plans to avoid and minimize the impact of any unexpected personnel changes.</li> </ul>	5

- Vendor’s planned backup resources for key personnel

**Staff Requirements and Continuity Plan**

First Data’s Staff Management Plan aligns with the standards of the PMBOK® guide. First Data is committed to providing a highly qualified and experienced team to successfully deliver IV&V Services for the IEBM project. We propose a team of IV&V professionals that addresses the specialized skills the IEBM project requires. The First Data Team is a powerful lineup committed to providing a cost-effective IV&V solution for Arkansas.

First Data agrees to obtain DHS approval before replacing, reassigning, or adding key personnel during the contract period. Our organization has internal Human Resource Managers dedicated to supporting our professional services staffing needs. They continuously review the corporate resource pool for staff that has the skills and qualifications, as well as the “cultural fit” to integrate well into a project. As standard practice, corporate resources approaching the conclusion of assignments are actively monitored, screened, and proactively discussed with our Project Managers to understand where planned changes and staff availability align. Beyond our corporate resource pool, the Human Resource Managers are also continuously recruiting and screening top talent to join our organization. Having an additional network of talented resources at our fingertips, already pre-screened and interested in joining our organization further enhances our ability.

*Table 18 – Staff Changes, Notice and Transition Plans*

Type of Staff Change	First Data’s Procedure
Expected staff changes	First Data will provide a 30-calendar-day notice regarding the change and plans for transition. We will provide a resume and two references for any recommended replacement staff.
Unexpected Staff Changes	First Data will provide a written notification within three business days of knowledge and staff action. Within seven days of providing written notice, we will provide the DHS Project Manager with plans for transition.

**Changes to Key Personnel**

All replacement personnel will have skills equal to or superior to the individual(s) being replaced. If a key personnel position is vacated, First Data will deliver to DHS resumes of potential replacement candidates and allow DHS the opportunity to interview and approve replacement(s) for the vacated position(s). First Data further agrees to change project personnel as requested by DHS and must provide DHS an opportunity to interview and approve potential replacement candidates. A final staff continuity plan will be submitted to DHS for review and approval within 30 calendar days of the contract’s actual start date, and which will include the following topics:

- Policies and plans for maintaining continuity of personnel assignments throughout the performance of any contract resulting from this RFP

- Contingency plans to avoid and minimize the impact of any unexpected personnel changes.
- Planned backup resources for key personnel

**Planned Backup Resources for Key Personnel**

We understand that the Arkansas IEBM project success is dependent on a consistent presence of the IV&V Team. The team will regularly participate in project meetings, so we can glean information and make appropriate recommendations. To provide coverage, all individuals are cross-trained in the responsibilities of the role for which they are back-up, as shown in Table 19, and can provide coverage for other members of the team.

*Table 19 – Key Roles and Designated Backup*

Role	Primary	Backup
IV&V Lead	Delden Fane	Lisa Doyle
IV&V Technical Analyst	Willard Starlard	Jay Edmonson
Business Analyst	Lisa Doyle	Noah Braiterman
Policy SME	Alejandro Pessano	Jay Edmonson
Certification SME	Noah Braiterman	Alejandro Pessano
IV&V Advisor	Jay Edmonson	Delden Fane